

Cabinet



Date & time	Place	Contact	Chief Executive
Tuesday, 5 February 2013 at 2.00 pm	Ashcombe Suite, County Hall, Kingston upon Thames, Surrey KT1 2DN	James Stanton Room 122, County Hall Tel 020 8541 9068	David McNulty

Membership: Mr David Hodge (Chairman), Mr Peter Martin (Vice-Chairman), Mrs Mary Angell, Mrs Helyn Clack, Mr John Furey, Mr Michael Gosling, Mrs Kay Hammond, Mrs Linda Kemeny, Ms Denise Le Gal and Mr Tony Samuels.

If you would like a copy of this agenda or the attached papers in another format, eg large print or braille, or another language please either call 020 8541 9068, write to Democratic Services, Room 122, County Hall, Penrhyn Road, Kingston upon Thames, Surrey KT1 2DN, Minicom 020 8541 9698, fax 020 8541 9009, or email james.stanton@surreycc.gov.uk.

This meeting will be held in public. If you would like to attend and you have any special requirements, please contact James Stanton on 020 8541 9068.

***Note:** This meeting may be filmed for live or subsequent broadcast via the Council's internet site - at the start of the meeting the Chairman will confirm if all or part of the meeting is being filmed. The images and sound recording may be used for training purposes within the Council.*

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If you have any queries regarding this, please contact the representative of Legal and Democratic Services at the meeting

1 APOLOGIES FOR ABSENCE

2 MINUTES OF PREVIOUS MEETING: 18 DECEMBER 2012

The minutes will be available in the meeting room half an hour before the start of the meeting.

3 DECLARATIONS OF INTEREST

To receive any declarations of disclosable pecuniary interests from Members in respect of any item to be considered at the meeting.

4 PROCEDURAL MATTERS

4a Members' Questions

The deadline for Member's questions is 12pm four working days before the meeting (*30 January 2013*).

A copy of any questions received will be circulated after the deadline.

4b Public Questions

The deadline for public questions is seven days before the meeting (*29 January 2013*).

A copy of any questions received will be circulated after the deadline.

4c Petitions

The deadline for petitions was 14 days before the meeting. No petitions were received.

4d Representations received on reports to be considered in private

To consider any representations received in relation why part of the meeting relating to a report circulated in Part 2 of the agenda should be open to the public.

5 REPORT FROM SELECT COMMITTEES, LOCAL COMMITTEES AND OTHER COMMITTEES OF THE COUNCIL

(Pages 1
- 4)

- Recommendations from Children and Families Select Committee - Budget Monitoring 2012/13 (attached)
- Recommendations from Communities Select Committee - Extracting Value from Customer Feedback (attached)
- Environment and Transport Select Committee Task Group Report on Utilities Companies – to be considered as part of agenda item 12

6 REVENUE AND CAPITAL BUDGET 2013/14 TO 2017/18

To make recommendations to the County Council on the revenue and capital budgets for 2013/14 to 2017/18, including the level of council precept for 2013/14.

*Report
circulated
separately*

- 7 SCHOOLS EXPANSION PROGRAMME FROM SEPTEMBER 2013** (Pages 5
- 14)
- There is significant demand for new schools places within Surrey, which are largely addressed through the County's five year 2012-17 Medium Term Financial Plan.
- Burpham, Cranmere, Goldsworth, Portesbery and West Ewell schools have been identified as requiring expansion through the provision of permanent adaptations and additions to their existing facilities and the relocation and building of two of the schools on new sites.
- Approval is sought for the individual business cases for expansion and creation of additional places at these schools to meet demand.
- [The decisions on this item can be called in by the Council Overview and Scrutiny Committee or the Education Select Committee]*
- 8 2012/13 QUARTER THREE BUSINESS REPORT** (Pages
15 - 80)
- To acknowledge and discuss the success that Surrey County Council has achieved during the third quarter of 2012/13 (demonstrated by the latest available Council-wide results on customer feedback, finance, workforce and performance, the progress report on the One County One Team People Strategy 2012/17 and the January 2013 Leadership Risk Register).
- [The decisions on this item can be called in by the Council Overview and Scrutiny Committee]*
- 9 BUDGET MONITORING FORECAST 2012/13 (PERIOD ENDING
DECEMBER 2012)** (Pages
81 - 84)
- To note the year-end revenue and capital budget monitoring projections as at the end of December 2012.
- Please note that Annex 1 to this report will be circulated separately prior to the Cabinet meeting.*
- [The decisions on this item can be called in by the Council Overview and Scrutiny Committee]*
- 10 SURREY COUNTY COUNCIL STRATEGY AGAINST FRAUD AND
CORRUPTION** (Pages
85 - 106)
- The National Fraud Authority (NFA) estimates that fraud in local government amounts to some £2.2bn per year. In the public sector every pound lost through fraud is a pound taken from taxpayers and impacts on the provision of frontline services. The NFA published a Local Government Strategy "Fighting Fraud Locally" in April 2012. This Strategy has been embraced by Surrey County Council as best practice against which our counter-fraud culture can be assessed and strengthened.
- Surrey County Council is alert to the risk of fraud and has adopted a zero tolerance approach. This report sets out the work that is being undertaken to ensure a robust counter- fraud culture across the Council and asks the Cabinet to endorse the Council's revised Strategy against Fraud and Corruption which has been updated to include a Fraud Response Plan in line with best practice.

[The decisions on this item can be called in by the Council Overview and Scrutiny Committee]

11 EDUCATION ACHIEVEMENT PLAN 2013-17 (Pages 107 - 140)

The Education Achievement Plan sets out the County Council's approach to working with education partners to shape education provision and raise achievement for children and young people over the next five years (2013-2017). The plan responds to changing needs and policy and is a key delivery mechanism for the Children and Young People's Strategy 2012-17.

The plan aims to secure a successful locally agreed model for school improvement that allows existing partnership arrangements to be developed, including those with both academy and non-academy schools. The development of the draft plan has been part of a wider engagement with headteachers to agree a primary and secondary vision for the education of children and young people to ensure all schools in Surrey are judged by Ofsted to be at least good schools by 2017.

[The decision on this item can be called in by the Education Select Committee]

12 TACKLING TRAFFIC CONGESTION - INTRODUCTION OF A ROAD WORKS PERMIT SCHEME (Pages 141 - 200)

Surrey County Council is committed to reducing congestion and disruption caused by road works. To assist in achieving this outcome the authority is proposing the introduction of a permit scheme which would provide an improved alternative to regulating and coordinating road works on Surrey's road network.

This item includes consideration of the report and recommendations of the Utilities Task Group.

[The decisions on this item can be called in by Environment and Transport Select Committee]

13 SURREY LOCAL ASSISTANCE SCHEME (Pages 201 - 240)

The Department for Work and Pensions (DWP) has allocated a total sum of £2,316,356 to Surrey County Council (SCC) over the period 2012/13 – 2014/15 through a discretionary grant to establish a Local Assistance Scheme in Surrey. The Local Assistance Scheme will replace two elements of the Social Fund (which is currently administered by the DWP), Crisis loans for living expenses and Community Care Grants that will be abolished from April 2013.

Adult Social Care officers have been working with colleagues and partners to develop a scheme to deliver these discretionary payments. As a result of the likely impact of welfare reform that will take place over the coming years, the full DWP allocation is required in order to meet existing and projected demand.

[The decisions on this item can be called in by Adult Social Care Select Committee]

- 14 DIRECT PAYMENT INFORMATION ADVICE AND SUPPORT SERVICE: APPROVAL TO AWARD A CONTRACT** (Pages 241 - 250)

To award a contract to Surrey Independent Living Council for the provision of the Direct Payment Information Advice and Support Service to commence on 1 March 2013. The report provides details of the commissioning and procurement process, including the results of the evaluation process, and, in conjunction with the Part 2 Annex, demonstrates why the recommended contract award delivers best value for money.

Due to the commercial sensitivity involved in the contract award process, the financial details of the potential supplier have been circulated an annex in Part 2 of the agenda for Members (agenda item 18).

[The decisions on this item can be called in by the Adult Social Care Select Committee]

- 15 LEADER / DEPUTY LEADER / CABINET MEMBER DECISIONS TAKEN SINCE THE LAST CABINET MEETING** (Pages 251 - 256)

To note any delegated decisions taken by the Leader, Deputy Leader and Cabinet Members since the last meeting of the Cabinet

- 16 EXCLUSION OF THE PUBLIC**

That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting during consideration of the following items of business on the grounds that they involve the likely disclosure of exempt information under the relevant paragraphs of Part 1 of Schedule 12A of the Act.

PART TWO - IN PRIVATE

- 17 SCHOOL EXPANSION PROGRAMMES FROM SEPTEMBER 2013**

The following reports contain financial information relating to agenda item 7.

Exempt: Not for publication under paragraph 3

Information relating to the financial or business affairs of any particular person (including the authority holding that information)

[The decisions on the following items can be called in by the Council Overview and Scrutiny Committee or the Education Select Committee]

- 17a EXPANSION OF BURPHAM PRIMARY SCHOOL TO 2 FORMS OF ENTRY FROM SEPTEMBER 2013** (Pages 257 - 264)
- 17b CRANMERE PRIMARY SCHOOL, ESHER - TWO FORM OF ENTRY EXPANSION TO MEET BASIC NEED** (Pages 265 - 272)
- 17c GOLDSWORTH PRIMARY SCHOOL, WOKING - ONE FORM ENTRY EXPANSION TO MEET BASIC NEED** (Pages 273 -

17d	PORTESBERY SCHOOL, CAMBERLEY - RELOCATION AND EXPANSION	280) (Pages 281 - 288)
17e	EXPANSION OF WEST EWELL INFANT SCHOOL TO 4 FORMS OF ENTRY FROM SEPTEMBER 2013	(Pages 289 - 296)
18	DIRECT PAYMENT INFORMATION ADVICE AND SUPPORT SERVICES: APPROVAL TO AWARD A CONTRACT	(Pages 297 - 298)
	Part 2 Annex to agenda item 14 containing financial information.	
	Exempt: Not for publication under paragraph 3	
	Information relating to the financial or business affairs of any particular person (including the authority holding that information)	
	<i>[The decisions on this item can be called in by the Council Overview and Scrutiny Committee]</i>	
19	PROPERTY TRANSACTIONS	
19a	ACQUISITION OF AN OFFICE PROPERTY IN GUILDFORD	(Pages 299 - 348)
	To authorise the acquisition of a fully tenanted office building in Guildford together with a separate long lease interest in associated car spaces and to participate in future regeneration opportunities as a result.	
	Exempt: Not for publication under paragraph 3	
	Information relating to the financial or business affairs of any particular person (including the authority holding that information)	
	<i>[The decisions on this item can be called in by the Council Overview and Scrutiny Committee]</i>	
19b	DISPOSAL OF 26 NIGHTINGALE ROAD, GUILDFORD	(Pages 349 - 368)
	To approve the sale of 26 Nightingale Road, Guildford following the results of a marketing exercise by appointed Estate Agents.	
	Exempt: Not for publication under paragraph 3	
	Information relating to the financial or business affairs of any particular person (including the authority holding that information)	
	<i>[The decisions on this item can be called in by the Council Overview and Scrutiny Committee]</i>	
19c	PURCHASE OF RETAIL AND OFFICE PREMISES IN THE HIGH STREET, EGHAM	(Pages 369 - 408)
	To authorise the acquisition of the freehold interest of retail and office premises in High Street, Egham for potential future service delivery and economic regeneration.	

Exempt: Not for publication under paragraph 3

Information relating to the financial or business affairs of any particular person (including the authority holding that information)

[The decisions on this item can be called in by the Council Overview and Scrutiny Committee]

20 PUBLICITY FOR PART 2 ITEMS

To consider whether the item considered under Part 2 of the agenda should be made available to the Press and public.

David McNulty
Chief Executive
Monday, 28 January 2013

QUESTIONS, PETITIONS AND PROCEDURAL MATTERS

The Cabinet will consider questions submitted by Members of the Council, members of the public who are electors of the Surrey County Council area and petitions containing 100 or more signatures relating to a matter within the Cabinet's terms of reference, in line with the procedures set out in the Council's Constitution.

Please note:

1. The number of public questions which can be asked at a meeting may not exceed six. Questions which are received after the first six will be held over to the following meeting or dealt with in writing at the Chairman's discretion.
2. Questions will be taken in the order in which they are received.
3. Questions will be asked and answered without discussion. The Leader, Deputy Leader or Cabinet Member may decline to answer a question, provide a written reply or nominate another Member to answer the question.
4. Following the initial reply, one supplementary question may be asked by the questioner. The Leader, Deputy Leader or Cabinet Member may decline to answer a supplementary question.

MOBILE TECHNOLOGY – ACCEPTABLE USE

All mobile devices (mobile phones, BlackBerries, etc) should be switched off or placed in silent mode during the meeting to prevent interruptions and interference with the PA and Induction Loop systems.

Those attending for the purpose of reporting on the meeting may use mobile devices in silent mode to send electronic messages about the progress of the public parts of the meeting. This is subject to no interruptions, distractions or interference with the PA and Induction Loop systems being caused. The Chairman may ask for mobile devices to be switched off in these circumstances.

Thank you for your co-operation

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CHILDREN AND FAMILIES SELECT COMMITTEE

Item under consideration: BUDGET MONITORING REPORT 2012/13

Date Considered: 19 December 2012

At its meeting on 19 December 2012, the Children and Families Select Committee considered the forecast position on the budget for Children's Services at the end of October 2012. The committee regularly monitors the budget situation and is aware of the increasing projected overspend in this service area. As the Cabinet knows, the overspend is being driven by volume pressures, particularly around child protection. Children's Service are forecast to be on track to achieve their specific savings targets in 2012/13 but the Children and Families Select Committee have concerns about the ability of Children's Service to meet savings targets set out for future years within the Medium Term Financial Plan.

Therefore the Committee recommends that Cabinet note that the Children & Families Select Committee continues to be concerned about the potential for Children's Services to meet the savings targets outlined in the Medium Term Financial Plan.

CLARE CURRAN

Chairman of the Children and Families Select Committee

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COMMUNITIES SELECT COMMITTEE

Item under consideration: Extracting Value from Customer Feedback

Date Considered: 16 January 2013

At its meeting of 16 January 2013 the Communities Select Committee considered a report from Customer Services on how customer feedback is captured, evaluated, and used in the design and delivery of policies and services.

The Communities Select Committee was very concerned to note that although the formal complaints process for the Council appears to work well, there is a significant amount of client feedback which is captured but is not routinely used by the services “in development of policy, priorities or design of services.”

As a result, the Council is missing out on the opportunity to fully exploit the value of customer feedback to improve services and tackle the public perception of some that the Council does not listen.

Recommendation

As this issue affects all services within the County as well as the organisational culture of the Council, Communities Select Committee recommends that this report should be drawn to the attention of the Cabinet to consider the appropriate course of action to address the highlighted concerns.

The Cabinet may wish to consider:

- a) how the Council could be better shaped to ensure customer feedback is routinely used in policy design and service delivery;
- b) in line with the Leader’s initiative “Think Councillor, Think Resident”, what arrangements could be put in place to assure Members and residents that public concerns are being noted and used by the Council; and
- c) periodically examining customer complaints and feedback at Cabinet meetings.

[Communities Select Committee resolved to support the initiative proposed by Customer Services in its report, that it undergo the evaluation process to achieve the Customer Service Excellence Standard.]

STEVE COSSER

Chairman of the Communities Select Committee

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SURREY COUNTY COUNCIL**CABINET****DATE: 5 FEBRUARY 2013****REPORT OF: MR TONY SAMUELS, CABINET MEMBER FOR ASSETS AND REGENERATION PROGRAMMES****MRS LINDA KEMENY, CABINET MEMBER FOR CHILDREN AND LEARNING****LEAD OFFICERS: JOHN STEBBINGS, CHIEF PROPERTY OFFICER****NICK WILSON, STRATEGIC DIRECTOR FOR CHILDREN, SCHOOLS AND FAMILIES****SUBJECT: SCHOOLS EXPANSION PROGRAMME FROM SEPTEMBER 2013****SUMMARY OF ISSUE:**

There is significant demand for new schools places within Surrey, which are largely addressed through the County's five year 2012-17 Medium Term Financial Plan.

Burpham, Cranmere, Goldsworth, Portesbery and West Ewell schools have been identified within the programme as requiring expansion through the provision of permanent adaptations and additions to their existing facilities and the relocation and building of two of the schools on new sites.

Approval is sought for the individual business cases for expansion and creation of additional places at these schools to meet demand.

RECOMMENDATIONS:

It is recommended that the expansion of the following schools, as detailed in this report, be agreed in principle subject to the consideration and approval of the detailed financial information for each school as set out in Part 2 of this agenda (agenda item 17):

- (i) Burpham: Primary School (Increase by 220 places to 430)
- (ii) Cranmere: New Primary School (Increase by 360 places to 630 plus 26 pre-school places)
- (iii) Goldsworth: Primary School (Increase by 180 places to 630)
- (iv) West Ewell: Infant School (Increase by 90 places to 360)
- (v) Portesbery: New Special School (Increase by 35 places to 105)

REASON FOR RECOMMENDATIONS:

The schemes deliver a value for money expansion to the schools, which supports the Authority's statutory obligation to provide additional school places for local children in Surrey. The individual projects and building works are in accordance with the planned timetables required for delivery of the new accommodation at each school.

DETAILS:

1. Surrey is in the London fringe and is a popular place to live with a good commercial infrastructure and employer base, commuter rail links to the City and the attainments of students in Surrey schools is generally of a good standard.
2. The population in Surrey has increased steadily since 1981 and projections from the Office of National Statistics (ONS) suggest that this growth will continue in the foreseeable future with a population rising to 1,230,780 in 2023.
3. Surrey's projections indicating future needs for schools places were significantly exceeded in 2012 and in several urban areas across the county officers have signalled that further places will be needed. The County has responded to this with a substantial planned School Basic Need investment programme for the period 2013-2018. Factors attributable to the unforeseen demand include:
 - Applications for places are increasing at a higher rate than the increase in births
 - Increasing inward migration – not captured by ONS.
 - Housing development (in particular in-fill development) coming forward earlier than district and borough forecasts had indicated.
 - External economic factors (e.g. affordability of housing compared with London)
4. The Cabinet Member for Children and Learning has considered and approved the educational rationale for the expansions of the schools set out in this report. Approval of the business case for each of the expansions is now required in order to progress the delivery of the accommodation at each school.
5. The projects are largely included in the County Council's capital programme as part of the 2012/2017 Medium Term Financial Plan and where they are not, the funding has been included as part of the 2013/2018 MTFP (to be considered as part of the budget process).
6. The individual business cases for each school are attached under item 17 in Part 2 of this agenda. Aspects of the financial details for each proposal are considered commercially sensitive, in that releasing the information at this stage may impact on the Council's ability to gain best value from companies who might potentially bid for the contracts to deliver the projects. It is therefore in the public interest that this detailed financial information be discussed in private at this time. The Cabinet is therefore asked to consider the expansion proposals in principle before approving the individual business cases for each school in Part 2 of the meeting.

Burpham: Primary School – Increase by 210 places to 430

7. To approve the provision of a permanent build to expand Burpham Primary School to 2 forms of entry to meet basic need requirements for primary places in the Guildford Town wider area.
8. The number of primary school places in Guildford is increasing. There are insufficient primary school places to meet this demand and so increased primary provision is needed. Burpham Primary is one of the schools best placed to expand to meet this demand. The demand is such that the expansion of Burpham Primary School is required for 2013.
9. Burpham Primary School is located off Burpham Lane, Guildford and currently has capacity for 210 places for pupils aged 4 to 11 plus 10 places in the Speech, Language and Communications unit. It is proposed to expand the school from one to two forms of entry. This will increase the capacity of the school by 210 pupils to 420 places plus 10 places in the Speech, Language and Communication unit. 60 of these places were delivered in 2012. In order for the school to expand the project includes a new build extension together with internal alterations and some refurbishment. Following consultation, approval is now being sought for this project to actually be delivered. Surrey County Council has a statutory duty to provide school places to meet basic need. The expansion at Burpham Primary School meets this basic need requirement and Cabinet is requested to provide the required capital funding to meet statutory provision.

Cranmere: New Primary School – Increase by 420 places to 630 (plus 26 pre-school places)

10. To approve the business case for the provision of a permanent two form entry increase at Cranmere Primary School by providing a new school of 630 plus 26 pre-school places to meet the basic need requirements in the Elmbridge area.
11. The number of school aged children in Elmbridge has been steadily rising since 2007. Much of the rise is due to an increase in births in Elmbridge, up 20% since a low point in 2002. But also due to housing development and inward migration to the area.
12. Following an educational consultation process, Cranmere Primary School has been identified as the most appropriate school in the local area to expand to cater for this provision.
13. Cranmere Primary School is currently a one form of entry school with a capacity for 210 pupils. Since 2009 the school has admitted over its Published Admission Number (PAN) and currently has 360 pupils on roll.
14. The existing Cranmere Primary School accommodation and site is not sufficiently big enough to accommodate a 630 place primary school; as such it is proposed to build a new school on the land adjacent to the existing school. The County Council purchased the adjacent land at Grove Farm following Cabinet approval granted on 01 March 2011.
15. The strategic proposal to expand Cranmere Primary School to a 630 place facility with a 26 place pre-school was approved by the Surrey County Council

Cabinet Member for Children and Learning on 15 January 2013 (subject to planning permission being granted).

16. The location will be close to the need arising from the existing population and that from new housing developments. Grove Farm is situated to the North East of Elmbridge and is well located to serve the needs of the projected pupil demand.
17. The existing permanent accommodation at Cranmere Primary is a 1970's building with many ongoing maintenance issues, including a poor roof and significant drainage problems. The building has many short comings including a lack of small teaching spaces, group rooms and offices. The main hall also doubles as the corridor to pass from the front of the school to the rear. The accommodation only allows for a capacity of 210 pupils.
18. In 2009 and again in 2011 temporary demountable classrooms were put on the site to allow the school to increase their capacity to 360. These buildings have only temporary planning permission and were intended to be utilised until a permanent solution could be found.
19. A viability study shows that it is possible to provide a three form of entry primary school on the proposed Grove Farm site. The Cluster Programme Office is now developing a more detailed feasibility study. The building will comprise 21 classrooms and provision of a nursery space. There will be suitable WC and cloak provision, break out spaces for booster groups and one to one learning, a hall space with dining facilities, a kitchen, a staff room, suitable office accommodation and a practical room.

Goldsworth: Primary School – Increase by 210 places to 630

20. To approve the business case for the provision of a permanent one form entry increase at Goldsworth Primary School to meet basic need requirements in the Woking area.
21. There is a need for additional primary school places in Woking in the future to ensure that the Local Authority meets its statutory obligations to offer every young person a school place.
22. Applications for a primary school place dramatically increased in Woking in 2011 and 2012. This is partly down to an increase in birth rates which have increased in the Borough by up to 30% since a low point in 2001, however the increases in applications are also due to housing development, inward migration and the potential 'recession effect' as independent provision becomes less affordable for some families in the area.
23. Goldsworth Primary School is currently a two form of entry school with a capacity for 420 pupils. The school admitted over PAN in 2012 so currently has 450 pupils on roll. Following an educational consultation process, the Governors of Goldsworth Primary School (Academy) resolved to expand to three forms of entry by 2014 – taking an additional class in 2013 ahead of permanent expansion. Goldsworth is a strong candidate for expansion because it is an outstanding school, is heavily oversubscribed (and has been for 10 years+), is located nearest to the greatest number of primary age pupils than any other primary school in Woking meaning that the majority of parents should be able to walk to school and has a site capable of expansion.

24. A feasibility study has been produced indicating how the school could be expanded to provide for 630 pupils in the future. The school was originally designed at a time when the spatial requirement for education accommodation was less than is now considered acceptable to fulfil a modern curriculum. As a result the school currently has a shortfall of accommodation.
25. The project broadly comprises two extensions. The larger of the two extensions will be to the east of the existing main school building providing teaching accommodation and central circulation area with a clearly defined entrance. Part of the extension will be two storeys. The smaller extension will be sited to the south of the existing arc section of the main school building. It will be single storey and will provide further teaching accommodation. Although minor in scope, there will be internal alterations to enable the school to make better use of the space currently available. These alterations will include the extension of the existing hall and remodelling a small amount of existing accommodation and circulation space in order to improve the staffing facilities.

West Ewell: Infant School – Increase by 90 places to 360

26. To approve the provision of a permanent build to expand West Ewell Infant School to three forms of entry to meet basic need requirements for primary places in the Epsom and Ewell area.
27. Epsom and Ewell is an area where there is a significant demand for primary places. In 2012 two additional classrooms were provided at this school and St Martin's Infant School. The demand is such that the expansion of West Ewell Infant School is required for 2013
28. West Ewell Infant School is located off Ruxley Lane, Epsom and currently has capacity for 270 Key Stage 1 pupils grouped in three forms of each year in year 1 and year 2. It is proposed to expand the school from three to four forms of entry. This will increase the capacity of the school by 90 pupils. In order for the school to expand the project includes a new build extension together with internal alterations and some refurbishment.

Portesbery: New Special School – Increase by 35 places to 105

29. To approve the business case for the relocation and expansion of Portesbery Special School in Camberley, to meet the Authority's strategy to develop its special school provision.
30. Portesbery School is a special school serving up to 70 pupils with severe learning difficulties (SLD). Pupils may have additional sensory impairments, physical difficulties or challenging behaviours. The school is an all age school (2-19 years) and is currently located on Portesbery Road, Camberley.
31. Portesbery is an 'outstanding school' as judged by Ofsted, and the school achieves outstanding outcomes despite the significant shortcomings of the buildings and site that the school currently occupies. The Local Authority's SEN strategy is to develop its special school provision to avoid costly placements in the non-maintained and independent sector. If SEN schools in Surrey are to be in a position to cater for the needs of the most complex children in Surrey then they need a modern and fit for purpose learning environment that is also outstanding.

32. The existing Portesbery SEN School site is significantly below what has been recommended by the Department for Education (Dfe) as a typical site for a school of this nature and size. The school has no playing fields and many of the informal play spaces are unusable because of the slope that exists on the site (the school is located on the top of a steep rise). The school has some hard play facilities but this currently doubles as a drop off and pick up point for the buses, minibuses and taxis that are used to transport children to and from the school. As a result, the play area cannot be developed in any meaningful way and is often 'polluted' by dirt and oil brought in by the traffic.
33. The accommodation at the current school is below the standard for special schools outlined by the Dfe (Building Bulletin 101). The planned total number of pupils is 70 but against the same standard the actual capacity of the school is significantly less than this figure. The shortfall in capacity at the school is largely a result of the small classrooms and hall, the lack of specialist curriculum room and break out areas. Additionally, the buildings which date back to the 1960s, although reasonably well maintained are poorly insulated and costly to run. Both the site and building shortfalls have been referenced in previous Ofsted reports as a concern, despite the school achieving good and outstanding ratings in the latest reports.
34. Given these shortcomings in the existing facilities the County Council has for some time been considering proposals to relocate Portesbery SEN School to a new site.
35. Portesbery School serves children who have a range of difficulties including children with SLD, low functioning autism as well as children with more profound or multiple learning difficulties (PMLD). Over the last 10 years, the number of children with SLD has remained roughly the same in Surrey but there have been increases in the number of children with PMLD, and to a greater extent autistic spectrum disorder (ASD). The Local Authority is not proposing for Portesbery to change in the type of needs that the school will meet but wants more places to be available and to provide facilities that allows the school to manage greater numbers of children with SLD but for whom there will be other conditions that make their needs complex (medical, behavioral and language needs). In creating a new school, there is an opportunity to secure sufficient and high quality provision in Surrey for many years to come. This will contribute to Surrey's overarching SEN strategy and ensure that there are sufficient places in outstanding special schools in Surrey with modern fit for purpose facilities reducing our reliance on non-maintained or independent placements in the future.
36. Funding for special schools is also changing and the new proposed funding formula for special schools suggests that larger schools will be more financially sustainable in the future than smaller schools. For this reason and the reasons given above the Local Authority is proposing to rebuild the school to cater for 105 places in the future.
37. Surrey County Council in partnership with the governing body of Portesbery Special School is proposing to relocate the school from its current address to a new site located at the old Blackdown Primary School site. The proposal is also to increase the number of places at the school from 70 to 105. The implementation date for this proposal is September 2015.

38. The school on this site was closed in 2005 and the site has remained vacant since then. The old school buildings are derelict and will be demolished to make way for a new purpose built SEN school. The new site is approximately 4.5km from the existing site (straight line distance) and is located within The Princess Royal Barracks, Deepcut. This area has been identified as a site for a large housing development (1200 dwellings) which is expected to take place in 2016. Significant additional infrastructure is being planned as part of this development including retail, health and recreational facilities as well as a new primary school.

CONSULTATION:

39. The full statutory consultation required for a school prescribed alteration has taken place for each of the proposals.
40. Local consultations have taken place for each proposal. These consultations have included; the governing body of the school; the families of pupils, teachers and other staff at the school; all primary schools in the Borough; the local Surrey County Council Members; local district and borough councillors.
41. Where the school is an Academy, as in the case of Goldsworth, it is for the school and governors to apply to the Secretary of State rather than Surrey County Council to approve the educational proposal regarding expansion. This is undertaken once the Authority confirms that funding to meet the expansion will be made available. Surrey County Council is required to provide the funding for basic need projects.

RISK MANAGEMENT AND IMPLICATIONS:

42. Risks associated with the projects are identified in the individual project business cases and a risk register is being maintained and updated on a regular basis for each.

Financial and Value for Money Implications

43. The current total cost estimate for each individual scheme is set out in the part 2 annexes. These will be subject to robust cost challenge and scrutiny to drive optimum value as the schemes progress.

Section 151 Officer Commentary

44. The Section 151 Officer has included comment on each of the individual scheme reports, as the financial and business issues differ depending on the scheme.

Legal Implications – Monitoring Officer

45. Section 13 of the Education Act 1996 places a general duty on local education authorities to secure that efficient primary education is available to meet the needs of the population of their area. Section 14 of the Education Act 1996 places a duty on local education authorities to secure that sufficient schools for providing primary education are available in their area. Section 5 of the School Standards and Framework Act 1998 places a duty to promote

high standards. Therefore, there is a duty to provide efficient education and sufficient schools to do so.

46. The School Organisation (Prescribed Alterations to Maintained Schools) (England) Regulations 2007 contains the regulations that apply to prescribed alterations. The former Department for Children, Schools and Families (DCSF), now DfE published two pieces of guidance relating to prescribed alterations: Expanding a Maintained Mainstream School or Adding a Sixth Form and Making Changes to a Maintained Mainstream School (Other than Expansion). These contain both statutory guidance (i.e. guidance to which proposers and decision makers have a statutory duty to have regard) and non-statutory guidance on the process for making changes to school provision.

Equalities and Diversity

47. The proposals would enhance educational provision for children in the community served by the schools. Equality Impact Assessments will be undertaken as part of the detailed design development. There are no direct equalities implications arising out of the proposals for our most vulnerable children.
48. Facilities will be fully accessible and meet all Disability Discrimination Act requirements.

Corporate Parenting/Looked After Children implications

49. The proposals will provide increased provision in the county, which would be of benefit to all in the community served by the schools.

Climate change/carbon emissions implications

50. The County Council attaches great importance to being environmentally aware and wishes to show leadership in cutting carbon emissions and tackling climate change. New buildings will comply or exceed Building Regulations. For any new build projects, the contractors will be required to provide a Site Waste Management Plan.

WHAT HAPPENS NEXT:

51. Subject to Cabinet approval each project will be progressed in accordance with the project plan. This will deliver new school places for 2014 and 2015.

Contact Officer:

Keith Brown, Schools and Programme Manager – 020 8541 8651

Julie Stockdale, Head of Schools Commissioning and Admissions – 020 8541 8084

Consulted:

Eber Kington, Local Member, Epsom and Ewell – Epsom and Ewell North

Nigel Cooper, Local Member for East Molesey and Esher

Pauline Searle, Local Member, Guildford – Guildford North

Mohammed Amin, Local Councillor for Central Woking

Chris Pitt, Local Member for Surrey Heath, Frimley Green and Mytchett

Bill Chapman, Local Member for Surrey Heath, Camberley East.

Paula Chowdhury, Senior Finance Officer – Children, Schools and Families
Julie Fisher, Strategic Director for Change and Efficiency
Schools – Head Teachers and Governors
Parents and pupils
Local Councillors (Borough and County Councillors)
Local Residents

Annexes:

Individual business case reports are attached in Part 2 of the agenda (Exempt information)

Sources/background papers:

The Education Act 1996
The School Standards Framework Act 1998
The Education Act 2002
The Education and Inspections Act 2006

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SURREY COUNTY COUNCIL

CABINET

DATE: 5 FEBRUARY 2013

REPORT OF: MR PETER MARTIN, DEPUTY LEADER

MS DENISE LE GAL, CABINET MEMBER FOR CHANGE AND EFFICIENCY

LEAD OFFICERS: SUSIE KEMP, ASSISTANT CHIEF EXECUTIVE

JULIE FISHER, STRATEGIC DIRECTOR FOR CHANGE AND EFFICIENCY

SUBJECT: 2012/13 QUARTER THREE BUSINESS REPORT



SUMMARY OF ISSUE:

For the Cabinet to acknowledge and discuss the success that Surrey County Council has achieved during the third quarter of 2012/13 (demonstrated by the latest available Council-wide results on customer feedback¹, finance, workforce and performance, the progress report on the One County One Team People Strategy 2012/17 and the January 2013 Leadership Risk Register).

RECOMMENDATIONS:

It is recommended that the Cabinet:

1. Notes the Quarter Three Business Report covering Residents Survey feedback, people performance, financial stewardship and individual Directorate performance.
2. Notes the progress made in implementing the One County One Team People Strategy 2012/17.
3. Agrees the Leadership Risk Register as of January 2013.

REASON FOR RECOMMENDATIONS:

- To ensure effective business management of the County Council and delivery of improved outcomes and value for money for Surrey residents.
- To ensure proper implementation of the Council's One County One Team People Strategy 2012/17.
- To ensure proper consideration of Leadership Risks.

¹ The Surrey Residents Survey is a telephone interview survey conducted throughout the year by Swift Research, an independent research company, with randomly selected Surrey residents. In each three month period, 1,650 people are interviewed, 150 from each of the Surrey Districts and Boroughs. This totals 6,600 interviewees from across the county per annum.

DETAILS:

Report structure

The report should be read with reference to the following annexes:

Annex 1

One County One Team Quarter Three Business Report 2012/13. This has four sections:

- Residents / Value performance
- People performance
- Financial stewardship
- Quality / Partnerships performance

Annex 2

Quarter Three Business Report – Progress towards Directorate priorities which details measurement against priorities by individual Directorate.

Annex 3

Detailed report showing progress of the implementation of the One County One Team People Strategy 2012/17.

Annex 4

Leadership Risk Register as at January 2013.

Highlights

1. Surrey County Council is a Council performing well with **95% of residents satisfied with their neighbourhood as a place to live.**
2. This report is the third 2012/13 Business Report to measure progress against the priorities set out in the **One County, One Team Corporate Strategy 2012/17**. The report includes an enhanced scorecard (Annex 1), supported by detailed commentary (Annex 2).
3. The report celebrates examples of **key achievements** during the quarter, including the completion of the Council's three year Public Value Review programme, the launch of the Council's 'Switch and Save' energy scheme and being shortlisted for the **Council of the Year** as part of the Local Government Chronicle (LGC) Awards 2013.
4. Surrey has recently taken part in **high profile meetings to make the case for Surrey's interests**. Brandon Lewis MP, Local Government Minister, visited the County Council on 15 January and met with the Leader, Deputy Leader, Chief Executive and Strategic Director for Environment and Infrastructure. The main item on the agenda was the scale of the economy in Surrey and the potentially major role that Surrey can play in delivering growth

to the wider UK economy with greater support from central government. The Minister also heard about how the Council is dealing with the serious financial challenges it faces, including work to join up and reduce costs across public services within Surrey and across the South East. On 8 January 2013, the Leader, Deputy Leader and Chief Executive also met with Kevin Hurley, the Police and Crime Commissioner for Surrey and Jeff Harris, the Deputy Police and Crime Commissioner for Surrey to discuss issues including shared priorities in relation to community safety.

5. Surrey County Council has been shortlisted for three awards as part of the LGC Awards 2013. The shortlisted categories are for **Council of the Year**, the **Health and Social Care** category for the work being done on Prevention through Partnership and **Corporate Governance**. The results of the awards will be announced in March 2013.
6. On 11 December 2012, the Leader of the Council, David Hodge, unveiled a new '**switch and save**' scheme through which households and businesses will be able to bulk buy their energy, enabling them to switch to cheaper gas and electricity bills. Residents can register at www.surreyswitchandsave.org. An auction with energy providers will be held in February 2013 following which people will be told of the deal and given the option to switch.
7. The Cabinet approved a list of **major road schemes** designed to reduce congestion and boost economic growth on 27 November 2012. The list was drawn up in preparation for a series of new funding opportunities from Government worth millions of pounds. Initial work will begin on the road projects so that when funding becomes available, Surrey's bids will be ready for submission, enhancing the chances of securing funds.
8. Surrey County Council and the University of Surrey joined forces and have completed a new £4.5m road scheme to **ease congestion** outside the Surrey Research Park, Guildford. The University invested £2.5m and the Council contributed £2m to remove a roundabout and replace it with a crossroads with traffic lights. More than 140 companies are served by the Research Park and the Royal Surrey County Hospital and the Surrey Sports Park are nearby.
9. The Council has met the published target to fill **200 apprentice places** four months early. Under the scheme launched in July 2012, the Council offered to match the Government's Apprenticeship Grant for Business with a Surrey grant of £1,500, bringing the total available to £3,000.
10. Surrey County Council has won the **2012 national innovation award** from the Society of Information Technology Management (Socitm) for innovative use of technology through trialling a scheme that sees staff using their own laptops, smartphones or other devices to do their job.

Residents / Value (Annex 1)

11. The latest provisional Surrey Residents Survey results (for October and November 2012) show that **two out of every three (66%) residents are satisfied with the way the Council runs things**.
12. The latest provisional **Surrey Residents Survey** results indicate that although the year to date results are relatively stable, there has been a slight dip against key headline measures including the percentage of residents who

are satisfied with the way the Council runs things, the percentage of residents who think the Council provides good value for money, the percentage of residents who feel that Surrey County Council keeps people informed and the percentage of residents who feel that they can influence decisions (Annex 1) during October and November 2012. These results will be closely monitored to assess whether they represent a trend or an anomaly.

13. The Council is continuing to **work closely with residents** to test satisfaction and engagement. For example, over 700 people completed the Council's **budget consultation** to capture residents' views about Council spending and service priorities. The survey has revealed that Surrey's spending closely reflects residents' priorities. The survey results are presented as part of the Revenue and Capital Budget 2013/14 to 2017/18 report (agenda item 6).
14. At the end of November, 94% of those contacting the **Council's Contact Centre** were satisfied, significantly exceeding the target of 85%. In addition, 89% of all stage one **complaints** were dealt with within timescale and 88% of **Freedom of Information Act requests** were responded to within the 20 working days target.
15. Over £356,000 of the **Community Improvement Fund** has been awarded to support projects that will make a difference in local areas. An indoor community swimming pool, an outdoor ball games area and a Scout group are among the 12 community projects that were successful in securing funding.

Quality/Partnerships (Annex 1 and Annex 2)

16. The Cabinet approved the **Directorate Strategies 2012/17** on 27 March 2012. A summary of progress towards achieving the priorities contained in them is included in the Quality/Partnerships quadrant of the Scorecard (Annex 1) with a full commentary in Annex 2.
17. Overall, there has been **strong progress during the third quarter**. The following examples demonstrate some of the achievements during the period:
 - Following the Cabinet approval for BT to be the preferred supplier for **Superfast Broadband in Surrey**, on 21 November 2012, the UK received the necessary State Aid Approval from the European Union. As the project is largely publicly funded (£20m from Surrey County Council, £1.3m from the Government's Broadband Delivery UK Fund and £11.8m from BT), the project was subject to EU competition law and the European Commission had to approve the programme. The Superfast Broadband project will only spend public money to provide superfast broadband to those areas that could not access it through the commercial market. The decision means that the project implementation can begin so that nearly 100% of Surrey businesses and homes will have access to superfast broadband by the end of 2014.
 - At the end of quarter two (latest available data), there were only 60 **first time entrants to the Youth Justice System** (meeting the target of 100), significantly fewer than 140 first time entrants at the same time in 2011/12 and 428 first time entrants at the same time in 2009/10. This reduction has been achieved through **Youth Restorative Intervention** which enables the Youth Justice Partnership to effectively deal with lower level offending behaviour without recourse to criminalising children and young people.

- From April 2012 to the end of November 2012, a total of 2,258 **Home Fire Safety Visits** have been conducted, of which 69% were to households at risk. This is a significant improvement from 57% in 2011/12 and exceeds the 2012/13 target of 60%.
 - The **Surrey Information Point** website has been re-launched with new features such as a text messaging service. The website now features all regulated care providers in Surrey and helps adults and carers in Surrey to find advice and information in their local area.
18. The Council recognises that there is **no room for complacency** in ensuring the delivery of high quality services to Surrey residents. Difficult issues are being tackled and concerted action is being taken in a number of priority areas, including:
- The average **cost per contact** (the total money spent on customer contact divided by the total number of contacts) of 46 pence is slightly above the year-to-date target of 44 pence. The Council is continuing to encourage residents to use lower cost methods of contacting the Council, such as the internet, where it is appropriate to do so, and while maintaining high levels of customer satisfaction.
 - At the end of November 2012, a total of 53% of waste collected had been **recycled**, against the profiled year to date target of 60%. Falling demand from China and India has impacted on rigid plastic recycling and the Council continues to work with SITA (the Council's waste contractor) to identify suitable markets for wood that is currently being stored until the waste wood market recovers. New collection systems, including food waste, were introduced in Reigate and Banstead in July 2012 with a phased rollout and in Tandridge in October 2012. These schemes will help to improve recycling rates, but will be subject to a time lag before improvements are reflected in the performance data. Surrey County Council was ranked 9th out of 32 Waste Disposal Authorities in England for waste recycled in 2011/12.
 - Surrey is ranked 21st out of 152 local authorities (an improvement from 23rd in 2011) and 5th out of 11 statistical neighbours for the percentage of pupils achieving five or more GCSEs or equivalent at grades A* to C including English and mathematics based on the latest provisional **educational attainment results** (not including results for pupils at independent schools). However, there has been a small decrease in the proportion of pupils who achieved five or more **GCSEs or equivalent at grades A* to C** including English and mathematics (62.9% compared to 63.5% in 2011). The Council is currently undertaking a full review of the School Improvement Strategy which will inform the annual School Improvement Plan.

People (Annex 1 and Annex 3)

19. The **One County One Team People Strategy 2012/17** was approved by the Cabinet on 29 May 2012 setting out 12 County Council promises to its staff. Overall progress towards delivering the 12 promises is reported in the People quadrant of Annex 1 with a detailed progress report in Annex 3.
20. Surrey continues to perform well for **sickness absence** (reported in the People quadrant of Annex 1) compared to local government peers. When

staff working with vulnerable adults are excluded (they are not allowed to work with vulnerable adults when ill), the sickness absence rate was 7.09 days per FTE at November 2012, achieving the Council target of 7.2 days per FTE. The latest Chartered Institute of Personnel and Development (CIPD) absence survey (2012) shows that the local government average was 8.1 days per FTE (down from 10.9 days in 2011). Sheffield City Council recognised Surrey County Council's success in tackling sickness absence and have asked Surrey County Council to share examples of how sickness absence is being tackled within the Adult Social Care Directorate.

21. The December **workforce costs** are reported alongside this report as part of the Month End Budget Report as at the end of December 2012 (agenda item 9).

Financial stewardship (Annex 1 and Annex 2)

22. The Council has set a **Revenue Efficiencies and Savings** target of £71.1m in 2012/13, set out in the Medium Term Financial Plan (MTFP). At the end of November 2012, £21.1m of the savings had been achieved and 'banked'. However, there remains a forecast shortfall of £5m in the year-end savings expected to be delivered against the MTFP target.
23. Efficiencies and savings have been achieved through a **rigorous focus on ensuring value for money**. This is evidenced, for example, by the completion of the programme of Public Value Reviews.
24. The Council successfully completed the three year programme of **Public Value Reviews** that took a systematic and focused look at services and functions to ensure that the things most important to Surrey residents were at the heart of the Councils' work. The programme has been acknowledged by Sir Merrick Cockell, Chairman of the Local Government Association (LGA) who has asked the LGA Productivity Team to consider opportunities to promote Surrey's Public Value Review programme, recognising that it contains good practice that other Councils could benefit from. The programme consisted of 29 reviews and successfully identified a total of £279m savings to be delivered by 2016. A closing report for the PVR Programme was presented to the Cabinet on 27 November 2012.
25. On 18 December 2012, the Cabinet agreed to support the establishment of a **partnership agreement** between Surrey and East Sussex County Councils under which Surrey will carry out transactional support activities and IT hosting services on behalf of East Sussex. East Sussex and Surrey County Councils are already **working in collaboration** by establishing a joint procurement team and are working together to utilise combined buying power in order to deliver better contract value to both organisations. The Council has exceeded the quarter three **procurement savings target**, achieving £17.8m savings.
26. The Council continues to work to support local businesses and on 22 November 2012, hosted a **business engagement workshop** to explore ways local authorities and the business community can work better together. The latest six monthly results demonstrate that the Council is currently driving 50% of spend on **goods and services to local businesses**, representing £316m spend in the local economy.

27. The **Olympic Games and Tour of Britain** sporting events generated more than £51m for Surrey's economy². The county hosted the men's and women's cycling road races at the summer Olympic Games and staged the final leg of the Tour of Britain in September 2012. In total, the Olympic events benefitted the county's economy by almost £44m, in addition to over £800m of Games-related contracts that were secured by Surrey businesses³. The Tour of Britain stage from Reigate to Guildford generated almost £7.2m for Surrey's economy. Following the Olympics, hotels and tourist organisations in Surrey said they had started taking bookings from cyclists who wanted to ride the Olympic race routes.
28. The December 2012 financial position is presented to the Cabinet alongside this report as the **Month End Budget Report** (agenda item 9).
29. The November 2012 financial position is reflected in the financial **Stewardship** quadrant of the Scorecard (Annex 1).

Leadership Risk Register (Annex 4)

30. The **Leadership Risk Register** as at January 2013 is attached to this report as Annex 4.
31. The Risk and Resilience Steering Group, chaired by the Assistant Chief Executive, coordinates and reviews risk activity across the organisation. The Steering Group also reviews the Leadership Risk Register prior to review by Corporate Board as part of performance, finance and risk monitoring.
32. The Audit and Governance Committee reviews the Leadership Risk Register at each meeting and refers any issues to the appropriate Select Committee.

CONSULTATION:

33. The 2012/13 Quarterly Business Report has been produced in consultation with the Members and officers listed at the end of this report.

RISK MANAGEMENT AND IMPLICATIONS:

34. Risk management implications to areas covered in this report are covered in either the Leadership Risk Register (Annex 4) or in the relevant Strategic Director and Service Risk Registers. Directorate and Service management teams review current and emerging risks and ensure that risks are escalated and reported where appropriate.

Financial and Value for Money Implications

35. The Annex 1 scorecard contains **Directorate level financial information** and details the delivery of the Council's Revenue Efficiencies and Savings target.

² This estimation is based on the industry standard model used for calculating the impact of the Tour of France and Tour of Britain.

³ This figure has been provided by the Olympic Delivery Authority.

36. Tracking financial information alongside other key performance indicators as part of the quarterly Business Report is an important part of the Council's approach to ensuring **value for money** for residents.

Section 151 Officer Commentary

37. The section 151 officer confirms that forecast budget outturn and savings figures quoted in this report and annexes were correct at the end of November 2012. A separate report on this agenda will provide an updated position to the end of December 2012. Both the revenue and capital budgets continue to be monitored closely and reported to the Cabinet, particularly the risks in achieving the Medium Term Financial Plan targets for savings and efficiencies.

Legal Implications – Monitoring Officer

38. There are no legal implications/legislative requirements arising directly from this report.

Equalities and Diversity

39. This report provides a summary of progress towards achieving the Council's priorities set out within Directorate Strategies so does not require a specific Equality Impact Assessment. Where appropriate, Equality Impact Assessments will be completed for individual Directorate priorities.

WHAT HAPPENS NEXT:

- Remedial action takes place.
- The Cabinet continues to receive Quarterly Business Reports (the Quarter Four 2012/13 report will be considered on 23 April 2013).
- The next update of the One County One Team People Strategy 2012/17 will be reported to the Cabinet as part of the Quarter Four Business Report (due to be considered by the Cabinet on 23 April 2013).
- The next six monthly update of the One County One Team Fairness and Respect Strategy 2012/17 will be considered by the Cabinet as part of the Quarter Four Business Report 2012/13 (due to be considered by the Cabinet on 23 April 2013).
- Quarterly reports of progress against key Directorate indicators and commitments are published online at www.surreycc.gov.uk/ourperformance
- The Council Overview and Scrutiny Committee will review Council performance at the meeting on 13 February 2013.
- Select Committees continue to scrutinise work programmes and performance.
- Quality Board will continue to ensure effective self-regulation, oversight and assurance of quality management across the Council, via the implementation of the One County One Team Quality Management Framework.
- Risk officers continue to work with Directorate Management Teams to review current and emerging risks, and ensure that risks are escalated where appropriate.

Contact Officer:

Tim Yarnell, Performance Manager, 020-8541-7047

Consulted:

David Hodge, Leader of the Council
Corporate Leadership Team (CLT)
Justin Newman, Lead Performance and Change Manager, Policy and Performance
James Brown, Performance Lead, Children, Schools and Families
Tracy Waters, Performance Lead, Customers and Communities
Colin Blunden, Waste Finance and Performance Team Manager, Environment and Infrastructure
Gary Strudwick/Linda Moore, Performance Leads, Adult Social Care
Jon Savage, Performance and Change Manager, Head of Transformation, Change and Efficiency
Tim Vamplew, Research Manager, Policy and Performance
Matthew Baker, Deputy Head of HR and Organisational Development
Cath Edwards, Risk and Governance Manager, Change and Efficiency
Verity Royle, Principal Accountant, Change and Efficiency
Kevin Kilburn, Financial Reporting Manager, Change and Efficiency
Grisilda Ponniah, Corporate Information Governance Manager, Legal and Democratic Services

Annexes:

Annex 1 – Quarter Two Business Report Scorecard
Annex 2 – Progress Towards Directorate Priorities
Annex 3 – One County, One Team, People Strategy 2012/17 progress report
Annex 4 – Leadership Risk Register

Sources/background papers:

- Surrey Residents Survey results
 - One County, One Team Corporate Strategy 2012/17
 - Directorate Strategies and Business Plans 2011/15
 - One County, One Team: Fairness and Respect Strategy 2012/17
 - One County, One Team: People Strategy 2012/17
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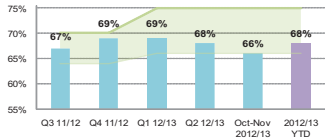
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ONE COUNTY, ONE TEAM - QUARTER THREE BUSINESS REPORT 2012/13

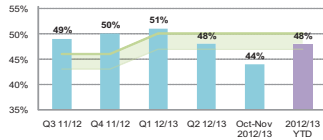
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RESIDENTS / VALUE

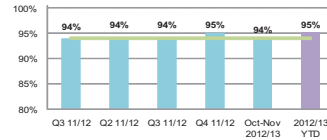
% of Residents who are satisfied with the way the Council runs things



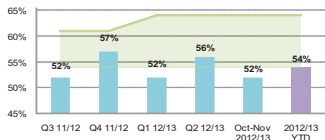
% of Residents who think the Council provides good value for money



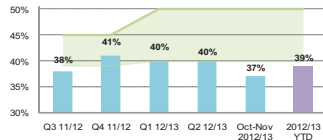
% of Residents who are satisfied with their neighbourhood as a place to live



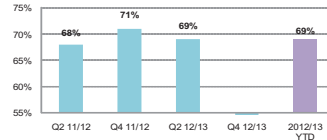
% of Residents who feel that SCC keeps people informed



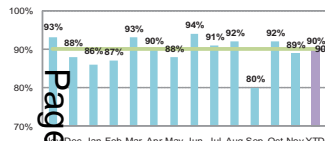
% of Residents who feel that they can influence decisions



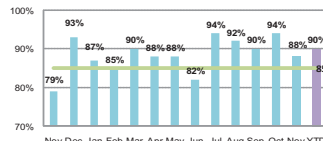
% of Residents who were satisfied with how they were served by SCC staff



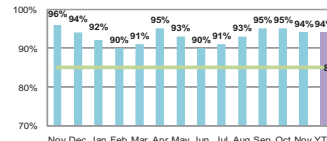
% of stage one complaints dealt with to timescale



% of FOI requests responded to within 20 working days

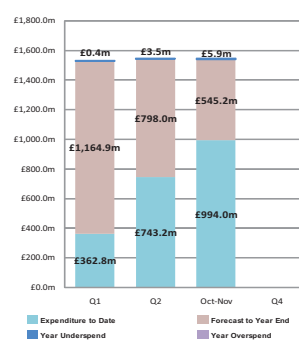


Customers satisfaction with the contact centre



FINANCIAL STEWARDSHIP

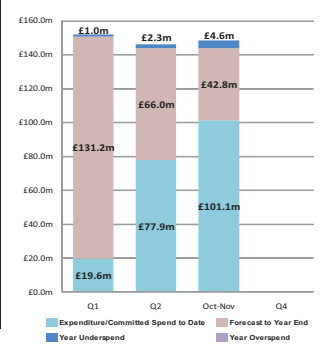
Revenue



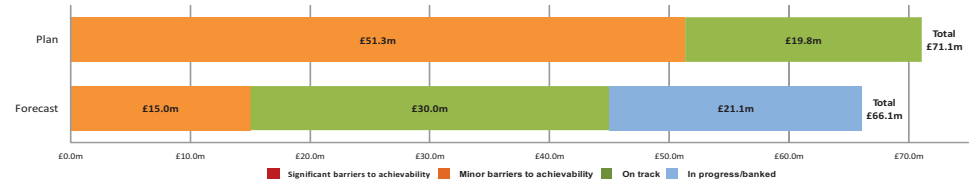
Directorate Budget Analysis as of November 2012

Budget Analysis	Latest Budget	Year End Forecast	Variance	% Variance
Adult Social Care	£336.2m	£340.1m	£3.9m	1.2%
Children, Schools and Families	£295.4m	£293.9m	£1.5m	-0.5%
Schools	£529.7m	£529.7m	£0.0m	0.0%
Customers and Communities	£74.2m	£72.9m	£1.3m	-1.8%
Environment and Infrastructure	£130.7m	£131.7m	£1.0m	0.8%
Change and Efficiency	£87.7m	£86.1m	£1.6m	-1.8%
Chief Executive's Office	£14.0m	£14.0m	£0.0m	0.0%
Central Income / Expenditure inc. Risk Contingency budget	£77.2m	£70.8m	£6.4m	-8.3%
Total	£1545.1m	£1539.2m	£5.9m	-0.4%

Capital



Revenue Efficiencies and Savings Target



PEOPLE

Staffing Costs to end of November 2012

Surrey County Council November 2012	Budget £m	Actual £m	%	Variance £m
Contracted Staff	22.7	21.3	91%	1.4
Agency	1.3	1.1	4%	0.2
Bank & Casual	1.1	1.1	5%	0.0
Total Staffing Cost	25.4	25.1		-0.4

Surrey County Council YTD	Budget £m	Actual £m	%	Variance £m
Contracted Staff	180.3	180.3	92%	0.0
Agency	9.7	9.7	5%	0.0
Bank & Casual	6.7	6.7	3%	0.0
Total Staffing Cost	203.5	196.6		-6.9

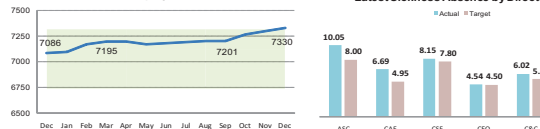
Surrey County Council Year End Forecast	Budget £m	Forecast £m	Variance £m
Total Staffing Cost	304.8	299.7	-5.1

People Strategy Promise Delivery

Everyone will have an effective annual appraisal	🟡
Everyone will have a personal development plan	🟢
Every team to have regular team meetings or discussions	🟢
Everyone will have regular time with their manager	🟡
Everyone will have 20 hours training and development per year	🟡
Every manager will undertake people management development	🟡
Every manager will receive coaching training	🟡
Everyone will be trained to a minimum level of IT competency	🟡
Everyone will have a fair and manageable workload	🟡
We will help each other & act early to provide extra help and support	🟡
We will maximise smarter working	🟡
Everyone will have the right equipment and training to do their job	🟡

Workforce composition To be reported as part of the Q4 Business Report on 23 April 2013

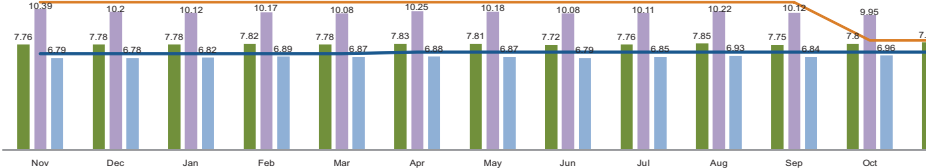
FTE Employee Count



Latest Sickness Absence by Directorate



Sickness Absence - days per FTE



QUALITY / PARTNERSHIPS

Adult Social Care

Staff development	🟡
Personalisation *	🟢
Local, accessible & flexible services	🟢
Carers support *	🟡
Reduce hospital admissions *	🟢
User voice / joined up services	🟢
Health and social care pathways	🟢
Transforming in-house services	🟡
Service signposting	🟢
Deliver MTFP efficiency savings	🟡

Change and Efficiency

Support local suppliers	🟢
Deliver £25m Procurement savings	🟢
Reduce Council CO2 emissions	🟡
Support regeneration and growth	🟢
UNICORN data centre and network	🟢
Future funding	🟢
Deliver partnership income & efficiencies	🟢
Increase internships and apprenticeships	🟢

Children Schools and Families

Restorative youth justice	🟢
Early support	🟢
Targeted support *	🟡
Safeguarding	🟢
Support for children with disabilities	🟢
Participation education, training or employment	🟡
Invest in support to schools *	🟡
Invest in school buildings	🟢
Realise children's potential	🟡

Chief Executive's

Understand Surrey residents*	🟢
Prepare for post election Council	🟢
Complete the PVR programme	🟢
Deliver Superfast Broadband *	🟢
Working with the VCFS *	🟡
Develop Social media	🟢

Customers and Communities

Safe & successful 2012 Olympics	🟢
Resident / local engagement	🟢
Reduce domestic abuse *	🟢
Improve fire prevention	🟢
Community partnered libraries	🟢
Contacts through digital channels	🟢
Cost per contact	🟡
Deliver the C&C PVR programme	🟢
Excellent customer experience	🟢

Environment and Infrastructure

Encourage economic growth	🟢
Develop infrastructure funding bids	🟢
Basingstoke Canal funding	🟡
Invest in carbon reduction schemes	🟢
Repair road defects	🟢
Road schemes and repairs	🟢
Develop road investment programme	🟢
Walton Bridge construction	🟢
Reduce cyclists killed/seriously injured	🟢
Improve recycling rates	🟡
Eco-Park construction	🟢

Detailed results and commentary for all Directorate priorities are reported in Annex 2

* Denotes a Fairness and Respect priority from the *One County One Team* Fairness and Respect Strategy 2012-17

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Quarter Three 2012/13 Business Report

Annex 2

Progress Towards Directorate Priorities



= Target has been met




= Target has been missed, but performance is within acceptable tolerances



= Target has not been met and performance is outside of acceptable tolerances

* Denotes a Fairness and Respect priority from the *One County One Team* Fairness and Respect Strategy 2012/17

Adult Social Care


Priority	YTD Result	YTD Target	YTD RAG
Develop staff with the values, attitude, motivation, confidence, training, supervision and tools to facilitate the outcomes of people who use services and carers want.	Amber	Green	

Adults Social Care and HR continue to work together in reducing levels of short and long term sickness absence across the Directorate. Although the RAG remains at amber, sickness absence has decreased over the past 12 rolling months and as at 31 October 2012 had reached 9.95 days, although still above the ASC target of 8 days per FTE.


Proactive action has been taken over the past quarter to improve the analysis and sharing of absence data, allowing for greater scrutiny at team level and identifying trends or hotspots of absence and accountability for this at management level. In addition, HR are identifying where individual absence is considered to be an 'outlier' within the absence data and reporting this separately, to get a greater understanding of the true picture of sickness absence within teams. Long term cases (outliers) of sickness absence are actively managed through the Step Change process, as well as those individuals breaching one of the policy triggers.

Over the next quarter alongside the continued work with managers on the Step Change Process, a number of wellbeing initiatives are planned for ASC including the promotion and facilitation of team and individual Wellbeing Assessments and the use of 'Workplace Health Checks' in partnership with the Trade Unions, looking at how staff are supported in the workplace.


There is also the planned implementation of additional tools and systems to assist managers with managing absence, the introduction of a "HR Dashboard" enabling managers to have real-time access to detailed information on their direct reports, and the electronic system "e-risk" for Occupational Health referrals. The online referral system (e-risk) will improve the OH process for managers, allowing for 'real time' updates and transparency of the referral process from day one to case closure as well as 24/7 accessibility. The move to an online system will allow for greater reporting of management information and trends and support the continued work to reduce sickness absence across the directorate.

Priority	YTD Result	YTD Target	YTD RAG
Embed personalisation by working towards personal budgets for everyone eligible for ongoing social care, developing creative solutions and working with providers to ensure services are available*	Green	Green	


We remain committed to delivering the benefits of personalisation to the residents of Surrey. This includes supporting them to take control of their own support and creating innovative support plans. We have successfully rolled out a new framework and training programme for staff to support this. This work continues and we are now concentrating on reducing the recording burden in order to free staff up to better support those who request it. All new people coming to us for support are provided with a personal budget and we are offering this to existing people as fast as we are able; the work on the recording system will speed this offer up.

Priority	YTD Result	YTD Target	YTD RAG
Embrace a community-based approach, using the JSNA (Joint Strategic Needs Assessment), community budgets and joint working with partners to identify the needs of local communities, utilise available resources to best effect and deliver local, accessible and flexible services.	Green	Green	

The Leader of Surrey County Council has created a Preventative Services Fund to develop local partnership plans. A series of locality based discussions have taken place across all Borough and District Councils to formulate plans by 31 December. Previously identified workstreams have continued. These includes the mainstreaming of Telecare where a recently enhanced free telecare equipment offer has been made to Borough and District Councils to enable them to charge their community alarm rate to support the scaling up of Surrey wide activity. Community Alarm rates are being charged from 1 October with service level agreements signed off with all Borough and District Councils by 1 January 2013. Surrey has recruited four Telecare Installers and comprehensive awareness raising and training programmes are being developed Surrey wide. Attention is now turning to developing and piloting a 24-hour response service to enhance the preventive benefits of telecare. We are developing 11 Wellbeing Centres and Telecare Demonstrator Sites across Surrey with the first Wellbeing Centre being launched at Manor Farm in May 2013 and a further five Wellbeing Centres planned to be launched within this financial year. We are looking to develop Meals on Wheels services in Mole Valley and Reigate and Banstead to ensure county-wide provision. The Volunteering Project is being developed using Whole Systems funding. This project will support the scaling up of Telecare, development of preventative services and the emerging local plans.


Priority	YTD Result	YTD Target	YTD RAG
Support all carers to balance their caring roles and maintain their independence and desired quality of life.*	Amber	Green	

The Carers Practice and Performance Group is chaired by Dave Sargeant (Assistant Director - Personal Care and Support) with representatives from Adult Social Care, Surrey and Borders Partnership Trust (SABPT), the carers voluntary sector and an Elected Member. The first tranche of performance information was reviewed by the group at the meeting on 14 September 2012 and showed positive trends. Updated performance information was shared with the Adults Select Committee at the end of November 2012. Work is underway to improve support for young carers, including a new e-learning package "Young Carers Aware" which was launched at the end of October 2012. Early indications are that staff are taking up this opportunity and the expectation is that all staff will have completed the e-learning by end of December 2012. There is on-going progress in recruiting 13 Assistant Practitioner (Carers) posts - with eight appointments made to-date and recruitment on-going as a priority. The amber status continues to reflect the early stage of this work and that much remains yet to be done by the Carers Practice and Performance Group.


Priority	YTD Result	YTD Target	YTD RAG
Reduce hospital admissions, lengths of stay and support people to live in their homes by investing in a whole systems preventative approach with telecare, telehealth, reablement, virtual wards etc.*	Green	Green	

The Whole Systems Partnership Fund aims to transform the way care is delivered and improve health outcomes for people living in Surrey with a long term condition through a combined health and social care approach. It is governed jointly by Surrey County Council and NHS Surrey. The highlights this quarter included:


- The procurement process for Telehealth is nearing an end and the number of devices installed will rapidly increase once the provider has been selected.
- 90% of GPs are using a risk management tool, which helps identify people with a long term condition to enable targeting of services / intervention.
- Virtual Wards, which provide targeted, proactive and supportive education of individuals at high risk are working well to reduce the number of unplanned hospital admissions.
- From 1/10/12 social care staff based in acute hospitals have been working weekday evenings and weekends. This has enabled staff to have more contact with carers, relatives, providers and health staff and has supported timely discharge.
- Additional occupational therapists, reablement staff and staff arranging care provision have also helped to support discharge.

Priority	YTD Result	YTD Target	YTD RAG
Provide leadership in the health and social care system by ensuring a strong user voice and that people experience joined up services arranged around their needs.	Green	Green	


The Health and Wellbeing Board has agreed its work and development programme through until it assumes its statutory responsibilities in April 2013. The programme combines a) focused work to develop the Board as an effective strategic partnership and b) task or issue -specific areas that will support the Clinical Commissioning Group (CCG) accreditation process, the production of the joint health and wellbeing strategy, the JSNA refresh, the transition of Public Health and the emerging health and social care structures (as part of dissolution of the PCT). At their September 2012 meeting, the Board endorsed the engagement process for the strategy, which will run between October 2012 and January 2013. In October the Board held a development session on adult mental health, the outcomes of which will contribute to joint work between the lead CCG and the County Council. Governance and accountability arrangements to ensure delivery of the strategy have also been agreed.

Priority	YTD Result	YTD Target	YTD RAG
Operate integrated and effective health and social care pathways with our NHS community partners.	Green	Green	

The redesign of health and social care pathways is being supported by the whole systems partnership fund. As per the whole system priority, funding has been allocated for spend and all associated projects are on track to meet agreed timescales.

Priority	YTD Result	YTD Target	YTD RAG
Transform in-house services to deliver care and support which reflect local need, with robust pricing structures and governance arrangements, as part of a cost effective and sustainable service.	Amber	Green	

Service Delivery is developing responses to the Learning Disability Public Value Review (PVR) outcomes. These are being managed through a commissioning led project board with workstreams for learning disability residential accommodation, day opportunities and supported living services. The project is scoping high level future options and the next phase of work will be to generate a costed business case for the future of the in-house services exploring alternative delivery models - this project is working as part of a wider corporate approach. There are strong links to the work on Older People's Accommodation with Care. The status of this project is amber, reflecting its complexity and scale and the challenging nature of decisions to be taken.

Priority	YTD Result	YTD Target	YTD RAG
Provide clear signposting for all Surrey residents, irrespective of their ability to pay, to social care and support services, so they can lead more independent and fulfilled lives.	Green	Green	

The Information and Advice Project is progressing well on some key deliverables most notably:


1. The Surrey Information Summit took place on Wednesday 5 December 2012 which was an essential forum for staff from all Surrey organisations who have a role in providing information and advice about care and support, and Members. It also highlighted the shared responsibility of all agencies in providing people with good information and advice along the care pathway. The agenda included an update on services within Adult Social Care, the Health and Wellbeing agenda, role play with examples of good and bad information, advice and signposting and its impacts and some accessible communications principles. The focus of the day was on information zones and networking where attendees could visit areas of interest and speak to multi-agency representatives about their enquiries. The zones included Money Matters, Carers' Support, Keeping People Safe, Health and Wellbeing, Dementia and a Personal Care and Support 'Surgery'. There was also a demonstration area where guests could see what equipment is available and try them out (telecare, equipment assessment tools, Surrey Information Point and other websites). A new Adult Social Care DVD was launched at the event. The day was a great success, with lots of positive feedback received from delegates, who found the event very useful, particularly the opportunity to network with a range of agencies.
2. Surrey Information Point has undergone an upgrade that includes a fresher, less cluttered design and excellent new functions - the ability to text records (particularly good for people who are deaf or hard of hearing), addition of videos, the splitting of 'services' from other records making it easier to find organisations or providers, the addition of a news section on the home page and better quality printing

outputs. The website now also features all regulated care providers in Surrey.

A full training programme is currently being developed to be rolled out in January 2013, to ensure as many Adult Social Care staff use this central resource as possible and a wider promotional campaign with partners and the voluntary sector will be implemented, alongside separate awareness initiatives with Surrey residents.


3. A new public awareness campaign on how to access Adult Social Care is being planned to launch at the end of January 2013. Focus groups and street testing have helped inform the final creatives and messages we will be using to ensure people understand the communication. We will not be using the Live Life Your Way theme but reinforcing how we can help people make the right choices. We will continue to promote Surrey Information Point and the Adult social Care phone line. The three existing Hubs will have separate promotional activity locally. We are also producing a new information leaflet called 'Do you know where to go for local care and support services?' which will serve to signpost people to local organisations who can help.

4. GP engagement – Clinical Commissioning Groups are being contacted and meetings with Practice Managers being set up to discuss maximum display and usage of social care information (in all its formats) in GPs surgeries and advising GPs how they can access greater information on local community services.

Priority	YTD Result	YTD Target	YTD RAG
Deliver efficiency savings identified in the Medium Term Financial Plan.	Amber	Green	


Adult Social Care (ASC) has a target of £28.4m of efficiency savings built into the 2012/13 budget. There has been slippage against the actions planned, and so one-off measures have been taken to cover that so far as possible. Nonetheless, it is expected that there will be a shortfall of around £1m against the £28.4m target (the predicted outturn for ASC is +£3.9m overspent, which also incorporates the effect of unexpected increases in demand). The key reasons for slippage are recruitment delays such that dedicated task teams have not been able to review cases as soon as planned; the transitional state of the health system making it harder to take forward partnership developments; the complexities involved in developing and gaining approval for the way ahead with in-house services; and the need to review how the preventative agenda, including Telecare, is taken forward in the context of the Government's Caring For Our Future White Paper.

Children, Schools & Families

Priority	YTD Result	YTD Target	YTD RAG
Reduce the number of young people who are involved in crime or are the victims of crime through the delivery of restorative youth justice practice.	60	100	

The number of first time entrants to the youth justice system continues the progress made in 2011/12 with 32 in Q2 (60 cumulative for the year to date) against a target of 50 (100 cumulative) . This reduction has been achieved through the introduction of the Youth Restorative Intervention (YRI) which enables the youth justice partnership to effectively deal with lower level offending behaviour without recourse to criminalising children and young people. Surrey remains amongst the best in the country for custodial sentences, first time entrants and reoffending. All indicators in Surrey are improving compared to static regional and declining national trends for reoffending.

Please note: The reporting of Youth Offending figures is one quarter in arrears.


Priority	YTD Result	YTD Target	YTD RAG
Organise our services to make them more local and joined up with partners to ensure support is offered at the earliest opportunity.	Green	Green	

Deliver localised services through implementing the recommendations of Children Schools and Families (CSF) Public Value Programme:


The first phase of the programme, to assess and understand the current provision across the Directorate and its partners, largely involved a needs analysis, a review of effective practice nationally and locally and of national and international research, consultation with Surrey front line staff, external strategic partners and families. This analysis involved the shaping of current to future provision and in phase 2, options and testing will identify the cost of meeting this future need. Options for the future provision are to be generated from the projects (identified priority areas) focusing on early help, family support and children with disabilities through the partnership groups set up. The purpose of these groups working within the priority areas and led by the sponsors is to provide ongoing verification of the research analysis and findings and to provide a creative forum for the testing of ideas and options. The Public Value programme is on track to provide Cabinet with an update on progress and to agree the emerging strategy with timescales on 5 February 2013.

Improve Partnership Effectiveness:

Progress has been made on recommendations from the peer challenge and OfSTED inspection. The Strategic Director has consulted on partnership proposals with key partners. Consultation has focused on establishing wider membership of the Children and Young People's Board and an agreed direction of travel to strengthen partnership arrangements. Progress has been made on key priorities - an early help plan has been developed and structures have been put in place to engage partners in the design of a longer term early help strategy. Progress has been made on the joint central referral unit (Surrey County Council and Surrey Police) and social workers will move into the unit within the next quarter.

Priority	YTD Result	YTD Target	YTD RAG
Provide targeted support to families with low incomes to increase access to employment, training and support networks.*	Amber	Green	

Surrey County Council, in partnership with Surrey Police, Borough and District Councils and other local agencies, has developed and now agreed the Family Support Programme to help families who are faced with multiple problems and are struggling to cope. Families identified through this programme will be supported through a coordinated Team Around the Family approach with each family receiving some dedicated support. It is planned that there will be a Family Support Team covering each Borough and District and work is under way to establish teams in Elmbridge, Guildford, Reigate and Banstead, Spelthorne and Woking. The arrangements will be extended countywide by October 2013. Key outcomes for the families will include improving school attendance, getting into work and reducing involvement in anti-social behaviour.


Priority	YTD Result	YTD Target	YTD RAG
Work with partners to develop our safeguarding, targeted and early help services.	Green	Green	

Services to protect children and young people who are suffering or likely to suffer from significant harm are effective:

The new Surrey Safeguarding Children Board (SSCB) review found the Area Partnership Groups to be effective and engagement to be positive. This was borne out by the September 2012 inspection of the local arrangements for the protection of children by OfSTED which found "children who are at risk of harm are protected through effective and prompt action by the County Council and the police. Senior officers within the Council, well supported by Elected Members, have delivered significant improvements to practice and service delivery from a low base. Staffing levels have improved, resulting in children at risk of harm and most children in need receiving a timely service from children's social care." The new safeguarding support team is now in place and safeguarding summits are a regular occurrence.


Promote the development of early help and targeted services through leadership and shared work with strategic partners:

The early help project, sponsored by the Assistant Director for Children's Services and Safeguarding has moved on to develop the recommendations from OfSTED with the Public Value Partnership Reference Group, which includes partners. The group has set up task groups to work on key aspects such as Strategy, Collaborative Working, Processes and approaches and Thresholds. Key partners are the chairs of these task groups so that we embed true partnership working from the outset. The reference group is fundamental in enabling a collaborative partnership approach to developing and implementing future options. Progress is continuing to be made through these groups, however, will move at different timescales in line with the overall programme plan. The Public Value programme is on track to provide Cabinet with an update on progress and to agree the emerging strategy with timescales on 5 February 2013.

Priority	YTD Result	YTD Target	YTD RAG
Improve family support and education for children with disabilities by joining up the health, care and education services we provide to these children.	Green	Green	

The project aims to deliver a whole system, with partners for children and young people with disabilities, while fulfilling the major themes of the Government's 2012 Special Educational Needs and Disabilities (SEND) Green Paper. The project is on track and now working at aligning with the Pathfinder and SE7 work already completed.

The Public Value programme is on track to provide Cabinet with an update on progress and to agree the emerging Strategy with timescales on 5 February 2013.


Priority	YTD Result	YTD Target	YTD RAG
Deliver the plan to raise the participation age of Surrey's young people (from age 16 to 17) in education, training and employment from September 2013.	95.3%	96.2%	

Surrey young people face significant economic challenges reflecting the national context surrounding the UK double dip recession. Over the last three years, there has been a dramatic fall in the number of young people aged 16-18 in employment, particularly those in employment without training.

Raising and widening participation remains the Service's performance challenge. Our Strategy is set out in the Young People's Employability Plan and is built on five key actions:

- Preparing young people for participation
- Commissioning and developing new opportunities
- Aligning aspirations with opportunities
- Overcoming barriers to participation
- Tackling worklessness in families

Against this challenging backdrop, the number of young people who are NEET continues to fall. In July 2012, the number dropped below 1,000 for the first time since the end of the Transformation Project, meaning we are on track for 97% participation by March 2013.

Priority	YTD Result	YTD Target	YTD RAG
Invest in our support to schools to further improve the attainment of pupils, especially those from vulnerable groups.*	Amber	Green	

Students gaining five good GCSEs including English and Maths in Summer 2012:

Issues with the grading of GCSE English assessments emerged in August 2012 and have since been widely publicised in the media. This has had a widespread impact on all measures that incorporate GCSE English, affecting a large number of pupils, schools and the majority of local authorities. Ofqual conducted an inquiry but concluded that the grades were valid. A legal challenge has been launched by some head teachers and local authorities to contest this decision but the outcome has yet to be determined.

Surrey is ranked 21st out of 152 local authorities (an improvement from 2011) and 5th out of 11 statistical neighbours for the percentage of pupils achieving five or more GCSEs or equivalent at grades A* to C including English and mathematics. Despite a small decrease in the proportion of pupils who achieved five or more GCSEs or equivalent at grades A* to C including English and mathematics (62.9% compared to 63.5% in 2011) this remains above south east and national comparators.

Two of Surrey's mainstream schools are below the government floor standards according to the provisional data. These schools have not reached specified thresholds for pupils achieving five or more GCSEs or equivalent at grades A* to C including English and mathematics nor for pupils making expected progress in English or in mathematics.

The Department for Education will release revised secondary school data in late January 2013 alongside the annual Performance Tables for all schools in England.

Free School Meals (FSM) and Children Looked After (CLA) students gaining five good GCSEs including English and Maths in Summer 2012:


A comprehensive local authority school improvement plan remains in place to respond to the new floor standards that incorporate both pupil progress and attainment. One key priority over the last year has been the continued support for all children, but in particular those most vulnerable such as pupils eligible for free school meals or looked after children, to enjoy and achieve and make progress at all stages of their learning.

This measure was produced for the first time in 2011. Disadvantaged pupils falling into the FSM/CLA group performed better than their counterparts nationally in all three key measures at key stage 4 last year (five good GCSEs including English and maths; expected progress in English and expected progress in maths).

Overall in 2011, pupils eligible for free school meals (but not specifically CLA pupils) showed improved attainment across all key stages, narrowing the gap between pupils eligible for free school meals and their peers. In Surrey, 34.3% of pupils gained five good GCSEs including English and maths compared with 33.9% nationally; 56.9% of pupils made expected progress in English in Surrey compared with 54.3% nationally and whilst 44.2% of pupils nationally made expected progress in maths, 47.5% made expected progress in maths in Surrey.

In addition in 2011, FSM pupils showed improved attainment across all key stages, narrowing the gap between pupils eligible for free school meals and their peers. At key stage 2, the gap between FSM pupils and their peers achieving the expected threshold in both English and maths narrowed by one percentage point from 2010 to 2011; at key stage 4 in 2011 the gap reduced by more than four percentage points for those achieving five good GCSEs including English and maths compared with 2010.

Provisional GCSE results for this cohort of pupils in Surrey have been released and are currently being analysed for use in setting local targets early in the Spring term summer 2013. The Department for Education will release revised secondary school data in late January 2013 alongside the annual Performance Tables for all schools in England.

Priority	YTD Result	YTD Target	YTD RAG
Invest in school buildings and new schools places to meet the rising pupil population.	Green	Green	


On track to deliver school places:

The number of places required for September 2012 was 1,437 which were delivered on time via a programme of modular builds and adaptations. Further work is underway for additional schemes for delivery of planned school places, meeting basic need projections, in the next two - three years. This is to support a strategy to reduce the amount of temporary accommodation in lieu of permanent build. Schools Commissioning, Property and Procurement are working with the Hampshire Partnership to deliver the required number of places, remaining within the funding allocated to the Medium Term Financial Plan (MTFP) over a five year period - 2012-2017.

School places will be delivered within budget:

The school basic need medium term financial plan allocated funding for 2012/13 is £30m, with a further carry forward budget of £2m, giving a total 2012/13 School Basic Need budget of £32m. The forecast costs on those schemes currently scheduled is £31.3m, giving a forecast reported underspend of (£0.7m) for 2012/13, as at the end of October 2012.

In summary school places required for September 2012 have been delivered. All current schemes are subject to value engineering to ensure the overall envelope is not exceeded. Additional schemes have been identified for the MTFP and a revision has been made to include the five year period to 2018. Due to spikes in demand some of these schemes will need to be incorporated in the programme between 2014 and 2015. The current business planning process for 2013/18 is reporting this additional demand.

Priority	YTD Result	YTD Target	YTD RAG
Improve the effectiveness of services to those children and families most at risk of not achieving their potential.	Amber	Green	

Young people identified in Year 11 as at risk of not participating in post-16 education, training or employment are participating at the start of the second term of Year 12:

Work continues with schools and other partners ahead of the first measure of this outcome in January 2013 to ensure the greatest number of young people who are at risk of becoming not in education, employment or training (NEET) as they leave school are helped into appropriate education, employment or training. A recent analysis of the 2012 Risk of NEET Indicator (RONI) cohort identified that 80% of this group have learning difficulties and disabilities. The additional targeted support on this priority group is anticipated to begin having an impact during 2013.

KS2 progress by low/middle/high attainment groups:

English:
 Low 76%;
 Middle 91%;
 High 87%

Maths:
 Low 63%;
 Middle 87%;
 High 91%

KS4 progress by low/middle/high attainment groups:

Despite an increase in the percentage of pupils making expected progress in both English and mathematics between key stage 1 and 2, Surrey remains below the national average for pupils making progress in English and in mathematics, based on revised data (published December 2012). Surrey is ranked 128th out of 152 local authorities for expected progress in English and 97th in mathematics.


From key stage 2 to key stage 4, the percentage of Surrey pupils making expected progress in mathematics has increased 2.5 percentage points compared to 2011, maintaining fifth position in the statistical neighbour rankings (based on provisional results).

An implication of issues surrounding the grading of English GCSE has meant that the percentage of Surrey pupils making expected progress in English from key stage 2 to key stage 4 has fallen five percentage points compared to last year. However, Surrey is ranked 3rd out of 11 statistical neighbours. This is an improvement of 2 places compared to last year (based on provisional results).

Further detailed results for both key stage 2 and key stage 4 cohorts of pupils in Surrey will be released in late 2012/early 2013 with national and regional comparators made available by the Department for Education. This data will then be used to inform the setting of local targets early in the Spring term for these groups for summer 2012 and summer 2013.


Education Select Committee (ESC) has also requested further detail on a number of topics including the relationship between school type (infant/junior/primary) and progress between key stages 1 and 2 - this will be taken to ESC in early 2013.

Customers & Communities

Priority	YTD Result	YTD Target	YTD RAG
Deliver a safe and successful Olympic experience in Surrey, maximising the long-term benefits for the county.	Green	Green	

Following the successful delivery of the cycle races for the 2012 Games, the 2012 Project Board was officially closed on 1 October 2012.

Work to develop the delivery of Legacy benefits will now be taken forward by Surrey County Council's Chief Executive's Office. As this work is developed new milestones will be assigned to measure success.


Priority	YTD Result	YTD Target	YTD RAG
Increase resident engagement, strengthen local democracy and place much greater emphasis on partnership working.	Green	Green	

The Community Partnerships Team is committed to increasing resident engagement, strengthening local democracy and placing greater emphasis on partnership working. This includes supporting Members and partners to enable better local decision making, improving the information available to Members and residents, and monitoring whether people who use our services are satisfied.

Since the last report, work has continued to develop Local Committee web casting. Making the Local Committees more visible and accessible is one of the priorities from the Public Value Review. Local Committees in Mole Valley and Woking continue to be available via webcast as part of a year-long pilot project, which will help determine whether sufficient demand exists to continue web casting. The initial set of broadcasts generated more views than individuals that physically attending the meetings. Nonetheless, take-up of the service has been low and there is more work to do to increase awareness. The service is advertised on the Committee websites and on distributed papers and is available through the Surrey County Council website. The pilot will continue to the end of the project year or until a business case is submitted to demonstrate its effectiveness.

The use of social media is also being developed. The Elmbridge Local Committee twitter account is now re-tweeting comments from key officers in the area and as a consequence has increased its number of followers. The benefits of the platform include linking key officers from different services and sharing information quickly and effectively with a wide audience. Initially the account is being used to distribute information relating to the Committee and its decisions. In the long-term, the ambition is to explore using the account as a means of engaging residents through dialogue with their Local Committee. Further work is planned to raise the profile and effectiveness of the account.

In Guildford, a meeting held to review local priorities was well attended with 65 local representatives comprising resident associations, parish councils, key officers from both Guildford Borough Council and Surrey County Council and members of the Local Committee. The evening identified a number of priorities including traffic - congestion, transportation; housing/planning, cleanliness/service provision; culture and identity. These priorities will be used to influence service planning at Surrey County Council and the Local Committee will focus on these over the coming year and beyond.

Priority	YTD Result	YTD Target	YTD RAG
Reduce instances of domestic abuse through strong leadership and partnership working.*	29%	29%	

The indicator measures the percentage of repeat incidents of domestic abuse, that is, people who are already known to the police as having experienced a domestic abuse incident in the past. The focus is on reducing the percentage of repeat incidents of domestic abuse.


For the year-to-date, 29% of domestic abuse incidents were reported as repeat incidents, matching the target set at the start of the year.

Recently, the Community & Public Safety Board (CPSB), agreed that there should be a key public message for domestic abuse that is widely visible, clearly understood, shared and consistent across all agencies. The consistency of image and key message is seen as critical in creating a strong brand and identity for future work on domestic abuse in the county. A logo and strap line, "Surrey Against Domestic Abuse", was agreed by the CPSB at the beginning of December 2012 and will be used as the primary campaign theme by all agencies to drive cultural change and raise awareness.

The Surrey Domestic Abuse Communications Group has a programme of campaigns for delivery in 2012-13, jointly funded by partner agencies. Activities this year have included a victim related radio campaign during Euro 2012 and the Olympic Games, and Domestic Abuse week in October. A campaign will run January to March 2013 that will focus on the impact of domestic abuse on children. The Communications Group is developing a multi-agency web site for future domestic abuse campaigns and signposting. This will go live in January 2013 (<http://www.surreyagainstda.info/>).

A Surrey Domestic Abuse Development Group has been established on behalf of the CPSB to ensure that activities aimed at tackling domestic abuse are co-ordinated and involve multi-agency responses, therefore contributing to a reduction in the incidents and impact of domestic abuse. The Group will oversee the development of a new Domestic Abuse (DA) Strategy and the delivery of the DA Review pilots on information sharing, early identification and support to those affected by DA including children and young people.

Work has begun to undertake an audit of training currently delivered by county council directorates and partner agencies. This will consider what is currently provided, requirements for the future, and options for delivery.

Priority	YTD Result	YTD Target	YTD RAG
Improve fire prevention through increasing the number of Home Fire Safety Visits that are targeted on vulnerable households.	69%	60%	

To help prevent fires occurring in the first place, Surrey Fire and Rescue Service visit residents in their own homes to give advice on fire safety. Households that are most at risk of fire are a high priority to receive such a visit. High risk factors include people over 60 years; living alone; mental health issues; alcohol and/or drug dependency; and smokers. The more factors that apply, the higher the risk.

The Home Fire Safety Visit (HFSV) focuses on three key areas of fire safety; prevention, detection, and devising an escape plan. The Service provides advice on potential problem areas in the home as well as advice on how to install and maintain smoke alarms. In addition, guidance is given on how to stay safe from fire - including kitchen hazards, safe disposal of smoking materials, candles, heaters, electric blankets and dangers from harmful substances.


During 2011/12, 57% of HFSVs were targeted on households considered to be vulnerable to fire. Performance has improved significantly during the first eight months of 2012/13. From the beginning of

April to the end of November 2012, a total of 2,258 visits have been carried out, of which 69% were to households at risk. The Service is exceeding its target to ensure that at least 60% of visits are to households that are most at risk of fire, and we are confident that this strong performance will continue.

To ensure the target continues to be met, each Borough has a plan to carry out targeted Home Fire Safety Visits in their area. These plans are based on knowledge of the local area, and ensuring that there are good arrangements in place with other agencies to enable referrals to be made where a vulnerable person would benefit from a visit. Each month, the performance of each station is analysed to check that the targets agreed in the Borough plans are being met.

The HFSV work contributes to the Service's overall aim to reduce the number of accidental dwelling fires in Surrey and, if there is a fire, to reduce the number of deaths and injuries that occur as a result.

In comparison with other similar Fire and Rescue Authorities, Surrey's rate of accidental dwelling fires per 10,000 population is 5.3. This is the same as the 'average' for the 17 other authorities for which we have comparable information. The number of fire related fatalities is very low, and Surrey has one of the best records.

Priority	YTD Result	YTD Target	YTD RAG
Establish 10 community partnered libraries as part of an innovative library service.	Green	Green	


The indicator for community partnered libraries (CPLs) measures the progress of the programme to establish ten CPLs.

Tattenhams Library opened as a community partnered library on 12 November 2012, with additional opening times totalling four hours. It followed Byfleet in September and New Haw in October as the third CPL.

The Byfleet and New Haw branches have had their first monthly reviews. Opening hours have been maintained, and the volunteers are running their libraries with energy and enthusiasm. In accordance with plans the CPL Support Team has stepped back from Byfleet and likewise New Haw.

The Service continues to meet with steering groups for other libraries to progress plans for the other planned CPLs. Virginia Water opened as a CPL on 12 January 2013 whilst Warlingham will run as a CPL from 22 January 2013. The latter will have a paid staff model, funded by the Parish Council.


The Service met with Ewell Court on 20 November 2012 to discuss implementation as a CPL, and again on 8 January 2013. The Service attended the first meeting of Warlingham Management Board on 10 December 2012. A meeting was held with Stoneleigh Steering Group on 11 December 2012 with a view to opening as a CPL on 16 February 2013, and on the same day a meeting was held with Bramley Steering Group. The service is still to re-engage with Bagshot Steering Group and to establish the situation regarding Lingfield.

Priority	YTD Result	YTD Target	YTD RAG
Become a truly 24/7 online Council: Contacts through digital channels.	5,367,827	5,263,437	

The number of visits to the Surrey County Council website is 10% lower for the year-to-date compared to figures at the same point last year. This is partly due to the relocation of the Libraries Service homepage from the Council website to anywhere.me (this averaged 55,000 visits per month broadly equating to the size of the fall).

A study of web visits is currently under way to improve understanding of how residents are using the Council's web services.

The number of contacts through social media; Twitter and YouTube, has risen throughout the year to 36,500 tweets and 29,900 views respectively for the year-to-date.

Priority	YTD Result	YTD Target	YTD RAG
Become a truly 24/7 online Council: Cost per contact.	46p	44p	

Cost per contact¹ is a measure of how well the authority is performing at moving contact to cheaper channels, such as to the internet, where it is appropriate to do so and whilst maintaining high levels of customer satisfaction. The figure represents the total money spent on customer contact divided by the total number of contacts (digital (such as internet and e-mail) and telephone).

Generally the cost per contact figure will decrease with a higher ratio of contacts through digital channels and less contacts through telephone calls which are significantly more expensive per contact.

The cost per contact figure for the year to the end of November 2012 was 46 pence, two pence above the year-to-date target of 44 pence.

The number of telephone calls for the year to date is six percent higher than at the same point last year. However, the rate of increase of telephone calls has dropped substantially since the early months of the year and there is a good chance that the number of calls at the end of the year will be a close reflection of last year's numbers.


¹ This figure represents the total Contact Centre and Digital Delivery team budgets divided by the number of digital and telephone contacts. It does not include costs associated with IMT systems and other support functions

Priority	YTD Result	YTD Target	YTD RAG
Complete the programme of Public Value Reviews for Customers and Communities and implement the agreed recommendations.	Green	Green	

In 2009, the Council began a three-year programme of 'Public Value Reviews'. The programme looked at each service and function of the Council. The objective was to identify ways of improving services for Surrey residents and to continue to provide value for money, ensuring that services had plans in place to meet the financial challenges ahead.

This indicator measures progress to complete the programme of PVRs within the Customers and Communities Directorate, and progress to implement action plans. Out of a total of 29 reviews across the Council, the Customers and Communities Directorate was committed to completing nine reviews by the end of 2012. This has been achieved, with reviews having been completed in Fire and Rescue; Trading Standards; Libraries; Customer Services; Registration; Heritage; Adult Community Learning; Surrey Arts and Community Partnerships. The final four reviews were completed in November 2012.

As well as financial savings, examples of other benefits to Surrey residents include a revised emergency response standard for Surrey Fire and Rescue Service and an investment in home fire safety visits; investment in customer services, with a centralised point of contact for customers; better advice for local businesses; on-line bookings for weddings and civil partnerships and reduced appointment times for the nationality checking service; the introduction of wifi into all our public libraries and implementation of the community partnered libraries programme.


Priority	YTD Result	YTD Target	YTD RAG
Ensure an excellent customer experience through well-trained and motivated staff who exhibit Surrey values.	Green	Green	

Most people choose whether to use the services within the Customers and Communities Directorate. Providing services to a high standard is vital in retaining custom, and having staff that are well trained and motivated has an important bearing on the quality of customer service.

Actions have been planned through the year on areas including communications, planning and change management. In order to monitor performance and assess progress a survey of staff was undertaken.

The survey results were recently received (as part of the Council-wide staff survey) and analysis is ongoing that will help us to assess the progress of our action plan in improving our communication with staff, planning and change management, training and service quality; and whether this will have improved staff motivation and satisfaction.

Environment & Infrastructure

Priority	YTD Result	YTD Target	YTD RAG
Work with District and Borough Councils and other partners to encourage economic growth.	Green	Green	


Surrey Future is a joint initiative to protect and improve Surrey's economic prosperity in the long term. It will be a rolling programme of sustainable interventions that recognise and link to other strategies in this field, such as 'Surrey Connects'. Surrey Future will help to identify and prioritise investment schemes and enable us to lobby government and effectively lever funding for these schemes.

Three key areas provide the current focus: overall partnership governance, Rail Strategy, and Congestion Programme.

Partnership governance: The Surrey Future Steering Board (at Chief Executive level) met and agreed the current work programme in late November 2012. Future Surrey wide issues were considered, and 2013 work streams will be agreed at the January meeting. A 'launch' conference has been agreed in outline for early March 2013.

Rail Strategy: Arup have been appointed to develop the Surrey Rail Strategy. During December 2012 intensive discussions have taken place with Members, partners and Arup to identify key issues. A draft strategy will be completed by March 2013.

Congestion Programme: A first draft programme is being discussed with key partners. A consultation will be launched in February 2013 featuring summary and main programme documents.

Priority	YTD Result	YTD Target	YTD RAG
Develop bids for new funding to improve infrastructure and services.	Green	Green	


So far this financial year, Environment and Infrastructure has successfully bid for and secured more than Surrey's anticipated per capita share of Local Sustainable Transport Fund (LSTF) with success in three Surrey Travel SMART bids: Key Component Bid £3.93 million (April 2011); Large Bid £14.3 million (June 2012) and a successful thematic bid in partnership with Hampshire County Council (a portion of) £3.81 million (this was not included in the target).

A number of further bids have been submitted with decisions awaited:

Bids to the Growing Places Fund (against an estimated per capita share for Surrey of £4.8 million) were made during quarter two: Sheerwater Link Road scheme (bid for £2 million led by Woking Borough Council) and Tannery Studios (bid for £200,000) are 'likely to be funded' by Enterprise M3, subject to completion of due diligence. The proposed Farnham Town Centre Package (bid for £2 million) and Surrey Wood Hubs Project (bid for £767,000) will be further developed. Caterham Fast Fibre Hubs has also received £163,000 from Coast to Capital's Growing Places Fund (this is a business-led bid).

At the beginning of December 2012 a further bid was submitted to the Department for Transport (DfT) Cycling Safety Fund for £1.532 million (against an estimated per capita share for Surrey of £0.5 million) for schemes at Walton Bridge and central Leatherhead. Two further schemes were also proposed, namely: wider links from Leatherhead Town Centre and Egham Causeway. The outcome of the bid will be known in March 2013.

Looking ahead, Surrey will begin work preparatory work to draw up proposals for a number of major transport schemes in readiness to be able to bid for further DfT funding (envisaged per capita share to be £7-10 million per annum in each of the next four years) in the coming years.


Priority	YTD Result	YTD Target	YTD RAG
Secure external investment in the Basingstoke Canal to ensure its future value and use.	Amber	Green	

Essential remedial work on the canal locks and infrastructure (to protect against flood risk) remains on track against the existing capital programme. Best practice research into improving the design of the locks and geological surveying to identify potential bore-hole locations continues.

Improving the water supply for the canal has also been investigated and the University of Southampton, who were commissioned in the previous quarter to test the model developed earlier this year, have now begun work and will report in the late spring. This will be followed by final external testing and validation from a third party.

The main options for economic development of the canal are focussed on the Mytchett Canal Centre Site. An initial report by Colliers (consultants) has been reviewed and clarifications sought so that options can be assessed. In addition, further work is required with non-SCC developers (e.g. District and Borough Councils; Ministry of Defence) to understand fully other potential economic development opportunities and how these relate to proposed options for the canal centre site.

Therefore, it is anticipated that a more detailed business case will be developed by the end of March 2013, with feasibility studies on preferred options taking place in the 2013-14 financial year.


Priority	YTD Result	YTD Target	YTD RAG
Invest in new schemes to reduce costs and carbon impact for the Council and Surrey residents and businesses.	Green	Green	




A key performance indicator has been developed to enable the monitoring of renewable energy generated from renewable energy systems installed on Surrey County Council's estate. This will enable Surrey County Council to monitor effectively the impact of investment in carbon reduction schemes. Baseline data of the current installed capacity for 2012/13 is largely complete. This will facilitate target setting for future years as part of the revised Surrey County Council Energy Strategy next year.

Work is ongoing via third party investment to install solar photovoltaic (PV) cells at Surrey schools. This benefits the schools through reduced unit cost for solar PV generated energy.

Draft outline business case proposals have been produced for a number of carbon reduction schemes as follows:

- i) Wood Hub sites for wood chip boiler fuel have been identified at four locations - the next stage is an options assessment on the sites and optimum finance and management arrangements.
- ii) Biomass boiler installation - a proposed scaling up of the current work to identify sites for biomass boilers as part of the boiler replacement programme on both schools and corporate sites.

Priority	YTD Result	YTD Target	YTD RAG
Repair road defects within specified timescales and to budget.	Green	Green	

% of immediate responses attended to and made safe to public within 2 hours	98.15%	98.00%	
% of safety defects repaired within 28 days	98.06%	98.00%	
% of safety defects responded to within 24 hours in accordance with the risk matrix	98.59%	98.00%	


Repair of highway defects are categorised as P1 - immediate response (requires attendance and top be made safe within two hours), P2 - high risk safety defect (requires at least a temporary repair within 24 hours and permanent repair within 28 days) and P3 - low risk safety defect (requires attendance and repair within 28 days). Non-safety related defects are categorised as P4 and are included in planned maintenance activities but are subject to available budgets.

During the quarter, the following volumes of defects have been reported and repaired: P1 - 1476, P2 - 6821, P3 – 9117.

In general terms response to highways emergencies and safety defects has remained high with more than 98% of defects responded to and repaired within their timescales. Forecasting of weather conditions, defect volumes reported and undertaking pre-emptive repairs has enabled May Gurney to add additional gangs - for example during periods of high winds and rain, specialist Arboriculture teams are put on stand-by making them able to respond to damaged and fallen trees more quickly.

An exception to this high performance occurred in October 2012 following reintroduction of mobile IT equipment to the service provider's repair gangs. Due to information flow and synchronisation issues with the IT equipment, productivity dropped significantly with the gangs completing fewer jobs per day than previously achieved. To mitigate the drop in productivity the service provider increased resource levels by 20%. This increase unfortunately did not sufficiently impact on the 24 hour response performance result (85% for the month) but did positively contribute to achieving the 28 day response target. The mobile IT equipment has now been removed from the repair gang's process and productivity returned to anticipated levels achieving greater than 98% in November 2012 on 24 hour jobs.


Further work is being undertaken by May Gurney's IT Department to evaluate the mobile solution to ensure that it provides the intended benefits (real-time tracking of data, capture of photos linked to Work Orders, etc) without compromising on the ground productivity. It will only be reintroduced when all parties are satisfied of its reliability.

Priority	YTD Result	YTD Target	YTD RAG
Deliver existing road schemes within specified timescales and to budget.	100%	100%	

This performance indicator measures the number of Planned Maintenance jobs completed on time in line with the programme of works. The measure takes into account delays which result from factors outside of the contractor's control (for example, severe weather, allowing utility work to be completed before the road is resurfaced, etc) and so performance is measured against any agreed revised programme date.

A total of 826 jobs have been carried out during this quarter covering a variety of work types from carriageway and footway resurfacing to large patch repairs and drainage repairs. All were completed as planned.

Consistently high scheme completion rates (this is the fourth month in a row that 100% of schemes have been completed within timescales) have been facilitated by Surrey County Council engineers and their counterparts in May Gurney working closely together to ensure that, once commissioned, schemes are suitably programmed and delivered to time.

Priority	YTD Result	YTD Target	YTD RAG
Improve Surrey's roads by developing a five-year capital investment programme (to begin in 2013) and extending local decision-making.	Green	Green	


The objectives of Project Horizon are to implement a fixed five-year Maintenance Programme to repair the worst ten percent of roads in the county in priority order, deliver schemes and reduce major maintenance costs by a minimum of 15 percent.

Programmed public consultation road shows at a number of venues across the county were well attended during October and November 2012. Member engagement ran parallel to this and included informal Local Committee meetings.

Resident and Member views have been evaluated and used to prepare a draft Master Programme. Consultation identified some additional roads not identified originally. Members are being consulted on these and they are also currently being walked/assessed by Project Horizon engineers for suitability for inclusion and prioritisation within the programme.

First draft of contracts with supply chain partners (incorporating changes to existing terms and conditions) have also been prepared.


A detailed report will be considered by Surrey County Council Cabinet in February 2013.

Priority	YTD Result	YTD Target	YTD RAG
Construct the new Walton Bridge on time and on budget to ensure it becomes operational by 2014.	Green	Green	

The main arches of the new Bridge are now in place having been erected in late October 2012.

Following placement of the arches, welding of the main arch steelwork was ongoing during November and December 2012, along with final assembly of the deck sections. The Shepperton abutment works have begun along with drainage diversion works on both sides of the river.


High river flows and some adverse weather in December 2012 prevented completion of welding activities causing some delay in removing the river works protection. As a result of this the project is delayed slightly by 11 days. However, the contract end date remains the same (April 2014) and the current predicted handover of the Thames Bridge remains July 2013 as a recovery programme is developed.

Priority	YTD Result	YTD Target	YTD RAG
Reduce the number of cyclists killed or seriously injured on our roads.	Green	Green	

The project team has been undertaking a comprehensive programme of activities to enable more cycling and to improve cycling safety. This work has included: carrying out a review of current activities; developing improved infrastructure standards; formulating future monitoring arrangements; and reviewing further funding sources. These activities are expected to be complete by early January, and will form a comprehensive basis for the development and delivery of a Cycling Strategy and delivery plan that are due to be agreed by March 2013.

Notably, as part of this work, the project team have submitted a bid to the Department for Transport (DfT) Cycle Safety Fund for funding of over £1.5 million to develop improved cycling infrastructure in priority areas of the county, namely in Walton on Thames and Leatherhead, based on usage and casualty statistics. A key element of the schemes is provision of high quality cycle paths separated from vehicle traffic. Match funding sources have been identified for these schemes, as our preferred schemes. However, in addition, bids have also been submitted without match funding for further schemes: an extended scheme in Leatherhead, a scheme in Egham Causeway, and scheme in Kingston Road, Staines. The total bid including these schemes amounts to £3.2 million. The outcome of the DfT bids is expected in March 2013.

Meanwhile, Bikeability cycle training continues across the county. A successful bid resulted in an increased grant from DfT (up from £60K to £240K) which has enabled Surrey County Council to run level two Bikeability training for 10 year old children with improved instructor to pupil ratios (1:4 instead of 1:6) and hold prices of the training. In addition, in excess of 130 requests have now been received since the online customised training enquiry form was initiated, from which individuals or small groups have received customised training.

Priority	YTD Result	YTD Target	YTD RAG
Improve recycling performance so that it is consistent with the 2013/14 target of 70%.	53%	60%	

Whilst year to date recycling rates continue to rise slowly against the extremely challenging targets, rates have slipped below both monthly and YTD targets in November 2012. There are a number of factors that have affected recycling performance:


The loss of wood recycling outlets has reduced the opportunity for recycling this material. We continue to work with SITA (the Council waste contractor) to identify suitable markets for wood. Meanwhile, much of Surrey's waste wood is being stored whilst we wait for the market to recover.

Rigid plastic recycling outlets have been lost due to falling demands from China and India. We continue to work with SITA to improve quality of the material collected for which there is more market opportunity. Meanwhile, plastic is now going to energy from waste where possible.

We continue to work closely with our waste contractor SITA to identify new recycling opportunities at our Community Recycling Centres (CRCs). SCC already divert well in excess of 80% of material collected from our Community Recycling Centres from landfill either by recycling it or recovering energy from it (by sending it to a waste to energy plant). SITA will soon be commencing the decommissioning of mattresses collected from the CRCs. The metal springs will be extracted and sent for recycling, whilst the foam and fabric will be sent for energy recovery.

Introduction of new collection systems, including food waste, is beginning to increase Waste Collection Authority (WCA) recycling rates. Reigate and Banstead (commencing July 2012 and with phased rollout in subsequent months) and Tandridge (October 2012) implemented new collection schemes which will help to improve recycling rates, but there will be a time lag associated with these rollouts before performance improvements are seen.

Surrey County Council is ranked 9 out of 32 Waste Disposal Authorities in England for waste recycled in 2011/12 [Source: WasteDataFlow]. Surrey has also made especially good progress in the recycling of dry materials (this excludes food and garden waste). Between 2010/11 and 2011/12 Surrey moved into the top quartile, from 13th place to 6th with an increase from a dry recycling rate of 27.4% to 29.1%.

Priority	YTD Result	YTD Target	YTD RAG
Begin construction of the Eco Park to ensure it becomes operational by 2014.	Green	Green	

Final planning permission for the Eco Park was granted in March 2012 and a number of conditions were imposed which have to be acted upon before work on the Eco Park commences. These planning conditions involve a wide variety of technical schemes which are now being discharged. Over half of these schemes have been submitted to the Surrey County Planning Authority for approval. The remainder will be submitted by early 2013.


One of these planning conditions is a requirement to move a footpath on the Eco Park site. As objections have been expressed by local residents, a hearing will take place in mid January 2013, chaired by the Planning Inspectorate. All parties have now submitted their statement of case (evidence) in preparation for the hearing.

Due to the time that has elapsed since the Eco Park was first proposed in 2010, SITA (The County Council waste contractor) have been undertaking a further procurement process to appoint an Engineering, Procurement and Construction (EPC) contractor. As part of this, because the original technology provider for the gasification plant is no longer available an alternative one will need to be appointed. This change of provider will require variations to the existing environmental permit and planning application. Surrey County Council will be working with SITA to process these variations.

Whilst the procurement process is still underway, SITA have chosen their preferred bidder for the EPC contractor.


Surrey County Council's waste contract with SITA also needs to be amended in order to deliver the Eco Park. Therefore, Surrey County Council is working with SITA and its advisors to update the contract and related financial model. Some delays in updating the financial model have been experienced, and a report will be submitted to the Cabinet on the contract variation once the required due-diligence has been completed.

Change & Efficiency

Priority	YTD Result	YTD Target	YTD RAG
Support our local economy by driving 50% of our spend through Surrey suppliers.	50%	45%	

This indicator is reported on a six monthly basis for the previous twelve months, looking at spend with suppliers in Surrey post-codes. The end of year performance for 2011/12 was at 41.6%.

The improvement in quarter two reflects new contracts, as well as an analysis of the supply chain for all contracts over £500k to identify situations where the supplier's invoice address is a non-Surrey processing centre but the delivery itself is within the county, and where larger suppliers who are not themselves Surrey-based actually pass much of what we spend with them on to Surrey-based sub-contractors.


Priority	YTD Result	YTD Target	YTD RAG
Deliver £25m of savings through better management of our suppliers and joining up our procurement spend with partners across the South East region.	£17.8m	£15.0m	

This indicator remains on track for delivery against target, with savings from a number of significant projects in the pipeline remaining to be signed off by year-end.

Priority	YTD Result	YTD Target	YTD RAG
Reduce CO ₂ emissions and energy usage from Council buildings by 21% from the 2009/10 baseline of 35,417,941 kWh.	13.20%	16.50%	


Energy and CO₂ reduction performance has dropped marginally due to the cold weather during September 2012. Energy performance remains on target and CO₂ marginally behind target. It is important to note that both Energy and CO₂ reduction levels are above the original reduction targets set and the CO₂ reduction only marginally behind the stretched targets agreed by Cabinet.

There has been progress with the energy and carbon reduction programme and key projects such as the new Primary Data Centre will significantly cut energy use.

Priority	YTD Result	YTD Target	YTD RAG
Identify and develop opportunities to maximise the use of assets to support regeneration projects and the economic growth agenda in partnership with external organisations for the benefit of Surrey residents.	Green	Green	


Eight viability studies and three feasibility studies are now in progress, one of which (Knowle Green) has the benefit of being granted 'Pathfinder' status by Department for Communities Local Government in January 2012.

Two of the partnership projects have now passed through the Viability and Feasibility stages and are on target for completion before 31 March 2013.

Priority	YTD Result	YTD Target	YTD RAG
Delivery of the Surrey Primary Data Centre and a single IT Network (UNICORN) project that will unify Surrey public services and deliver Superfast Broadband.	Green	Green	

Migration of County Hall Data Centre services to the new Primary Data Centre (PDC) in Redhill was completed successfully in November 2012. The whole SAP server environment has also been brought in-house to the Secondary Data Centre during this period and will migrate over to the PDC in the new year. Discussions are advancing with District and Borough colleagues, as well as Health, Higher and Further Education (HFE) and Police colleagues regarding migrating their services with Guildford Borough Council expected to migrate first.

Unicorn Network - work has progressed rapidly post contract signing with the core network build completion plus a number of pilot sites by January 2013. The initial order includes all 11 Surrey Districts and Boroughs and the project is fully on track for completion by end March 2013. Broad discussions are being held with a range of partners from different sectors within Surrey and Berkshire regarding their future use.

Priority	YTD Result	YTD Target	YTD RAG
Reduce reliance on government grant and council tax for future funding.	Green	Green	

A Funding Strategy has been developed to support the Financial Strategy which underpins the Corporate Strategy aimed to deliver, over the longer term, "diversified sources of funding that reduces the Council's reliance on council tax revenue and increases our resilience against future financial challenges."

Although the programme is being led by Finance, and sponsored by the Chief Finance Officer, engagement with experts across several Services is key to maximising opportunities.

The programme of work combines a wide range of work streams which fall into three main themes:

- a) Protecting our existing funding base
- b) Developing alternative sources of funding
- c) Improving financial awareness, training and reporting.

There are a number of drivers that have created a need to deliver this vision, and the emphasis in 2012/13 is to develop the framework, direction and targets for delivery over the current Medium Term

Financial Plan period (2012-2017)

a) to prevent any erosion of our core sources of funding (Council Tax, School Funding and Government Grant) jeopardising the future financial resilience of the organisation and prohibiting the organisation pursuing its long term Financial Strategy

b) to develop an organisational culture that focuses equally on funding sources as spending pressures. The aspiration is that it becomes 'normal' to focus on funding


c). to address the mis-match between the size of the Council's budget and the relatively low level of income from fees and charges

d) to provide a direct link to the Financial Strategy objectives (as agreed as part of the 2012-17 budget report at Council in February 2012), in particular:

- to continue to contain cost pressures through continuing to drive the efficiency agenda;
- to continue to maximise our investment in Surrey.


Significant stakeholder engagement and political support will be required to enable the delivery of this programme over the long term, which includes bringing together significant work already being delivered across the organisation which supports this agenda.

Programme progress is being reported through a variety of governance arrangements, including Change and Efficiency Leadership Team, Cabinet, Audit and Governance Committee and Overview & Scrutiny Select Committee.

Priority	YTD Result	YTD Target	YTD RAG
Continue to develop and deliver income and efficiencies through partnership working and our business solutions offer.	Green	Green	

We are currently in detailed discussions with a number of public sector organisations for the provision of back office functions. A project team has been established to ensure that any partnership arrangements that we enter into are successful.

The partnership arrangements with East Sussex and Hampshire are progressing well. A paper outlining a development in the partnership relationship with East Sussex County Council for the delivery of Shared Services was approved by Cabinet in December 2012.


Priority	YTD Result	YTD Target	YTD RAG
Increase the number of internship and apprenticeship opportunities within Surrey.	77	75	

The target for 2012/2013 is 100, with 20 (20%) of this target coming from either Looked After Children or employability and/or mental health background.

The result of 77 relates to the period 1 April to 14 November 2012 and is inclusive of our permanent staff. We are currently recruiting to six vacancies.


The number from either Looked After Children or employability and/or mental health background is currently five and below the stated target at this time.

Chief Executive's Office

Priority	YTD Result	YTD Target	YTD RAG
Increase our understanding of the needs and aspirations of Surrey's residents and their differing experiences of Council services, including establishing a research programme and increasing the use of Surrey-i.*	Green	Green	

- All agreed research programme milestones for quarter three have been achieved. These included:
 - Troubled families data analysis. This was part of a programme to identify families in Surrey with complex needs including parents who are not in employment or children that are not attending school.
 - Planning and management of a public consultation on the Council's budget. Over 700 people completed the survey including residents, staff and Members. The results will be used in budget setting discussions.
 - Management of a welfare reform qualitative research programme. The objective of the research was to identify the impact that reform of the welfare system may have on vulnerable residents. All fieldwork has been completed and the findings will be used to inform policy development.
 - The latest Census 2011 release was analysed and published on Surrey-i in December. New data that was released included profiles of ethnicity and religion and health and social care data.
- Additional pieces of research have been undertaken as part of the research programme including:
 - Resident insight for the collective energy switching scheme (a scheme designed to secure a better energy deal for Surrey residents to save them up to £250 a year on their energy bills).
 - Customer insight to improve understanding of residents who use the Surrey countryside and are on the Countryside Service's mailing list.


There were 5,339 unique visitors to Surrey-i between 1st October and 29th November 2012. This is approximately 300 more unique visitors compared with the same period last quarter (5,051)

Priority	YTD Result	YTD Target	YTD RAG
Preparing for the next Council, beyond the 2013 elections, and achieving the SE Charter Plus for Elected Member Development.	Green	Green	

A Members' Survey was sent to all Members in mid-October, which closed on 12 November 2012. The survey was completed by 29 Members (36%) and the responses are being analysed to inform the way we support Members, including the timing and content of learning and development activities for the new Council.

The Charter Plus award is the more advanced award on the Charter for Elected Member Development. The Charter for Elected Member Development helps Councils to adopt a structured approach to Member development and to build Elected Member capacity. The Council achieved Charter status in the last financial year, and is aiming for Charter Plus status to further develop and improve Member development arrangements. As part of its action plan towards achieving Charter Plus status, the Member Development Steering Group (MDSG) will be reviewing the Member Development Strategy at its next meeting, as well as agreeing a format for Personal Development Plans for Members.

The Council is making preparations for the newly elected administration following the County elections in May 2013. The MDSG has approved plans for a pre-election open afternoon for prospective councillors and a general induction timetable.

Priority	YTD Result	YTD Target	YTD RAG
Working with Directorates and partners to complete the three-year Public Value Review programme.	Green	Green	


The Council's Public Value Review (PVR) programme was launched in 2009 to take a systematic and focused look at the Council's services and functions over a three-year period. The objective was to improve outcomes for residents whilst delivering better value for money.

The PVR programme was formally closed by the Cabinet on 27 November 2012. A closing report was produced, outlining the programme's achievements including:

- o Forecast delivery of £279m savings for the Council by 2015/16;
- o 29 reviews completed covering almost all Council activity;
- o Estimated £10m saving through Council staff and Members carrying out reviews themselves, thereby avoiding consultancy costs.


Progress in the implementation of recommendations from the PVRs will continue to be monitored by Directorate Leadership Teams and through the Council's finance, performance and risk management arrangements. Select Committees will also play a key role in tracking improvements and savings via monitoring and scrutiny.

The PVR closing report was circulated widely including to Members, Ministers, Surrey MPs, partners and think tanks.

Priority	YTD Result	YTD Target	YTD RAG
Ensure rural communities have access to services through new technologies by driving delivery of Superfast Broadband in the least accessible parts of Surrey.*	Green	Green	

EU State Aid approval was secured for the Council's Superfast Broadband (SFBB) project on 21 November 2012. As the project is partly funded by the Council and national government, the project was subject to EU competition law and the European Commission had to approve the project. This means that approximately 90,000 premises that were not included in plans by the private sector to upgrade the national broadband infrastructure will be able to proceed with the project and can now move forwards with the implementation phase.


A joint project team of officers from the Council and BT has been working together in anticipation of State Aid approval and is now established in a Programme Management Office based in County Hall. The team is also joined by the Council's new SFBB Programme Director to oversee implementation of the project. Work will begin in 2013 on the survey work and site preparation to commence installation of the SFBB infrastructure.

Priority	YTD Result	YTD Target	YTD RAG
Working with the Voluntary, Community and Faith Sector to design new ways to deliver shared outcomes for individuals, families and communities, including increasing volunteering rates across all of Surrey's communities.*	Amber	Green	

The Council has agreed the outcomes that will support an effective voluntary, community and faith sector (VCFS) through close working with VCFS, District and Borough Council and Health partners. A key element of the outcomes focuses on increasing volunteering. The aim of thee new approach is to support an effective and sustainable VCFS infrastructure in Surrey.

Following widespread consultation and engagement with partners, the Council has agreed proposals to fund infrastructure organisations in 2013-14 in a way that provides maximum financial stability, maintaining funding as close as possible to 2012/13 levels. Detailed work is underway with District and Borough Councils, Health and VCFS organisations to design a new outcomes-based performance management framework for implementation from April 2013. This will provide a strong evidence base of the delivery of the outcomes, including volunteering, through more timely and proportionate reporting.

The Council has published a draft refresh of its 'Framework for working with the VCFS' which was originally published in 2010. This is to bring it into line with the Council's Corporate Strategy and ensure the principles remain relevant and drive continued improvement in the way the Council manages relationships with the VCFS. The draft refreshed Framework is currently available for consultation and a final version will be published in February 2013.

Priority	YTD Result	YTD Target	YTD RAG
Working with Directorates and partners to find ways of using social media to improve service delivery and public Involvement.	Green	Green	

There has been a consistent rise in the use of social media as a means of involving the Surrey public in issues that are important to them, such as winter preparations and flooding advice. There were 22,000 views of the Digital Press Office, while the three major Twitter accounts all saw a 13% increase in usage. For example:

- Surrey News Twitter followers increased by 742 from the last quarter to 6,434
- Surrey Matters Twitter followers increased by 690 to 5,948
- Go Surrey Twitter following increased by 275 to 2,705

The most significant news tweet was about flooding advice (circulation of 42,000) and resulted in the Local Government Minister, Brandon Lewis, becoming a follower. Media-related work also increased interaction with key opinion-formers, including the Guardian’s education editor and the British Association of Social Workers.

Social media are increasingly important elements of resident-focused campaigns run by the Communications team to support different services, offering a two-way mechanism to engage residents. Throughout October and November 2012 the Surrey Matters Twitter feed had 311 retweets and 438 @mentions. The most popular Twitter topics were around National Adoption Week (64 clicks) and Walton Bridge (62 clicks to the live webcam and 225 views of pictures). Alcohol Awareness Week received 63 clicks and 22 retweets, reaching more than 52,000 people.

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Quarter Three 2012/13 Business Report

Annex 3

One County, One Team: People Strategy 2012-2017

January Progress Report

Report of: Ms Denise Le Gal, Cabinet Member for Change and Efficiency

Lead Officer: Carmel Millar, Head of Human Resources & Organisational
Development

The people strategy 2012-17 sets the direction for people, culture and performance over the next five years. The strategy is pivotal in helping us attract and retain talent. This report complements the Q3 Cabinet scorecard commentary and provides an update of the progress on implementing the people strategy agreed on 29 May 2012. Establishing the Strategy and aligning effective targets is an iterative process, therefore small amendments have been made to previous versions of the Strategy in order to improve the overall reporting.

1. Strategic direction

- 1.1. Our people strategy aims to enable everyone to reach their potential so they can give their best for the people of Surrey.

2. Progress and focus


- 2.1. A programme board is in place attended by Change and Efficiency Directorate Leadership Team and SCC's Head of Communications. The focus of the board will include monitoring and advising on monitoring and engagement.
- 2.2. Our progress is measured against the twelve people strategy promises, six of which relate to the outturn from the last employee mini survey carried in September 2012. This survey was sent out to 3610 employees and had a response rate of 45% (1635 employees). The remaining six promises are measured from management information.
- 2.3. Summary Q4 focus is on: 1) improving the systems we rely on to provide us information and deliver our people development activity and 2) discussing how we can be more supportive of each other.

3. Recommendations

- 3.1. Cabinet to note progress made against the people strategy promises.
- 3.2. As many of our promises are measured annually through our employee survey, we propose to monitor and report quarterly progress against information available through our management systems.

Table 1: The People Strategy work-streams

Workforce Development & Performance	<ul style="list-style-type: none"> • Strategic workforce planning • Employee performance and appraisal • Strategic partnerships
Nurturing talent	<ul style="list-style-type: none"> • Employee and management development • Coaching • IT competency
My Reward	<ul style="list-style-type: none"> • Modern reward for recruitment & retention • Career frameworks • Flexible rewards and benefits
Well-being	<ul style="list-style-type: none"> • Health, safety & well being for all staff • Fairness & Respect • Inclusive culture
Employee Experience	<ul style="list-style-type: none"> • Smarter tools & systems • Smarter working

Promise:	2012 Result	2012 Target	2012/13 RAG
Everyone will have an effective annual appraisal	70%	80%	


All eligible employees should have an effective annual review of their performance and a discussion about their development and objectives for the coming year. This promise is measured by the responses to the question in the employee mini survey relating to receiving an annual appraisal in the last 12 months. For information on effectiveness of appraisal, responses to the survey's appraisal usefulness questions are also presented below.

Employees Survey Questions:	2010	2011	2012	2013	2014	2015	2016
Have you had an annual appraisal in the last 12 months	73%	69%	70%	-	-	-	-
How useful did you find it for:	-	-	-	-	-	-	-
My work and responsibilities	71%	74%	79%	-	-	-	-
My future career and development	47%	49%	60%	-	-	-	-
Providing a full and open discussion of my strengths	70%	72%	77%	-	-	-	-
Providing a full and open discussion of my areas for improvement	67%	68%	73%	-	-	-	-
Target/objective setting for the coming year	65%	68%	72%	-	-	-	-

The 2012/13 target (80% of eligible employees) was challenging when profiled against the previous two years' outturns. This challenge was set to reflect the actions completed throughout 2012 which would help get more appraisals carried out: simplified paperwork, practical guidance and flexibility to schedule appraisals during the year.

In response to these results, specific actions are being taken in areas where appraisal take up is lower than average. Where the appraisal process is being regularly used by teams we are getting positive feedback around its benefits. We share this good practice across the organisation.

To support ongoing review and monitoring of appraisal activity, it is vital a fully effective method of recording and reporting on appraisal completion is established due to the lack of functionality relating to appraisal recording in SAP that was discovered earlier this year. An interim solution is currently being developed to support the next appraisal promotion and review which should ensure it is easy for managers to record results and for accurate reports to be prepared and submitted for quarterly updates.

Promise:	2012 Result	2012 Target	2012/13 RAG
Everyone will have a development plan linked to their goals and organisational goals	72%	70%	


Employee Survey Questions:	2010	2011	2012	2013	2014	2015	2016
I have had the opportunity to discuss my career development in the last 12 months	not	asked	56%	-	-	-	-
I understand how my work supports the residents of Surrey	not	asked	88%	-	-	-	-
Net Results:	-	-	72%	-	-	-	-

This indicator is about employees having opportunities to discuss their development and how it links to their and the organisation's goals, this may be considered part of, or outside the appraisal process. The development plan is an outcome of these discussions, normally agreed and monitored with an individual's line manager. This promise will be measured by the responses to two new questions outlined in the table above. The target was set at 70% in consideration of the focus across the organisation on ensuring activity makes a genuine difference to residents.

As a whole, the organisation has been undergoing significant change with restructures in all areas as a result of needing to change direction and ensure fitness for future challenges. Though appraisal figures indicate development plans are being set, restructures have created uncertainty for some employees and cohesive plans linked to organisational goals may have suffered.

Equally, there have been strong messages from leaders around our direction of travel, why such direction is necessary and how such changes reflect on the residents we work for. The excellent result we see in employees understanding how their work supports residents of Surrey is indicative of the clear 'One Team' approach the organisation is developing and the strong communications that ensure all of us understand how our work affects residents.

Development of this promise will be focused alongside the appraisal activity as well as ensuring continued communication relating to the link between employees and residents.

Promise:	2012 Result	2012 Target	2012/13 RAG
Every team to have regular team meetings or discussions	78%	75%	

Employee Survey Questions:	2010	2011	2012	2013	2014	2015	2016
In the last 12 months, how often have you had a team meeting (in the last three months)?	not	asked	80%	-	-	-	-
My immediate line manager/ supervisor encourages us to share good ideas and create innovative solutions	72%	77%	76%	-	-	-	-
Net Results:	72%	77%	78%	-	-	-	-

Having opportunities for informal learning, knowledge sharing and problem solving is key for high performing teams. This promise is measured by the responses to two questions in the employee survey as tabled above. One question is new and therefore provides no previous historical comparisons.

In the STARS Programme, we have the following offers to support team performance & the One Team ethos:

All staff

ILM award effective team skills (level 2)

ILM award in workplace coaching (level 2)

Coping positively with change

Dealing with challenging situations

Manager Development

Building team effectiveness (bespoke)

Identify and resolve stress in teams

Looking after staff during change

Building organisational relationships (part of people management pathways)

Managing performance through people (part of people management pathways)

Senior Leadership Programme

Leading people through change; Building personal resilience; Effective personal leadership; Strategic

and change leadership.

ICONIC


Additional areas under development in 2013:

Innovation

workshop

Aspiring Iconic

It is worth noting that ongoing restructures have led to a degree of uncertainty; however there have been high levels of consultation throughout and managers have been encouraged to discuss issues as openly as possible with employees. Added to this, a culture of open dialogue has been promoted from interventions ranging from the coaching programme to employee's use of Chat Zone.

Promise:	2012 Result	2012 Target	2012/13 RAG
Everyone will have regular time with their manager focused on their performance	62%	70%	


Employee Survey Question:	2010	2011	2012	2013	2014	2015	2016
My immediate line manager/ supervisor meets with me regularly to talk about my performance	60%	61%	62%	-	-	-	-
Net Results:	60%	61%	62%	-	-	-	-

The organisation has committed that all employees are entitled to regular discussions regarding their performance. This is congruent with the quality framework whereby performance at an individual and project level should be reviewed and feedback sought in order to improve individual and organisational performance.

This promise is measured by the responses to a question in the employee survey as tabled above. The 2012 target of 70% was based on a stretch target from previous results for this indicator. This reflects the work to improve appraisal and development plan completion and to build up a coaching culture across the organisation.

The appraisal promotional work has raised the focus of performance and the need for all colleagues to have conversations about their work and how they are doing. Coaching development is also playing a key part in giving managers the confidence and ability to raise subjects they have previously found difficult to discuss.

To accelerate positive results, it is proposed a dialogue is initiated to increase the focus on positive performance conversations being part of how we get things done. The completion of the PVRs should also assist in establishing a more secure and confident environment for discussions.

Promise	Q3 YTD Result	Q3 YTD Target	Q3 YTD RAG
Everyone will have the equivalent of 20 hours a year training and development	9 hours	12 hours	

Management Information:	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17
Number of hours per annum spent in training and development per FTE	not	recorded	9 hrs	-	-	-	-
Net Results:	-	-	9 hrs	-	-	-	-

This promise is reported from management information taken from the organisation's business systems. The year to date target is 12 hours which is part of the overall 20 hours for 2012/13. This will then increase incrementally to 36 hours by 2017.


The reported figure of nine hours significantly underestimates the actual levels of learning and development (L&D) being carried out. It is estimated that at least an extra 40% of unrecorded training activity takes place (coaching, mentoring, Continuous Professional Development, away days, shadowing, e-learning) Currently, our new learning system (referred to as the Dynamic Learning Environment) is being implemented, which is leading to learning data being held in separate places and often, not entered onto systems in anticipation of the new offering. For these reasons it is difficult at this time to provide a realistic indication of time spent on L&D per FTE but over subsequent months, it is hoped a clearer picture will emerge.

A significant contributor to this is the new Organisation and People Development Service (OPD) is now in full operation and a lot of work has been completed this quarter to assess, capture and understand the gaps in our current learning and development offer to the organisation. Communications campaigns have been discussed to promote what we do have in place to the appropriate target audiences to promote and encourage further participation. A large number of the classroom based training we currently offer has now been converted so that it can also be delivered as e-learning, or may use a combined use of both methods to support accessibility of this learning.

Activities have been initiated to ensure we are regularly reporting on all classroom based training and work continues to drive forward the delivery of our new Dynamic Learning Environment in January 2013. This will provide an efficient way of monitoring completion of not only classroom training but all forms of blended learning and training support. Once this is complete recording of completion of e-learning training is expected to boost the number of hours training and development undertaken.

A final consideration for the lower than expected YTD result may also be attributable to OPD completing its restructuring with new roles being defined and vacancies filled. As the team has established itself by the end of the year, it is now in good shape to focus on improving this metric for next quarter.

Going forward it will be possible to monitor and report on this metric on a quarterly basis, provided ongoing progress relating to course uptake and employee development.

Promise	Q3 YTD Result	Q3 YTD Target	Q3 YTD RAG
Every manager will undertake the people management development modules	541 days of learning	790 days of learning	

Management Information:	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17
Number of days of learning carried out by managers	not	recorded	541 days	-	-	-	-
Net Results (days):	-	-	541	-	-	-	-

This promise is measured from management information. The target for the end of 2012/13 is 1,360 management development training days for a management cohort of approximately 550 managers. The overall target for this five year project is 5,838 days. The YTD target is 790 which as the table demonstrates, has not been achieved.


A key issue identified in progressing this promise is ongoing dialogue with managers relating to the importance of accommodating training and development within their working schedules. Another factor is likely to be a similar lack of recording of information, as demonstrated by the 20 hours per year L&D promise.

As part of the Management Development project, work is being undertaken to review and improve this. Initially work is being done to develop a new communications plan for the modules in order to raise awareness of the courses, the requirement upon managers to complete the modules, and to promote the prestige of gaining an externally accredited qualification as part of their development at SCC. The aim of this is to increase take up for Q4.

Additionally, work is underway looking at identifying managers who have achieved an equivalent competency level through alternative means, for instance with a previous employer, in order to recognise their level of proficiency without requiring them to duplicate comparable training.

Leadership Teams in Directorates will be monitoring that managers attend these courses. Consideration for the lower than expected YTD result may also be attributable to the OPD service completing its restructuring with new roles being defined. Reducing the drive to market and promote delivery against this promise.

Note: The coaching element of this promise is now reported as part of 'Everyone will receive coaching training' to ensure consistency of reporting.

Promise	Q3 YTD Result	Q3 YTD Target	Q3 YTD RAG
Every manager will receive coaching training	267 people	230 people	

Management Information:	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17
Advanced Coaching	no record	227	-	-	-	-	-
ILM level 3 Workplace coaching	no record	40	-	-	-	-	-
Coaching e learning	not started	not started	-	-	-	-	-
Net Results:	-	267	-	-	-	-	-

Our progress towards the year end targets is strong on manager's training (meets quarter 3 target). Although reporting focuses on managers, it should be noted that coaching training is also available for non-managers.

Three further cohorts started in this quarter for both Advanced Coaching for Change and ILM level 3 in Workplace Coaching. Further coach training programmes are now being commissioned for 2013/14.

An evaluation of the coach training programmes was completed and presented to Corporate Board. Some key highlights were:

- 95% of past delegates said they now often use a coaching style in informal conversations
- 84% feel that they have more effective and honest conversations with others
- 83% feel that their own performance has improved as a result of the course
- 73% feel that making use of coaching skills and knowledge helps Surrey County Council to improve its services to residents

Our pool of internally trained coaches was initially launched incrementally through face-to-face communications with each directorate in a six weekly cycle. In October this approach was started with the launch to the Chief Executive's Office and take up was slow. We evaluated this approach, and concluded that it should be developed into a broadcast campaign to all directorates. This will begin in December.


Note: This promise now includes all coaching to ensure consistency of reporting. Previously the managers promise was included in 'Every manager will undertake the people management development and coaching modules'.

Promise	Q3 YTD Result	Q3 YTD Target	Q3 YTD RAG
Everyone will be trained to a minimum level of IT competency	not live as yet	-	-

Management Information:	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17
TBA	no	record	Not live as yet	-	-	-	-
Net Results:	-	-	-	-	-	-	-

The current focus of this promise is to perform a diagnostic assessment of IT competence across the entire organisation. Information collected from this diagnosis will then be used to tailor appropriate training to enable everyone to make the most of the infrastructure, systems and applications that are available.

HR&OD are currently working with the diagnostic tool provider to deliver an initial pilot exercise to assess 25 employees with a second larger pilot of 150 employees assessed by the end of March 2013. The initial pilot has uncovered a number of amendments that are required to ensure the tool is fit for purpose and those amendments are being currently being carried out before the second pilot commences. Following completion of the pilots the assessment will be rolled out to the whole organisation on an incremental basis. This will ensure the resources to provide follow up support can be effectively deployed as the scheme is rolled out. The aim is all assessment and training related to this promise is completed by March 2015.

Promise:	2012 Result	2012 Target	2012/13 RAG
Everyone will have a fair and manageable workload	57%	80%	

Employee Survey Question:	2010	2011	2012	2013	2014	2015	2016
I feel I have a fair and manageable workload	not	asked	57%	-	-	-	-
Net Results:	-	-	57%	-	-	-	-

This promise is measured by the responses to one question in the employee survey tabled above.


The Health & Safety Executive recommends that employees in all organisations have a well designed, organised and managed workload. Stress is the biggest cause of sickness within the council and there is a direct correlation with an unmanageable workload and the amount of stress experienced. Our Employee Assistance Programme, provided by Workplace Options, is a 24 hour, confidential service that can support staff and their families. The monitoring of the service indicates that 70% of all contacts are in relation to personal matters and 30% of all contacts are in relation to work related matters. Further work is required to identify the level of work related stress and non-work related stress in relation to absence. As all mental health is currently reported in the stress absence category, there is a requirement to create additional mental health categories to record this type of absence more accurately. Managers are responsible for assessing the impact on employees such as longer working hours over long periods and signs of behaviour changes (e.g. frustration, resentment against their manager and colleagues or in some circumstances anger).

An excessive workload can also have an impact on the employee's longer term health and well-being - spending less time with their family, constant fatigue and sleeplessness. It is likely that the performance of the employee and the team will be adversely affected where workload levels remain too high for a sustained period. An employee may no longer cope with this sustained workload pressure; regularly complaining to their manager and colleagues and this ultimately could lead to long term sickness. Therefore there are many direct and indirect consequences to having an unmanageable workload.

Conversely there are many benefits resulting from a manager and employee reviewing whether there is a fair and balanced workload. The employee will have clarity about their role and responsibility and will have a greater appreciation about how their accountability and how their role can support the service. This is also likely to lead to greater engagement and stronger collaboration with colleagues within and between teams. If the workload is balanced the employee will have more time to prepare and plan as well as to develop relationships to be more effective and add more value. Ultimately a regular assessment of workload will improve the wellbeing of the employee, improve teamwork and performance.

The HSE has produced a number of Standards that support the importance of undertaking workload assessments. In particular the Management Standard identifies that every organisation will provide employees with adequate and achievable demands in relation to the hours of work and the number of deadlines. In addition the manager will assess how the employee's skills are matched to job demands and how the employee's concerns about the work environment are addressed.

To improve this area, discussions are being carried out relating to how we prioritise and manage work more effectively. It is also recommended that leaders within the organisation play an active role in considering priorities and provide clarity around what work is vital and what activity will be curtailed, especially as resources become increasingly constricted. This work is continuous and on-going.


Promise:	2012 Result	2012 Target	2012/13 RAG
We will help each other and act early when someone needs extra help and support	78%	80%	

Employee Survey Questions:	2010	2011	2012	2013	2014	2015	2016
I receive timely help and support I need from my colleagues	87%	88%	79%	-	-	-	-
My immediate line manager/supervisor creates a workplace where I feel supported	68%	71%	76%	-	-	-	-
Net Results:	76%	80%	78%	-	-	-	-

This promise is about all of us taking responsibility for each others' well-being. We know from previous employee surveys that we are above the IPSOS Mori top 10 organisations as regards 'I am treated with fairness and respect'. However, it is not everyone's experience and harassment and bullying is a concern for some of our employees which is not acceptable. This promise will be measured by the responses to two questions in the employee survey as tabled above.

Achieving nationally recognised high standards in this area is due to a range of support offerings we have successfully developed. These include nominated Local Workplace Fairness Champions to support any employee experience unfairness in any form at work; our Employee Assistance Programme as a confidential means of receiving telephone and face-to-face counselling or support on both work and personal matters ranging from emotional to legal and financial; a pool of trained mediators and restorative justice practitioners to advise all parties on formal and informal employee cases; confidential support for managers via HR and an advice line; STARS courses and on-line tools and to improve work load management, prioritisation and resilience; and team help check sessions for confidential group discussions relating to working practices and environment. Added to these interventions, coaching has proved to be a very effective medium for addressing issues such as minor personality clashes between individuals which has contributed greatly to people feeling supported and preventing initially minor incidents escalating.

New projects are currently in the scoping, planning and delivery stages namely : Employee Medical Health checks (working title): Give all employees access to on-site comprehensive health checks, comprising, Lifestyle, BMI, blood pressure, cholesterol, blood sugar etc and also including a screening questionnaire on stress and mental health indicators. The pilot will be trailed in late January 2013, with full rollout expected from February. Time To Change Surrey (working title): A broad project to develop employers to become positive about mental health, using various initiatives and promotions. The national Time To Change campaign pledge will be taken in January, which includes a series of supporting actions. CAE Experiential Survey - Culture and Behaviours: In response to the recent Employee Mini-Survey, a survey was launched for all CAE employees, to explore culture, support and behaviour, focussing on leadership. The Survey was sent out on the 14 November for 2 weeks until 28 November. A series of local action plans, initiatives and activities are currently being planned.

Promise	Q3 YTD Result	Q3 YTD Target	Q3 YTD RAG
We will maximise smarter working	48.5%	50%	

Management Information:	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17
Information collected – percentage adopting 'mobile profile'	not	recorded	55%	-	-	-	-
Net Results:	-	-	55%	-	-	-	-

This indicator represents the percentage of those, whose information we have collected, have adopted a "mobile profile" in how they work. This is part of the Making a Difference programme and relates to the work profiles (Dweller, Team Resident, Venue User, Networker, Roamer, Home worker).

IMT have now rolled out over 4,000 mobile devices to enable the shift in staff to work in a more flexible way. There is now an increased focus on realising the benefits of the new technology and helping teams make the shift and changes in behaviours to more flexible ways of working. This is being done and supported through the use of the Smarter Working Managers from the Transformation Service working alongside teams.

Q3 is the first period for the year when the target for staff to work in a more flexible way has not been met. The position is being reviewed across the services to assist them further in moving forward and achieving the year-end target.

Promise	Q3 YTD Result	Q3 YTD Target	Q3 YTD RAG
Everyone will have the right equipment and training to enable them to do their job	-	-	-

Management Information:	2010/11	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17
TBA	no	record	-	-	-	-	-
Net Results:	-	-	-	-	-	-	-

The extensive roll out of laptops is a clear acknowledgement that people want to use this type of mobile device to do their job effectively. As staff gain in confidence using new technology and linked to the Promise, of staff being trained to a minimum competency standard, services will identify other potential mobile devices that will continue to improve the services that they provide. In developing this detail, the services will be informing the council's IT strategy for effective and innovative service delivery.

The success of this Promise will be achieved through a number of measures:

- a) The number of staff taking part in IT competency training (see separate promise)
- b) The number of test projects of new technologies that become mainstream for service delivery
- c) A further increase in the number of lap tops or similar devices issued will also be a measure of the success that staff have the right equipment for their jobs.

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Quarter Three 2012/13 Business Report

Annex 4

Leadership Risk Register as at January 2013

Report of: Mr David Hodge, Leader of the Council

Lead Officer: David McNulty, Chief Executive

Leadership risk register as at 2 January 2013

Owner: David McNulty

Ref	Directorate register ref	Description of the risk	Inherent risk level (no controls)	Existing controls	Risk owner – Officer	Risk owner – Member	Residual risk level (after existing controls)	Committee review
L1	ASC2 CAC1,8,15 CAE9 CSF2 EAI6,7	Medium Term Financial Plan - Failure to achieve savings in the Medium Term Financial Plan (2012-2017) and additional service demand leads to increased pressure on service provision and damage to reputation.	High	- Monthly reporting to Corporate Board and Cabinet on the forecast outturn position to enable prompt management action - Generation of alternative savings and income - Adequate provision through the risk contingency	Corporate Leadership Team / Sheila Little	David Hodge	High	Council Overview & Scrutiny Committee - on each agenda Adult Social Care SC: - 30 November 2012 (Budget monitoring) Children & Families SC: - 19 December 2012 (Budget monitoring)
L14	ASC5 CAE17 CSF22	Future Funding - Gradual erosion of the council's main sources of funding (council tax and the proposed new method of calculating formula grant) upon which the council is highly dependent and reductions in other funding (for example in relation to academy schools) leads to financial loss, damage to reputation and failure to deliver services.	High	- Continued proactive modelling and horizon scanning of the financial implications of local government funding changes and subsequent review of Medium Term Financial Plan (2012-2017) assumptions as relevant - Close working with district and borough colleagues to shape the direction of council tax localisation and business rate retention policies as well as active responses to government consultations - Development of longer-term funding strategy to develop alternative sources of funding - Notwithstanding actions above, there is a high risk of central government policy changes impacting on the council's financial position.	Corporate Leadership Team / Sheila Little	David Hodge	High	Audit and Governance Committee: - 3 October 2012 (Funding Strategy update) Adult Social Care SC: - 19 September 2012 (Social Care funding) Council Overview & Scrutiny Committee: - 5 December 2012 (Funding Strategy)

Leadership risk register as at 2 January 2013

Owner: David McNulty

Ref	Directorate register ref	Description of the risk	Inherent risk level (no controls)	Existing controls	Risk owner – Officer	Risk owner – Member	Residual risk level (after existing controls)	Committee review
L7	CAE12 EAI1,2	Waste - Failure to deliver key waste targets (including key waste infrastructure) could lead to negative impact	High	- This is a priority issue for the service manager with strong resourcing and project planning in place that is monitored at board level. - Further work with the Districts and Boroughs continue, to review waste plans to achieve the targeted increase in recycling. - Notwithstanding the controls above, there is still a risk that delivery could be delayed by external challenge and levels of recycling are strongly influenced by district and borough collection arrangements which are not within SCC's direct control. Although the council continues to work in partnership to achieve the desired outcome.	Trevor Pugh	John Furey	High	Environment & Transport SC: - 1 March 2012 (Waste Partnership)
L11	ASC12 CEO7 CSF18	Information Governance - Failure to effectively act upon and embed standards and procedures by the council leads to financial penalties, reputational damage and loss of public trust as a result of enforcement action taken by the Information Commissioner.	High	- Secure environment through the Egress encrypted email system - Internal Audit Management Action Plans in place that are monitored by Audit & Governance Committee and Select Committees - Ongoing communications campaign and training - Monitoring of compliance by Quality Board and Governance Panel - Despite the actions above, there is a continued risk of human error that is out of the council's control.	Corporate Leadership Team	Denise Le Gal	High	Council Overview & Scrutiny Committee: - Monitored through internal audit reports

Leadership risk register as at 2 January 2013

Owner: David McNulty

Ref	Directorate register ref	Description of the risk	Inherent risk level (no controls)	Existing controls	Risk owner – Officer	Risk owner – Member	Residual risk level (after existing controls)	Committee review
L3	CAC2,5,12 CAE3 CEO3	Business Continuity, Emergency Planning and the event of industrial action - Failure to plan, prepare and effectively respond to a known event or major incident results in an inability to deliver key services	High	- The Risk and Resilience Steering Group meets regularly to coordinate and lead on strategic resilience planning. - The Council Risk and Resilience Forum reviews, moderates, implements and tests operational plans. - Services have adequate and up to date business continuity plans. - Continued consultation with Unions and regular communication to staff.	Corporate Leadership Team	Kay Hammond	Medium	Council Overview & Scrutiny Committee: - date tbc (Business Continuity)
L2	ASC4,9 CAE1,2,16 CAC13 CSF4 EAI4,8	Fit for the Future - Failure to deliver major change programmes and drive effective partnership working leads to the organisation not being fit for purpose, an inability to meet efficiency targets, improve performance and drive culture change	High	- Delivery of change is tracked at both directorate and Corporate Board level with key indicators included in the Quarterly Business Report to the Cabinet. - Communications, engagement and the STARS programme are designed to respond to identified issues and gaps.	Corporate Leadership Team	Cabinet	Medium	Council Overview & Scrutiny Committee: - 14 November 2012 (Procurement Partnership)
L9	ASC11 CAE13 CSF8	NHS Reorganisation - The Health and Well Being Board does not provide the necessary whole system leadership to implement the Health and Social Care Act.	High	- SCC identified as a National Leader in implementing the Health and Social Care Act. - Transition to new system is being managed well with strong joint leadership arrangements in place	Sarah Mitchell	Michael Gosling	Medium	Health Scrutiny Committee: - 15 November 2012 (NHS Surrey)

Leadership risk register as at 2 January 2013

Owner: David McNulty

Ref	Directorate register ref	Description of the risk	Inherent risk level (no controls)	Existing controls	Risk owner – Officer	Risk owner – Member	Residual risk level (after existing controls)	Committee review
L4	CAE5,7	IT systems - major breakdown and disruption of systems leads to an inability to deliver key services	High	- Additional resilience has been brought about by the go-live of the Primary and Secondary Data Centres. - Design and implementation of a new 64 bit Citrix farm is in progress that will bring resilience and performance enhancements. - Work in progress to increase the performance of login/logout times. - UNICORN Network is fully on track for completion by the end of March 2013.	Julie Fisher	Denise Le Gal	Medium	Council Overview & Scrutiny Committee: - 16 May 2012 (IT rollout update)
L5	ASC7,16 CSF6,16	Safeguarding - avoidable failure in Children's and/or Adults care leads to serious harm or death	High	- Appropriate and timely interventions by well recruited, trained, supervised and managed professionals, with robust quality assurance and prompt action to address any identified failings.	Sarah Mitchell / Caroline Budden	Michael Gosling/ Mary Angell	Medium	Children & Families Select Committee and Adult Social Care Committee: - on each agenda

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Key to references:

ASC = Adult Social Care

CAC = Customers and Communities

CAE = Change and Efficiency

CEO = Chief Executive's Office

CSF = Children, Schools and Families

EAI = Environment and Infrastructure

Movement of risks

Ref	Risk	Date added	Residual risk level when added	Movement		Current residual risk level
L1	Medium Term Financial Plan	Aug 12	High	-	-	High
L2	Fit for the Future	May 10	High	Jan 12	↓	Medium
L3	Business Continuity and Emergency Management	May 10	Medium	Aug 12	↓	Medium
L4	IT systems	May 10	Medium	-	-	Medium
L5	Safeguarding	May 10	Medium	-	-	Medium
L6	<i>Resource Allocation System in adults personalisation</i>	<i>May 10</i>	-	<i>Aug 12</i>	*	-
L7	Waste	May 10	High	-	-	High
L8	<i>Integrated Childrens System</i>	<i>May 10</i>	-	<i>Feb 11</i>	*	-
L9	NHS reorganisation	Sep 10	High	Jan 12	↓	Medium
L10	<i>2012 project management</i>	<i>Sep 10</i>	-	<i>Aug 12</i>	*	-
L11	Information governance	Dec 10	High	-	-	High
L12	<i>LLDD budget transfer</i>	<i>May 11</i>	-	<i>Mar 12</i>	*	-
L13	<i>2012 command, control, coordination and communication</i>	<i>Dec 11</i>	-	<i>Sep 12</i>	*	-
L14	Future funding	Aug 12	High	-	-	High

* Removed from the risk register

SURREY COUNTY COUNCIL

CABINET

DATE: 5 FEBRUARY 2013

REPORT OF: MR DAVID HODGE, LEADER OF THE COUNCIL

LEAD OFFICER: SHEILA LITTLE, CHIEF FINANCE OFFICER AND DEPUTY DIRECTOR FOR CHANGE AND EFFICIENCY

SUBJECT: BUDGET MONITORING FORECAST 2012/13 (PERIOD ENDING DECEMBER 2012)

**SUMMARY OF ISSUE:**

The Cabinet is asked to note the year-end revenue and capital budget monitoring projections as at the end of December 2012.

Please note that, in order to provide the latest financial information and commentary, Annex 1 to this report will be circulated separately prior to the Cabinet meeting.

RECOMMENDATIONS:

It is recommended that the Cabinet:

1. notes the projected revenue budget underspend; (Annex 1 – Section A) and the Capital programme direction; (Section B)
2. confirms that government grant changes are reflected in directorate budgets; (Section C)
3. notes further quarter 3 financial information - treasury, debts reserves and balances (Annex 1 – Section D) and the Chief Financial Officer's delegated authority to write off the debts specified this quarter (Annex 1 – Section D).

REASON FOR RECOMMENDATIONS:

To comply with the agreed strategy of providing a monthly budget monitoring report to Cabinet for approval and action as necessary.

DETAILS:

1. The council's 2012/13 financial year commenced on 1 April 2012 and this is the seventh financial report of this financial year.
2. The council has implemented a risk based approach to budget monitoring across all directorates and services. The risk based approach is to ensure that resources are focused on monitoring those budgets assessed high risk, due to their value or volatility. There is a set of criteria to evaluate all budgets into high, medium and low risk.

3. High risk areas report monthly, whereas low risk services areas report on an exception basis. This is if the year to date budget and actual spend vary by more than 10%, or £50,000, whichever is lower.
4. Annex 1 – Section A to this report sets out the council's revenue budget forecast year end outturn as at the end of December 2012. The forecast is based upon current year to date income and expenditure as well as projections using information available to the end of the month. The report provides explanations for significant variations from the budget.
5. Annex 1 – Section B to this report updates Cabinet on the council's capital budget.
6. Annex 1 – Section C provides details of the revenue changes to government grants and other budget virements.
7. Finally Annex 1 – Section D provides information about the treasury information and further financial information on the current position on the Balance Sheet and outstanding debts relating the second quarter end.

Consultation:

8. All Cabinet Members will have consulted their relevant Strategic Director on the financial positions of their portfolios.

Risk management and implications:

9. Risk implications are stated throughout the report and each Strategic Director has updated their strategic and or service risk registers accordingly. In addition, the Leadership risk register continues to reflect the increasing uncertainty of future funding likely to be allocated to the council.

Financial and value for money implications

10. The financial and value for money implications are considered throughout this report and will be further scrutinised in future budget monitoring reports. The council continues to have a strong focus on its key objective of providing excellent value for money.

Section 151 Officer commentary

11. The Section 151 officer confirms that all material, financial and business issues and risks are considered throughout the report.

Legal implications – Monitoring Officer

12. There are no legal issues and risks.

Equalities and Diversity

13. Any impacts of the budget monitoring actions will be evaluated by the individual services as they implement the management actions necessary.

Climate change/carbon emissions implications

14. The County Council attaches great importance to being environmentally aware and wishes to show leadership in cutting carbon emissions and tackling climate change.
15. Any impacts on climate change and carbon emissions to achieve the Council's aim will be considered by the relevant service affected as they implement any actions agreed.

WHAT HAPPENS NEXT:

16. The relevant adjustments from the recommendations will be made to the council's accounts.

Contact Officer:

Sheila Little, Chief Finance Officer and Deputy Director for Change and Efficiency
020 8541 7012

Consulted:

Cabinet / Corporate Leadership Team

Annexes:

Annex 1 – Section A – Revenue Budget Summary
Annex 1 – Section B – Capital Budget Summary
Annex 1 – Section C – Revenue Budget movements
Annex 1 – Section D - Treasury & 3rd Quarter financial information

Sources/background papers:

None

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SURREY COUNTY COUNCIL**CABINET****DATE: 5 FEBRUARY 2013****REPORT OF: MS DENISE LE GAL, CABINET MEMBER FOR CHANGE AND EFFICIENCY****LEAD OFFICER: SUSIE KEMP, ASSISTANT CHIEF EXECUTIVE****SUBJECT: SURREY COUNTY COUNCIL STRATEGY AGAINST FRAUD AND CORRUPTION****SUMMARY OF ISSUE:**

The National Fraud Authority (NFA) estimates that fraud in local government amounts to some £2.2bn per year. In the public sector every pound lost through fraud is a pound taken from taxpayers and impacts on the provision of frontline services. The NFA published a Local Government Strategy "Fighting Fraud Locally" in April 2012. This Strategy has been embraced by Surrey County Council as best practice against which our counter-fraud culture can be assessed and strengthened.

Surrey County Council is alert to the risk of fraud and has adopted a zero tolerance approach. This report sets out the work that is being undertaken to ensure a robust counter-fraud culture across the Council and asks the Cabinet to endorse the Council's revised Strategy against Fraud and Corruption (attached at Annex 1) which has been updated to include a Fraud Response Plan in line with best practice.

RECOMMENDATIONS:

It is recommended that:

1. the updated Strategy against Fraud and Corruption be endorsed; and
2. the work of Internal Audit in raising awareness of the risk of fraud and corruption across the Council be endorsed.

REASON FOR RECOMMENDATIONS:

To shape the Council's existing practices to take account of best practice as set out in the Local Government Fraud Strategy "Fighting Fraud Locally" thereby continuing to protect the public purse through reducing the risk of fraud and corruption.

DETAILS:**Background**

1. The National Fraud Authority (NFA) was set up in 2009 to provide a strategic focus on fraud across all sectors in the country. The NFA launched a Local Government Strategy "Fighting Fraud Locally" (FFL) in April 2012.

2. The FFL Strategy refers to the 2012 Annual Fraud Indicator that suggests that across local government in the UK there is £900 million in housing tenancy fraud, £890 million in procurement fraud, over £153 million in payroll fraud, £46 million in “blue badge” fraud, £41 million in grant fraud and £5.9 million in pension fraud.
3. The FFL Strategy includes various tools for local authorities to use as a standard to measure themselves against. In July 2012 the Chief Internal Auditor reported the outcome of a self-assessment exercise - using the FFL checklist - to the Chief Executive chaired, Quality Board, which endorsed the actions being taken to further develop a counter-fraud culture in Surrey County Council. A further follow-up report on the “Fighting Fraud Locally” Strategy was presented to Audit and Governance Committee in October 2012.
4. Anecdotal evidence suggests that in times of economic hardship the risk of fraud rises. A recent survey of local authorities, carried out by PKF, (a leading firm of accountants), suggests that fraud resilience across UK local government has declined in recent years. PKF report that overall the UK local government sector achieved a mean score of 35.1 for fraud resilience, out of a possible score of 50. This is a significant reduction on the sector’s rating of 38.1 in 2010.
5. Surrey County Council is alert to the risk of fraud and has adopted a zero tolerance approach as set out in the Strategy against Fraud and Corruption (attached at Annex 1). The Council is proactive in raising awareness of the risk of fraud and properly investigates suspected incidents, making recommendations to improve controls as necessary. The Council is also proactive in counter-fraud work – a summary of more recent activity undertaken in this area is set out below.

Fraud Prevention

6. In response to the National Fraud Authority’s “Fighting Fraud Locally” Strategy the Internal Audit team completed a **fraud risk assessment** of the main areas of Council activity. As a result Internal Audit is acting as a fraud risk facilitator to management in the following areas of Council activity, which were identified as inherently 'higher risk': procurement, contract delivery, financial charging and assessment, direct payments and Shared Service Centre processing.
7. This facilitation has already resulted in the Council's Procurement Service completing a self-assessment of its arrangements against guidelines to identify and eliminate the risk of procurement fraud produced by the Chartered Institute of Public Finance and Accountancy (CIPFA). Most of the expected controls were found to be in place but where gaps were identified, these are being addressed primarily through the newly established Procurement Sourcing Team.
8. Internal Audit has also been proactive in **ensuring key policies are “fraud proofed”**. To assist this process a checklist has been developed covering such aspects as income generation; payments; safeguarding assets; and controls over cash and bank accounts. In the first instance this checklist has been shared with the HR and OD Service as the originators of many of the Council’s key corporate policies and a representative from Internal Audit has

been invited to attend a working group which will examine how to fraud proof HR policies.

9. As part of the work to produce the **Annual Governance Statement**, officers responsible for corporate governance policies (corporate policy custodians) must confirm on an annual basis that their policy is up to date and that any changes have been approved and communicated appropriately. As part of this process for 2012/13 onwards the policy custodian is now asked to consider whether any additional action is required to ensure their policy contributes to the Council's zero tolerance of fraud.

Counter-Fraud Work

10. In October 2012 the Council supplied data as part of the Audit Commission's **National Fraud Initiative (NFI)**. The results of this data matching exercise which matches Council data with other local authorities as well as some central government databases are currently awaited but previous NFI exercises have led to the successful prosecution and dismissal of employees in cases of identity theft, illegal immigration status and/or unauthorised multiple employments.
11. The Council's Internal Audit team carry out a programme of data interrogation exercises, including sophisticated checks of SAP data to check for possible duplicate payments. The recent appointment of an IMT auditor will increase the Council's capacity to proactively search for anomalous or irregular transactions using **data mining techniques**. These techniques analyse large volumes of data to identify patterns, duplicates or significant variances dependent on the type of data being reviewed.
12. Collaborative working with District and Borough partners has established a solid basis for combating fraud in **Single Person Discounts for Council Tax** whilst strong liaison with bodies such as the London Audit Group has helped to generate innovative approaches to counter- fraud work – a recent example being links with Ealing Council to find out more about their recruitment vetting processes.

Reporting and Investigating Fraud

13. The Council has a clear process for reporting and investigating allegations of fraud and corruption as set out in the **Strategy against Fraud and Corruption**. The Strategy now includes a fraud response plan which sets out what action should be taken in the event of a fraud. Twice a year a report summarising Internal Audit involvement in irregularity investigations is presented to the Audit and Governance Committee in line with best practice.
14. The Council's **Whistle Blowing Policy** complements the Strategy against Fraud and Corruption and provides an independent confidential telephone reporting service. The Whistle Blowing Policy recognises and appreciates that staff who raise concerns regarding malpractice or wrongdoing are an asset to the Council, and not a threat. This policy encourages and enables staff to raise serious concerns and aims to protect staff when they raise a concern. Twice a year a report on whistle blowing activity is presented to Audit and Governance Committee.

Communication and Training

15. To support the launch of the revised Strategy against Fraud and Corruption and **new fraud awareness e-Learning training** there will be an internal communications campaign, commencing this quarter, using S:Net and other media as well as presentations to service managers and staff.
16. Internal Audit has also **worked closely with schools** in raising awareness of the risk of fraud. This activity has included:
 - providing training for new Head Teachers and School Business Managers;
 - presenting at School Business Manager/Bursar briefings;
 - regular articles in the Schools Bulletin;
 - issuing a pamphlet setting out frauds and scams that have been targeted at schools nationally; and
 - advising schools and governors on an ad hoc basis.
17. Raising fraud awareness is key in developing and maintaining an anti fraud culture and so this work is necessarily on-going.

CONSULTATION:

18. A report on “Fighting Fraud Locally”, which included the revised Strategy against Fraud and Corruption, was presented to Audit and Governance Committee in October 2012. The Strategy was also presented at a meeting of the officer Governance Panel in November 2012.
19. A paper showing progress to date in promoting a counter-fraud culture across the Council was presented at Quality Board in November 2012. It resulted in a request to the Chief Internal Auditor to continue to progress the implementation of the Fighting Fraud Locally Strategy.

RISK MANAGEMENT AND IMPLICATIONS:

20. Raising awareness of the risk of fraud will contribute to better internal control and protect the public purse

Financial and Value for Money Implications

21. There are no additional costs associated with implementation of the revised Strategy against Fraud and Corruption.

Section 151 Officer Commentary

22. Austerity is set to continue for some years, potentially increasing the risks of fraud, making a robust Fraud Strategy even more imperative to ensuring sound use of Council resources. The Section 151 Officer confirms that there are no additional costs to the implementation of this strategy.

Legal Implications – Monitoring Officer

23. There are a number of relevant statutory provisions which are referred to in the attached Strategy.

Equalities and Diversity

24. The Strategy against Fraud and Corruption sets out the Council's approach to preventing and dealing with allegations of fraud. As such the policy is considered to have neutral impact on all groups. The completed Equality Impact Assessment for this policy is attached at Annex 2.

WHAT HAPPENS NEXT:

25. A fraud awareness communications campaign will commence this quarter to raise awareness of the policy and the fraud awareness training.
26. Internal Audit will continue to provide half yearly updates to Audit and Governance Committee on irregularity investigations completed and counter fraud work undertaken.

Contact Officer:

Sue Lewry-Jones, Chief Internal Auditor Tel: 020 8541 9190

Consulted:

Audit and Governance Committee

Sheila Little, Chief Finance Officer and Deputy Director for Change & Efficiency

Ann Charlton, Head of Legal and Democratic Services

Liz Lawrence, Head of Policy and Performance

Quality Board

Governance Panel

Annexes:

Annex 1: Council's Strategy Against Fraud and Corruption

Annex 2: Equality Impact Assessment

Sources/background papers:

- The Local Government Fraud Strategy – Fighting Fraud Locally
 - Fighting Fraud Locally – report to Audit and Governance Committee October 2012
 - PKF 2012 Report: The resilience to fraud of the local government sector.
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SURREY COUNTY COUNCIL'S STRATEGY AGAINST FRAUD AND CORRUPTION

1. Introduction

1.1 Surrey County Council is one of the county's largest organisations; employing over 26,000 people, with a gross spend of over £1.6 billion per annum in 2010/11 and it is required by law to protect the public funds it administers. In delivering its objectives the County Council maintains a zero tolerance approach to fraud and corruption, whether it is attempted from outside the Council (the public, clients, partners, contractors, suppliers or other organisations) or within (Members and employees). It is committed to this Strategy against Fraud and Corruption which:

- acknowledges the threat of fraud;
- encourages prevention;
- promotes detection;
- identifies a clear pathway for investigation; and
- sets out the appropriate sanctions, including the recovery of losses.

1.2 The Audit Commission Fraud Manual defines fraud and corruption as follows:

- Fraud is the intentional distortion of financial statements or other records by persons internal or external to the authority which is carried out to conceal the misappropriation of assets or otherwise for gain.
- Corruption is the offering, giving, soliciting or acceptance of an inducement or reward, which may influence the action of any person or the misuse of entrusted power for personal gain. The Bribery Act 2010 makes it an offence to offer, promise or give a bribe and to request, agree to receive or accept a bribe. In addition there is a corporate offence of an organisation failure to prevent bribery in the course of its business.

2. Expectation

2.1 Surrey County Council wishes to promote a culture of openness with the core values of trust, respect and responsibility enshrined within it. The Council is totally opposed to any form of fraud and corruption.

2.2 The Council's expectation on propriety and accountability is that Members and staff at all levels will lead by example in ensuring adherence to legal requirements, rules, procedures and practices. The Council also expects that individuals and organisations, e.g. the public, partners, suppliers, contractors and other service providers, with whom it deals, will act towards the Council with integrity and without thought or actions involving fraud and corruption. All would be expected and encouraged to tell the Council about any fraud or corruption they suspect. There is advice on how to do this in Appendix A.

- 2.3 The Council will ensure that all allegations received are taken seriously and investigated in an appropriate manner. Anonymous allegations will be considered within the limitations of the information available. Investigations will be subject to the requirements of the Human Rights Act 1998 and the Regulation of Investigatory Powers Act 2000.
- 2.4 Senior management is expected to deal swiftly and firmly with those who defraud or seek to defraud the Council, or who are corrupt. The Council will always be robust in dealing with financial malpractice or those who breach statutory and legal obligations and its code of conduct. A Fraud Response Plan is included as Appendix B

3. Roles and responsibilities

The Role of Elected Members

- 3.1 As elected representatives, all Members of the Council have a duty to act in the public interest and do whatever they can to ensure that the Council uses its resources in accordance with statute.
- 3.2 This is achieved through Members operating within:
- the Council's Member Code of Conduct; and
 - the Constitution, including Corporate Governance Assurance Framework, Financial Regulations and Procurement Standing Orders.
- 3.3 The Localism Act 2011 requires Members to declare and register disclosable pecuniary interests to the Monitoring Officer as these may cause potential areas of conflict between Members' County Council duties and responsibilities and any other areas of their personal or professional lives.

The Role of Employees

- 3.4 Employees are Surrey County Council's first line of defence and the Council will expect and encourage them to be alert to the possibility of fraud and corruption and report any suspected cases.
- 3.5 Employees are expected to comply with the Council's [Code of Conduct](#) for staff, which forms part of each employee's contract of employment and is available on the Human Resources and Organisational Development section of the Council's Intranet (S-net). Employees should also follow standards of conduct laid down by their own professional body or institute (where applicable).
- 3.6 Employees are responsible for ensuring that they follow the instructions given to them by management and comply with the procedures and rules laid down by the Council in the Corporate Governance Assessment Framework. They are under a statutory duty to account for money and property committed to their charge.

- 3.7 All employees are required to comply with Section 117 of the Local Government Act 1972. This requires a written declaration of any pecuniary or close personal interests in contracts that have been, or it is proposed will be, entered into by the County Council to be held on their personal file. The legislation also prohibits the acceptance of fees or rewards other than by means of proper remuneration. Failure to disclose an interest or the acceptance of an inappropriate reward may result in disciplinary action or criminal liability.
- 3.8 Managers at all levels are responsible for the communication and implementation of this Strategy in their work area. They are also responsible for ensuring that their employees are aware of the arrangements to secure corporate governance, and that the requirements are being met in their work activities.
- 3.9 Managers are expected to create an environment in which their staff feel able to approach them with any concerns that they may have about suspected irregularities.

Others

- 3.10 Surrey County Council expects the public, clients, partners, contractors, suppliers and any other organisations to act honestly in their dealings with it and will check contractors' and suppliers' references as well as carrying out suitable financial checks.

4. Surrey County Council's Commitment

- 4.1 Theft, fraud and corruption are serious offences against the authority and employees will face disciplinary action if there is evidence that they have been involved in these activities. Members will also be disciplined if there is evidence of involvement in theft, fraud and corruption. Where appropriate, cases will be referred to the Police.
- 4.2 A key measure in the prevention of fraud and corruption is to take effective steps at the recruitment stage to establish, as far as possible, the previous record of potential employees in terms of their propriety and integrity. Employee recruitment should, therefore, be in accordance with the procedures laid down by the Head of Human Resources and Organisational Development (HR&OD), which are available on the Council's Intranet (S-net), and include:
- obtaining references and checking qualifications;
 - confirming the right to work in the United Kingdom; and
 - checks by the Disclosure and Barring Service.

The recruitment of temporary and permanent employees is dealt with in a similar manner.

- 4.3 In all cases where financial loss to the authority has occurred, the authority will take appropriate action to recover the loss.
- 4.4 Updates on counter fraud and corruption activity, including updates to this Strategy, will be publicised in order to make employees and the public aware of the authority's continuing commitment to taking action on fraud and corruption when it occurs.
- 4.5 To promote knowledge in current anti-fraud and anti-corruption matters Internal Audit will forward advice and information received from the National Anti-Fraud Network (NAFN) to relevant Services across the Council.

5. Detection and Investigation

- 5.1 It is the responsibility of management to maintain an adequate internal control environment to prevent and detect fraud and corruption. It is often the alertness of staff and the public that enables detection and appropriate action to be taken.
- 5.2 The Council's Financial Regulations require all suspected financial irregularities to be reported (verbally or in writing) to the Chief Internal Auditor so that an internal audit investigation of the allegations can be undertaken in line with the Fraud Response Plan included as Appendix B. This is essential to the Strategy to ensure consistency of treatment, adequate investigation and protection of the Council's interests.
- 5.3 The Chief Internal Auditor will ensure that the individual reporting any suspected irregularity is appropriately supported throughout this process, taking particular account of the likely sensitive nature of such an investigation.
- 5.4 Any decision to refer a matter to the Police will be made by the Chief Internal Auditor. The Council expects the Police to be made aware of, and investigate independently, any offence where material financial impropriety may have occurred.
- 5.5 The County Council's [disciplinary procedure](#) will be used where the outcome of an investigation indicates improper behaviour by a member of staff. Referral to the Police will not prohibit disciplinary action under the Disciplinary Policy.
- 5.6 In the case of allegations against Members being in breach of their Code of Conduct, these are reported to the Council's Monitoring Officer (Head of Legal and Democratic Services) and will be investigated by the Monitoring Officer or a person appointed by her.
- 5.7 Surrey County Council is required to participate in the National Fraud Initiative data matching exercise run by the Audit Commission. The Council provides particular sets of data, including payroll, to the Audit Commission under its powers in Part 2A of the Audit Commission Act 1998. It does not require the

consent of the individuals concerned under the Data Protection Act 1998. Details of the data used are set out in the Audit Commission's guidance, which can be found at www.audit-commission.gov.uk/nfi.

- 5.8 Arrangements are in place, and continue to develop, to encourage the exchange of information between the County Council and other agencies on a national and local level to combat fraud and corruption, including the National Fraud Agency, National Anti-Fraud Network (NAFN), police fraud team and UK Borders Agency.

6. Awareness and Training

- 6.1 Surrey County Council recognises that the continuing success of its Strategy against Fraud and Corruption and its general credibility, will depend partly on the effectiveness of training and the responsiveness of employees throughout the organisation.
- 6.2 The Council supports induction training, staff appraisal and development. It supports governance and fraud-awareness training. All staff, especially those involved in internal control systems, and also Members need to understand their responsibilities and duties in regard to the prevention and reporting of suspected fraud and corruption. It is important to regularly highlight and reinforce this.
- 6.3 The investigation of fraud and corruption is undertaken by the Council's Internal Audit team.

7. Availability

- 7.1 This Strategy is available to all employees and members via the Surrey County Council intranet (S-net). Copies can also be obtained from Council employees through key public access points across the County such as libraries, as well as being accessible through the Council's external web site.

8. Conclusion

- 8.1 Surrey County Council has in place systems and procedures to assist in the fight against fraud and corruption. Internal Audit will monitor the success of these measures to ensure that all opportunities for preventing and detecting fraudulent or corrupt activity are maximised. This strategy will be subject to regular review by Internal Audit and approved by Audit and Governance Committee.

DAVID MCNULTY,
Chief Executive, September 2012

Advice on reporting suspected fraud or corruption

Surrey County Council expects all its employees, Council Members, partners, contractors, the public, clients and organisations to provide information if fraud or corruption is suspected. This is often known as whistle blowing. Our [whistle blowing policy](#) can be found on s-net. In addition, an employee, raising concerns in good faith, should be aware of the protection afforded to them by the Public Interest Disclosure Act (PIDA) 1998.

Examples of concerns include the following:

- criminal offence;
- false documentation;
- failure to comply with a statutory or legal obligation;
- improper use of public or other funds;
- abuse of the Council's systems;
- maladministration, misconduct or malpractice;
- endangering health and safety;
- damage to the environment;
- misuse of an individual's personal position;
- the offer or acceptance of a bribe; and/or
- deliberate concealment of any of the above.

All information or concerns received will be treated seriously and in strict confidence and employees should raise issues with their line manager in the first instance or the officer directly responsible for the area concerned. If anyone feels unable to speak to their line manager or the officer directly responsible for the area they are concerned about, they can contact any of the individuals on the table overleaf.

Members, the public, partners, contractors and organisations can also contact Surrey County Council via these contacts if they suspect theft, fraud or corruption. The Chief Internal Auditor should be advised of any such referrals received as complaints to Services.

If anyone feels unable to raise their concerns in the above ways, then they may wish to phone Expolink our independent reporting hotline on 0800 374 199 or consult Public Concern at Work on 020 7404 6609, which is a registered charity providing free and strictly confidential advice.

All allegations of theft, fraud or corruption received will be investigated and should be referred to the Chief Internal Auditor for a decision on how an investigation should proceed in line with the Fraud Response Plan included as Appendix B.

Contact Information for reporting on possible theft, fraud or corruption at
Surrey County Council

Contact	Telephone	E-mail
Chief Internal Auditor	020 8541 9190 /9299	sue.lewry-jones@surreycc.gov.uk internal.audit@surreycc.gov.uk
Chief Finance Officer (S151 Officer) and Deputy Director for Change & Efficiency	020 8541 7012	sheila.little@surreycc.gov.uk
Head of Legal and Democratic Services as the council's Monitoring Officer	020 8541 9001	ann.charlton@surreycc.gov.uk monitoringofficer@surreycc.gov.uk
County Chief Executive	020 8541 9008	david.mcnulty@surreycc.gov.uk
Elected Members		See website www.surreycc.gov.uk Your Council – Councillors and Committees – Surrey County Councillors
Leader of the Council		david.hodge@surreycc.gov.uk
Chairman of Audit & Governance Committee		nicholas.harrison@surreycc.gov.uk
County Council's external auditors (Grant Thornton)	020 7383 5100	See website www.grant-thornton.co.uk
Audit Commission	084560522646	www.audit-commission.gov.uk
Expolink – SCC independent confidential hotline	0800 374 199	See website http://www.expolink.co.uk/
Public Concern at Work – charity offering free advice	020 7404 6609	See website http://www.pcaw.org.uk/

Fraud Response Plan

Introduction

- 1.1 This Fraud Response Plan forms part of the Council's overall Strategy against Fraud and Corruption and covers the Council's response to suspected or apparent irregularities affecting resources belonging to or administered by the Council, or fraud perpetrated by contractors and suppliers against the Council.
- 1.2 It is important that Managers know what to do in the event of fraud, so that they can act without delay. The Fraud Response Plan provides such guidance to ensure effective and timely action is taken. Other documents that should be referred to when reading the Plan include:
 - Code of Conduct for staff
 - Disciplinary Policy and procedures
 - Financial Regulations

Objective of the Fraud Response Plan

- 2.1 To ensure that prompt and effective action can be taken to:
 - Prevent losses of funds or other assets where fraud has occurred and to maximise recovery of losses
 - Identify the perpetrator and maximise the success of any disciplinary or legal action taken
 - Reduce adverse impacts on the business of the Council
 - Minimise the occurrence of fraud by taking prompt action at the first sign of a problem
 - Minimise any adverse publicity for the organisation suffered as a result of fraud
 - Identify any lessons which can be acted upon in managing fraud in the future

How to respond to an allegation of theft, fraud or corruption

Initial Response

- 3.1 Listen to the concerns of staff and treat every report seriously and sensitively.
- 3.2 Obtain as much information as possible from the member of staff, including any notes or evidence to support the allegation. Do not interfere with this evidence and ensure it is kept secure.
- 3.3 Contact the Chief Internal Auditor to discuss the allegation as required by Financial Regulations and agree any proposed action. An evaluation of the case should include the following details:

- Outline of allegations
 - Officers involved, including job role and line manager
 - Amount involved / materiality / impact
 - Involvement of any other parties
 - Timescales – one off or ongoing
 - Evidence – where held and access
- 3.4 Where it is appropriate to do so (i.e. without alerting the alleged perpetrator), initial enquiries may be made by the manager or Internal Audit, as agreed with the Chief Internal Auditor, to determine if there actually does appear to be an issue of fraud or other irregularity.
- 3.5 During the initial enquiries, managers should
- Determine the factors that gave rise to the suspicion
 - Examine the factors to determine whether a genuine mistake had been made or whether a fraud or irregularity has occurred
 - Where necessary, carry out discreet enquiries with staff and/or review documents.
- 3.6 The Chief Internal Auditor should be informed of the results of the initial enquiry so that the case can be closed or a more detailed investigation organised. Regulation 10 of the County Council's Financial Regulations gives the Chief Internal Auditor and her staff the power to access documents, obtain information and explanations from any officer for the purpose of audit.
- 3.8 Where the initial enquiry appears to indicate misconduct by a council employee the manager should inform Internal Audit of
- All the evidence gathered
 - The actions taken with regard to the employee (e.g. suspension or redeployment) or any other action taken to prevent further loss.
- 3.9 The manager should liaise with HR and be aware of the council's requirements regarding the disciplinary process (as published on S:net). If suspension is necessary, it needs prior approval by the Head of Service as the act of suspension is service led.
- 3.10 If it is found that an allegation has been made frivolously or in bad faith then disciplinary action may be taken against the person making the allegation. If however, it is found that an allegation has been made maliciously, or for personal gain, then disciplinary action should be taken against the person making the allegation.

Internal Investigation

- 4.1 Depending on the size of the fraud or the circumstances of its perpetration, the Chief Internal Auditor will consider whether Internal Audit staff should undertake the investigation. If appropriate, advice and guidance will be provided to enable an investigation to be undertaken by an appropriate officer in their Service.
- 4.2 Internal Audit will review the outcome of the investigation (irrespective of whether undertaken by its own staff or Service staff), to ensure that appropriate action is taken to help disclose similar frauds and make recommendations to strengthen control systems.

Investigating Officer

- 4.3 The Investigating Officer (either from the directorate or from Internal Audit) will:
- Deal promptly with the matter
 - Should covert surveillance be considered necessary, then the Regulation of Investigatory Powers Act 2000 (RIPA) must be observed and authorised by the Chief Executive
 - Record all evidence that has been received
 - Ensure that evidence is sound and adequately supported
 - Secure all of the evidence that has been collected
 - If criminal acts are being investigated then take advice on the interview of potential suspects so that the guidelines of the Police and Criminal Evidence Act 1984 (PACE) are followed
 - Where appropriate, contact other agencies (e.g. Police, Serious Fraud Office)
 - When appropriate, arrange for the notification of the Council's insurers
 - Report to senior management, and where appropriate, recommend that management take disciplinary/criminal action in accordance with this strategy and the Council's Disciplinary Procedures.
- 4.4 Where circumstances merit, close liaison will take place between the Investigating Officer, Internal Audit, S151 Officer, Monitoring Officer, the respective Service/Directorate, Human Resources and relevant outside agencies as appropriate.
- 4.5 Where an irregularity results in a loss exceeding £10,000 a declaration has to be made to the Audit Commission.

Sanctions and Recovery of Losses

Disciplinary Action

- 5.1 The manager is responsible for taking the appropriate disciplinary action as set out in the Council's Disciplinary policy.

- 5.2 If a criminal offence is discovered, it may be appropriate to pursue a criminal prosecution. This could be instigated by the Council under S222 of the Local Government Act 1972 or by referring the evidence to the police.

Police

- 5.3 The Chief Internal Auditor will determine whether the police need to be involved either from the start or at a later stage in the investigation. If the police are involved, Internal Audit will support the police investigation as necessary.

Recovery of Losses

- 5.4 Where the Council has suffered a loss, restitution will be sought of any benefit or advantage obtained and the recovery of costs will be sought from individual(s) or organisations responsible.
- 5.5 Where an employee is a member of the Surrey County Council Pension scheme and is convicted of fraud, the Council may be able to recover the loss from the capital value of the individual's accrued benefits in the scheme, which are then reduced as advised by the actuary.
- 5.6 The Council will also take civil action (as appropriate) to recover the loss.

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Surrey County Council Equality Impact Assessment Template

Stage one – initial screening

What is being assessed?	Strategy against Fraud and Corruption
Service	Policy and Performance
Name of assessor/s	Sue Lewry-Jones
Head of service	Liz Lawrence
Date	17/09/2012
Is this a new or existing function or policy?	Existing policy

Write a brief description of your service, policy or function. It is important to focus on the service or policy the project aims to review or improve.

Surrey County Council has a duty to protect public funds and wishes to conduct its affairs in a spirit of honesty, integrity and openness. To this extent there are structures and procedures in place to assist in the fight against fraud and corruption.

This policy sets out the procedures to follow in order to help prevent fraud and corruption and to investigate alleged cases of fraud or corruption when they arise.

Indicate for each equality group whether there may be a positive impact, negative impact, or no impact.

Equality Group	Positive	Negative	No impact	Reason
Age			✓	The policy sets out the Council's approach to preventing and dealing with allegations of fraud. As such the policy is considered to have neutral

				<p>impact on all groups.</p> <p>Investigations are carried out on the circumstances of the allegations without regard to the group into which those involved fall.</p>
Gender Reassignment			✓	As above
Disability		✓		This EIA has identified that there may be an issue for people with some sensory impairments being unable to access the confidential 24hr independent whistle blowing hotline provided by Expolink. This issue has been raised with HR and OD to be addressed with the service provider. As this issue has been mitigated there is no need to carry out a full EIA.
Sex			✓	As above
Religion and belief			✓	As above
Pregnancy and maternity			✓	As above
Race			✓	As above
Sexual orientation			✓	As above
Carers			✓	As above
Other equality issues – please state				Not applicable
HR and workforce issues				Not applicable
Human Rights implications if relevant				Not applicable

If you find a negative impact on any equality group you will need to complete stage one and move on to stage two and carry out a full EIA.

A full EIA will also need to be carried out if this is a high profile or major policy that will either effect many people or have a severe effect on some people.

Is a full EIA required?

Yes (go to stage two)

No ✓

If no briefly summarise reasons why you have reached this conclusion, the evidence for this and the nature of any stakeholder verification of your conclusion.

The policy sets out the Council's approach to preventing and dealing with allegations of fraud. As such the policy is considered to have neutral impact on all groups.

Investigations are carried out on the circumstances of allegations without regard to the group into which those involved fall.

Leaving aside the irregularity investigations that commence through data matching (NFI) or anonymous referral, there are only a very few referrals remaining that come from people for whom E&D data could be taken.

Briefly describe any positive impacts identified that have resulted in improved access or services

N/A

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SURREY COUNTY COUNCIL

CABINET

DATE: 5 FEBRUARY 2013

REPORT OF: MRS LINDA KEMENY, CABINET MEMBER FOR CHILDREN AND LEARNING

LEAD OFFICER: PETER-JOHN WILKINSON, ASSISTANT DIRECTOR, SCHOOLS AND LEARNING

SUBJECT: EDUCATION ACHIEVEMENT PLAN 2013-17



SUMMARY OF ISSUES:

The Education Achievement Plan sets out the County Council's approach to working with education partners to shape education provision and raise achievement for children and young people over the next five years (2013-2017). The plan responds to changing needs and policy and is a key delivery mechanism for the Children and Young People's Strategy 2012-17.

The plan aims, inter alia, to secure a successful locally agreed model for school improvement that allows existing partnership arrangements to be developed, including those with both academy and non-academy schools

The development of the draft plan has been part of a wider engagement with headteachers to agree a primary and secondary vision for the education of children and young people to ensure all schools in Surrey are judged by Ofsted to be at least good schools by 2017.

RECOMMENDATIONS:

It is recommended that:

1. The approach to raising education and achievement detailed in the plan is agreed.
2. The publication of the Education Achievement Plan is agreed and that the Strategic Director for Children, Schools and Families in consultation with the Cabinet Member for Children and Learning is authorised to sign off any subsequent amendments to the plan before publication, provided there are no substantive changes.

REASON FOR RECOMMENDATIONS:

To note the plan for promoting the education and achievement of children and young people and to agree to its delivery.

DETAILS:

Strategic Approach

1. The Education Achievement Plan sets out the activity that will be undertaken across Surrey County Council to deliver the identified education and achievement priorities between 2013 and 2017. As with all other plans that sit under the Children and Young People's Strategy, this plan will:
 - Address the needs of local children, young people and families
 - Work towards the positive outcomes at all stages of childhood and adolescence that are outlined in the lifecourse outcomes
 - Provide value for money
 - Address the priorities of the Children and Young People's Strategy, in particular: prevention, participation and potential
 - Build and maintain a good foundation of partnership working
 - Facilitate the co-design of services with children, young people and their parents
 - Assess the impact of changes on protected equalities groups
 - Address the changing policy landscape

Education and Achievement Priorities

2. The prosperity of Surrey depends, in the long term, on the quality of education provided within it. In order to provide children, young people, families and their communities with the best chance in life, the County Council seeks to maintain a significant leadership role in the local education system.
3. Most of Surrey's children perform well compared with their peers nationally. Our current improvement strategy has secured nearly three quarters of our 392 schools as good or outstanding. Where we have targeted our resources intensively on less successful schools the majority have improved. However, there are a number of specific challenges from a rapidly changing education landscape which have increased the risks to schools and the urgency to agree a new plan to achieve our objective that every child and young person in Surrey has access to a good school and a good education by 2017.
4. Although overall Surrey continues to perform better than the national and South East region in most key measures at all Key Stages analysis of 2012 performance data shows that there remains some key priorities particularly with progress in mathematics and English and the progress and attainment of disadvantaged and vulnerable pupils
5. A new Ofsted measure of Local Authority success for schools published in November 2012 identifies that our primary schools were ranked 87th (primary) and 82nd (secondary) nationally for the percentage of children attending schools that were judged by Ofsted to be least 'good'. There are 152 local authorities responsible for education. By the end of December 75.4% of all schools in Surrey compared to 69.5% nationally were judged to be good or better by Ofsted. However, there remains room for improvement as 25% (95) of our schools are still not yet judged to be good.
6. The Education Achievement Plan is critical in order to ensure that the County Council can deliver its statutory role to:

- ensure sufficient places at good schools and fair access to education
 - support and promote the interests of vulnerable children and young people
 - promote the interests of parents
 - champion educational excellence and raise standards
7. Surrey is committed to continuing to develop its own local model for working in partnership to raise standards. This unique approach brings together a long history of community partnership, collaborative working and an excellent track record in school to school support. It is our intention to continue to work with our partners to build on the success of Surrey early years settings, schools, academies and colleges to provide high quality education for all the county's children based on the needs of every child.
8. The Education Achievement Plan sets out four priority areas where we believe we can make the most difference in 2013-17 to achieve our vision, that *'every child and young person contributes and achieves more than they thought possible'*. The plan's priorities are to:
- Increase participation and engagement
 - Support collaboration and partnership
 - Raise achievement and excellence and realise potential
 - Prevent exclusion
9. Our priorities are informed by our understanding analysis of performance, Joint Strategic Needs Assessment (JSNA) and consultation with all our strategic partners and stakeholders. This has included headteachers, governors from maintained schools and academies, college principals, the diocesan boards, phase councils, officers and Members.
10. It is important that we can measure the changes to services we intend to make and the improvements in educational outcomes we hope to achieve. Outcome measures will therefore be developed for the plan, aligned to existing frameworks and identifying key success criteria to be met by 2017.

<u>CONSULTATION:</u>

11. The plan is one of three plans (the two others being the Health, Wellbeing and Safeguarding Plan and Young People's Employability Plan), which form part of the Children and Young People's Strategy. Formal consultation undertaken on the Children and Young People's Strategy ran from 1 to 25 May 2012 and comprised three parts:
- Three practitioners' workshops for Surrey County Council staff and partner organisations. Practitioners included social care, health, the voluntary and community sector, services for young people, education, early years and the police. There were five groups at each event, each covering a different stage of the lifecourse outcomes. In total, 96 practitioners attended the workshops.
 - Various meetings and workshops with elected Members, management groups and relevant partnership groups.
 - An online consultation invited respondents to comment on our four priorities and what we need to do to ensure effective partnership working. The online consultation also invited comment on the

lifecourse outcomes. Of the 91 respondents to the online consultation, 60% (54) were professionals; 27% (35) were parents, and 3% (2) were children and young people.

12. Specific comments made about education and achievement outcomes and what should be included in the Education Achievement Plan were incorporated into the early scoping and drafting of the plan.
13. As part of the engagement process the plan has also been commented on by the Children and Young People's Partnership Board, Learning Strategy Board, Education Select Committee, schools and phase councils, colleges, diocesan boards and governors.

RISK MANAGEMENT AND IMPLICATIONS:

14. None as a direct result of this plan. However, there are several external factors, such as health, education and welfare reforms which could impact on the achievement of the plan's priorities.

Financial and Value for Money Implications

15. There is an increasing demand for services and less money available to support services in their current form. The County Council has already made significant savings of £67 million in 2010/11, £59million in 2011/12 and a further £71 million in 2012/13. Over the business planning period of 2012/17 the total savings required across the County Council is £206 million, and Children, Schools and Families are expected to save £41 million within that total. Most money for running schools comes from central Government. The financial situation is expected to worsen across the public sector, given the state of the global and national economies. Delivery of the priorities may also be impacted during the lifetime of the strategy by external factors such as national funding arrangements for schools and other education providers.
16. Within this context, the plan aims to achieve the best possible educational outcomes for Surrey's children and young people, within the allocated budget. The plan includes actions that the local authority will take to deliver each of the four strategic priorities. Final proposals will be fully costed and prioritised within the Directorate business planning process and within the Directorate budget.

Section 151 Officer Commentary

17. The Section 151 Officer confirms that the plan must be delivered within the budget allocated.

Legal Implications – Monitoring Officer

18. The approach set out in the plan will inform the way in which Surrey County Council meets its statutory duties towards children and young people in relation to education from 2013 to 2017. As individual work streams are implemented, there may be further legal implications, for example in procurement and commissioning or partnership arrangements, which will need to be addressed in more detail at the time.

Equalities and Diversity

19. The equalities impact assessment on the Education Achievement Plan indicates that the plan will generally have a positive impact on the educational outcomes of children, young people and their families in Surrey.
20. We will prioritise inclusion and raising the attainment of our most disadvantaged children and we recognise the need to work with a wide range of partners to deliver this.

Corporate Parenting/Looked After Children Implications

21. The plan aims to ensure that looked after children (LAC) achieve at least the national average at the end of each key stage of education by 2017. This will be achieved through:
 - Ensuring that our services from different areas (education, health and social care) work strategically together to ensure best practice to achieve and maintain a good or outstanding inspection standard
 - Championing and providing targeted support, advice and guidance to schools for children from vulnerable groups including looked after children
 - Maintaining a virtual school to champion high achievement and aspirations at all stages of their education
 - Ensuring all 2 year-old looked after children will be able to access a free early education place
22. The plan will therefore have a positive impact on Looked After Children.

Safeguarding Responsibilities for Vulnerable Children and Adults Implications

23. The important role of educational settings in safeguarding will be taken forward as part of the work to develop a Compact. It is also addressed in more detail through the Health, Wellbeing and Safeguarding Plan. This includes:
 - Developing shared multi-agency safeguarding responsibilities and child protection practice with key partners including health
 - Developing a comprehensive multi-agency quality assurance framework
 - Developing the capacity and capability of the children's workforce around the understanding of domestic abuse.

Public Health Implications

24. The important role of schools in health and wellbeing of children and young people in Surrey will be taken forward as part of the work to develop a Compact. It is addressed separately through the Health, Wellbeing and Safeguarding Plan.

Climate Change/Carbon Emissions Implications

25. The Council attaches great importance to being environmentally aware and wishes to show leadership in cutting carbon emissions and tackling climate

change. The Children's Education Achievement Plan is expected to have a neutral impact on climate change and carbon emissions.

WHAT HAPPENS NEXT:

26. Subject to Cabinet approval it is proposed to:

- Publish the plan and share it with stakeholders
- Develop an annual detailed implementation plan starting in March 2013 for 2013-14
- Review the plan in 2016

Contact Officer:

Penny Plato, Head of Education and Chief Adviser, Babcock 4S
Jo Holtom, Senior Strategy and Policy Development Manager, Children, Schools and Families

Consulted:

Children, Schools and Families Directorate Leadership team, Children and Young People's Partnership Board, Learning Strategy Board, Education Select Committee, schools and phase councils, colleges, diocesan boards and governors.

Annexes:

Annex 1 Draft Education Achievement Plan 2013-17
Annex 2 Measures of Success baseline and target data

Background papers:

None

Annex 1

Draft Education Achievement Plan

2013 - 2017

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DRAFT

1. Foreword

I am very pleased to introduce Surrey County Council's Education Achievement Plan for the period 2013 to 2017.

Surrey County Council is committed to working with Surrey's schools and other education partners to raise outcomes for our children and young people over the next five years. Equally, local schools need to work together to maximise support to local communities. Partnership working requires long-term investment and support, building upon the successful joint work developed in this county over many years. The Surrey family of schools has a long history of successful mutual support and we will continue to support and develop this style of working. When local schools experience difficulties, we will continue to look first to Surrey partners to provide the necessary support.

Surrey County Council works closely with all Surrey state schools including academies and we will continue to work with all our early years settings, schools and partners regardless of organisational status to raise standards and build capacity for a self-improving system.

Achieving full potential

We are determined to ensure that every child and young person can achieve his or her potential. To do this, we want to ensure that every Surrey child will be able to attend an early years setting or school which is judged by Ofsted to be good or outstanding by 2017.

Surrey's education services aim to provide high quality education for all the county's children based on their individual needs. Where there is a particular difficulty or disadvantage (such as special educational needs, social and economic circumstances or difficult family histories), we will provide appropriate additional support. The gap between the performance of our most disadvantaged children and their peers continues to be a major concern and a priority for improvement over the next five years.

Many Surrey schools are among best in the country but we also recognise that we face challenges. The local population is rising rapidly and increasing the demand for early years and school places. Surrey is becoming more urbanised and crowded, and includes families from an ever-greater diversity of backgrounds. Within our service, more needs to be done to ensure that every early years settings and school is able to provide a good education for all its learners. Our current improvement strategy has secured more than three quarters of our 392 schools as good or outstanding: 75% of primary schools, 72% of secondary schools, and 87% of our special schools. We aim to see all these levels rise significantly, and reduce the proportion of schools that are not yet good. And we hope,

despite the difficult financial circumstances, to increase the resources available to support this work.

Surrey County Council is a key agency in education and we will continue to support and coordinate our schools and intervene where there are problems. The local challenges and the rapidly changing education landscape have increased the risks at all stages of education. This plan sets out the framework through which we will ensure that every child and young person in Surrey has access to a good early years setting, school or college and a good education by 2017.

This plan constitutes a key building block of the Surrey Children and Young People's Strategy with its four priorities: to prevent harm, protect children, raise participation, and realise potential. I would like to thank all the colleagues in Surrey schools, in Babcock 4S and within Surrey County Council who have contributed to its completion.

*Peter-John Wilkinson,
Assistant Director - Schools and Learning*

*Linda Kemeny,
Cabinet Member for Children and Learning*

2. Summary and background

Children and Young People's Strategy 2012 – 2017

In July 2012 Surrey County Council's Cabinet approved the Children and Young People's Strategy 2012-17 which makes a firm commitment to continue to engage in partnership working and focuses on four priorities: prevention, protection, participation and potential. It also reaffirmed the longstanding vision that:

'Every child and young person will be safe, healthy, creative, and have the personal confidence, skills and opportunities to contribute and achieve more than they thought possible.'

The Education Achievement Plan is one of three plans that will deliver the strategy. It will be our main vehicle for influencing the lifecourse outcomes for children and young people in the early, primary and teenage years, in relation to educational achievement. It outlines our approach to working in partnership with our early years and childcare settings, schools, colleges and other education partners to create the local agreements and provide the best opportunity for children and young people to succeed in Surrey. The national drive to raise standards means that early years settings and schools are being held to a higher standard of performance and there is an urgent need to agree a new plan to ensure that every child and young person in Surrey has access to a 'good school' and a 'good education' by 2017.

The Health, Wellbeing and Safeguarding Plan will be our main vehicle for positively supporting our children and young people to realise good health and wellbeing outcomes throughout their childhood. We will work together with a wide range of partners such as clinical commissioning groups, police and schools to protect children, promote their physical and emotional health and wellbeing, and improve outcomes for families as a whole.

The Young People's Employability Plan seeks to deliver our strategy of full participation for all children and young people. It will support young people in their teenage years and young adulthood to realise positive outcomes relating to their aspirations in education and beyond, and will deliver skills training that supports readiness for work and learning.

Education and prosperity

Surrey is one of the most prosperous and economically competitive parts of the country in which to grow up. And we want to ensure that the county's 272,800 children aged 0-19 are all able to enjoy the best possible start in life. It is essential that this includes a good education.

Many families choose to live in Surrey because they consider it an attractive place to bring up children, with access to good early years provision, schools, further and higher education. The prosperity of Surrey and the education provided within it are intrinsically linked. In order to provide children, young people, families and their communities with the best chance in life Surrey County Council seeks to maintain a significant leadership role in the local education system.

Working in partnership to improve school standards

Effective local collaborative networks of schools and long term investment in a self-sustaining school improvement system provide a strong platform to secure excellence in all schools in the future. Our strategic partnerships with primary, secondary, special schools (including academies) through confederations, the diocesan boards, 11-19 networks and phase councils remains a significant and unique strength from which to work together to improve school standards.

Surrey County Council continues to support strong partnership working with schools and between schools, working together as the Surrey family of schools. Schools sit at the heart of local communities. They form a key part of the social networks that hold and connect local life together. We strongly support the view that education is and should remain community-based. We have a strong history of community partnership and collaboration with all our schools established over the last 10 years. In the last year, we have worked successfully with head teachers to agree strategic priorities and commitments to implement the Primary Vision and Secondary Vision agreed for education over the next 5 years.

School to school support is at the heart of the long-term strategy for improving Surrey schools. The county has an excellent track record in brokering support from its leading schools, headteachers and governors to support neighbouring schools experiencing difficulties. Through developing this style of early intervention and support, Surrey can demonstrate it has the capacity to secure its own improvement.

The offer of local school support also goes much wider involving an alliance with six Teaching Schools, nine National Leaders of Education (NLE) and over 40 Local Leaders of Education (LLE). They include headteachers of academies as well as maintained schools. Surrey County Council is a leading local authority in developing this level of capability and capacity, which is not matched elsewhere in the country.

A local model for raising standards

Through the creation first of community technology colleges, foundation schools and old-style academies, and now through new-style academies and free schools, successive governments have sought to reduce the links between (some) schools and local authorities. Surrey County Council has long supported the development of local schools

as self-managing, self-improving, self-governing institutions, benefiting from a high level of day-to-day independence and with freedom to develop excellence in local contexts. We have, however, resisted notions that it is advantageous to increase competition between schools or to reduce the accountability of schools or other public services to local residents. And we will continue to support this position.

There is a growing view held by the Department for Education (DfE) that only academies and academy chains can improve schools rapidly. Our aim is to secure a successful locally agreed model which matches capacity, locality and existing partnership arrangements and allows it to be maintained to develop and grow. Where schools have been given support but do not have the leadership capacity to improve, we will look to our partners including our Surrey academy sponsors to provide a local solution.

There is no place for accepting failure and where there are more fundamental and deep rooted leadership issues we will respond accordingly. We intend to continue to exercise county-based judgments of how to respond to particular cases and to argue strongly for local solutions, decision-making and accountability.

Local authorities have an important role and responsibility for securing effective working relationships and facilitating communication between schools, government and the wider system. We want all schools in Surrey to work with us to support children and families who are most in need. We have worked hard to keep a strong relationship with all schools regardless of status and will continue to invest in them and our partnerships for the benefit of Surrey's children and communities. We will continue to work with all our schools and partners regardless of their status to agree a Surrey wide 'Compact' to secure future working agreements and arrangements with schools and other key partners.

Surrey County Council has demonstrated that we work closely with Surrey-based academies, and we will work with all schools regardless of status, to continue to raise standards and build capacity for a strong local self-improving education system.

Delivery of our strategy is also supported by a Public Value Programme focused on family support, early help, and disability services. This includes looking at how we support families with complex needs and significant social disadvantage, providing services as soon as possible to prevent issues that are emerging for children, and integrating services across health, social care and education for children with complex needs.

The programme will work to develop partnerships that enable greater efficiencies and effective working through a whole systems approach. The aim is that by supporting families in an integrated way, schools, education providers and other professionals can achieve better outcomes for children. This will ultimately support their ability to learn and achieve.

3. Our vision for learning

'Every child and young person contributes and achieves more than they thought possible'

This vision, agreed as part of the Learning Strategy in 2008, continues to be at the heart of our aspirations for education and achievement. In July 2012 Surrey County Council's Cabinet approved the Children and Young People's Strategy 2012-17. This Education Achievement Plan 2013-17 is one of three plans that will deliver the strategy.

It seeks to deliver the Surrey County Council's strategy for providing all children and young people with good lifecourse outcomes, particularly ensuring that all have access to a good early years, primary and secondary education. The plan is an overarching strategic one that confirms our future role in education and is a clear reference point for informing various council service plans, including the Early Years and Childcare Service Plan, School Organisational Plan, Special Educational Needs and Learners with Learning Difficulties and Disabilities Plan.

Surrey continues to perform among the top quartile of all 152 local authorities nationally for the majority of key attainment measures at all key stages

- Early Years: Achievement of 78+ points across the FSP (14th)
- Key Stage 1: Level 2+ in reading, writing and maths (8th, 10th and 3rd)
- Key Stage 2: Level 4+ English and maths (26th)
- Key Stage 4: 5+ A*- C GCSEs including English and maths (19th)
- Post 16: Points per entry and average points score across all post 16 providers (34th and 57th)

Although overall Surrey continues to perform better than the national and South East region in most key measures at all Key Stages analysis of 2012 performance data shows that there remains some key priorities particularly with progress in mathematics and English and the progress and attainment of disadvantaged and vulnerable pupils.

A new Ofsted measure of local authority success for schools published in November 2012 identifies that our primary schools were ranked 87th (primary) and 82nd (secondary) nationally for the percentage of children attending schools that were judged by Ofsted to be least 'good'. By the end of December 75.4% of all schools in Surrey compared to 69.5% nationally were judged to be good or better by Ofsted. However, there still remains room for improvement as 25% (95) of our schools are still not yet judged to be good.

The Education Achievement Plan recognises the unique contribution that early years and childcare settings, schools, and colleges make to their local communities. Working with our headteachers and governors through local phase councils and area meetings we have begun to co-construct a joint vision and agree key strategic priorities and actions we will take over the next five years.

4. Partnership working

Surrey has a successful history of working with and securing successful collaborative arrangements with its early years and childcare settings, schools, colleges and other key stakeholders and partners. Over the last twelve months both the Primary and Secondary Phase Councils have re-affirmed their commitment to continue to work together as part of a mixed economy of schools across all phases regardless of school status.

This plan builds on strong partnership working to achieve good educational outcomes at all stages in a child's life. It captures the ambitions and concerns of our partners, in particular those aims and values identified by the leaders of our schools in the primary and secondary visions for education (Appendix 1 and 2).

In return Surrey County Council has committed to:

- secure effective working relationships and partnerships and develop a formal 'Compact' for future working and partnership agreements with schools, colleges and other partners including the diocesan boards, health and the police
- support the early years and childcare sector to ensure that all aspects of the Early Years Foundation Stage are addressed so children are ready to learn when they start school
- support and challenge underperforming early years and childcare settings and schools to secure rapid improvement when they are judged to be failing or at risk of failing
- invest the capital needed to meet the growing demand for more early years, childcare and school places
- work with all our schools and colleges regardless of status to continue to raise standards and build capacity for a local self-improving school system
- engage with schools, colleges and other education partners to re-shape services to meet the needs of children and young people locally
- champion and promote inclusion and diversity to find and agree approaches to education that can support children and young people with additional needs and from vulnerable groups.

5. The role of the Local Authority

Our role as the local authority in education has changed, with more powers in education now devolved from local government to individual schools or held centrally by the DfE. The expectation is that we become more of a strategic commissioner and less of a direct provider of education services.

The Government has been explicit in promoting academies to become the norm within the education sector, reducing the number of maintained schools over which the local authority has traditionally had more influence and control. In Surrey, 22 out of 53 secondary schools and five out of 299 primary schools had converted to become academies by December 2012.

The relationship between Surrey County Council and schools has shifted so that schools now have more autonomy and this will shape how we are able to fulfil our role in the future.

Our **core education functions** will now be to:

- Ensure the sufficient supply of places in 'good' schools and fair access to education for all children and young people
- Support and promote the interests of vulnerable children and young people
- Promote and champion the interests of parents and families
- Champion Educational Excellence, tackle underperformance and support poor performing schools to improve quickly

6. Strategic priorities and approach

The Education Achievement Plan outlines our approach to working in partnership with all education providers to create the local agreements and environment for children and young people to succeed in Surrey. As a part of the Children and Young People's Strategy, the plan promotes prevention, potential and participation but also captures the ambitions and concerns of our partners, in particular those aims and values identified by our schools in the primary and secondary vision, which include:

- 1. Increasing participation and engagement** in the best education for all children and young people in Surrey, which includes ensuring that there is fair access to a sufficient number of high quality places provided for children and young people in their locality from the ages of two to 19.
- 2. Supporting collaboration and partnership** to improve outcomes and services for children and young people, through a more localised framework and compact for

partnership working between us, parents, local education providers and other agencies.

3. **Raising achievement and excellence and realising potential** so that every early years and childcare setting, school, and college provides a good education and has the highest ambition for all their children and young people, and drives their own improvement to enhance life chances and reduce inequalities.
4. **Preventing exclusion** so that every early years and childcare setting, school and college is able and willing to address disadvantage and find approaches to education that can support all children and young people with additional needs.

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7. The policy landscape and local context

We are an effective local authority with 86% of early years settings, 75% of primary schools, 72% of secondary schools and 87% of special schools judged as good or outstanding by Ofsted. Most of Surrey's children perform well at all key stages compared with their peers nationally. However, by the end of the Autumn term 2012, of the remaining 25% of schools, 4% (15) were judged as inadequate and 11% judged as satisfactory at their last 2 consecutive inspections. The new Ofsted Inspection framework replaces the 'satisfactory' designation with 'requires improvement'. Any school judged inadequate will now be expected by the DfE to become an academy partnered with a strong academy sponsor.

Post 16 performance has improved year on year and Surrey remains in the top quartile of achievement at Level 3 nationally. 84% of young people achieved Level 2 qualifications and 65% of young people achieved Level 3 qualifications by the age of 19 in 2011.

Not all children and young people in Surrey achieve their potential. The challenge remains for us to ensure that our most disadvantaged and vulnerable children and young people are also able to achieve their best and make good progress throughout all stages of their education. Currently the inequalities gap between children eligible for free school meals and their peers at the end of key stage 2 is one of the largest in the country. Improving the progress of these children is a key priority for us over the next 5 years.

The Surrey family of schools is strong and continuing to develop through the changing landscape in schools' status and management. We are able to work effectively and well with the mixed economy of schools maintaining and continue to develop effective partnerships. This includes academies, diocesan schools and boards, foundation and maintained schools.

There are already effective, local and collaborative networks of schools in Surrey and long term investment in a local self-sustaining school improvement system. School to school support is strong and is a significant element of our school improvement strategy. The school improvement strategy is implemented by our joint venture partner Babcock 4S.

The Government policy to reform radically the education system has resulted in unprecedented changes. These include a new inspection framework, new curriculum and assessment arrangements, new qualifications, new teacher standards and performance management and new funding arrangements for schools and local authorities.

In addition, our young people who started in year 11 in September 2012 are expected to stay on in education, employment, or employment with training for a further year, as a result of the Raising of the Participation Age (RPA) from 16 to 17 years old from 2013. From 2015 all young people in England must continue in education and or training until at least their 18th birthday, which means that the end of compulsory participation will be

extended by two years. This is discussed in greater detail in the Young People's Employability Plan.

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8. The challenges

While we are working to support our children and young people to achieve the best outcomes, we face a number of challenges. There is currently great pressure to reduce the cost of public services. Government policy and legislation around health, education and social care is changing and will fundamentally affect service provision. There is also a strong governmental drive to raise standards in schools, large through the greater use of academies and free schools. This Education Achievement Plan focuses on what is most important for children, young people and families in Surrey, providing value for money services and working in partnership to achieve the best outcomes for all. This may mean targeting available funding towards the services that meet the highest priority needs and decommissioning services that do not.

Our child population is rising and there is an increasing demand for our services overall but less money available to support services in their current form. Surrey County Council has already made significant savings of £67m in 2010/11 and a further £59m in 2011/12. These substantial savings mean that we are in a good position to deal with our increasing financial pressures. But because of the national economic situation, Surrey County Council needs to make a further £212m savings by 2017.

a. The changing needs of our children and young people

Surrey's child population is rising and there is an increasing demand for our services overall but less money available to support services in their current form. The Council has already made significant savings of £67m in 2010/11 and a further £59m in 2011/12. These substantial savings mean that we are in a good position to deal with our increasing financial pressures, but the national economic situation means Surrey County Council needs to make a further £212m savings by 2017.

There are 272,800 children and young people aged 0-19 years in Surrey and this is predicted to grow by a further 8% by 2018. Surrey is a prosperous county, yet 10% of the 0-19 population (23,090) is estimated to live in poverty. This is reflected in our schools, where 8% of the population is eligible to receive free school meals. The demography and profile of children and young people in Surrey has changed over the last decade. There is now greater ethnic and cultural diversity with more than 190 languages spoken, more children with English as an additional language and more children and young people living in single parent households.

The Joint Strategic Needs Assessment identifies a range of needs relating to children in Surrey. Despite improvements in attainment at all stages of education, children eligible for free school meals, looked after children and children from specific ethnic minority backgrounds are less likely to achieve as well as their peers and often perform worse in Surrey than in other parts of the country. Currently,

- 17% of children and young people live in lone parent households. 17,000 of these children and young people are also living in poverty
- In December 2012, there were over 900 children on a child protection plan, 3,361 children requiring social care support as Children in Need and 792 children are looked after by the County Council
- Over 19% of children and young people in our schools and academies are being supported through the special educational needs (SEN) code of practice. An increasing number of children are assessed with Autistic Spectrum Disorders; Behaviour, Emotional and Social Difficulties; and Speech, Language and Communication Needs
- 54% of children and young people who are persistently absent (PA) from education have special educational needs. 27% of those PA are eligible for free school meals
- 8% of 11-18 year olds are estimated to be Young Carers who have added responsibilities at home without additional support for their own needs
- Over 19% of children attending schools are now from black and other minority ethnic groups. There are over 2,200 Gypsy, Roma, and Traveller children and young people aged in 0-19 in Surrey.

b. Raising standards

The Government has adopted a number of policies to raise standards in schools including structural reform of the school system, a new inspection framework, raised floor standards, new performance and league tables, new curriculum and assessment arrangements and most recently the announcement of the reform of key stage 4 qualifications and 16-19 programmes and A Levels.

The challenge for us, early years and childcare settings, schools and colleges is to manage this unprecedented level of change while sustaining good and outstanding provision and accelerating improvement and effectiveness with little additional resource. Research shows that the quality of early years provision has a significant impact on outcomes for children later in life.

The Early Years and Childcare Service (EYCS) is committed to improving quality in all settings so that children have access to high quality, inclusive provision, which supports their learning and development. The EYCS offers guidance and support to newly registered providers, advises on the effective delivery of the Early Years Foundation Stage and a range of processes for raising the quality of provision, intervening quickly where

concerns have been identified. To support continuous quality improvement there is a comprehensive training programme to meet professional development needs.

We are well placed to meet our statutory functions and realise our ambitions for educational excellence with our unique school improvement and support service, Babcock 4S. Established as a joint venture in 2004, this pioneering partnership has grown even as other authorities have been forced to reduce services in this area.

School to school support is at the heart of the long-term strategy for raising standards in Surrey schools. The school improvement service has an excellent track record in brokering support from its Teaching Schools, other leading schools, headteachers and governors to support those experiencing difficulties.

Despite overall improvement in performance across the county, the introduction of the new Ofsted inspection framework has raised the bar resulting in more schools becoming vulnerable to 'requires improvement' judgements. Agreeing and implementing a new local education improvement strategy is an essential priority for us for the next 5 years. We intend to significantly increase the proportion of 'good and outstanding' schools in Surrey by 2017. This will be achieved by:

- engaging earlier, in a more focussed way with a greater number of schools to achieve our ambition that every child attends a good school
- targeting a higher number of schools for intensive support and intervention
- holding leaders, managers and governors more strongly to account for the performance and outcomes of all pupils and groups of pupils in their school
- ensuring that our services from different areas (education, health and social care) work closely together.
- ensure that our support is targeted in a more effective way on reviewing, supporting and developing the capacity of leadership and governance in school

Performance data indicates we need to:

- increase the rate of improvement across all key measures in order to improve our rankings against both statistical neighbours and all authorities nationally
- increase the number of pupils who make expected levels of progress in English and maths in particular, the lower ability and disadvantaged
- improve attendance, reduce persistent absence and exclusions.

Surrey County Council is committed to making support available for all children, but in particular those most vulnerable such as pupils eligible for free school meals or looked after children, to enjoy and achieve and make progress at all stages of their learning.

Key to our approach is the need to engage earlier and in a more focused manner with a greater number of schools. It is far less costly to work with schools before they significantly

decline, leading to better value for money. To achieve this we need to build capacity in the local system and re-shape the delivery of programmes and services in the future.

Resources are currently directed to a limited number of our most vulnerable schools. Our early preventative model relies on schools recognising the urgency of change and funding their own support. Our current school improvement strategy has secured nearly three quarters of schools as good or outstanding. Where we have targeted our resources on schools the majority have improved. It is therefore timely to review our current strategy in order to ensure that we engage earlier with a greater number of schools and our support is targeted in a more effective way to develop the capacity of leadership and governance in our schools.

c. Admissions, place planning and fair access

Since 2001 the birth rate in Surrey has risen by about 18% and continues to increase. This is creating very significant pressure on early years and school places, starting with those provided for the youngest children. It is projected that the birth rate will continue to rise over the next decade. Inevitably, the current “primary boom” in demand will turn into a “secondary boom” in the next five years. There is also a requirement to secure an additional 1,600 early years education places for 2 year olds in 2013.

The policy framework that surrounds maintained schools, free schools and academies raises concerns as to whether free schools and academies will be able to provide the additional capacity in a way that is fair for all children and young people in their area. With schools competing for pupils and funding, it may become increasingly difficult to align school autonomy and the need for collaboration on admissions procedures to ensure that all children have fair access to a school of their choice.

Surrey County Council will continue to work with all our schools and academies to develop admissions policies that ensure fair access to a good education for all our children and young people. It is the local authority’s ambition that ‘every Surrey child will be allocated an educational place at a good school or setting that supports them to reach their full potential’. This aim is a key part of the Education Achievement Plan, and one that is reflected in our visions with primary and secondary schools.

d. Funding reforms and a reduction in public spending

The DfE has announced reforms to the National Schools Funding Formula, starting with the simplification of local funding arrangements, before moving to a new national funding formula during the next spending period. Funding for schools will be distributed using a much simpler and nationally prescribed formula.

We are working with the Schools Forum to mitigate the impact the new funding formula is likely to have on budgets for many schools, particularly our most vulnerable schools.

Under previous arrangements these schools benefited from additional funding allocation for local categories of deprivation, but under the Government's new requirements this is no longer permitted.

e. Special Educational Needs

We believe that supporting all children and young people to have access to local education is vital. We will focus on improving the capacity of our schools to support and educate children and young people with complex needs. Too often our children and young people are placed remote settings outside our network and to tackle this we need to ensure that education staff are properly trained and schools are resourced to offer the full range of educational opportunities required to meet their particular needs.

While we will seek to reduce the number of children and young people needing to be placed in non-maintained independent schools, we also want to help our mainstream schools build up the confidence and expertise to support children and young people with SEN. This will mean that children and young people with SEN are able to achieve well within mainstream educational and be more successfully included and integrated with their peers. It also means that our special schools will have more capacity to provide and specialise support for more complex needs.

Following the School Funding reforms, funding for special educational needs will be allocated through the High Needs spending block. Our SEN strategy will aim to achieve a better match between the needs of pupils and the provision available locally, to deliver improved value for money and improved pupil outcomes. We recognise that the SEN strategy will require a realignment of resources to support developments in the mainstream sector as reliance on the non-maintained sector reduces.

Our SEN strategy is currently being revised; there is a need to adapt to new legislation being introduced in 2014. Over the next academic year we will review and make proposals to develop the range of special school provision it offers, and promote strategies to support the inclusion of more pupils with special educational needs in mainstream schools. Particular attention will be given to developing more robust commissioning arrangements with our key partners in health, social care and the voluntary sector.

9. What we need to do to make a difference in education by 2017

Participation and engagement

We will:

- provide accessible, good quality, free early years education places for every Surrey 3 and 4 year old and for the most disadvantaged 2 year olds
- invest the capital needed to meet the growing demand for early years and school places and work with schools to agree the expansion locally
- promote the participation and engagement of parents and carers in the education of their children
- ensure that every Surrey child and young person has a place at a good school or setting
- work with schools to promote equality and diversity to enable all children and young people to participate fully within their educational setting and reduce levels of bullying and discrimination
- work with partners to enable all young people to participate in education or training to the age of 17 by 2013 and to the age of 18 by 2015.

Raise achievement, secure excellence and realise potential

We will:

- ensure that all 2 year old looked after children eligible and children eligible for free school meals will be able to access a free education place
- support and challenge underperforming maintained nurseries and schools to secure rapid improvement when they are judged to be failing or not yet 'good'
- maintain a school improvement and support service that works in partnership with successful leaders, National Leaders of Education, Local Leaders of Education and Teaching Schools to raise standards
- continue to invest in a local leadership strategy to support the development of leaders and training for the workforce at all career stages
- develop and agree with partners a framework to broker the full range of school to school support to raise standards and build leadership capacity to improve
- champion and provide targeted support, advice and guidance to schools for children from vulnerable groups, in particular looked after children, young carers and children eligible for free school meals
- work in partnership with schools to raise attendance levels, providing a range of strategic and operational support to ensure children are fully accessing their entitlement
- sponsor, celebrate and share the success and the best practice in raising achievement of children and young people in Surrey

- support and challenge primary, secondary and special school partnerships and networks to raise achievement through the provision of broad, balanced and relevant curriculum opportunities to young people in the area
- continue to provide and share an overview of performance and standards at local authority, locality and provider level
- maintain a Virtual School for Looked After Children to champion high achievement and aspiration at all stages of their education.

Collaboration and partnership

We will:

- target support to schools with a high proportion of children with SEN in the Early Years Foundation Stage (Yr R)
- co-ordinate a local response for children under 5 years of age with complex health needs/disabilities through our Early Support Service
- work with all schools regardless of status to continue to raise standards and build capacity for a self-improving school system
- secure effective working relationships with schools and other partners and agree a Compact for working together - this includes us, maintained schools, academies, colleges, dioceses, health and the police
- continue to work with schools and other partners to re-shape services and develop new ways of working strategically together to raise standards for all children and young people
- ensure that agreements are secured so that local safeguarding systems and health and well-being strategies are agreed and implemented
- support the work of 11-19 Networks to work in partnership with local schools, colleges and special schools to provide a broad range of curriculum programmes to recognise achievement and provide progression routes for young people in their local area.

Preventing exclusion

We will:

- ensure all 2 year old looked after children and children eligible for free school meals will be able to access a free early education place
- support Children's Centres offering support to vulnerable families where their 2 year old is accessing education and childcare provision informed by a Common Assessment Framework
- provide a Children's Centre outreach and home visiting service to support families to access services to improve their home learning environment

- champion vulnerable and disadvantaged children and young people and support schools and settings to narrow the attainment gap
- increase the number of young people with SEN and disabilities accessing local education provision, with the support of their family and friends
- ensure that our schools are well equipped to deal with children and young people with complex needs, that there is a range of provision for children with Special Educational Needs and Disabilities and that access to local provision is promoted
- work in partnership with all schools to ensure access to education and school places are secured for the most vulnerable and challenging children
- work in partnership with schools to reduce exclusions, improve attendance and ensure quality and effectiveness of alternative provision.

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10. Appendices

Appendix 1. Education provision in Surrey

Early years

We are investing in early intervention to enable children to reach their full potential and have greatly increased our early years provision in recent years. Surrey County Council offers part-time places to all three and four-year olds and we are beginning to expand provision for two year olds. Most nursery provision is made through private and voluntary nurseries, many located on school sites. 58 Children's Centres provide enhanced support to young children and their families, and services are targeted to include many of the county's more disadvantaged families.

Infant and primary education

We have a wide range of infant, junior and primary schools and we retains more separate infant and junior schools than many other local authorities. Most changes over the last 30 years have increased the proportion of primary against separate infant and junior schools. The county is now experiencing a rapid growth in primary numbers, which have increased by around 14% since 2000 and continue to rise. Surrey County Council is investing in school buildings and new school places and most of this growth will be accommodated by expansion within existing school sites, although some new schools will be necessary. Projections have been exceeded in five urban areas. To date only five primary schools have chosen to become academies and there remains a strong commitment from the primary sector to work with us and our partners to ensure locally agreed solutions to meet the challenges facing the sector.

Secondary education

In the late 1970s, we successfully consolidated our secondary educational provision into 53 non selective schools including two single sexed schools. All our schools are comprehensive, distinguishing Surrey County Council from the grammar and secondary modern schools in Kingston, Sutton and Kent. We continue to drive educational excellence through this comprehensive system, which works well to serve all Surrey children. Over 20 secondary schools are now converter academies but have continued to work in partnership with us and the Surrey family of schools through strong local 11-19 networks, area and phase council meetings.

Further education

We have a mixed economy of post 16 provision, divided in approximately equal proportions between 30 school sixth-forms, 5 sixth-form colleges and 4 further education

colleges, with considerable variation between areas. The vast majority of the school sixth-forms and the sixth-form colleges perform very well. There may be a need to review the viability of a few smaller school sixth forms given current funding pressures. Surrey has a relatively low number of young people not in education, employment or training; however reducing this further remains a priority for us.

Special Schools

Approximately 2% of the child population in Surrey has a statement of special educational needs. Surrey County Council supports a large number of special schools (23) and we also place a high proportion of our pupils in non-Surrey schools. We are seeking to reduce the number of children and young people placed in non-maintained independent schools. The Special School Vision is currently being developed with Special School Phase Council.

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Appendix 2. Measures of success

The following measures will be used to measure the impact of the Education Achievement Plan. By 2017 we will:

1. increase the percentage of schools in Surrey judged by Ofsted to be good or outstanding to over 95%
2. increase the number of families registered with a Children's Centre and the levels of participation in the programmes on offer
3. increase the proportion of children achieving the expected level at the end of the Early Years Foundation Stage
4. increase the number of early education and childcare settings judged to be good or outstanding
5. ensure that sufficient additional school places have been opened to provide a suitable offer for every child of compulsory school age
6. increase the attainment of children from vulnerable groups (particularly those eligible for free school meals and looked after children) to above the national average at the end of each key stage of education
7. ensure that 90% of children achieve Level 4 in English and maths at the end of key stage 2 and 70% achieve 5*A-C GCSEs including English and maths at the end of key stage 4
8. improve attendance and persistent absence (PA). Primary schools will have above 96.9% overall attendance and no more than 2.25% (PA) by 2017. Secondary schools will have above 95.5% overall attendance no more than 5% (PA) by 2017. Special schools will have above 92.25 overall attendance and no more than 12.5% (PA)
9. increase participation of young people in education, training or employment to 99% (by 2015)
10. increase the percentage of 19 year olds gaining Level 2 qualification to 85% (by 2015)
11. increase the percentage of 19 year olds gaining Level 3 qualifications to 65% (by 2015).

Appendix 3. Primary Vision



A Vision for Primary Education in Surrey

Every child and young person contributes and achieves more than they thought possible

We are committed

to a partnership where goals are ambitious, partners come from a range of organisations and diversity is embraced within Surrey and all its schools.

This partnership will forge a strong professional workforce that recognises and enables dynamic leadership. When every stakeholder within education in Surrey engages in this vision we will secure an outstanding educational system for all children.

We believe the role of primary schools is unique because at their best they:

- celebrate the uniqueness and excitement of childhood
- unlock the door and lead children to future success and happiness
- empower children to believe in themselves, be resilient to life's challenges and overcome their barriers to learning
- equip children with essential literacy, language, numeracy and technological skills
- enthuse, excite and motivate children through a rich, stimulating curriculum and a broad range of experiences
- empower children to become responsible citizens and members of their community who make informed choices
- enable children to build positive relationships and understand how to keep themselves safe and healthy
- champion every vulnerable child by providing a safe, secure and stable learning environment
- connect and engage with the children, families and communities they serve and are valued by them
- empower parents to be aspirational for their children and work in partnership with schools

We recognise some of the challenges in Surrey to be:

- achieving the highest standards and improving outcomes for all children
- rising population requiring more school places
- greater diversity and inclusion
- an increase in the number of disadvantaged children aged 3-11 years
- the need to target and co-ordinate health and social care resources at younger children and families at a time of reduced public spending
- local decisions for local communities and the authority and infrastructure devolved to make this happen
- engaging a diverse set of schools who are at different stages in their capacity to engage
- achieving mutual support between schools
- shaping a new relationship and new way of working together
- growing, nurturing and sustaining a supply of good and outstanding leaders

Together we will achieve the best outcomes for all Surrey children by implementing the following strategic priorities

1. Improve participation and engagement in the best primary education for all children in Surrey
2. Improve collaboration and partnership working with the Local Authority to shape a more localised way of working
3. Raise achievement so that every school has the highest ambition for all their children and drives their own improvement and the life chances of every child

Our vision for learning
to secure an outstanding educational system for all children



Appendix 4. Secondary Vision

Surrey Secondary Schools: Our Vision

Every child and young person contributes and achieves more than they thought possible

All Surrey secondary schools share in valuing:

- the uniqueness and worth of every child and young person regardless of gender, race, disability, religious belief, sexual orientation;
- the entitlement of every child or young person to an education which enables them to become well rounded individuals, with a strong desire for lifelong learning and the confidence and ability to compete and contribute as influential members of their communities;
- the right of each child or young person to achieve their potential and pursue their aspirations through access to an inclusive education;
- the power of partnership working and collaboration between all schools, colleges, the Local Authority and other agencies to remove barriers to learning creatively so that this uniqueness, entitlement and right may be realised.

Together we are committed to:

- working with one another and with the Local Authority regardless of school status to deliver excellent and ever improving educational provision and outcomes for every child and young person in Surrey;
- building school communities in which every child and young person feels safe, valued and respected with a sense of themselves as local, national and international citizens who care for others and the environment;
- ensuring that every young person in Surrey progresses successfully at 16 to further education, training or employment with training;
- attracting, retaining and supporting the best professionals to lead and deliver education and support for children and young people in their learning now and into the future;
- supporting each school regardless of its status to become innovative, responsive, successful, at the forefront of learning practice and the heart of its community;
- developing creative strategies and practices for the effective use and acquisition of resources;

Together, we will overcome a range of current and emerging challenges some of these being:

- to develop robust new, mutually supportive working relationships between schools in all phases, Sixth Form and GFE Colleges, the Local Authority and Health, Social Care and the police;
- to narrow the gap in attainment and progress between all groups of young people by raising the attainment and securing the progress of all;
- to ensure that all children and young people in Surrey develop the highest levels of literacy and mathematics across the curriculum of which they are capable;
- to develop new and increasingly flexible approaches to inclusion;
- to manage the increasing need for additional secondary school places and the changing and more diverse local profile of communities;
- to ensure the progression of all young people to further education, training or employment with training in line with the Raising of the Participation Age;
- to anticipate and respond to changes in the curriculum;
- to positively address the needs of small schools, pockets of deprivation and the pressures of working across LA borders;
- to undertake effective and timely succession planning for leadership in schools;
- to manage these challenges in the face of reduced public spending.

Together we will live out our values, fulfil our commitments and overcome our challenges by implementing the following strategic priorities:

- improve participation, outcomes and progression opportunities for all children and young people in Surrey's state funded secondary schools;
- strengthen and shape the culture of partnership working between state funded secondary schools, regardless of school status, other schools in all phases, Sixth Form and GFE Colleges, the Local Authority and Health and Social Care and the police;
- secure best practice for the acquisition of funding.

Education and Achievement Plan
Measures of Success: baseline data and targets for 2017

Annex 2

Measure	Inspections to end of 2011/12 academic year	Inspections to end of 2012/13 autumn term	Latest change (2011 - 2012 where available)	National data for 2011/12 AY	Latest gap to National	2011/12 AY Rank SN (Nat)	Target for 2017
Ofsted % good or outstanding schools (all state-funded schools)	70.9	75.4	4.5	69.5	5.9	9 (77)	>95%
Measure	Latest available data				Target for 2017		

Early Years and Childcare	Number of children working at expected or exceeding levels of attainment at the end of the Early Years Foundation Stage (EYFS)	New Early Years Foundation Stage framework introduced in September 2012 - baseline data is not yet available				tbc - new framework
	Number of families registered with a children's centre and the levels of participation in the programmes on offer	% of 0 to 4 year olds registered at a Surrey children's centre	44		60	
		% of 0 to 4 year olds accessing services at a Surrey children's centre in a year	39		50	
		How well does the setting meeting the needs of children in the EYFS?	82		86	
		The effectiveness of leadership and management of EYFS	82		86	
	Proportion of early education and childcare settings judged to be good or outstanding by Ofsted	The quality of provision in the EYFS	84		90	
		Outcomes for children in the EYFS	85		91	

Measure	2008	2009	2010	2011	2012	Latest change (2011 - 2012 where available)	National data for 2011/12	Latest gap to National	2011/12 Rank SN (Nat)	Target for 2017
Key Stage 2 % of disadvantaged pupils (FSM6 +CLA) achieving L4+ in English & mathematics				57	63	6	68	-5	7 (119)	>national average
% who started key stage 2 below expected level achieving L4+ in English & mathematics					24		34	-10	11 (142)	>national average
% pupils eligible for FSM achieving L4+ in English & mathematics	53.3	48.7	50.4	52	58	6	66	-8	7 (129)	>national average
% all pupils achieving L4+ in English & mathematics	78	77	77	77	82	5	79	3	4 (26)	90%

Education and Achievement Plan
Measures of Success: baseline data and targets for 2017

		Measure					Latest available data			Target for 2017	
Key Stage 4	% 5+ A* - C including GCSE English & mathematics	56.8	58.8	62.0	63.5	64.2	0.7	59.0	5.2	4 (19)	70%
	Absence from primary schools	5.00	4.80	4.90	4.70	4.10	-0.6	Available March '13	Available March '13	Available March '13	3.1%
	Persistent absence from primary schools (pupils with more than 15% absence)				3.1	2.90	-0.2	Available June '13	Available June '13	Available June '13	2.25%
Absence	Absence from secondary schools	7.30	7.10	6.70	6.20	5.50	-0.7	Available March '13	Available March '13	Available March '13	4.5%
	Persistent absence from secondary schools (pupils with more than 15% absence)				7.4	6.20	-1.2	Available June '13	Available June '13	Available June '13	5.0%
	Absence from special schools			9.50	9.00	8.20	-0.8	Available March '13	Available March '13	Available March '13	7.75%
	Persistent absence from special schools (pupils with more than 15% absence)				14.1	13.7	-0.4	Available June '13	Available June '13	Available June '13	12.5%
Services for Young People	Participation of young people in education, training or employment (2008-2011 based on 16-18yr olds; 2012 data based on year groups 12,13 and 14)	96.6	96.6	95.9	96.1	95.8	-0.3	No national comparators available	No national comparators available	No national comparators available	99%
	Percentage of 19 year olds gaining Level 2 qualification	78.7	81.4	82.6	84.6	available April 2013	2.0	81.0	3.6	5 (22)	85%
	Percentage of 19 year olds gaining Level 3 qualification	59.2	61.3	63.4	65.5	available April 2013	2.1	54.5	11.0	3 (15)	65%

SURREY COUNTY COUNCIL**CABINET****DATE: 5 FEBRUARY 2013****REPORT OF: MR JOHN FUREY, CABINET MEMBER FOR TRANSPORT AND ENVIRONMENT****LEAD OFFICER: TREVOR PUGH STRATEGIC DIRECTOR ENVIRONMENT & INFRASTRUCTURE****SUBJECT: TACKLING TRAFFIC CONGESTION - INTRODUCTION OF A ROAD WORKS PERMIT SCHEME****SUMMARY OF ISSUE:**

Surrey County Council (SCC) is committed to reducing congestion and disruption caused by road works. To assist in achieving this outcome the authority is proposing the introduction of a permit scheme which would provide an improved alternative to regulating and coordinating road works on Surrey's road network.

RECOMMENDATIONS:

It is recommended that:

1. The report and recommendations of the Task Group on Utilities (attached as Annex 1), including support for the introduction of a Permit Scheme, be considered and a response agreed.
2. Surrey County Council introduces a Permit Scheme as set out in this report subject to a successful consultation outcome and a successful application to the Department for Transport (DfT).
3. Further authorisation on the details of the Permit Scheme be delegated to the Assistant Director Highways in consultation with the Cabinet Member for Environment and Transport.

REASON FOR RECOMMENDATIONS:

In practice there are limited controls available under current legislation for the local authority to control the coordination of road works. The introduction of the Traffic Management Act 2004 (TMA) was intended to give more powers to local authorities to do this and has provided a range of different measures which includes permit schemes. It is recommended that the authority take advantage of the additional powers to introduce a permit scheme under the TMA in order to increase our control of road works. This greater control would also allow for increased integration of utility works with those road works promoted by the Council. The overall aim of the permit scheme being to contribute more effectively to minimising congestion across the whole of the road network in Surrey.

DETAILS:

Introduction

1. It is estimated that currently over 40,000 excavations take place annually in the County to enable various types of road and street works to be carried out. These excavations can cause considerable inconvenience to residents and businesses and substantial delays to traffic. Effective coordination is therefore essential to minimise disruption whilst allowing works promoters the necessary time and space to complete their work.
2. Highway Authorities have a duty to co-ordinate all works on the highway under the New Roads & Street works Act 1991 (NRSWA). Under the current regulations, Statutory Undertakers (SU) are only required to notify the Highway Authority when they need to undertake repairs or improvements to their apparatus. Other than co-ordinate their works with other SUs and the Council's own schemes, the NRSWA provides limited powers to the Council as highway authority to control the way in which the works are completed. For example under a notification process the Council has limited control of when works start and finish, which can also hinder our capability to inspect works in progress, and also limits opportunities to promote integration or joint working.
3. The Traffic Management Act 2004 (TMA) places a new Network Management Duty on all Highway Authorities in England. This Duty is defined in Section 16(1) of the TMA:

'It is the duty of a local traffic authority to manage their road network with a view to achieving, so far as may be reasonably practicable having regard to their other obligations, policies and objective, the following objectives:

- i) Securing the expeditious movement of traffic on the authority's road network; and,*
- ii) Facilitating the expeditious movement of traffic on road networks for which another authority is the traffic authority.'*

Options and Impact

4. Under Part 3 of the Act, highway authorities can apply to the Secretary of State to operate a Permit Scheme as an alternative to the notification system of the NRSWA. Permit schemes differ from existing powers for managing activities on the street in a number of key respects:
 - (i) rather than informing the highway authority of their intentions, SUs will need to book occupation of the highway for specified periods and for a specified purpose;
 - (ii) conditions which impose constraints on the dates and times of activities and the way that work is carried out can be attached to permits by the highway authority;
 - (iii) the highway authority's control over variations to the permit conditions, particularly time extensions, should give a greater incentive to complete activities on time.
5. Under the current legislation there is therefore the opportunity to invoke greater powers to manage works and activities on the highway and so the

Council has two options. To maintain the current process of formal notification or to introduce a permit scheme and apply further powers to improve coordination.

6. Benefits have already been seen from Permit Schemes which are already in operation across London and in Kent County Council (KCC). The report on the first year of operation of the London Permit Scheme (LoPS), which as 'Tranche 1' was operated by 17 London Boroughs and Transport for London (TfL) highlighted the scheme had achieved the following;
 - a. An increase in collaborative working resulting in less 'individual' works being carried out on the network thereby leading to a decrease in network disruption. Over the first year this was reported as a rise in the number of days of disruption saved from 726 days to 1793 days, an increase of 147%.
 - b. An increase in the formal record of works being carried out on the highway network. Reported as an increased discipline amongst Highway Authorities in recording their own works, leading to a 237% increase in formally recorded works, providing more opportunity for collaboration and better public information through the 'Londonworks' website.
 - c. An enhanced reduction in the overall number of works being carried out on the highway network. Reported as a 17% reduction in the volume of works undertaken (compared against a 7% reduction of works in non-permitting London Authorities at that time).
 - d. Better quality of works information available to make considered coordination decisions
 - e. Delivery of a large percentage of the expected benefits for average journey time and journey reliability times. This would include for improvements in journey times following a reduction in disruption on the network.
7. The success of LoPS has seen other Boroughs join the scheme and the final 'Tranche 4' of LoPS will mean that all London Boroughs operate LoPS from March 2013 onwards.
8. The Kent CC Permit Scheme was the first scheme introduced outside of London, commencing shortly after LoPS. Benefits outlined in the first year of operation included;
 - a. A 26% reduction in complaints about 'congestion and Coordination
 - b. A significant reduction in the volume of 'street works enquiries' from the public (The reduction reported as 385 enquiries Jan 2009 compared to 270 enquiries Feb 2011)
 - c. An increase in collaborative working resulting in less 'individual' works being carried out on the network thereby leading to a decrease in network disruption. Reported as in excess of 1500 total number of days saved as a result of collaborative working (monetised benefit to travelling public of c£1m).

- d. A 5% increase in the number of 'first time' permanent reinstatements being carried out by works promoters (75% to 80%). Permanently reinstating on the first visit avoids the necessity to revisit the location to rectify temporary reinstatements. A reduction of repeat visits thereby contributes further to reducing disruption.
 - e. Significant cultural change in respect of pre-planning and coordination of works – especially of Kent CC's own highways works, limiting disruption and providing safer roadworks.
9. A recent Environment and Transport Select Committee Task Group has considered the introduction of a permit scheme as part of a wider overview of utility works. Details of the Task Group's work are set out in paragraphs 17 – 21 below and its final report is attached as Appendix 1. The merits and shortcomings of a permit scheme were explored and the recommendation made, by the Task Group, to endorse the introduction of a permit scheme in Surrey.
 10. Although Highway Authorities are not obliged to introduce a Permit Scheme, if they do the legislation requires permits to be issued for all works on the highway that involve excavation, whether they are road works undertaken by their own contractors or SUs street works. This means that utility works and works promoted by this council will be treated in exactly the same way in terms of coordination and setting conditions.
 11. Under a permit scheme any works promoter who wishes to carry out any registerable activity in a road or street must obtain a Permit from the relevant Permit Authority operating a scheme first. The Permit allows the promoter to carry out the specified activity and will set out the location, start and finish dates, duration and any specific conditions that may be required. The permit scheme does not apply to work promoters that are not statutory authorities (e.g. developers, building firms and domestic drainage companies) and in these cases street works will continue to be applied for through an application for a Street Works Licence under section 50 of NRSWA.
 12. The NRSWA requires highway authorities to administer the works notification system at their own expense, with charges only being applied for inspections, defective reinstatements or over-running works. Although permit schemes are not intended to generate revenue for highway authorities, they are expected to cover their reasonable costs incurred in running the scheme through charging a permit fee. The regulations outline the maximum level at which an authority can set their fees and fees will only apply to utility works. Fees cannot be charged for issuing a permit for a highway authority's own works and neither can the costs involved in issuing permits for our own works be off-set against the fee income received from utility works.
 13. Authorities can elect to operate three types of permit scheme; a 'single' scheme where one authority operates their own scheme in isolation, a 'joint' scheme where two or more authorities agree to operate the same scheme which is administered by one authority only, or a 'common' scheme where two or more authorities operate schemes with the same set of rules, but with each authority administering the scheme for their own area.
 14. Kent CC's scheme is a single scheme, precluding any other authorities from joining it. The London Permit Scheme is a common scheme but the statutory

instrument specifies it is a common scheme for authorities in London (only), precluding any authorities from outside Greater London joining. Any approved permit scheme is designed to suit individual or participating authority's requirements and both schemes have been considered successful in operation as described above.

15. In order to operate a permit scheme the Council must apply to the Department of Transport to do so. The permit scheme will then be established by an individual order in the form of a statutory instrument.
16. In terms of future potential for further control over road and street works a lane rental scheme is an option that will be considered by the Council following the introduction of a permit scheme and assessment of pilot schemes in Kent and London. A lane rental scheme provides a financial incentive for works promoters to make sure their work is carried out in a less disruptive way, for example avoiding works at busy locations at critical times. A lane rental scheme is aimed at reducing network disruption on the most critical parts of the highway network and works alongside a permit scheme. The current legislation requires that the local authority operate a permit scheme prior to considering the introduction of a lane rental scheme. The lane rental option is currently being piloted in Kent & Transport for London (TfL) and the DfT will review the success of these schemes before considering a wider application.

Utilities Task Group

17. The disruption caused by street works carried out by utilities companies on the County's highways is a significant issue for the people of Surrey. Members and residents have frequently expressed concerns that the maintenance works of utilities companies are often conducted without sufficient prior consultation and arrangement with the Council. Furthermore, inspecting and rectifying substandard reinstatement works has a significant cost implication for the Council and issues with traffic disruption and congestion can result from problematic street works.
18. In order to address these concerns, the Environment & Transport Select Committee formed a Task Group of Members to look at the subject of utility company street works in-depth and form a series of recommendations with the aim of improving the co-ordination and quality of work of utilities companies in Surrey. The Task Group also considered proposals to introduce a permit scheme for Surrey, which would be applied to all works on the County's highways. A report detailing the Task Group's findings is attached at **Appendix 1**.
19. The Task Group recommended that:
 1. A clear and accessible internal and external communications policy with regards to the publicising of street works is developed.
 2. The process for monitoring and reporting the quality of street works be made more cost effective and efficient for the County Council, and have greater incentive for utilities companies to complete their works on time and to a high standard.

3. Proposals to introduce a “common” permitting scheme with East Sussex County Council, to coordinate all works on the Surrey County Council highway, be endorsed.
 4. Processes around the planning, monitoring and execution of street works, particularly including areas with special conditions such as Conservation Areas, be made more effective and robust.
20. Specific actions relating to how these recommendations can be implemented effectively are contained within the main report.
 21. The proposal with respect to the introduction of a permit scheme is addressed below. The Cabinet Member’s response to the recommendations will be presented at the meeting.

Proposal

22. The proposal for Surrey County Council is to introduce a permit scheme which has been developed as a common scheme in conjunction with East Sussex County Council (ESCC). The common aspect of the scheme relates to a single set of rules that would apply in running the scheme in the individual authorities and increases the potential for compliance by shared or regional works promoters. Each participating authority in a common scheme would act independently in operating the scheme and would remain financially independent in terms of the fee structure
23. It is proposed the permit scheme being operated by the Council would be given the title of the South East Permit Scheme (SEPS). Applying a wider title than just the authority name enables other authorities in the region to join this common permit scheme in the future should they be interested. This approach has been used for various other permit schemes across the country and provides further opportunity for consistency across a region and thereby compliance by works promoters.
24. The SEPS has been prepared by representatives from both SCC and ESCC in accordance with the statutory duties in the TMA and the objectives are to:
 25. Provide an environment to help each of the Permit Authorities operating the SEPS to meet their network management duty,
 26. Support us in seeking to minimise disruption and inconvenience by encouraging good practices, mutual and collaborative working arrangements and a focus on co-ordination and getting it right,
 27. Encourage a high emphasis on safety for everyone including site operatives and all other road users with special emphasis on people with disabilities,
 28. Emphasise the need to minimise damage to the structure of the highway and all apparatus contained therein,
 29. Provide a common framework for all activity promoters who need to carry out their works in the applicable region,
 30. Treat all activities covered by the scheme and activity promoters on an equal basis.

31. In operating a permit scheme, officers will be required to consider the content and potential impact of permit applications from works promoters, and challenge or give approval to the application. In coming to a decision various aspects will be considered including, but not limited to, the following;
 - a. The road network capacity
 - b. The scope for collaborative working arrangements
 - c. The optimum timing of activities from all aspects
 - d. The effect on traffic, in particular, the need for temporary traffic restrictions or prohibitions
 - e. Appropriate techniques and arrangements, particularly at difficult road junctions and pinch points
 - f. The working arrangements required in protected and traffic sensitive streets, and streets with special engineering difficulties
32. Where there are identified difficulties, officers will discuss these with the works promoter and, where possible, agree an acceptable way forward. In doing so the Council may elect to include specific conditions in a permit to ensure the work is carried out in such a way as to minimise disruption and inconvenience particularly to local businesses and residents.
33. The SEPS will require that permit applications are necessary for all statutory authority promoted works being carried out on the highway. Given the constant volume of works being carried out across the network it is not feasible to apply the same level of scrutiny to every permit application that the council would receive. On this basis, and in accordance with other operational permit schemes, permit applications for the more disruptive works will receive more scrutiny and be charged a 'permit fee'.
34. Whilst SCC currently has officers reviewing road works notices under the present legislation, the increased scrutiny required for incoming permits will necessitate the recruitment of additional officers. This identified increase in resource level follows good practice by other authorities operating a successful permit scheme. Additional officer and system costs will be met by the fee income generated by a permit scheme and although we do not know the exact level of resource required at present it is estimated that an additional eight full time members of staff will be required to process permit applications as described. The additional resource requirement is subject to consultation outcomes and the DfT response and will be confirmed following the finalisation of the SEPS.
35. In order to proceed with the permit scheme proposal, the cost benefit of introducing a permit scheme was calculated. This was achieved by used traffic modelling software in order to determine the impact on traffic resulting from works on the highway. Based on the current levels of work, the estimated cost of congestion associated with road works was calculated at £98.8m per annum across the county. Estimations of the amount of works reduced through the implementation of the permits system have also been calculated through the use of evidence gathered as part of the review of the Kent Permit Scheme introduced in 2010. Based on current work levels of

over 40,000 per annum it is estimated that annual benefit of a 4.4% reduction in road works will be achieved by introducing a permit scheme in Surrey, which equates to a £6.7m saving in congestion per annum. This compares favourably with other permit schemes already in operation, such as the London permit scheme which reported approximately £2.7m in congestion saved in its first year (2010).

36. The timetable for introducing a Permit Scheme is to a great extent dependent on the DfT however SCC would try and implement the Permit Scheme as soon as possible. This is anticipated to be no later than January 2014. Based on the current DfT process the estimated start date for the scheme for SCC will be based on the following programme;
- a. Start of formal consultation – 28 November 2012,
 - b. Submission by ESCC & SCC to the DfT – March 2013
 - c. DfT approval anticipated – July 2013
 - d. DfT provision of Statutory Instrument anticipated – October 2013
 - e. Recruitment/Training/IT preparations* – July – Dec 2013
 - f. Implementation of the scheme* – Dec 2013

* subject to DfT timescales for giving scheme approval and issue of the statutory instrument.

CONSULTATION:

37. Prior to introduction of a permit scheme a full statutory consultation must be undertaken as required in the Traffic Management Act Permit Schemes (England) Regulations 2007. Informal consultation was carried out during summer 2012 and the finalised SEPS is currently undergoing a formal consultation phase, due to be completed 20 February 2013.
38. Formal Consultation is carried out with all interested parties lasting for a 12 week period and ends on 20 February 2013. The consultation is specifically targeted at key stakeholders, including;
- DfT
 - National Joint Utilities Group
 - Local Government Association
 - All Utility Companies who work in SCC
 - All neighbouring Authorities
 - All District and Borough Councils within SCC
 - All Parish Councils within SCC
 - Environment Agency
 - Disabled Persons Transport Advisory Committee
 - Royal Association For Deaf People
 - Royal National Institute for the Blind
39. Subject to the response from the formal consultation the permit scheme will be finalised for submission to the Secretary of State.

40. Over recent months the DfT has also been considering the implementation of permit schemes and in particular their operation in relation to the roll out of Broadband. This follows an announcement made in September 2012 from the Transport Minister Norman Baker who stressed that the operation of street works should not unduly hinder the progress of delivering the roll-out of superfast broadband, and that additional Guidance for future permit schemes would be provided to take this work forward. The additional guidance, issued on 15 January 2013 will also be considered in conjunction with the consultation response prior to finalising the scheme.

RISK MANAGEMENT AND IMPLICATIONS:

41. In addition to statutory duty requirements, the public have an expectation on the authority to efficiently manage road works. It is intended that the implementation of a permit scheme would enable SCC to make a more significant improvement in this area compared to continuing the current notification process.
42. Sufficient time will need to be allowed for prior to a go live date to ensure planning and resource provision are adequate to be able to implement a permit scheme successfully.

Financial and Value for Money Implications

43. The operation of the Permit Scheme will require SCC to employ additional staff to the Street Works team (current estimate x8 FTE), along with retraining of existing staff in both the Street works team and internal departments who are responsible for ordering works on the highway. Additional set up costs will also include revisions to IT systems and hardware required for the additional staff. The Cost Benefits Analysis completed for DfT submission estimates total scheme start up costs at £140,000.
44. It is anticipated that this annual expenditure will be covered by the permit charges levied against Statutory Undertakers for their approved activities on the Highway, including recovery of the scheme start up costs in year one of operation. The proposal should therefore be cost neutral for this service area and the annual recovery of costs will also contribute to corporate overhead costs. Authorities operating permit schemes are required to carry out an annual review of their permit fees, to ensure the scheme remains cost neutral, neither creating surplus income, nor creating budgetary pressure.
45. Authorities are required to complete the DfT's 'Permit Fee Matrix' as part of the formal submission of the scheme to the DfT. to calculate the level of each category of permit fee. This 'matrix' – a complex spreadsheet – derives the permit fees using; staff costs, a 'man hours' calculation of the officer time required to complete the additional scrutiny required to operate a permit scheme, and generic percentage rates to cover other operational costs applied to the scheme, such as IT provision. The DfT have set a Maximum fee applicable to each category of permit. Annual permit income for Surrey County Council is currently estimated at £1,137,605 per annum based on previous year's volume of works, multiplied by proposed permit fees by activity type.
46. The table below shows the Proposed SCC Permit fee levels, against the DfT maximum permitted fee and the year 1 Kent CC permit fees*;

Street Category	Permit Type	SCC proposed fee	DfT Maximum Fee	Kent CC year 1 fee*
Cat 0-2 & TS Streets	Prov. Advance Auth.	£83	£105	£87
Cat 0-2 & TS Streets	Major	£216	£240	£225
Cat 0-2 & TS Streets	Standard	£127	£130	£130
Cat 0-2 & TS Streets	Minor	£58	£65	£65
Cat 0-2 & TS Streets	Immediate	£52	£60	£57
Cat 3-4 Non TS Streets	Prov. Advance Auth.	£66	£75	£73
Cat 3-4 Non TS Streets	Major	£141	£150	£146

*Note that Kent CC have confirmed that having reviewed their permit scheme fees, they intend to lower the fees for future years, having had surplus income in year 1 operation of their scheme.

47. A requirement of operating a permit scheme for street works is that the scheme should be cost neutral. It is also a requirement that annual financial reviews of the scheme are completed, comparing permit fee income against operating costs. Any year-on-year imbalance should be redressed by either increases or reductions in the level of permit fees levied in the subsequent year, as required.
48. Operation of a permit scheme does not reduce SCC's opportunity to apply charges for non compliance to Statutory Undertakers, such as over running works or defective reinstatements. The scheme introduces potential additional non compliance charges, such as breaching the conditions of a permit, however such income is dependent upon Statutory Undertaker performance and can be subject to fluctuation. An annual saving of £100,000 is estimated from 2014/15 against the wider potential of streetworks related non-compliance charges.
49. Income derived from completion of 'sample' on-site inspections of Statutory Undertaker's works is unaffected by the operation of a permit scheme. The capacity of the Streetworks Team to carry out compliance monitoring has recently been increased following the appointment of permanent and additional fixed term staff. In addition to driving performance improvement this monitoring should also assist in removing the current shortfalls in streetworks financial recovery.

Section 151 Officer Commentary

50. The introduction of a permit scheme is expected to be cost neutral to the Council, with costs (including set up costs and overheads) being recovered through permit charges. Fees will be reviewed and, if necessary, adjusted annually to ensure this is the case.

51. The introduction of a permit scheme creates the potential for additional non-compliance charges. Together with recent staffing changes within the Streetworks team, this is expected to make good the current income shortfall (£200,000) from 2013/14 onwards and potentially result in additional non-compliance income from 2014/15, currently estimated at £100,000 per year.

Legal Implications – Monitoring Officer

52. On becoming a Permit Authority, SCC may not cease to operate the scheme without first consulting all interested parties and then applying to the Secretary of State to revoke the scheme.
53. The authority will be scrutinised to ensure that our operation of the scheme shows parity between internal operations and those of external agencies such as Utility companies.

Equalities and Diversity

54. An equalities impact assessment has been carried out and is attached as **Appendix 2** to this report.
55. The key impact identified by the EIA is that fewer and safer work sites generally should result in; the elderly, pregnant women or those with a disability who may be less mobile, those people in wheelchairs or using buggies/pushchairs, or those who have limited vision, encountering fewer difficulties in using the highway.
56. No key negative impacts have been identified for people with protected characteristics.

Climate change/carbon emissions implications

57. A negative consequence of increasing road congestion is that it damages the environment. The main consequences are the impacts on air quality through the emission of greenhouse gases and the waste of valuable energy resources from vehicles waiting in traffic queues. Whilst the primary cause of this problem is the increasing number of road journeys by private vehicles causing the demand to travel to exceed the road network capacity at peak times of the day, the occurrence of works on the network exacerbates this by restricting the available capacity.
58. The SEPS scheme will have a positive impact on these environmental issues by minimising any loss of network capacity caused by street works in order to reduce the occurrence of congestion. This will be achieved by improved coordination between works promoters, better planning of works, placing conditions on how and when works take place and improved enforcement.

WHAT HAPPENS NEXT:

59. Timeline as follows:
- Consultation responses to the proposed SEPS will be reviewed and the document amended where considered appropriate.
 - The finalised SEPS and supporting documents will be submitted to the DfT.

- Following approval from the DfT (anticipated July 21013), preparation will commence and implementation date agreed and formally published.
 - Implementation of the permit scheme, anticipated to be no later than Jan 2014.
 - Annual review of the permit scheme, and adjustment as necessary.
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Contact Officer:

Lucy Monie, Operations Group Manager, 02085419896

Consulted:

Assistant Director for Highways, Jason Russell
Strategic Director for Environment & Infrastructure, Trevor Pugh
Environment & Transport Select Committee, Utilities Task Group Members
Traffic & Streetworks Team
Utility companies that work across the region,
Local authorities in the South East region
SCC highway works promoters

Appendices:

Appendix 1 – Report of the Utilities Task Group
Appendix 2 - EIA

Sources/background papers:

- Traffic Management Act 2004
 - Traffic Management Permit Schemes (England) Regulations
 - New Roads & Streetworks Act 1991
 - London Permit Scheme
 - Proposed South East Permit Scheme
 - Kent Permit Scheme Annual Report Feb 2010 to Jan 2011
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Environment & Transport Select Committee
10 January 2013

Task Group Report: Improving the Co-ordination and Quality of Work of Utilities Companies in Surrey

Purpose of the report: Policy Development and Review

The Select Committee is asked to endorse the recommendations of the Task Group, which seek to improve the co-ordination and quality of work of utilities companies in Surrey.

Introduction:

1. This report sets out the recommendations of the Task Group established to improve the co-ordination and quality of work of utilities companies in Surrey.
2. The Task Group was instigated to improve the standard of, and level of disruption caused by, utility company street works in Surrey. From the outset the Task Group's key objectives were:
 - i) To establish how the Council can work more effectively with utilities companies to better communicate and co-ordinate street works.
 - ii) To improve the standard and quality of work carried out by utilities companies.
3. The review also considered the viability of the introduction of a permit scheme to co-ordinate all works on Surrey County Council's highway.
4. The Task Group's Membership was as follows: Mrs Pat Frost (Chairman), Mr Mike Bennison, Mr Stephen Cooksey and Mr Michael Sydney.

Background:

5. Under the provisions of the New Roads and Street Works Act 1991 (NRSWA) and Traffic Management Act 2004 (TMA), the County Council has the following duty to manage its road network:

“It is the duty of a local traffic authority to manage their road network with a view to achieving as far as is reasonably practicable the expeditious movement of traffic on the authority’s road network”.

6. Similarly, the NRSWA makes utilities companies (“works promoters”) wholly responsible for the management of their street works. They have the right to place, inspect, maintain, adjust, repair, alter, change position or remove apparatus in highways maintainable at the public expense.
7. The NRSWA also gives the County Council the duty to use its “best endeavours” to co-ordinate the execution of works of all kinds in the streets for which it is responsible. Specifically, it is required to consider the interests of safety, minimise inconvenience to persons using the street and protect the structure of the street and the integrity of apparatus on it.
8. Therefore, the County Council has an interest and responsibility in overseeing the work carried out by utilities companies on Surrey’s highways and in challenging these companies to improve the quality of their work.
9. Surrey County Council’s Street Works team has made significant progress in recent years to improve the Council’s controls in this regard. However, problems surrounding utility maintenance works and reinstatement works remain. Inspecting and rectifying problematic or substandard reinstatement works by utilities companies has a significant revenue cost implication for the Council and issues with traffic disruption and congestion can result from problematic road works. Local Government Association figures estimate that this costs the taxpayer approximately £218 million per year¹. Concerns have also been raised by Members and residents that there is a widespread perception the maintenance works of utilities companies are conducted without sufficient prior consultation and arrangement with the Council.
10. In order to alleviate these issues, the Environment and Transport Select Committee convened a Task Group of Members to look at the subject in depth and form a number of recommendations to assist the Council in better co-ordinating works carried out by utilities companies on the County’s highways.

Structure of the Review:

11. The Task Group met on seven occasions between September and December 2012 and considered a number of different subjects, including communication, co-ordination, reinstatements, areas with special conditions and permit schemes. These matters are all addressed within this report.
12. In order to fully gauge Member perception of the issues surrounding street works carried out by utilities companies in Surrey, a survey was sent to County Councillors, Borough & District representatives and Parish Council representatives. These responses were used to inform the review and a

¹ LGA media release, 12 December 2012.

summary is contained within this report in paragraphs 21 to 25. A full analysis is attached at annexe C.

13. A press release was issued at the start of the review which publicised the work of the Task Group. This was featured in local papers, local radio stations and on Council websites. Members of the public were encouraged to submit their views to a dedicated street works inbox and postal address to inform the review. The Task Group also received two letters of support from senior Surrey MPs. A full analysis of these responses is included in annexe C.
14. As part of the evidence gathering process, the Task Group interviewed a number of witnesses from six utilities companies. Members and officers felt that their evidence would be of significant importance to help the Council understand the challenges the companies themselves faced when carrying out street works in Surrey.
15. The Chairman of the Task Group was keen to stress that this review was not to be a “utility knocking exercise” but rather, an opportunity for the Council and utilities companies to work co-operatively to inform a series of recommendations that would assist both parties in delivering more effective and better co-ordinated street works to the benefit of Surrey’s residents.
16. The Task Group also interviewed street works officers from Kent and Hampshire County Councils, who provided evidence of their experiences with different street work management systems.
17. A full list of witnesses interviewed by the Task Group is attached at annexe B.

Consultation:

18. As the disruption caused by utilities companies’ street works impacts significantly upon residents, the Task Group felt it would be important to consider the views of members of the public in the context of this review. Key to the formation of successful recommendations would be proposals that prioritised the needs of residents.
19. A survey was also sent to Surrey Councillors. Local Members are a valuable source of knowledge in this regard as they are well-placed to present the concerns of their residents.
20. The information gathered from both the survey and public comments helped to direct and shape the work of the Task Group in a manner that aimed to put the views of the public at the forefront of any recommendations. A full analysis of these responses is attached in annexe C, though a summary of key themes and findings is included below.

Surrey Councillors:

21. The majority of local authority representatives surveyed felt that communications from utilities companies in advance of street works taking place and during the works were poor. Respondents called for better local targeting of information about planned street works, including giving direct notice to local households and businesses, and putting notices in local papers. Greater detail, including contact details and accurate timescales for work were requested. There was also strong support for using Councillors, and in particular Parish Councils, as a resource in communicating street works carried out by utilities companies in Surrey.
22. While a significant number of Councillors rated the management of street works, including tidiness and traffic management as poor, this view was less strongly emphasised at the local level. The need for traffic management to be responsive to different traffic flows at different times of day was also highlighted.
23. The quality of reinstatements was broadly regarded as poor. This attitude was less strongly stated at the local level, although it is worth noting that the majority of Parish and Borough/District respondents did not rate reinstatements as good. Councillors highlighted the deterioration of some reinstatements over time and suggested a need for better checks and enforcement.
24. Common issues raised by residents in the form of complaints included the quality of reinstatements, inadequate communication, the time taken for works to complete and the lack of visible progress by contractors.
25. Further comments from local authority representatives highlighted the need to improve co-ordination of works and proposals regarding permit and penalty schemes. Surrey MP respondents also backed the use of permit or penalty schemes to incentivise utility companies to carry out their works quickly and with minimal disruption.

Public Responses:

26. The majority of responses from the public commented on a lack of post-works inspection. Many felt that interim reinstatements were often inadequate and that this led to an increase in road maintenance work by the Council. The view was also expressed that sites were often left untidy, or equipment left behind after works had been completed. Several respondents indicated that they were in favour of closer regulation of utility company repairs by the Council.
27. Other concerns raised by the public included:
 - The number of different works being carried out in the same area within a short period;
 - The increase in commuting time as a result of street works;
 - Works being left unattended for significant amounts of time; and
 - A lack of clear information about who was responsible for work sites.

28. Public responses to the consultation frequently expressed that they were in favour of a review.
29. Overall, a number of central themes emerged with regards to responses from Surrey Councillors and the public. This included improvements to communication, co-ordination and the quality of reinstatements. As a result, these key areas were all subject to significant consideration by the Task Group.

Communication:

30. Core to any recommendations that seek to improve the quality of work of utilities companies is communication. This is important because it is a valuable resource in the management of public perception and expectation. If for example, residents are made aware of planned works in advance, they have time to consider how the impact on their daily activities can be minimised, such as by planning different routes to work.
31. Communication is also important from an “internal” perspective. To ensure that street works are co-ordinated effectively, both the County Council and utilities companies must engage in active dialogue so that one knows what the other is doing. Both parties have statutory and discretionary responsibilities in this regard; however the Task Group was of the view that there is scope for improvement.

Statutory and Discretionary Responsibilities:

32. The effective co-ordination of street works is essential to guarantee safety, minimise disruption and protect the structure of the street. The NRSWA gives Street Authorities the duty to co-ordinate works and grants them powers to achieve this, such as the power to give directions as to the timing of street works, the power to give directions as to the placing of apparatus and the duty of statutory undertakers to co-operate with the Street Authority.
33. The NRSWA also states that wherever “reasonably practicable”, Street Authorities should aim to avoid traffic disruption, works on recently surfaced or reconstructed streets and planned works within a short period of earlier works. In cases where works are likely to cause significant traffic disruption, the Council is able to make a request for works to take place during off-peak hours, weekends and for 24 hour periods.
34. Works sponsors have the statutory responsibility to display information boards at every site, giving the name of the organisation carrying out the works and a contact telephone number which can be used in cases of emergencies. Other details, such as why the work is taking place and how long the works are likely to go on for, are discretionary.
35. Utilities companies interviewed by the Task Group also outlined the discretionary efforts they make to minimise the disruption caused by street works. This included letter drops, “drop in centres” on local high streets, meetings with Surrey’s Street Works Team and use of social media to inform residents of upcoming works. Similarly, Surrey’s Street

Works Team also carries out discretionary communications in the form of Member information bulletins, information releases and notices on the Council's website. The Task Group welcomed these approaches and felt that such practice should be encouraged wherever possible.

Improving Communication to Residents:

36. Although the Task Group noted that utilities companies had processes in place for giving residents prior warning of upcoming street works, the survey results analysed in annexe C and comments received from members of the public strongly suggested that communication in relation to street works was poor.
37. A key area for improvement identified by the Task Group was the Surrey County Council website. At present there are information pages in relation to general street works, but none that specifically detail utilities companies' works in Surrey. There is also no "quick link" heading on the Council's "report it online" page with regards to utility works. The introduction of both of these resources would give residents a single, easy to access source of information detailing any upcoming works in their area. This would reduce the need for residents to contact the Council directly for information relating to street works and help keep them better informed.
38. The Task Group also felt that if the Council were to improve its communication procedures in relation to street works, it would be prudent to take advantage of social media. As noted in paragraph 35, utilities companies are already doing this and using applications such as Facebook and Twitter to update residents as to the progress of works would be a cost effective and efficient way of keeping residents informed.
39. A further issue frequently raised by Councillors with regards to communication was that residents often complained that reports submitted to the Council of poor quality street works went unacknowledged. Surrey County Council has a clear Customer Promise that requires customer queries to be acknowledged and responded to within a reasonable timescale, and the Task Group felt that in the context of street works reporting, this commitment should be adhered to wherever possible.

Improving Internal Communication:

40. To assist in the running of its street works functions, the Council's Street Works Team uses Symology, a system that holds the register of all street works in Surrey. It also includes a mapping system to assist in the co-ordination of works. This system has the potential to show conflicts where works with overlapping dates occur in the same street and within the vicinity of other works.
41. Symology is a key resource that gives officers general information about street works in Surrey. However, the Task Group noted a key weakness in the system in that it is not currently linked to the Surrey County Council Contact Centre. This is usually the first point of contact for members of

the public who have queries in relation to street works. Because staff at the Contact Centre do not have direct access to the information contained within Symology, most public queries in relation to street works either have to be passed on to the highways department or responded to at a later date. To make this process more efficient and customer focused, the Task Group was of the view that Symology should be linked to the Contact Centre, subject to the cost of purchasing the required additional user licenses.

42. A further resource used by the County Council is Elgin, a web-based information service which publishes current and planned street works and is available to view by the public. To enable Councillors to better communicate upcoming works to residents, it is also suggested that automatic “areas of interest” alerts be set-up on Elgin, that inform Members of significant works in their area.
43. As stated in paragraph 36, improvements to communication around street works is of key concern to both residents and Councillors. Therefore, the Task Group proposed that a clear and accessible street works communications policy be developed by the County Council, incorporating the suggestions above.

Reporting and Monitoring of Reinstatements:

44. Key to the management of street works is the monitoring of reinstatements. As part of its work the Task Group felt that it would be essential to analyse the powers that the County Council has with regards to incentivising utilities companies to carry out high-quality road repairs upon the completion of works.
45. As illustrated by results from the Task Group’s survey, and the first-hand experience of Surrey Councillors, a key concern of both Members and residents is that reinstatements carried out by utilities companies are of a poor standard and often require revisiting for repair and remedial works, causing further disruption to those who use the highway. The Task Group was therefore keen to consider this issue fully to ensure that any recommendations aimed at improving the situation would have a clear customer focus.

Setting the Scene - Current Legal Powers and Obligations:

46. Section 72 of the NRSWA empowers the County Council, as the Street Authority, to carry out investigatory works to check whether the company responsible (“statutory undertaker”) has complied with the duties placed on it in respect of reinstatement of the street.
47. Section 75 of the NRSWA requires the statutory undertaker to pay the Street Authority a prescribed fee in respect of each inspection of works carried out by the authority. A large proportion of these inspections consist of a random sample at specified stages of works. The number of sample inspections undertaken per utility company is based on 30% of the average number of works carried out over the preceding three years.

48. The determining criteria for defects are dependent upon the type of inspection undertaken. If it concerns the signing, lighting and guarding at a site then the Department for Transport (DfT) document Safety at Street Works and Road Works specifies that layout, traffic management, signage and protective equipment must be considered. If it concerns the reinstatement at a site the DfT document Specification for Reinstatement Openings in the Highway (SRoH) specifies that type of material, depth of material, compaction requirements, surface profile and verge reinstatement requirements are the key measurables.
49. The NRSWA states that a fee of £50 to recover costs can be charged to utility companies for all sample inspections undertaken by a Street Authority. If an inspection is undertaken following a third party report and a defect found, a fee of £68 may be charged to the Works Promoter. If defective reinstatements are identified during any inspection, a £47.50 fee is raised to cover officer time for each officer visit made to the site to check the defect has been rectified. Timescales for such inspections are laid out in the Code of Practice for Inspections 2002 (CoP).
50. The Street Authority also has power under section 72(1) of the NRSWA to carry out investigatory works such as core sampling, measurement of texture depth and material sampling. If these works confirm a defect then a charge of £122.75 may be imposed on the Works Promoter.
51. Where inspections show that a statutory undertaker is consistently underperforming, the Street Authority is able to issue an Improvement Notice, which requires the undertaker to improve the quality of its works and records the Authority's dissatisfaction with the undertaker's performance.

Incentivising High Quality Reinstatements:

52. The Task Group felt that the current fees charged to Works Promoters for defects found upon inspection were too low and did not incentivise utilities companies enough to carry out high quality reinstatements. Members held the view that in particular, the £50 fee charged for sample inspections was barely sufficient to cover the cost of the Council carrying out the inspection in the first place.
53. However, it was noted that an increase to this fee would require legislative changes which the current political climate may not support, and that the fee had only recently been raised from £25 in 2009. The Task Group therefore felt that a request for another increase so soon after this would be unlikely to succeed.

More Effective Reporting:

54. Although the NRSWA grants the County Council the right to inspect utility company street works, the Task Group felt that the application of this power was inflexible. The 30% sample inspection figure often had to be split on a 10/10/10 basis between inspections during the works, immediately upon completion of works and at the end of the period when the utility company's guarantee of the works expires (usually two years).

This does not allow a targeted approach that would provide more effective reporting and monitoring. Specifically, if it was known that a utility company frequently left a street work site in poor condition upon the completion of works, the NRSWA wouldn't allow the Street Authority to apply the majority of its 30% inspections at the completion phase in order to target its resources at what it regarded to be the key issue. The Task Group was therefore of the view that provision should be made for a more flexible application of inspections.

55. It was also felt that utilities companies were too reliant upon the Street Authority to inform them of defects. At present there is no requirement for these companies to carry out inspections of their own works. It is frequently the case that a defect will not be noticed and dealt with by a utility company until the Street Works Team reports it to them. To promote greater accountability and responsibility for their actions, the Task Group felt that utilities companies should be encouraged to carry-out in-house inspections of their own works.
56. The Task Group was also of the view that the quality of reinstatements could be improved through the setting of strict timescales for the repair of works deemed to be defective following inspection. At present works sponsors are only required to repair defects within a "reasonable" timescale. This is open to interpretation and again, does not provide proper incentive for utilities companies to carry out repairs at the earliest opportunity.

Encouraging Change through a Joined-up Approach:

57. The above issues are not unique to Surrey and are also likely to impact upon other local authorities. In order to bring about change the Task Group felt that rather than being "a single voice", the County Council should lobby utility company regulators with the support of others. This would ideally be done via the South East Seven (SE7) initiative and the Highway Authorities and Utilities Committee (HAUC). The former would be an effective driver for change as the Council already has an established relationship with the SE7. The initiative is also becoming well established through its work on other projects and would therefore be a high profile body whose views would very much be listened to. HAUC would also be an effective body to work with as it has been lobbying government and regulators for a number of years to bring about improvements to utility company works on the highway.
58. A key goal which lobbying via the SE7 and HAUC could achieve would be consideration of utilities companies' street works performance when regulators set prices. As highlighted in paragraph 52, current inspection fees do not adequately encourage utilities companies to consistently implement high quality reinstatements. However, if the regulators took inspection results into account when they set prices, this would be highly likely to financially incentivise utilities companies to improve their performance.
59. The Task Group was also of the opinion that a similar concept could be pursued at a more 'local' level in Surrey. Specifically, that the award of

future contracts for works on the County's highways takes utilities companies' performance into account. If for example, a company statistically proven to have experienced high rates of reinstatement inspection failure were to bid for a contract, the assessment of their bid would seriously consider their poor track record in this regard. Again, this would financially incentivise utilities companies to carry out high quality street works, as poor performance would result in them potentially losing future contracts.

60. The collation of data that would inform these decisions would also be of importance, and the Task Group was informed of current efforts by the Council's Street Works Team to embrace smarter working methods, including the use of handheld technology. This allows officers to report issues on site and helps to make the monitoring of street works sites more efficient. On this basis the Task Group supported the Street Works Team's efforts to employ smarter working practices.

The Local Perspective:

61. As reflected in the results of the Task Group's Councillor survey, a positive rate of response was received from representatives of local community organisations, including Parish and Town Councils. This level of interest was borne out of the fact that poor quality reinstatements have a significant impact on towns and villages.
62. The Task Group was made aware of a willingness on the part of Districts and Boroughs, Parish and Town Councils, and known community organisations, to assist in the inspection and reporting of reinstatements. The Task Group was therefore of the view that these groups could be utilised as a valuable resource in this regard. Because they are at the "grass roots" level and represent those who experience the problems associated with poor quality reinstatements first hand, they will be motivated to report defects as soon as they arise and will have the local knowledge to monitor key areas.
63. By having these additional "eyes and ears" on the ground to report reinstatement defects, there is potential for the Street Authority's time and manpower to be redistributed elsewhere for additional support on other priorities. It is important to note however, that these groups would very much be used as an additional third party reporting resource as opposed to a replacement for Street Authority inspections.
64. For such a system to work successfully the County Council would need to ensure that there are adequate resources available at the local level. Therefore, the Task Group proposed that officers further explore the viability of implementing a process whereby Boroughs and Districts, Parish and Town Councils, and known local community organisations, can report and monitor the quality of reinstatements in their local areas to the Street Authority.

Viability of a Permit Scheme:

65. In February 2013 Surrey County Council's Cabinet will decide whether Surrey adopts a permit scheme in conjunction with East Sussex County Council to apply to all works on the Council's highway. This scheme is relevant to the work of the Task Group and as a result, the Group was asked to consider its merits and shortcomings.

Overview:

66. Part 3 of the TMA includes provision for Street Authorities to apply to the DfT to become a Permitting Authority. This would enable the Authority to operate a permitting system for the management of its street works. Under such a system, all works promoters, including Surrey Highways, would be required to apply for a permit to carry out works on the highway, specifying a particular timescale in which these works are to be completed. The cost of a permit would depend on where and when the works are due to be carried out. For example, a permit for works on a main road during peak hours would come at a greater charge than a permit for works on a B road outside of peak hours. These charges could be used to cover the cost of operation of the scheme but could not be profit making.

67. Surrey currently operates a noticing system whereby works promoters advise the Street Authority of their intention to carry out works. These notices are divided in to four basic types:

- Immediate notices - for emergency works. Notice is required within two hours of work commencing;
- Major works - for works taking place over a period in excess of 11 days. Three months notice is required;
- Standard works – for works taking place for a period between four and ten days. Ten days notice is required; and
- Minor works – for works taking place for a period of up to three days. Three days notice is required.

The View of Witnesses:

68. To help establish the advantages and disadvantages of permit schemes, the Task Group interviewed Street Works officers from Kent and Hampshire County Councils, who operated a permit scheme and noticing system respectively.

69. The Task Group was informed that Kent had experienced a number of benefits in the management of its street works following the implementation of a permit scheme. This included better control and knowledge of activity and performance on the highway, excellent data to monitor performance, spot trends and take early remedial action, and better engagement with works promoters. Furthermore, in its first year of operation the scheme resulted in a 26% reduction in street works-related complaints and an additional 15% reduction in the second year, despite an increase of 15% in work volume. There was also an increase from 75% to 80% of first time reinstatements.

70. The Task Group was also informed of the benefits of a robust noticing system. Hampshire County Council's Street Works Team expressed the view that if co-ordinated effectively, such a system could achieve the same results as a permit scheme. A Street Authority's use of the "duty to co-operate" power under the NRSWA is a key element in the monitoring of street works, and ultimately allows local authorities to refuse noticed works if they are dissatisfied with the proposals. The Task Group also noted that Hampshire's noticing system currently saw similar levels of over runs to permit schemes and that customer satisfaction in relation to street works management in Hampshire was in the top ten nationally.
71. The utilities companies interviewed by the Task Group were all broadly opposed to the introduction of a permit scheme in Surrey. They shared the view that an effective noticing system could achieve the same results as a permit scheme, and felt that their own internal monitoring processes were robust enough to help ensure that works were completed on time and to a high quality.

The View of the Task Group:

72. Although the Task Group recognised that there were benefits to both permit schemes and noticing systems, Members were of the view that the introduction of a permit scheme would be the most effective way to bring about improvements to the management of street works in Surrey.
73. One of the main advantages of a permit scheme would be that conditions could be attached to permits, placing clear constraints on the dates and times of activities and the way in which work is carried out. The Task Group was of the view that the use of such conditions was a key benefit in operating a permit scheme, giving utility companies clear instruction as to Surrey's expectations of their works.
74. Overrunning works were highlighted as a key concern for residents in the Task Group's survey, and as a result it was felt that this would be an important issue to tackle. Two senior Surrey MPs also contacted the Task Group, suggesting that Members investigate how the Council could impose fines on companies responsible for overrunning works more effectively, and how the Council could go about implementing a lane rental scheme. Although DfT guidance states that a Local Authority cannot implement a lane rental scheme without first adopting a permit scheme, the Task Group supported the idea of a lane rental scheme in principle, and considered this factor when deciding to approve the adoption of a permit scheme for Surrey's highways.
75. To make the operation of issuing permits or licenses as efficient as possible, the Task Group also suggested that the possibility of creating one single point for the issue of street work licenses be explored.
76. The Task Group was of the view that a permit scheme would bring about a number of improvements to the management of Surrey's street works, in particular to co-ordination. The use of attached conditions could also enhance the concept of joint working, with works promoters being

encouraged to carry out works at the same time through reduced permit costs. These were all key concerns raised by residents and Councillors, and the Task Group felt that a permit scheme would be the most effective way to address such issues.

Areas with Special Conditions:

77. A key topic of interest for the Task Group was the impact that street works and reinstatements have upon the street scene in areas with “special conditions”, such as Conservation Areas. 4,291 roads in Surrey are designated Conservation Areas, a figure which represents 22% of the Council’s total highway network. With such a high proportion of the County’s roads deemed as such, the management of street works in these areas was regarded as a priority by the Task Group.

Reinstatements:

78. Reinstatements of excavations undertaken by utilities companies are addressed by the SRoH. However, this document makes no specific reference to works in areas with special conditions. Provision is made for reinstatements in general, advising that existing materials (“modules”) should be lifted carefully and stored for re-use, and that a limited stock of modules should be retained by Local Authorities to be used by utilities companies as required.
79. Members expressed concern at instances seen first-hand, and complaints received from residents, that despite the provisions of the SRoH, materials used in reinstatements by utilities companies in areas with special conditions were often “inappropriate” and did not match existing surfacing. Again, the SRoH advises that coloured surfacing shall be permanently reinstated with like materials, though Members felt that this provision had not proved sufficient to date in incentivising utilities companies to regularly carry out reinstatements using “like for like” materials.
80. Representatives from the utilities companies interviewed by the Task Group presented the challenges they faced in using appropriate materials for reinstatements in areas with special conditions. Although these companies made significant efforts to, wherever possible, replace materials “like for like”, in some cases this was very difficult from both a financial and practical perspective. For example, finding replacement Setts or cobbles for roads that were originally laid in the 1800s, or reinstating roads for which the Local Authority has used expensive materials from abroad, often made sourcing suitable replacements very difficult.
81. The Task Group took this view into account and agreed that when the Council surfaces roads using specialist materials, consideration should be given to the ability of utilities companies to replace these materials at a reasonable cost when they carry out reinstatements. However, Members also felt that in some cases utilities companies did not make reasonable attempts to use acceptable alternatives to existing materials, with tarmac as opposed to modern Setts being used on cobbled roads in some cases.

To help resolve this issue the Task Group felt that the County Council should follow the advice given by the SROH and explore the potential for collating a limited central store of specialist surfacing materials for use in areas with special conditions that could be made available to utilities companies on a cost basis. This would seek to enable swifter and more appropriate reinstatements in Conservation Areas.

82. Although the use of appropriate materials for reinstatements was not just a concern isolated to Conservation Areas, Members felt that this issue was sometimes caused in part by the numerous tiers of subcontractors used by utilities companies. It was accepted by Members and officers that the “lower down the chain” the work got, the slimmer the margins were for profit. This had the inevitable effect of not necessarily encouraging the completion of high quality works. Officers advised that current legislation allowed for utilities companies to be accountable to the County Council for the work and actions of their contractors. This requires utilities companies to very carefully consider the merits and shortcomings of the use of subcontractors prior to the commissioning of works.
83. Further concerns raised to the Task Group were issues surrounding interim reinstatements in areas with special conditions. Although the utilities companies interviewed by the Task Group stated that significant time and resource was put in to implementing reinstatements first time, the SROH allows for temporary surface replacement and states that:

“An interim reinstatement can be carried out that conforms to the prescribed standards until the permanent reinstatement is completed, which should be within six months”.
84. Interim reinstatements are a particular problem in Conservation Areas because they will most likely not match the surrounding pavement by their very nature. The Task Group also noted that the Council had experienced a number of instances whereby utilities companies had failed to return to sites within the prescribed six month period to carry out the necessary permanent works. It was therefore felt that the Council should take steps to encourage the use of first time reinstatements in areas with special conditions.
85. The Task Group was also informed of a “rent a jointer” scheme. This would encourage companies to plan and complete works in a timely fashion, by requiring them to pay for the use of jointers when installing and maintaining electrical cabling. The introduction of such a scheme would be particularly timely in the context of a current national incentive to install high speed broadband across the country and the associated electrical connections to cabinets required. Given the broad scale of this project, it is likely that there will potentially be high levels of disruption to Surrey’s highways, and the Task Group was therefore of the view that a “rent a jointer” scheme should be supported in order to encourage the swift completion of such works.

Improved Use of Existing Reference Systems:

86. An additional way that the quality of materials used by utilities companies in areas with special conditions could be improved is greater use of the Surrey County Council Gazetteer. The Gazetteer is a reference system used in the co-ordination of street works. It includes information such as street name and type, ownership, reinstatement categories, special designations, and special restrictions.
87. The Gazetteer does not at present include details of specialist requirements for areas with special conditions. The Task Group felt that subject to cost, the Gazetteer should be updated to include data relating to the specialist surfacing requirements in these areas. Furthermore, if utilities companies were given access to this information in advance of works, they would be better prepared for sourcing specialist materials and have sufficient time to plan for its procurement in their budgets.
88. Overall planning could be further enhanced by improved information-sharing between the County Council and utilities companies. A key issue raised by members of the public was that a road would be disrupted for a period of time by one set of works, and then a matter of days or weeks later the road would be closed again for another, separate set of works. The Task Group appreciated the frustration that this level of disruption and inconvenience causes residents and believed that where possible, utilities companies should be given better sight of the Surrey County Council street works programme at an earlier stage to encourage joint planning and working, with the aim of minimising inconvenience to road users. Encouragingly, the utilities companies interviewed by the Task Group were very supportive of this proposal and of the opinion that this could vastly improve the co-ordination of street works in Surrey.
89. The Task Group was also of the view that information regarding works should be shared with the relevant Local Member. As reflected by responses to the Councillor survey, Local Authority representatives were very much in favour of being used as a resource to communicate this information to residents. Being “on the ground” and in regular contact with local people, Councillors are an effective means of informing residents of upcoming works.

Inspections:

90. A further way the quality of reinstatements in areas with special conditions could be improved would be to retain high numbers of inspections of such works. Current resource levels in Surrey County Council’s Street Works Team are designed to match sample inspection quantities and investigatory (third party report) inspections, both with associated defect inspections, major site monitoring, over-run scrutinising and customer enquiries.
91. At present, Surrey County Council’s Street Works Team has a number of officers on fixed-term contracts. Following their introduction, the number of inspections of utility company street work sites carried out has doubled, resulting in a higher number of overrunning works being challenged and a significant reduction of outstanding queries on the Highways Service’s

Maximo system. This additional resource has significantly improved the Council's monitoring of utility company street works.

92. Therefore, it is suggested that a review into resource levels in the Street Works Team be considered, in particular with regards to the nature of officer contracts, to ensure that the current levels of site inspections can be maintained.

Improving Street Works in Areas with Special Conditions:

93. In order to tie together the Task Group's recommendations regarding Street Works in areas with special conditions, it is proposed that a Surrey County Council "Code of Conduct" be drawn up, building on the best practice proposals outlined above. This should specifically include reference to:

- The encouragement of first time reinstatements in areas with special conditions;
- That wherever possible, statutory undertakers carefully remove and store existing materials found on site, with a view to replacing them upon the completion of works; and
- That statutory undertakers engage in greater communication with Local Members when carrying out works in their area.

94. Furthermore, the Task Group suggested that the Surrey County Council Highways Term Contract with regard to works in areas with special conditions be reviewed and adjusted as required, in-line with these recommendations.

Conclusions:

95. After considering the views of residents, Councillors, utilities companies and officers, the Task Group concluded that there were a number of actions the County Council could undertake to work more effectively with utilities companies and improve the quality of street works in Surrey, with the ultimate goal of minimising the disruption caused to residents and road users. These actions can all be placed in to the following categories:

- Communication
- Monitoring and Reporting
- Adoption of a Permit Scheme
- Improved working in areas with special conditions

96. Recommendations relating to the above and how they can be achieved are set out in further detail below.

Financial and value for money implications:

The recommendations put forward in this report will assist the Council in achieving value for money by improving the co-ordination of, and level of disruption caused by, street works in Surrey. This will reduce the negative financial impacts poorly-run street works have upon businesses, residents and the highway asset itself.

Equalities Implications:

No negative implications identified, however better planned and delivered utility works would improve any interaction that less able groups may experience at street work sites.

Risk Management Implications:

No negative implications identified. In addition to statutory duty requirements, the public has an expectation on the Council to effectively manage road works which creates a reputational risk. The recommendations put forward in this report will further assist the Council in achieving its statutory duty and managing risks by improving the co-ordination of, and level of disruption caused by, street works in Surrey.

Implications for the Council's Priorities or Community Strategy:

As detailed under "financial and value for money implications", the report's recommendations would have a positive impact upon the Council's Corporate Strategy objectives to deliver value and quality to Surrey's residents. The recommendations aim to place stricter controls on works promoters to complete their works on time and to a high standard.

Recommendations:

Recommendation 1 - That a clear and accessible internal and external communications policy with regards to the publicising of street works is developed, to include:

- a) Clearer and easier to access information on the Surrey County Council website in relation to street works, including specific pages detailing utilities works in Surrey.
- b) A Utility Works "quick links" heading on the Council's "report it online" page.
- c) Greater use of social media.
- d) A commitment to adhere to the Council's Customer Promise, with all public reports to be acknowledged and responded to, within a reasonable timescale.
- e) The linkage of Symology to the Surrey County Council Contact Centre to improve the efficiency and speed at which general street works enquiries are dealt with.
- f) Automatic "areas of interest" alerts to be sent the relevant Local Member by the Elgin system, to enable Members to better communicate the commencement of works to residents.

Recommendation 2 – That the process for monitoring and reporting the quality of street works be made more cost effective and efficient for the

County Council, and have greater incentive for utilities companies to complete their works on time and to a high standard. Specifically:

- a) That Surrey County Council, in conjunction with South East 7 members and the Highway Authorities and Utilities Committee, lobby utility company regulators and the Department for Transport on the following issues:
- That utility company street works performance be taken into account when setting prices;
 - That Street Authorities be granted greater flexibility in the allocation and use of inspections at various stages of street works;
 - That utility companies be encouraged to carry out in-house inspections of their own works; and
 - That a timeline for the repair of defective works be set, with penalties to be applied in cases on non-compliance.
- b) That the award of future contracts for works on the County's highway takes into account the statistical street works performance of the companies concerned.
- c) That current efforts by Surrey County Council's Street Works Team to embrace new handheld technology and smarter working methods be supported.
- d) That the role of Boroughs, Districts, Parish and Town Councils and other known community organisations in the inspection and reporting of reinstatements be further explored by officers.

Recommendation 3 – That proposals to introduce a “common” permitting scheme with East Sussex County Council, to co-ordinate all works on the Surrey County Council Highway, be endorsed.

- a) It is also suggested that the possibility be explored for the creation of one central point in the Highways Service for the issuing of street works licences.

Recommendation 4 – That the processes around the planning, monitoring and execution of street works, particularly including areas with special conditions such as Conservation Areas, be made more effective and robust, through implementation of the following proposals:

- a) That a Surrey County Council 'Code of Conduct' for street works be drawn up, building on best practice, with specific reference to the following:
- The encouragement of first time reinstatements in Conservation Areas;
 - That wherever possible, statutory undertakers carefully remove and store existing materials found on site, with a view to replacing them upon the completion of works; and
 - That statutory undertakers engage in greater communication with Local Members when carrying out works in their area.

- b) That where possible, utilities companies be given better sight of the Surrey County Council works programme at an earlier stage, to enhance joint planning and improve the overall co-ordination of works.
- c) That the Surrey County Council Gazetteer be updated to include all details relating to areas with special conditions/surfaces.
- d) That a review into resource levels in the Street Works Team be considered, in particular with regards to the nature of officer contracts, to ensure that the current levels of site inspections can be maintained.
- e) That when the County Council plans major road schemes, sufficient consideration be given to the materials used, so that they will give a similar aesthetic effect to the surrounding area but also enable utilities companies to reasonably source suitable replacements for reinstatements.
- f) That the potential for the collation of a limited central store of specialist surfacing materials by Surrey County Council be explored, containing materials that can be ordered on behalf of utilities companies on a cost basis, as required, to enable swifter and more appropriate reinstatements in Conservation Areas.
- g) That the promotion of “rent a jointer” schemes be supported, with particular reference to the forthcoming High Speed Broadband rollout.
- h) That the content of the Surrey County Council Highways Term Contract with regard to highway repairs, particularly including areas with special conditions, be reviewed and adjusted as required, in-line with the recommendations outlined above.

Next steps:

Following consideration by the Select Committee, the Task Group’s report will be submitted to the Cabinet meeting of 5 February 2013 for approval.

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Sources/background papers:

- DfT document: Specification for Reinstatement Openings in the Highway
- New Roads and Street Works Act (1991)
- New Roads and Street Works Act Code of Practice for Inspections, 2nd edition (2002)
- Traffic Management Act (2004)

Annexe A – Glossary of terms

Annexe B – List of witnesses/consultees

Annexe C – Survey analysis

Glossary of terms:

CoP – Code of Practice for Inspections (2002)

DfT – Department for Transport

HAUC – Highway Authorities and Utilities Committee

NRSWA – New Roads and Street Works Act (1991)

SE7 – South East Seven

SRoH – Specification for Reinstatement Openings in the Highway

TMA – Traffic Management Act (2004)

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Witnesses interviewed by the Task Group:

- BT Openreach
- Hampshire County Council
- Kent County Council
- Morrisons
- Southern Gas Networks
- Sutton and East Surrey Water
- Thames Water
- UK Power Networks

Consulted:

- Borough and District Representatives
- County Councillors
- Highway Authorities and Utilities Committee
- Members of the public
- Parish and Town Councils
- Surrey Association of Local Councils

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The Co-ordination and Quality of Work of Utilities Companies in Surrey: Survey Analysis

1. Introduction

- 1.1. The Environment and Transport Select Committee established a Task Group in September 2012 to review the issues caused as a result of utility companies conducting works on the County's highways. The Task Group sought collect the views of County Councillors, Borough and District representatives and Parish Clerks through the use of a survey. Members of the public and Surrey MPs were also invited to send comments for consideration by the Task Group.
- 1.2. In particular, the Task Group sought information on communications by utility companies, the quality of streetworks, the quality of reinstatements, and how improvements could be achieved.
- 1.3. This report presents an analysis of the information collated from the stakeholders listed above. There were a number of open questions included within the survey so there has been some interpretation of responses and the analysis here simply aims to highlight some of the themes identified.
- 1.4. The information given was confidential to the Task Group and personal identities are not included in the report.

2. Main Findings

- 2.1. The main findings of this analysis of the information collated from stakeholders are:
 - The majority of local authority representatives surveyed felt that communications from utilities companies in advance of streetworks taking place and during works were poor.
 - Respondents called for better local targeting of information about planned streetworks, including giving direct notice to local households and businesses, and putting notices in local papers. Greater detail, including contact details and accurate timescales for work, was also requested.
 - There was strong support for using Councillors, and in particular Parish Councils, as a resource in communicating streetworks carried out by utilities companies in Surrey.
 - While a majority of County Councillors rated the management of streetworks, including tidiness and traffic management as poor, this view was less strongly emphasised at the local level. The need for traffic management to be responsive to different traffic flows at different times of the day was highlighted.

- A majority of County Councillors also viewed the quality of reinstatements as poor. This attitude is less strongly stated at the local level, although it is worth stating that the majority of Parish and Borough/District respondents did not rate reinstatements as good. The majority of responses from the public also commented on inadequate reinstatements and the need for post-works inspection. Local authority representatives highlighted the deterioration of some reinstatements over time and suggested a need for better checks and enforcement by Highways Officers.
- Local authority representatives outlined some of the common issues raised by residents through complaints. These included the quality of reinstatements, inadequate communications (including no prior notice and poor signage), the time taken for works and the lack of visible progress by contractors.
- Further comments from local authority representatives highlighted the monitoring and enforcement responsibilities of the Highways department, the need to improve co-ordination of works and proposals regarding permit and penalty schemes. Surrey MP respondents also backed the use of permit or penalty schemes to incentivise utility companies to carry out their works quickly and with minimal disruption.

3. Collecting Views

- 3.1. A questionnaire was circulated to all County Council Members on 25 September 2012. Members were invited to respond online via SurveyMonkey or by downloading a form which could then be emailed or sent back by hard copy. A reminder was sent out on 19 October and the survey closed on 26 October 2012. In total, 28 responses were received from 80 Members, which represents a 35% return.
- 3.2. A questionnaire was also circulated to Borough and District Chief Executives, Borough and District portfolio holders (where relevant), and Parish Council Clerks who were asked to respond on behalf of their councillors. While there were no responses from Chief Executives, three of the 11 Portfolio holders returned a questionnaire, representing a 27% return. There were 21 responses from the 81 Parish Council Clerks, which represents a 26% return.
- 3.3. The standard return rate for a postal questionnaire is 14% so the responses from the County Councillors, Parish Council Clerks and Borough/District representatives reflects a higher than average return. As only three responses were received from the Borough and District Councils, the data has been collated with the Parish Council data to give a 'local perspective'.
- 3.4. Members of the public were invited to send comments independent of the survey through a press release which was picked up by a number of local and national media outlets including the BBC, Surrey Herald and an article on the Surrey County Council website. Fifteen responses were received and these are analysed in detail

under section 7.

3.5. All Surrey MPs were invited to submit comments and responses were received from Michael Gove (MP for Surrey Heath and Secretary of State for Education) and Chris Grayling (MP for Epsom and Ewell and Secretary of State for Justice).

4. Communications

4.1. Rating Existing Communications

4.1.1. Respondents were first asked about communications from utilities companies to their council and to local residents. They were asked to rate communications both prior to works taking place and during works on a scale of 1-5 (1 being poor, 5 being excellent). This scale has been specified below as relating to the typical scale: 1=very poor; 2=poor; 3=fair; 4=good; 5=excellent.

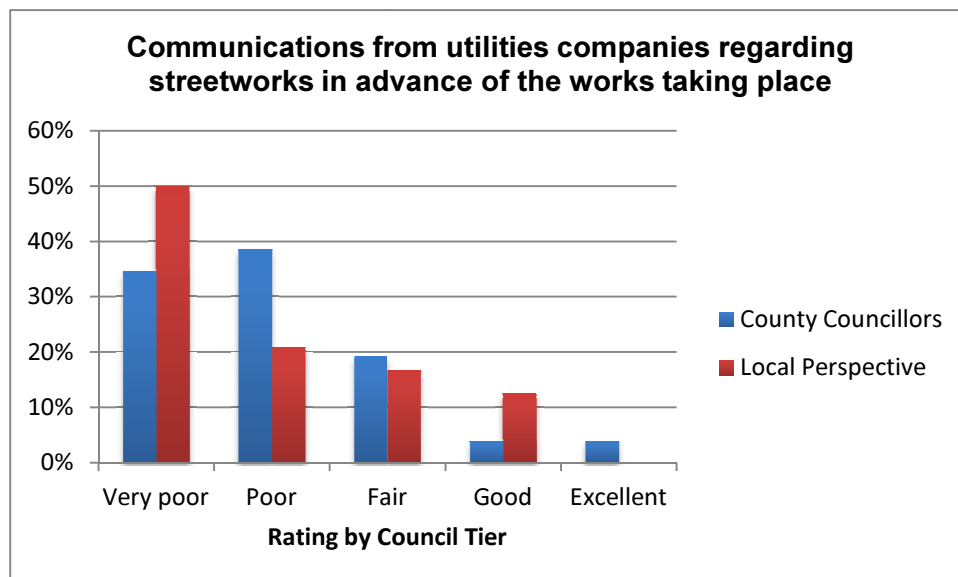
4.1.2. A clear majority of respondents rated the communication to the Council and residents from utilities companies regarding streetworks in advance of the works taking place as poor or very poor. This included 73.1% of the County Councillor respondents and 70.8% of Parish and Borough/District Council respondents. Two County Councillors did not respond to this question.

4.1.3. The detailed analysis is given in Table 1, while Chart 1 clearly shows that the opinion of the majority is that communications in advance of works taking place is poor.

Table 1

Q1a On a scale of 1-5 (1 being poor, 5 being excellent), how would you rate the communication to the Council and residents from utilities companies regarding streetworks in advance of the works taking place?	1	2	3	4	5
County Councillors	34.6% (9)	38.5% (10)	19.2% (5)	3.8% (1)	3.8% (1)
'Local Perspective'	50.0% (12)	20.8% (5)	16.7% (4)	12.5% (3)	0% (0)

Chart 1



4.1.4. The picture regarding communications during streetworks is very slightly improved. There are fewer County Councillors who rate communication as poor during than in advance of the works (61.6% down from 73.1%). However, they have been more likely to give the middle rating (up to 34.6% from 19.2%) suggesting that communications during works isn't considered as being good. Two County Councillors did not respond to this question.

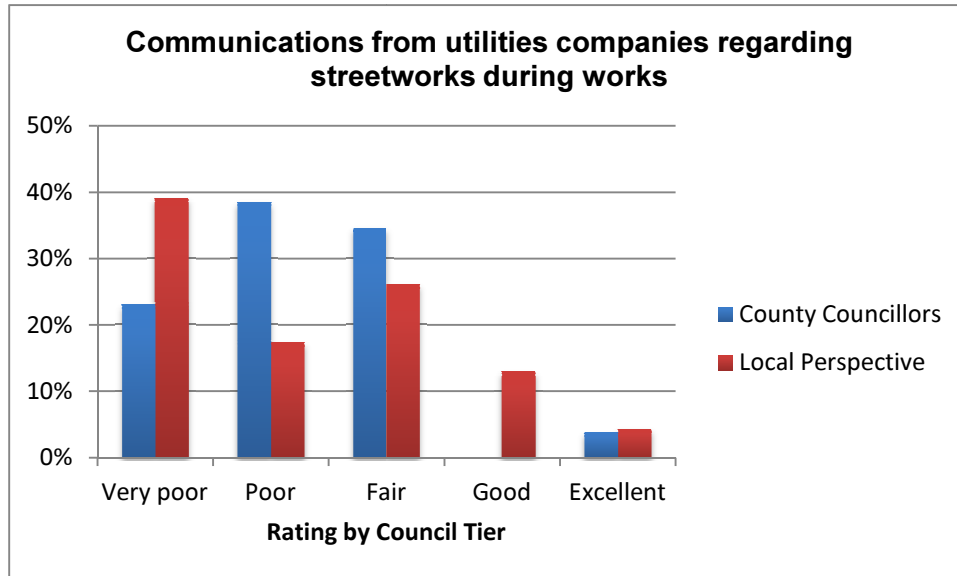
4.1.5. Just over half (56.5%) of Parish and Borough/District respondents rated communications during works as poor or very poor (down from 70.8% who rated communications in advance of works as poor). One 'local respondent' did not answer this question.

4.1.6. The detailed analysis is given in Table 2, while chart 2 shows that there is a slightly more even spread of opinion from very poor to fair, although very few respondents view communications during works to be good.

Table 2

Q1b On a scale of 1-5 (1 being poor, 5 being excellent), how would you rate the communication to the Council and residents from utilities companies regarding streetworks during works?	1	2	3	4	5
County Councillors	23.1% (6)	38.5% (10)	34.6% (9)	0% (0)	3.8% (1)
'Local Perspective'	39.1% (9)	17.4% (4)	26.1% (6)	13.0% (3)	4.3% (1)

Chart 2



4.1.7. Respondents were asked to provide any further comments about communications from utilities companies. Eleven County Councillors responded to this request. Six indicated that communications were always poor. A few of the responses highlighted the difficulties for residents in finding out about streetworks and some suggested that more information could be provided to County Councillors from the Highways Service. One Member highlighted the fortnightly Highways Bulletin which gives some information about upcoming streetworks but asked that this be expanded to include information on what type of works they were, how much of a road would be affected or whether a road closure would be involved. The Member also pointed out that the start date given is often a guesstimate.

4.1.8. Sixteen Parish and Borough/District Councils responded to this request. None mentioned receiving notice from utilities companies although a few did receive Council updates or used the Council website for information about planned or ongoing works. There was a general view that more information could be provided on planned utilities works both in advance and during the works being carried out. It was suggested that the information provided was often too vague to be of use e.g. better information on how long works will take, the use of postcodes could help roads to be identified in rural areas more easily. There was concern expressed about the lack of communications channels with the utilities companies during works. While there was mention of signs not being visible, one respondent highlighted a case where the utilities company ignored requests for contact or referred residents to the County Highways Service.

4.2. Improving Communications

- 4.2.1. Respondents were then asked if they had any specific suggestions as to how communication to the Council and residents from utilities companies regarding streetworks could be improved.
- 4.2.2. Twenty-two County Councillors responded to this query with a variety of options for improvement. One of the most commonly mentioned options was a need for better local targeting of information (by six or 27% of respondents). This could include giving direct notice to households, putting notices in local newspapers, shops etc, or using elected representatives, including Parish Councils. Better information about timescales for streetworks was also mentioned in just over a quarter of responses (six). There were also calls for accurate and updated advance notice signs which don't always appear at present. A number of Councillors mentioned the use of IT solutions, from ensuring that information on the Council website is up to date and accurate to allowing residents to be updated when activity is planned for certain roads.
- 4.2.3. Just over half of the 22 Parish and Borough/District Councils who responded to this question (12) requested that they be given advance notice of non-emergency utilities streetworks in order to pass on information. Nearly half (9) also mentioned the need for local targeting of information and 23% (5) highlighted the need for better information on timescales, as well as the need to keep to published timescales.

4.3. Councillor Involvement in Communications

- 4.3.1. Respondents were asked whether Councillors could be better used as a resource in communicating streetworks carried out by utilities companies in Surrey. This was strongly supported by County Councillors with 60% saying "yes" and also at Parish and Borough/District level with 79.2% of respondents saying "yes". Three County Councillors did not answer this question. See Table 3 for the figures.

Table 3

Q3 Do you think that Councillors could be better used as a resource in communicating streetworks carried out by utilities companies in Surrey?	Yes	No
County Councillors	60.0% (15)	40.0% (10)
'Local Perspective'	79.2% (19)	20.8% (5)

- 4.3.2. Respondents were asked to make any further comments. Eighteen County Councillors made further comments. While 15% (4) Members expressed the view that communicating such information is an officer role, 42% requested advance notice so that they could disseminate information within their area.

4.3.3. Twenty-one Parish and Borough/District Councils made further comments. The majority of respondents (16 or 76.2%) mentioned that if they were provided with accurate and updated information, they would be able to disseminate the information via local networks. 14% (3) of respondents also suggested that if notice was given early enough in advance, they would be able to provide local information to the utilities companies and improve the decision making process.

5. Quality of Streetworks

5.1. Management of Streetworks

5.1.1. Respondents were asked to rate the tidiness of utility company streetworks sites as works are being carried out on a scale of 1-5 (1 being poor, 5 being excellent). A majority (61.5%) of responding County Councillors felt that the tidiness of streetworks sites was poor. Two County Councillors did not respond to this question. However, there was a more even spread of responses at the local level, with 26.1% of Parish and Borough/District Councils rating tidiness of sites as poor but 30.4% rating this aspect as good. One respondent did not answer this question. Table 4 gives a breakdown of the figures and Chart 3 demonstrates the spread of responses at the local level.

Table 4

Q4a On a scale of 1-5 (1 being poor, 5 being excellent), how would you rate the tidiness of streetworks sites while utilities company streetworks are being carried out in Surrey?	1	2	3	4	5
County Councillors	19.2% (5)	42.3% (11)	34.6% (9)	3.8% (1)	0.0% (0)
'Local Perspective'	8.7% (2)	17.4% (4)	43.5% (10)	26.1% (6)	4.3% (1)

Chart 3

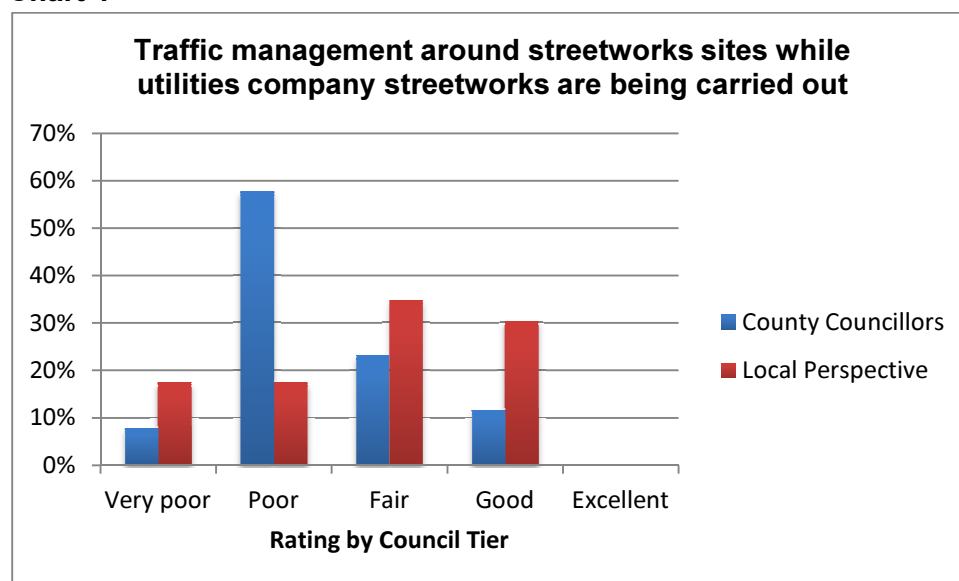


5.1.2. In response to the question of how respondents would rate the traffic management around streetworks sites while utilities company streetworks are being carried out in Surrey, there was a similar pattern to the previous question. A majority (65.4%) of County Councillors rated traffic management during streetworks as poor. Again, two County Councillors did not respond to this question. At the local level, while 34.8% of Parish and Borough/District Councils rated traffic management as poor, almost as many (30.4%) rated this as good. One respondent did not answer this question. A breakdown of the figures can be seen in Table 5 and the spread of responses can be seen in Chart 4.

Table 5

Q4b On a scale of 1-5 (1 being poor, 5 being excellent), how would you rate the traffic management around streetworks sites while utilities company streetworks are being carried out in Surrey?	1	2	3	4	5
County Councillors	7.7% (2)	57.7% (15)	23.1% (6)	11.5% (3)	0.0% (0)
'Local Perspective'	17.4% (4)	17.4% (4)	34.8% (8)	30.4% (7)	0.0% (0)

Chart 4



5.1.3. Respondents were asked to make further comments on the management of streetworks while they are being carried out. There were ten responses from County Councillors, which raised a variety of issues, including: patchy reinstatements; variable quality of streetworks management with larger works tending to be better managed than smaller works; streetworks sites causing traffic problems which are left unattended for long periods; traffic lights are not phased to reflect the time of day or traffic volumes; messy footway works which are dangerous for pedestrians; and lack of co-ordination between utility companies and Surrey Highways.

5.1.4. There were 16 responses from Parish and Borough/District Councils. 44% (7) of responses mentioned problems with traffic management, including the need to be responsive to different traffic flows at different times of the day. It was suggested that by using local knowledge, better traffic management decisions could be taken. 31% (5) of responses mentioned untidiness. It was requested that mud, debris and any materials not being used be cleared away regularly.

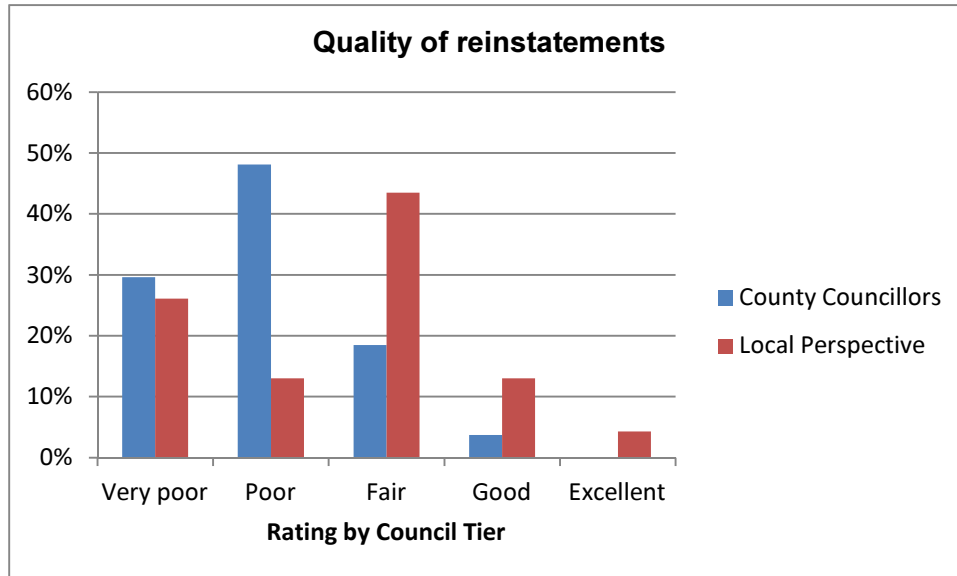
5.2. Quality of Reinstatements

5.2.1. Respondents were asked to rate the quality of reinstatements upon completion of utility company streetworks in Surrey. A clear majority (77%) of County Councillors viewed reinstatements as poor, whereas a slim majority (43.5%) of Parish and Borough/District Councils rated reinstatements as midway between poor and excellent. 39.1% of local respondents rated reinstatements as poor. One County Councillor and one local respondent did not answer this question.

Table 6

Q5 On a scale of 1-5 (1 being poor, 5 being excellent), how would you rate the quality of reinstatements upon completion of utility company streetworks in Surrey?	1	2	3	4	5
County Councillors	29.6% (8)	48.1% (13)	18.5% (5)	3.7% (1)	0.0% (0)
'Local Perspective'	26.1% (6)	13.0% (3)	43.5% (10)	13.0% (3)	4.3% (1)

Chart 5



5.2.2. Respondents were asked to make further comments on the quality of reinstatements. Sixteen County Councillors made further comments all of which relate to the variable quality of reinstatements. A quarter of these Councillors (4) specify problems relating to the deterioration of reinstatements over time. 44% (7) of comments concern a perceived need for better checks and enforcement by Highways Officers. A request for better information for residents on when a reinstatement will take place and who the contacts are, harks back to the responses on poor communications from utilities companies.

5.2.3. Thirteen Parish and Borough/District respondents made further comments on the quality of reinstatements. Again comments related to the variable quality of reinstatements with some respondents suggesting that major contractors were better at reinstatement than smaller developers. Two respondents highlighted problems with temporary reinstatements that are left indefinitely. 38% (5) of local respondents also highlight the problems with deteriorating reinstatements, with potholes and subsidence becoming a particular issue. Two local respondents also raise concern about local features which communities have campaigned for or financially sponsored not being replaced e.g. quiet, non-skid surfaces and character lamp standards.

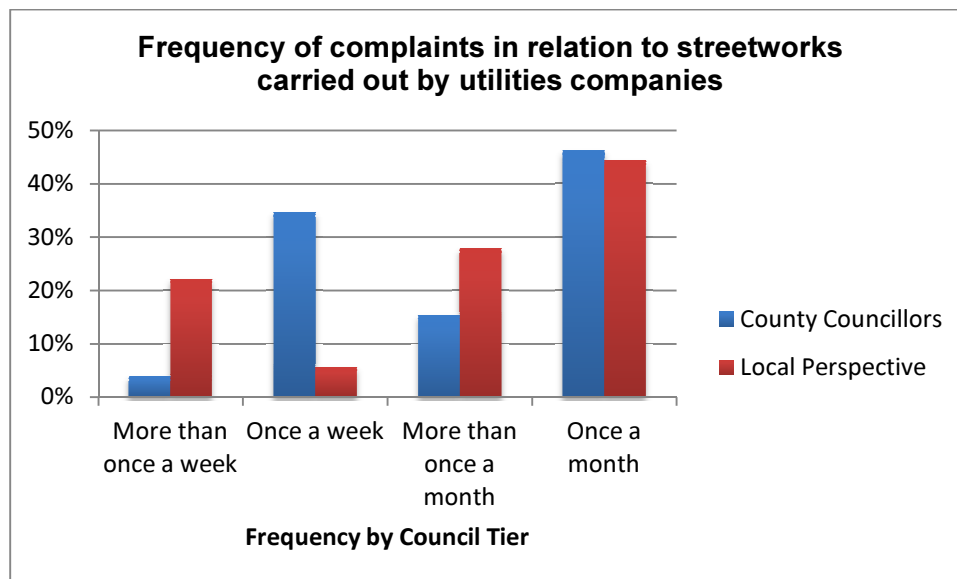
5.3. Complaints

5.3.1. Respondents were asked to estimate how frequently they receive complaints from residents in relation to streetworks being carried out by utilities companies in Surrey. While there was a range of responses from once a month to more than once a week, over 40% of all respondents (46.2% of County Councillors and 44.4% of local respondents) stated that they receive complaints once a month. Two County Councillors and six local respondents did not answer this question.

Table 7

Q6 On average, how frequently do you receive complaints from residents in relation to streetworks being carried out by utilities companies in Surrey?	More than once a week	Once a week	More than once a month	Once a month
County Councillors	3.8% (1)	34.6% (9)	15.4% (4)	46.2% (12)
'Local Perspective'	22.2% (4)	5.6% (1)	27.8% (5)	44.4% (8)

Chart 6



5.3.2. Respondents were then asked what were the most common issues raised through complaints by residents. Seventeen County Councillors responded with a variety of issues. 53% of these responses (9) highlighted the quality of reinstatements and 41% (7) mentioned inadequate communications, including no prior notice and poor signage, as cause for complaints. The time taken for works and the perceived lack of progress by contractors were both mentioned by 29% (5) of County Councillor respondents as common issues raised through complaints. Councillors also highlighted: the quality and untidiness of streetworks; not removing signs and debris following works; traffic management; poor working practices such as not using protective helmets/goggles; a lack of regard for pedestrian safety; and a lack of co-ordination between utilities companies in scheduling streetworks.

- 5.3.3. Of the 24 local responses about complaints, 29% (7) relate to the frequency of complaints. Many point out that complaints come only when there are streetworks taking place in the local parish/borough/district. One Parish Clerk states that they have never received complaints about streetworks carried out by utilities companies. Previous responses indicate that they have had relatively few streetworks taking place within their parish area over recent years. One Borough/District Portfolio holder suggests that generally residents know that highways are a county matter and so complaints are directed at that level.
- 5.3.4. With regard to issues raised through complaints, the comments of Parish Clerks and Borough/District representatives mirror those of County Councillors. 37% (9) highlighted the quality of reinstatements and 29% (7) mentioned inadequate communications, including no prior notice and poor signage. Other issues mentioned include: time taken for the work; lack of visible progress; traffic management; not removing signs and debris following works; a lack of regard for pedestrian safety; and a lack of co-ordination between utilities companies in scheduling streetworks. Two respondents stated that utilities companies not taking action on complaints from residents was a source of complaints then directed at them.

6. Good Practice

- 6.1. Respondents were asked if they have any examples of good practice from their division/ward that could improve the communication and co-ordination of streetworks carried out by utilities companies in Surrey.
- 6.2. Nineteen County Councillors responded to this query, although 58% (11) of these responses were to state that they did not have any examples of good practice to share. Two responses could be categorised as suggestions rather than examples – that Members be used better to communicate information about upcoming streetworks, and that utilities companies be fined for not tidying up following streetworks. One Member highlighted their own good practice in emailing resident associations with information from the Highways Bulletin. Five Councillors identified good practice in their area related to good communications, including local targeting of information through letters to affected households and the utility manager calling on local residents. Comments included:

“SGN were excellent in Haslemere ... recently in terms of holding meetings with ‘all parties’ and maintaining an ongoing dialogue for the completion of the works”.

“Skanska’s replacement of the old yellow street lights. Their work has been exemplary, from notifying residents to finishing and making good”.

- 6.3. Twenty-one Parish and Borough/District Councils responded to this query, although again 38% (8) of responses were to state that they did not have any examples of good practice. Four responses could be categorised as suggestions - that communications be improved between all parties and that bureaucracy not place unnecessary restrictions on contractors or prevent necessary communications with affected businesses. Five respondents highlighted examples of good communications, including advance notice through the Highways department, advance and detailed signs in location, and exchanges of information between all parties. Two respondents mentioned utilities companies and the Highways department addressing complaints quickly and efficiently. One respondent highlighted the good practice within their parish of using a variety of communications technologies to forward information about streetworks.
- 6.4. Respondents were asked if they had any further comments that they would like to be considered. Twelve County Councillors made further statements. Five raised the role of the Highways department, requesting contact details, asking that Members be told who authorised utility streetworks, and highlighting the enforcement responsibilities of the department. Five Members also suggested imposing permit and penalty schemes to ensure that works are completed quickly and are completed to a good quality. The need for better co-ordination of works and good communications were also raised.
- 6.5. Eleven Parish and Borough/District Councils made further comments. Four respondents highlighted the role of the Highways department in communicating to affected residents and businesses, and its responsibilities in regard to monitoring and enforcement. Three respondents proposed permit and penalty schemes such as the reintroduction of "road renting" rules to speed up works. Other comments included the need to improve co-ordination between utilities companies and across boundaries, the need to improve communications between all parties, the length of time that some works take and the lack of visible progress, and the need for contractors to remove signs and debris at the end of a project.

7. Public Feedback

- 7.1. Members of the public were invited to feed views into the review through the use of a press release and an article on the Surrey County Council website. Fifteen responses were received. A summary of the responses is given below and reflect the issues raised by County Councillors, Parish Council Clerks and Borough/District Portfolio holders.
- 7.2. The majority of responses from the public commented on a lack of post-works inspection. Many felt that patch repairs were often inadequate and that this led to an increase in road maintenance work by the Council. It was also highlighted that sites were left untidy, or equipment was left behind after the works had been completed. Several of the respondents indicated that they were in favour of closer regulation of utility company repairs by the council, including a standard application and post-works inspection procedure.

7.3. Other concerns raised by public responses included:

- The number of different works being carried out in the same area within a short period.
- The increase in commuting time as a result of streetworks.
- Works being left unattended for significant amounts of time.
- The lack of clear information about who was responsible for the site.

7.4. One respondent highlighted that works were often extended without suitable warning, therefore creating a further impact on delays caused by traffic management. Areas identified as subject to significant delays included Ewell and Ash.

7.5. Public responses to the consultation frequently expressed that they were in favour of a review.

8. MP Comments

8.1. All 11 Surrey MPs were invited to submit comments to the Streetworks Review and responses were received from Michael Gove (MP for Surrey Heath and Secretary of State for Education) and Chris Grayling (MP for Epsom and Ewell and Secretary of State for Justice).

8.2. Chris Grayling highlighted the lack of a mechanism to encourage contractors to complete planned works within their estimated time frame, which has led to significant over-runs on a number of occasions. He asked that the task group investigate what powers exist for the county to impose a penalty system so that contractors can be charged for over-runs in some circumstances.

8.3. Michael Gove stressed his support for the 'lane rental' schemes piloted by the department for Transport, which would also provide an incentive for utility companies to carry out their works quickly and with minimal disruption.

1. Topic of assessment

EIA title:	Operation of a Permit Scheme to better manage Street works and Road works on the Highway.
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EIA author:	Matthew Jezzard, Traffic and Streetworks Manager
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2. Approval

	Name	Date approved
Approved by¹	Jason Russell, Assistant Director	10 January 2013

3. Quality control

Version number	1.2	EIA completed	10/01/13
Date saved	20/12/12	EIA published	

4. EIA team

Name	Job title (if applicable)	Organisation	Role
Matthew Jezzard	Traffic and Streetworks Manager	SCC	Assessment Author
Maureen Prescott		SCC	DEG comments
Louise Ivison		SCC	DEG comments

¹ Refer to earlier guidance for details on getting approval for your EIA.

EQUALITY IMPACT ASSESSMENT TEMPLATE

5. Explaining the matter being assessed

What policy, function or service is being introduced or reviewed?	<p>Surrey CC has a statutory duty under Section 59 of the New Roads and Street Works Act 1991 (NRSWA) to manage and coordinate all works on the Public Highway; including those of the Utility Companies and those carried out by the Council, its agents and contractors.</p> <p>The Traffic Management Act 2004 (TMA '04) imposed a further statutory 'Network Management Duty' on all Councils to <i>'expedite the movement of all traffic on the public highway'</i>.</p> <p>SCC currently discharges these duties in accordance with the above legislation and the associated Codes of Practise.</p> <p>The TMA '04 and Traffic Management Permit Schemes Regulations 2007, provides authorities with the option to operate a permit scheme to manage works on the Highway, providing some enhanced powers to manage and coordinate works. Approval has to be gained from the Secretary of State to operate a Permit Scheme. There is a prescribed process to achieve this approval.</p>
What proposals are you assessing?	<p>SCC is proposing to submit an application to the Secretary of State to operate a 'Common' Permit Scheme (utilising shared rules across authority boundaries) with our Partner Authority; East Sussex CC. This potentially Regional 'South East Permit Scheme', could also subsequently be adopted by other South East Authorities.</p> <p>The use of a Permit scheme to manage works on the Highway will involve all those planning and executing works on the Public Highway to provide additional information about their works in order to seek permission from the Highway Authority to execute their works in an agreed method and for an agreed period of time.</p> <p>Utility Companies and their Contractors working on the public highway will be charged for each permit they receive, on the major roads within SCC. Works on the minor roads will require the same level of permit information and planning, but no charge will be levied for permits on these roads.</p> <p>The anticipated outcome of the operation of a permit scheme is better planned and executed works – improving site safety, reduced works clashes on the highway network, increased opportunities for collaborative works and overall minimised disruption to residents, businesses and the general public.</p>

EQUALITY IMPACT ASSESSMENT TEMPLATE

Who is affected by the proposals outlined above?	<p>All users of the Highway will be affected by the proposed Permit Scheme, whenever they interact with the works being carried out on the highway.</p> <p>SCC staff are affected. Staff in the Street works team will undertake more comprehensive review of the works proposals they receive and will work in a larger team to process such applications.</p> <p>SCC staff in other teams 'promoting' works on the Highway and their agents and contractors may be required to further refine processes to complete more detailed applications than those previously required. Additional resource may be required to successfully complete these refined processes.</p> <p>Statutory Undertakers (usually Utility Companies) and their agents and contractors will also need to amend their processes to meet the enhanced requirements for planning and execution of works, which may require additional resources. They will also need to allow for the estimated costs of approved permits in their financial planning of their services. These additional operating costs may be passed on to their customers.</p> <p>Customers of Utility Companies may see a small increase in their utility bills where the Utility Companies generically pass on the (unavoidable) costs of approved permits and any additional resource required to comply with the scheme.</p> <p>Customers (residential/business/developers) paying for new services or alterations to services to their premises from Utility Companies will bear the direct cost of the permit application itself for the works required on the highway, in addition to the charges already levied by the Utility Companies for such chargeable works.</p>
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EQUALITY IMPACT ASSESSMENT TEMPLATE

6. Sources of information

Engagement carried out
<p>The development of the permit Scheme proposals has involved the following engagement;</p> <p>Regular reviews with Partner Authority; East Sussex CC and consultants – Halcrow Ltd Informal consultation with Utility Companies working in SCC Informal consultation with all other South East Authorities Presentations to and discussions with Members Utility Works Task Group Presentation to Street works team staff Progress updates relayed to Cabinet Member Informal discussion with operational representatives from May Gurney (SCC primary Highways Contractor) Discussions with DfT staff and reference to draft guidance docs on permit scheme development Discussions with JAG UK National Street Works Manager Attendance/discussion at National Permits Forum Formal public consultation for 12 week period via SCC website, specifically targeted at key stakeholders, including;</p> <ul style="list-style-type: none">• DfT• National Joint Utilities Group• Local Government Association• All Utility Companies who work in SCC• All neighbouring Authorities• All District and Borough Councils within SCC• All Parish Councils within SCC• Environment Agency• Disabled Persons Transport Advisory Committee• Royal Association For Deaf People• Royal National Institute for the Blind <p>Consideration is given to any responses to this formal consultation before scheme submission to the DfT.</p>
Data used
<p>Data held in the SCC Street works Register (Symology system) The Traffic Management Act 2004 Traffic Management Permit Schemes Regulations 2007 Kent CC annual report on their Permit Scheme Operation (commenced Jan 2010) TMA; Code of practice for Permits – March 2008 TMA; Statutory Guidance for permits – March 2008 TMA; Permit Fees guidance – July 2008 TMA; Permit Schemes decision making and development (2nd edition) – Nov 2010 <u>Draft</u> revised DfT guidance on permit scheme principles and clarifications – Nov 2012</p> <ul style="list-style-type: none">•

7. Impact of the new/amended policy, service or function

EQUALITY IMPACT ASSESSMENT TEMPLATE

7a. Impact of the proposals on residents and service users with protected characteristics

Protected characteristic ²	Potential positive impacts	Potential negative impacts	Evidence
Age	Fewer and safer work sites generally, should result in older people who are less mobile encountering fewer difficulties in using the highway.	None	Regulations and guidance documents, along with experience from other Authorities currently operating Permit Schemes indicate better coordination and collaboration of works on the highway along with improved planning and visibility of specific site layouts. This should result in fewer activities on the highway and also allows SCC Officers to specify both generic requirements of works site layouts and agreed solutions at locations where it can be anticipated that specific protected characteristic groups may require bespoke solutions.
Disability	Fewer and safer work sites generally, should result in disabled people who are less mobile, or use wheelchairs, or have limited vision, encountering fewer difficulties in using the highway.	None	Regulations and guidance documents, along with experience from other Authorities currently operating Permit Schemes indicate better coordination and collaboration of works on the highway along with improved planning and visibility of specific site layouts. This should result in fewer activities on the highway and also allows SCC Officers to specify both generic requirements of works site layouts and agreed solutions at locations where it can be anticipated that specific protected characteristic groups may require bespoke solutions.
Gender reassignment	none	none	The permit scheme proposal covers the management and coordination of works activities for all users of the highway network and any on site impacts are restricted to a person's physical abilities whilst interacting with such works. As such this protected

² More information on the definitions of these groups can be found [here](#).

EQUALITY IMPACT ASSESSMENT TEMPLATE

			characteristic group is not specifically impacted.
Pregnancy and maternity	Fewer and safer work sites generally, should result in pregnant women who may be less mobile or those people using buggies/pushchairs, encountering fewer difficulties in using the highway.	none	Regulations and guidance documents, along with experience from other Authorities currently operating Permit Schemes indicate better coordination and collaboration of works on the highway along with improved planning and visibility of specific site layouts. This should result in fewer activities on the highway and also allows SCC Officers to specify both generic requirements of works site layouts and agreed solutions at locations where it can be anticipated that specific protected characteristic groups may require bespoke solutions.
Race	none	none	The permit scheme proposal covers the management and coordination of works activities for all users of the highway network and any on site impacts are restricted to a person's physical abilities whilst interacting with such works. As such this protected characteristic group is not specifically impacted.
Religion and belief	none	none	The permit scheme proposal covers the management and coordination of works activities for all users of the highway network and any on site impacts are restricted to a person's physical abilities whilst interacting with such works. As such this protected characteristic group is not specifically impacted.
Sex	none	none	The permit scheme proposal covers the management and coordination of works activities for all users of the highway network and any on site impacts are restricted to a person's physical abilities whilst interacting with such works. As such this protected characteristic group is not specifically impacted.
Sexual orientation	none	none	The permit scheme proposal covers the management and coordination of works activities for all users of the highway network and any on site impacts are restricted to a person's physical abilities whilst

EQUALITY IMPACT ASSESSMENT TEMPLATE

			interacting with such works. As such this protected characteristic group is not specifically impacted.
Marriage and civil partnerships	none	none	The permit scheme proposal covers the management and coordination of works activities for all users of the highway network and any on site impacts are restricted to a person's physical abilities whilst interacting with such works. As such this protected characteristic group is not specifically impacted.

7b. Impact of the proposals on staff with protected characteristics

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
Page 197 Age	None	None	SCC staff in both the Street works team receiving permit applications and in departments promoting works on the Highway already send/receive information about works planning and on street activities. Whilst the operation of a permit scheme enhances the data exchanged and the format/process involved, this does not constitute a change which would have any impact on any protected characteristic group.
Disability	None	None	See comments in 'age' row (above)
Gender reassignment	None	None	See comments in 'age' row (above)
Pregnancy and maternity	None	None	See comments in 'age' row (above)
Race	None	None	See comments in 'age' row (above)

EQUALITY IMPACT ASSESSMENT TEMPLATE

Religion and belief	None	None	See comments in 'age' row (above)
Sex	None	None	See comments in 'age' row (above)
Sexual orientation	None	None	See comments in 'age' row (above)
Marriage and civil partnerships	None	None	See comments in 'age' row (above).

EQUALITY IMPACT ASSESSMENT TEMPLATE

8. Amendments to the proposals

Change	Reason for change
No change to the current proposal to operate a permit scheme to manage roadworks to date.	Not applicable to date.

9. Action plan

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
No potential negative impacts identified in sections 7a or 7b.			

10. Potential negative impacts that cannot be mitigated

Potential negative impact	Protected characteristic(s) that could be affected
No potential negative impacts identified in sections 7a or 7b.	

11. Summary of key impacts and actions

Information and engagement underpinning equalities analysis	<p>SCC is proposing to apply to the DfT to operate a permit scheme to manage road works and street works on the public highway</p> <p>SCC has reviewed the legislation and considered our options with our partner Authority; East Sussex CC. Following informal engagement and consultations with DfT and other stakeholders such as Utility Companies and Neighbouring Authorities, a 12 week formal consultation process with all stakeholders – including the general public, is being undertaken on the operation of the scheme.</p> <p>The anticipated outcome of the operation of a permit</p>
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EQUALITY IMPACT ASSESSMENT TEMPLATE

	<p>scheme is better planned and executed road works – improving safety around these works and minimising disruption to residents, businesses and the general public.</p>
<p>Key impacts (positive and/or negative) on people with protected characteristics</p>	<p>Fewer and safer work sites generally, should result in; the elderly, pregnant women or those with a disability who may be less mobile, those people in wheelchairs or using buggies/pushchairs, or those who have limited vision, encountering fewer difficulties in using the highway.</p> <p>No key negative impacts have been identified for people with protected characteristics.</p>
<p>Changes you have made to the proposal as a result of the EIA</p>	<p>No changes proposed</p>
<p>Key mitigating actions planned to address any outstanding negative impacts</p>	<p>None</p>
<p>Potential negative impacts that cannot be mitigated</p>	<p>None</p>

SURREY COUNTY COUNCIL

CABINET

DATE: 5 FEBRUARY 2012



REPORT OF: MR MICHAEL GOSLING, CABINET MEMBER FOR ADULT SOCIAL CARE AND HEALTH
 MS DENISE LE GAL, CABINET MEMBER FOR CHANGE AND EFFICIENCY
 MR JOHN FUREY, CABINET MEMBER FOR TRANSPORT AND ENVIRONMENT

LEAD OFFICER: SARAH MITCHELL, STRATEGIC DIRECTOR FOR ADULT SOCIAL CARE

SUBJECT: SURREY LOCAL ASSISTANCE SCHEME

SUMMARY OF ISSUE:

The Department for Work and Pensions (DWP) has allocated a total sum of £2,316,356 to Surrey County Council (SCC) over the period 2012/13 – 2014/15 through a discretionary grant to establish a Local Assistance Scheme in Surrey. The Local Assistance Scheme will replace two elements of the Social Fund (which is currently administered by the DWP), Crisis loans for living expenses and Community Care Grants that will be abolished from April 2013.

Adult Social Care officers have been working with colleagues and partners to develop a scheme to deliver these discretionary payments. As a result of the likely impact of welfare reform that will take place over the coming years, the full DWP allocation is required in order to meet existing and projected demand.

RECOMMENDATIONS:

It is recommended that:

1. The Cabinet approves the set up of a Local Assistance Scheme using the full allocation of funds from the Department of Work and Pensions (DWP) in order to deliver local assistance payments across Surrey.
2. That the Cabinet approves the proposed delivery model to manage the Local Assistance Scheme as set out in this report.

REASON FOR RECOMMENDATIONS:

In 2011/12, **7,340 awards** for emergency cash and essential items were made to Surrey residents via the Crisis loan for living expenses and Community Care Grant elements of the Social Fund.

The recommendations above will ensure that the Council is able to continue providing this vital support for some people with the highest needs in Surrey, but through a more local and holistic approach which will seek to signpost applicants to more sustainable support wherever possible.

DETAILS:

Introduction

1. The Social Fund, which is currently administered by the Department of Work and Pensions (through Job Centre Plus), will be abolished from April 2013, following the Welfare Reform Act. Provision for emergency cash and essential items (currently issued through Crisis Loans for living expenses and Community Care Grants) will be devolved to upper tier local authorities who will have discretion to develop new locally appropriate schemes for their communities. In principle, subject to the adequacy of funding in the short and long term, this is welcomed as a means of enabling resources to be focused on local priorities.
2. Surrey County Council has been awarded a total of £2,316,356 over the period 2012/13 – 2014/15¹, that includes set up and administrative costs and although funding is not ring-fenced, it is recommended that the Council establish a Local Assistance Scheme to provide similar 'last resort' provision as the outgoing Social Fund, for some of the most vulnerable people in Surrey. In 2011/12 Surrey residents made 10,060 applications to the scheme of which 7,340 were awarded a Crisis Loan for Living Expenses or a Community Care Grant.² A full breakdown of the awards and applications in each borough and district for the past two years is included as **Annex A**.
3. Surrey's scheme has been developed by a working group consisting of representatives from the Adults Social Care Directorate; Children, Schools and Families; Procurement; Finance; district and borough councils and the voluntary sector. The working group is led by Graham Wilkin, Assistant to the Strategic Director in Adult Social Care. There has also been input and support from other colleagues in the council where required, such as Environment and Infrastructure, the Shared Service Centre, Legal, Human Resources (HR) and Information Management Technology (IMT). We believe this is an excellent example of joined up working in order to achieve results for Surrey residents.
4. Surrey's scheme will be delivered in partnership with the Surrey Citizens Advice Bureaux (CABx) and Surrey Reuse Network (SRN). The proposed arrangements will aim to signpost applicants to alternative sources of support where possible, thus protecting limited funds for those in most acute need.
5. The Council's Waste team have been working with colleagues in Adults Social Care to join up the reuse agenda with supporting vulnerable adults through the Local Assistance Scheme. A joint approach to working with Surrey Reuse Network has been developed, which means that they will provide good quality second hand items up to the value of the grant awarded via the Local Assistance Scheme. This arrangement has been highlighted as an example of best practice by the Department of Work and Pensions (DWP) - further details are provided in the body of the report.

1 2012/13 Start up funding £9,592

2013/14 Programme funding £959,156 Administration funding £202,677.

2014/15 Programme funding £959,156 Administration funding £185,775.

2 DWP data for 2011/12 award by applicants in Surrey

Overview of outgoing social fund arrangements

6. The Social Fund is currently held by the Department for Work and Pensions (DWP) and administered by Job Centre Plus. The elements of Social Fund being devolved to local authorities from April 2013 are:
- **Crisis Loans for living expenses** - interest free loans that are available to anyone who cannot meet their short-term needs in a disaster or emergency, regardless of their economic status. In the current system loans are repaid, generally as a direct deduction from state benefits. The majority of the loans are awarded to people on job seekers allowance who are single and under 35³.
 - **Community Care Grants** - non-repayable awards intended to support vulnerable people to return to the community, remain in their community or to ease exceptional pressure on families. They can be awarded for a range of expenses and are commonly used to provide household equipment, particularly to those leaving institutional care, prison etc. Community Care Grants have a much lower number of applications than crisis loans for living expenses but higher awards⁴. The highest percentage of all client groups accessing this fund are people with disabilities⁵. The current stated purpose of this award is to help people to live as independently as possible in their community.
7. Rather than maintaining two separate awards, it is proposed that there will be one fund, which will consider applications for two types of need: for those who require immediate support and those who require assistance to establish or maintain a home in the community. Eligibility criteria have been developed as follows:

Types of need covered by Surrey provision

8. Awards of immediate financial assistance may be made to applicants who:
- Have no essential food
 - Need essential goods for children
 - Have no heating
 - Require help with emergency travel costs
 - Have suffered a major upheaval or disaster
9. Assistance to establish or maintain a new home in the community may be considered for applicants who:
- Have been in long term care
 - Have left prison
 - Have fled domestic abuse
 - Move to supported accommodation/independent living
 - Need essential repairs to heating systems
 - Need essential repair to modes of travel which they are dependent on

³ DWP data for 2011/12 award by applicants in Surrey

⁴ DWP Number and type of Community Care Grant applications by local authority between April 11 and September 2011

⁵ DWP data for 2011/12 award by applicants in Surrey

10. However, it is important to note that these lists are not exhaustive and applications will be considered on a case by case basis.

Likely claimants

11. Applicants who are most likely to require this form of assistance may include:

- Families under exceptional pressure
- Single parents
- Homeless people or rough sleepers
- Older people
- People fleeing domestic abuse
- Young people leaving care
- People moving out of institutional or residential care
- Ex offenders leaving prison or detention centres
- Chronically or terminally ill people
- People with alcohol or substance misuse problems
- People with learning difficulties

12. Again, this list is not exhaustive and applications will be considered on a case by case basis.

Eligibility

13. To be eligible for the scheme, it is proposed that applicants should meet the following criteria:

- Be aged 16 or over
and
- Be able to prove residence in Surrey or that their 'centre of interest' is within Surrey
and
- On a low income or means-tested benefit
and
- requiring further resource to either:
 - meet the basic needs of themselves or their dependents
 - or*
 - maintain or establish a home in the community

Process for making an application

14. People who wish to make an application to this scheme will do so through their local CAB. If the CAB determines that the applicant's presenting needs cannot be met through local community provision they will check that they are potentially eligible for the scheme by verifying their identification. Examples of alternative local provision could include food bank or credit unions.

15. Once verification has been completed the CAB will phone the Surrey County Council (SCC) Shared Services Centre. The decision maker in the Shared Service Centre (as authorised by the Council) will then complete an application form and assess the applicant's eligibility. An important aspect of the scheme is that all decisions about eligibility will be made by SCC, thus

protecting CABx's impartial relationships with residents and enabling the Council to control its overall budget for the scheme.

16. The inclusion of CABx in the application process should ensure that the Surrey Local Assistance Scheme provides a more holistic and local service than the outgoing Social Fund payments. CABx can use their local knowledge to provide a variety of options for clients, not just the Surrey Local Assistance Scheme. This will benefit the client, as the CAB may be able to signpost them to more sustainable support (such as debt advice or counselling services), however, it will also aid the Council in ensuring that the limited funds are protected for residents in the most acute need.

Types of assistance that will be provided to successful applicants

Furniture and White Goods

17. If the application is for furniture or white goods then the award will be a referral to Surrey Re-use Network (SRN). SRN represents and supports community based furniture and appliance reuse and recycling organisations in Surrey (there are currently seven organisations providing collection services across all boroughs and districts). SRN will supply the goods required up to the value of the award given by the Council. Applicants will be given the choice of going to a SRN showroom to select their items or to have them delivered direct to their home.
18. The project group has come to this agreement by working with colleagues in the Environment and Infrastructure Directorate to build on an existing relationship with the SRN. This approach has three distinct benefits over the existing system administered by the DWP:
 - On average items will be provided at two thirds the cost of providing new items. This will enable SCC to support more people and ensure grants are sufficient to meet basic requirements.
 - A larger reuse market within Surrey means that more items can be collected, thereby reducing the amount of material going into landfill.
 - The network will be able to invest in additional repair facilities, thereby increasing training and work experience opportunities for the long term unemployed.
19. Nationally, the Furniture Reuse Network (FRN) has been calling on local authorities to work with their local reuse organisations to deliver local assistance. To date, Surrey County Council is the only local authority in the country that is taking this approach. The DWP is referring other local authorities seeking advice on this to Surrey and the County Council is being praised nationally for their work in this area.
20. The delivery of the Local Assistance Scheme is a corporate responsibility, and the Environment and Infrastructure directorate has recognised the need to ensure that set up costs are reduced as far as possible to ensure that monies are spent directly on grant allocations. Given the priority of the work and the mutually beneficial outcomes that will occur, the Environment and Infrastructure Directorate has allocated £50,000, which will cover SRN's set up costs to manage the new provision.

Payment Cards

21. If the application is for living expenses then the award will be issued as a pre-paid card. The final details are still to be determined but it is proposed that these cards would be used as a debit card. Cash will not be issued. Pre-paid cards will issued to successful applicants at the CAB. For security reasons, pre-paid cards held at CABx will not have any value and would only be activated once the applicant has left the CAB. Members will be provided with further detail regarding payment card safeguards and maximum values as soon as this information is available.

Review process

22. A review process will be put in place that will allow the applicant to request an internal review if they are not satisfied with the decision. They will also be able to make a complaint to the county council if they are unhappy about how the application was handled. If the applicant is still unhappy with the decision or the way their application was handled, they will be able to take their case to the Local Government Ombudsman.

Finance and performance monitoring

23. The administration of the fund will be subject to monthly finance and quarterly performance monitoring. The Council will seek to manage funds to ensure that support is available for priority cases throughout the year. However, there is no obligation to make awards and so if required spending can be restricted part-way through the year. An IT system is being developed which will allow the Council to record and monitor the following areas:
 - Payment of awards
 - Methods of payment
 - Projected allocation of funds
 - Awards made
 - Equalities data
 - Speed of awards and appeals

CONSULTATION:

24. From the outset Adult Social Care realised this work could not be undertaken alone and therefore set up project group with colleagues from Children Schools and Families, Procurement, District and Borough Council representatives and the Citizen's Advice Bureaux. An engagement event⁶ was held to gather information to help identify the options to the Council and what the key priorities in a delivery model should be.
25. The fact that by their nature crisis loans and community care grants are generally one-off payments suggests that meaningful consultation with service users as to how to best administer the scheme could prove difficult. Therefore, it is proposed to gather service user data and feedback as part of

⁶ Participants included borough and district councils, county councillors, borough and district councillors, Department for Work and Pensions, local voluntary organisations, housing providers and independent organisations

the scheme and monitor this at quarterly intervals. This information will be used to inform decisions about whether any changes to the scheme are required.

RISK MANAGEMENT AND IMPLICATIONS:

26. Risks and implications have been assessed as follows:

Risk	Mitigating Actions
Local Assistance Schemes are discretionary payments and there could be a reputational risk from turning people down.	<ul style="list-style-type: none"> • Ensure clear eligibility criteria and guidance for those wishing to apply for the award. • Ensure clear review process is in place. • CAB to signpost unsuccessful applicants to alternative support where possible.
There is a reduced level of funding for Surrey Local Assistance Scheme than has previously been available through the centrally held Social Fund. There is also the potential for increased uptake of the fund due to the impact of continued economic austerity and the possible effects of Welfare reforms.	<ul style="list-style-type: none"> • CAB to signpost applicants to other support options where possible in order to protect limited funds for most vulnerable. • Robust financial monitoring will take place on a monthly basis. • There is no obligation to make an award as the provision is discretionary. • CAB will be offering debt advice and financial management advice to all potential claimants to assist them in budget and benefit management.

Financial and Value for Money Implications

27. In August 2012, the Department of Work and Pensions announced the level of funding for local authorities. Surrey's settlement is outlined below. This money is guaranteed for two years after which there remains uncertainty around the levels of funding from 2015. From April 2013 the budget will transfer to the Change and Efficiency Directorate who will be responsible for administering the scheme.

2012/2013 £9,592 (set up funding)

2013/2014 £1,161,833

2014/2015 £1,144,931

Section 151 Officer Commentary

28. The proposals have the potential to enhance value for money and to reduce long term costs by better support of potential clients in most need at an early stage. There are budget risks, but the mitigating measures are considered sufficient to cope with these in the period 2013-15. The longer term funding position will need subsequent assessment.

Legal Implications – Monitoring Officer

29. Further to the Welfare Reform Act 2012, with effect from the 1st April 2013, the Council will have responsibility for receiving and deciding on applications from Surrey residents and certain specified others for a financial award under the scheme set out in this report. This Council has a power to make these awards and it is therefore required to exercise its discretion and to act reasonably and lawfully in so doing. The scheme as set out in this proposal enables authorised officers to exercise discretion and to be the decision maker in respect of these applications for awards and it provides authorised offices with appropriate guidance.

Equalities and Diversity

30. A full Equalities Impact Assessment has taken place (attached as Annex C), a summary from which is included below:

Key impacts (positive and/or negative) on people with protected characteristics	<p>A locally delivered system may be better placed to identify people with protected characteristics who may benefit from the scheme.</p> <p>In order to realise this potential positive impact it is important that service users with protected characteristics (as well as front line workers and volunteers who work with service users who have protected characteristics) are aware of the scheme, who may benefit and how to apply.</p> <p>A communications plan has been developed and service user feedback will be gathered to ensure that the scheme is meeting the needs of the people for whom it is intended.</p>
Changes you have made to the proposal as a result of the EIA	<p>No changes have been made as a result of this EIA.</p>
Key mitigating actions planned to address any outstanding negative impacts	<p>By ensuring that eligibility for the Surrey Local Assistance Scheme is closely aligned to existing Social Fund criteria set by the DWP, it is anticipated that people with protected characteristics will not be negatively impacted by the changes.</p> <p>The Council will seek to collect appropriate equalities and diversities information from all those who apply for</p>

	<p>the payment. This information will be monitored on a quarterly basis.</p> <p>It is proposed that this EIA should be reviewed when there is local information available regarding the use of the scheme.</p>
<p>Potential negative impacts that cannot be mitigated</p>	<p>It is acknowledged that there will be less funding available for Local Assistance Scheme than had previously been available through the Social Fund. Therefore, there may be some applicants who would have been successful in being awarded a crisis loan for living expenses or community care grant may not be granted support from the Local Assistance scheme. If this is the case, there could be a potential negative impact on people from protected characteristics who are more likely to benefit from the scheme.</p>

Corporate Parenting/Looked After Children implications

32. Young people leaving care are one of the groups who will potentially benefit from this scheme. Targeted communications will take place to ensure that they are aware of the scheme and how to apply.

WHAT HAPPENS NEXT:

- Stakeholder awareness campaign informing relevant parties of changes.
- Training for new staff.
- System go live April 2013.

Contact Officer:

Graham Wilkin
Assistant to the Strategic Director, Adult Social Care
020 8541 7135, graham.wilkin@surreycc.gov.uk

Consulted:

Borough and District Councils
Citizens Advice Bureaux
Surrey Welfare Rights Unit

Annexes:

Annex A – Breakdown of applicants and awards in each borough or district
Annex B – Draft Surrey Local Welfare Provision Policy
Annex C – Equalities Impact Assessment

Sources/background papers:

None

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Award and applications rounded to the nearest 10

ANNEX A

Local Authority	Expenditure	2010/2011		2011/2012*	
		Crisis Living Loan Exences	Community Care Grants	Crisis Living Loan Exences	Community Care Grants
Elmbridge	No of applications received	760	320	740	340
	Number of awards	630	160	600	200
	Total expenditure	£37,500	£64,100	£30,800	£106,600
Epsom & Ewell	No of applications received	430	170	460	160
	Number of awards	350	90	380	80
	Total expenditure	£17,700	£33,800	£18,200	£48,200
Guildford	No of applications received	1260	400	1040	340
	Number of awards	1000	210	820	160
	Total expenditure	£55,800	£67,200	£43,600	£58,600
Mole Valley	No of applications received	370	160	340	180
	Number of awards	290	90	280	100
	Total expenditure	£16,600	£37,100	£14,400	£45,200
Reigate & Banstead	No of applications received	1300	450	1020	420
	Number of awards	1050	240	800	200
	Total expenditure	£57,800	£92,700	£45,800	£96,200
Runnymede	No of applications received	630	180	540	160
	Number of awards	510	100	440	60
	Total expenditure	£29,800	£44,300	£21,800	£30,800
Spelthorne	No of applications received	1120	350	960	340
	Number of awards	890	170	780	180
	Total expenditure	£52,400	£68,100	£40,800	£91,800
Surrey Heath	No of applications received	540	170	500	200
	Number of awards	430	80	400	80
	Total expenditure	£22,100	£34,000	£20,400	£29,800
Tandridge	No of applications received	380	220	360	180
	Number of awards	300	120	300	80
	Total expenditure	£18,900	£57,700	£16,200	£40,600
Waverley	No of applications received	550	180	400	180
	Number of awards	450	110	320	100
	Total expenditure	£25,500	£39,200	£17,000	£33,000
Woking	No of applications received	1280	260	960	240
	Number of awards	1010	120	860	120
	Total expenditure	£53,100	£50,900	£46,400	£64,400
Total in Surrey	No of applications received	8,620	2,860	7,320	2,740
	Number of awards	6,910	1,490	5,980	1,360
	Total expenditure	£387,200	£589,100	£315,400	£645,200

* Estimates for 2011/12 based on 6 months

Localised Support Scheme to replace the Social Fund: Draft Surrey Local Assistance Scheme Policy

1 Introduction

- 1.1 On 8 March 2012 the Welfare Reform Act received Royal Assent, heralding the biggest change to the welfare system for over 60 years. Included within the proposals was the abolition of the discretionary Social Fund administered by the Department for Work and Pensions (DWP). From April 2013, discretionary local provision will be administered by top-tier or unitary local authorities.
- 1.2 The government has stated that it believes that local delivery will empower local authorities to better identify and meet the needs of residents.
- 1.3 The elements of the Discretionary Social Fund that will be replaced with local provision are:
 - Community Care Grants
 - Crisis Loans for living expenses

There are other elements of the Social Fund, such as Crisis Loan Alignments, Budgeting Loans and Maternity Grants which are not being devolved to local authorities and will remain the responsibility of the DWP.
- 1.4 The outgoing DWP policy states that Crisis Loans are to meet immediate needs such as general living expenses or items needed following a disaster and entitlement is not dependent upon receipt of a benefit. Community Care Grants (CCG's) are non-repayable grants to enable residents to live in the community and are conditional upon receipt of an income related benefit.
- 1.5 This document sets out the Council's policy for administering Surrey's new Local Assistance Scheme.

2 Purpose of the scheme

- 2.1 The purpose of the new Surrey Local Assistance scheme is to replace those elements of the Social Fund which will no longer be administered by the DWP: specifically Community Care Grants and Crisis Loans for living expenses. The scheme will be administered by the Shared Service Centre within Surrey County Council.
- 2.2 The scheme will seek to assist residents in meeting their needs for subsistence or financial support where they are unable to meet their immediate short term needs or where they require assistance to maintain their independence within the community.
- 2.3 The scheme seeks to treat all applicants fairly and equitably with full consideration given to their circumstances. The scheme will seek to signpost to alternative avenues of support or funding where possible in order to protect the remaining funds for residents in the most acute need.
- 2.4 Consideration will be given to the nature, extent and urgency of the need in every case where an application for assistance is made.
- 2.5 In accordance with equalities legislation a full Equalities Impact Assessment (EIA) has taken place to ensure that the scheme does not negatively impact upon groups with protected characteristics.

3 Targeted scenarios for support

- 3.1 The scheme will consider paying awards for two types of need: to applicants who require immediate support and to applicants who require assistance to establish or maintain a home in the community.
- 3.2 Applicants who are most likely to require this form of assistance may include:
- Families under exceptional pressure
 - Single parents
 - Homeless people or rough sleepers
 - Older people
 - People fleeing domestic abuse
 - Young people leaving care
 - People moving out of institutional or residential care
 - Ex-offenders leaving prison or detention centres
 - Chronically or terminally ill people
 - People with alcohol or substance misuse problems
 - People with learning difficulties
- 3.3 This list is not exhaustive and applicants will be considered on a case by case basis.
- 3.4 It is intended that applications should be assessed on the basis of presenting need. Awards will not be refused on the grounds that the applicant's behaviour or actions have contributed to their financial hardship.
- 3.5 Awards of immediate financial assistance may be made to applicants who:
- Have no essential food
 - Need essential goods for children
 - Have no heating
 - Require help with emergency travel costs
 - Have suffered a major upheaval or disaster
- 3.6 Assistance to establish or maintain a new home in the community may be considered for applicants who:
- Have been in long term care
 - Have left prison
 - Have fled domestic abuse
 - Move to supported accommodation/independent living
 - Need essential repairs to heating systems or
 - Need essential repair to modes of travel which they are dependent on
- 3.7 These scenarios are not exhaustive and other exceptional circumstances will be considered on a case by case basis.

3.6 Awards could be to help with the provision of:

- Beds
- Bedding
- Essential white goods
- Provision of heating appliances
- Essential domestic appliances/cookware
- Essential domestic furniture
- Clothing for expectant mothers or babies
- Emergency transport costs
- Redecoration

3.7 Awards would not normally be given for:

- A television or satellite cost or repair
- Housing costs or arrears of rent
- Costs normally met by state support or benefits including Universal Credit
- Debts
- TV license
- Installation of a telephone or telephone line
- Costs associated with care provision
- Non-essential white goods and domestic appliances

3.8 The scheme will seek to provide holistic support, taking into account alternative local provision including Discretionary Housing Payments, Disability Related Expenditure allowances within social care charging policy, Council Tax Support and Disabled Facilities Grant. The scheme will actively seek partnership arrangements with local organisations that can provide assistance such as furniture re-use organisations and voluntary sector organisations.

3.9 The scheme will also seek to ensure that the support is sustainable. Applicants who submit repeat applications or are identified as in need of requiring another form of assistance will be referred to an appropriate local advice service for support such as debt advice or counselling services.

3.10 Other than in very exceptional circumstances, such as unforeseen disaster, repeat applications will be limited to no more than 3 in any 12 month period.

Eligibility

- 4.1 To be eligible for the scheme, applicants should meet the following criteria:
- Be aged 16 or over
and
 - Be able to prove residence in Surrey or that their 'centre of interest' is within Surrey
and
 - On a low income or means-tested benefit
and
 - requiring further resource to either:
 - meet the basic needs of themselves or their dependents
or
 - maintain or establish a home in the community
- 4.2 The Council will consider available information on income and savings to determine if a customer is eligible for an award.
- 4.3 Where the applicant has available income or savings that are adequate to meet the needs identified, the application will be refused.
- 4.4 All requests will be considered on an individual basis with due account given to the vulnerability and personal circumstances of each applicant.
- 4.5 Applications from members of the same household will be treated as repeat applications – see paragraph 5.5.

5 The Application Process

- 5.1 People who wish to make an application to the scheme will do so via their local Citizens Advice Bureaux (CAB). The CABx will, where possible, look to signpost to alternative provision, thus maximising availability of Local Assistance Scheme funds for those most in need.
- 5.2 The application process will provide consistent and fair decision making by gathering appropriate data and supporting information.
- 5.3 Applicants may be asked by the CAB to provide suitable documentation to support their application such as identification, proof of their national insurance number and a recent bank statement. Where applicants fail to comply with reasonable requests to provide supporting documentation, it is likely that an award will not be made.
- 5.4 Once eligibility has been verified by the CAB, they will call the Shared Service Centre at SCC. The applicant will then be asked a number set questions by the Shared Service Centre. The Council will then assess the application before informing the applicant of the decision.
- 5.5 Repeat applications will be considered on a case by case basis and only where an applicant's circumstances have changed. There will be a limit of 3 awards per household in one financial year unless there are exceptional circumstances. People with a history of repeat applications will be referred to advice for sustainable support.

6 Methods of Payment

- 6.1 The scheme will seek to provide appropriate methods of awarding support and allow the Council to decide to whom the award should be made based upon the individual circumstances of each applicant.
- 6.2 Consideration will be given to making awards to the appropriate party which may include:
- The applicant
 - An authorised representative
 - Directly to a service or goods provider
- 6.3 Payment methods will include:
- Payments to suppliers of suitable goods or services (such as Surrey Reuse Network)
 - Pre-payment cards for goods/heating
 - Cash payments will not be made, but pre-payment cards may be issued where appropriate to enable access to cash.
- 6.4 The delivery method of providing support will be flexible in how, when and where awards will be given to reflect the individual requirements of each application.

7 Rights of Review

- 7.1 The applicant or their authorised representative will have the right to request that the decision be reviewed. In such cases, an independent person from within the Council will be appointed to undertake the review.
- 7.2 If the applicant is not satisfied with the outcome of the internal review, they will have the option to make a complaint to the Local Government Ombudsman.
- 7.3 If the applicant is unhappy with the way that their application is handled, they will be advised to follow the Council's complaint's procedure.

8 Financial Constraints and Controls

- 8.1 Central government funding to local authorities for discretionary schemes will be limited, taking into account the historic data available on past social fund payments.
- 8.2 Annual funding will normally be limited in accordance with the award received from central government, but in the event that there is a local emergency (for example flood or fire) affecting large numbers of households, the Council may wish to review available funds.
- 8.3 All financial management will be subject to monthly and quarterly monitoring. The Council will seek to manage funds to ensure that support is available for priority cases throughout the year.
- 8.4 ICT systems will be implemented which will allow the Council to record and monitor the following information:
- Payment of awards
 - Methods of payment
 - Projected allocation of funds
 - Awards made
 - Equalities data
 - Speed of awards and appeals
- 8.5 The scheme will seek to deter fraudulent claims and false statements, ensuring appropriate controls are in place and swift action is taken where required. This will maximise the limited funding available for those most in need.

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EQUALITY IMPACT ASSESSMENT TEMPLATE

1. Topic of assessment

EIA title:	Surrey Local Welfare Provision Policy
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EIA author:	Rachel Yexley, Policy Manager, Adult Social Care
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2. Approval

	Name	Date approved
Approved by¹	Graham Wilkin	10/01/2013

3. Quality control

Version number	6	EIA completed	10/01/2013
Date saved		EIA published	

4. EIA team

Name	Job title (if applicable)	Organisation	Role
Graham Wilkin	Assistant to the Strategic Director	Surrey County Council	Project and EIA sponsor
Alex Green	Surrey Reuse Network Co-ordinator	Surrey Re-Use Network	Consulted
Alison Wilks	Strategic Housing Manager	Mole Valley District Council	Project group member – consulted
Andrew Evans	Strategy and Policy Development Assistant, Children, Schools and Families	Surrey County Council	Project group member – consulted
Andy Wickes	Senior Accountant, Finance	Surrey County Council	Project group member – consulted
Ginni Smedley	Strategy and Policy Development Manager, Children, Schools and Families	Surrey County Council	Project group member – consulted
Jane Bourgeois	Manager, Walton Citizens Advice Bureaux	Citizens Advice Bureaux	Consulted
Maria Zealy	Manager	Surrey Welfare Rights Unit	Project group member – consulted

¹ Refer to earlier guidance for details on getting approval for your EIA.

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Nicola Sinnett	Category Specialist, Procurement	Surrey County Council	Project group member – consulted
Sophie Baker	Project Officer, Adult Social Care	Surrey County Council	Project group member – consulted
Stewart Taylor	Customer Interaction Lead, Shared Service Centre	Surrey County Council	Project group member - consulted
Rachel Yexley	Policy Manager, Adult Social Care	Surrey County Council	EIA co-ordinator

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5. Explaining the matter being assessed

What policy, function or service is being introduced or reviewed?	<p>The Welfare Reform Act (2012) set out changes to the way in which the Social Fund is administered. The Social Fund is currently held by the Department for Work and Pensions and administered by Job Centre Plus to make discretionary payments, including: Community Care Grants and Crisis Loans for general living expenses*, for some of the most vulnerable people in society.</p> <p>From April 2013 the Social Fund will cease to exist. Provision for emergency cash and essential items (currently issued through Crisis Loans for general living expenses and Community Care Grants) will be replaced with 'local welfare provision; and devolved to upper tier local authorities who will be expected to use their discretion as to how to administer it.</p> <p>The funding is not ring fenced and Surrey County Council needs to agree its position with regards to protecting the money for the sole purpose of welfare provision. Whilst the total sum of money allocated to the organisation is relatively small, it will impact on the most vulnerable of people. Additional changes of Universal Credit and wider welfare reform are expected to increase demand on Local Welfare Provision.</p> <p>* Crisis Loans for general living expenses are interest free loans that are available to anyone who cannot meet their short-term needs in a disaster or emergency. They can be awarded to anybody regardless of their economic status. In the current system loans are repaid, generally as a direct deduction from state benefits. The majority of the loans are awarded to people on job seekers allowance who are single and under 35².</p> <p>Community Care Grants are non-repayable awards intended to support vulnerable people return to the community, remain in their community or to ease exceptional pressure on families. They can be awarded for a range of expenses and are commonly used to provide household equipment, particularly to those leaving institutional care, Prison etc. Community Care Grants have a much lower number of applications than crisis loans and higher awards³. The highest percentage of all client groups accessing this fund are people with disabilities⁴. The current stated purpose of this award is to help people to live as independently as possible in their community.</p>
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² DWP data for 2011/12 award by applicants in Surrey

³ DWP Number and type of Community Care Grant applications by local authority between April 11 and September 2011

⁴ DWP data for 2011/12 award by applicants in Surrey

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<p>What proposals are you assessing?</p>	<p>The project group propose that in order to avoid a gap in support for some vulnerable people in certain situations, SCC should honour Social Fund arrangements via a Local Assistance Scheme by committing the non-ring fenced allocation from DWP. It is anticipated that Local Assistance Scheme payments will help meet some immediate needs as well as help prevent needs from escalating. They could also potentially limit the demand on other social care services.</p> <p>It is proposed that:</p> <ul style="list-style-type: none"> • From 1 April 2013, Crisis Loans for general living expenses and Community Care Grants will be merged into one fund called Surrey Local Assistance Scheme. • The Council will provide payments rather than loans. Crisis Loans for living expenses have a high level of applications and low award value, leaving relatively high transactional costs. It seems unlikely that continuing to treat them as a loan would be financially advantageous, particularly as repayment could not be achieved through direct benefit deductions. • The Council will commission the Citizens Advice Bureaux to filter potential applicants, where possible signposting to other sources of support. Where a payment from the Local Assistance Scheme is felt to be required, the Citizens Advice Bureaux will assist with the application process. • Five new posts will be created within the council's Shared Service Centre to administer the scheme. • Applicants needing emergency support will be provided with support via payment cards which can be used to purchase goods. • Applicants requiring household items such as white goods or furniture will be provided with goods from the Surrey Re-Use Network. This will support the local economy and help SCC achieve its landfill reduction targets. The council's Environment and Infrastructure Directorate have agreed to contribute to the cost of commissioning Surrey Re-Use Network. • Targeted communications will take place to ensure that residents who are likely to benefit from the scheme are aware of the changes to the Social Fund and how to apply for the Surrey Local Assistance Scheme.
<p>Who is affected by the proposals outlined above?</p>	<p>Residents</p> <p>Residents who use the service will be affected by the new proposals. The fund devolved to Local Authorities is less than was previously available when the fund was held centrally, so some people who would have previously been awarded a grant may now be unsuccessful. However, it is hoped that by working with local organisations such as the Citizens Advice Bureaux, potential applicants can be supported to find more sustainable support options for example debt advice or counselling services.</p> <p>Council Staff</p>

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Five new Council posts will be created to administer the fund. The posts will be advertised in the first instance to the redeployment pool, therefore potentially offering employment to staff who are under notice of redundancy.

Citizens Advice Bureaux

The Citizens Advice Bureaux will be commissioned to filter applicants and assist residents with making applications to the fund. The project will use some of the allocated administration funding to aid this process.

Surrey Re-use Network

Surrey Re-Use network will be commissioned to provide furniture and white goods to successful applicants. This will support the local economy and help SCC achieve its landfill reduction targets.

Other voluntary organisations

Where appropriate applicants will be signposted to suitable local voluntary organisations that may be able to provide support.

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6. Sources of information

Engagement carried out
<p>From the outset Adult Social Care has recognised that this work could not be undertaken in isolation, so a project group was established with colleagues from the Children, Schools and Families directorate, Procurement, Finance, District and Borough Council representatives and the Citizen's Advice Bureaux. The group has also engaged and sought advice from a number of other Council services as part of the project including Information Management Technology (IMT), Legal and internal audit.</p> <p>At the beginning of the project a workshop was held with a variety of stakeholders to gather views on what the arrangements for delivering the social fund at a local level should look like. Invitees included colleagues from across Surrey County Council and District and Borough Councils, as well as a number of representatives from voluntary organisations who work directly with residents who may be likely to use the scheme. A follow up workshop was held in April 2012 with over 20 representatives from District and Borough Councils and Citizens Advice Bureaux to determine how to further progress the ideas generated.</p> <p>By their nature, crisis loans for general living expenses and community care grants are generally one-off payments, which suggests that meaningful consultation with service users as to how to best administer the scheme could prove difficult. Therefore, it is proposed to gather service user data and feedback as part of the scheme and monitor it at quarterly intervals. This information will then be used to inform decisions about whether any changes to the scheme are required.</p>
Data used
<ul style="list-style-type: none">• Surrey i – Surrey Joint Strategic Needs Assessment• 'Local welfare assistance to replace Social Fund Community Care Grants and Crisis Loans for general living expenses' Department for Work and Pensions Equality Impact Assessment, October 2011• DWP data for 2011/12 awards by applicants in Surrey• The Social Fund: Current role and future direction, Joseph Rowntree Foundation, 2006• DWP website, 2012• Families in Poverty Needs Assessment, 2011

7. Impact of the new/amended policy, service or function

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7a. Impact of the proposals on residents and service users with protected characteristics

Protected characteristic ⁵	Potential positive impacts	Potential negative impacts	Evidence
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 229</p> <p style="text-align: center;">Age</p>	<p>In the current scheme applicants apply for funding through their local Job Centre, of which there are 5 across Surrey. In the proposed scheme, applicants will apply for the scheme via the 9 CABx. This may improve accessibility to the scheme to some older people who may have mobility issues or rely on public travel. More local access in this scheme, compared with the previous scheme, could have a positive impact on families with younger children as poverty disproportionately affects children under 10.</p>		<p>Local Data: Compared with England, Surrey has a slightly larger proportion of people in the 35 years and over age group and fewer people in the 10-35 year age groups.</p> <p>The proportion of the population aged 85 years and over is projected to increase in England and Surrey until at least 2033. The current proportion aged 85 and over is slightly higher in Surrey than England. This reflects the longer life expectancies in Surrey compared with England.⁶</p> <p>Local Research: The majority of crisis loans are awarded to people on job seekers allowance who are single and under 35⁷.</p> <p>However, children and young people living in families where nobody works have a 58% risk of poverty nationally.⁸ In Surrey, 16,595 children and young people live in families receiving either Income Support or Job Seekers Allowance (72% of all 0-19 year olds living in poverty and 6% of the total children and young people in the county).⁹</p> <p>Additionally, poverty in Surrey disproportionately affects children under 10; this group make up 64% of 0-19s in poverty in Surrey.¹⁰</p> <p>National Research: In 2009/10 a small proportion of Crisis Loans final decisions were made in respect of customers under 18 (3%) and over 45 (13%). The largest proportion (37%) of final decisions were made in respect of customers between 18 to 24 years old. Customers 65 and</p>

⁶ Surrey Joint Statagic Needs Assesment Chapter: Population Estimates and Projections.

⁷ DWP data for 2011/12 award by applicants in Surrey

⁸ Families in Poverty Needs Assessment, Surrey County Council, 2011

⁹ Ibid

¹⁰ Ibid

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			<p>over also have lower success rates. Younger people are advantaged by the current system and older people are disadvantaged.¹¹</p> <p>Research by the Joseph Rowntree Foundation in 2006 looked in more detail at the factors associated with accessing the social fund. It found that Pensioners received a disproportionately small proportion of social fund expenditure compared to their presence in the eligible population. The report suggested that a lack of knowledge, the stigma of applying, communication difficulties and an antipathy to borrowing all hold pensioners back from applying.¹²</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 230</p> <p style="text-align: center;">Disability</p>	<p>In the current scheme applicants apply for funding through their local Job Centre, of which there are 5 across Surrey. In the proposed scheme, applicants will apply for the scheme via 9 CABx. This may improve accessibility to the scheme to people with disabilities or families where there is a disability.</p> <p>A locally delivered scheme may be better placed to identify people with disabilities who could</p>		<p>Local Research: The highest percentage of all client groups accessing community care grants are people with disabilities¹³.</p> <p>There are approximately 8,500 children and young people aged 0-19 that may have a long-term illness, disability or a medical condition affecting their day-to-day activities.¹⁴ Additionally, it is estimated that nationally 29% of families with disabled children are in poverty and 55% of families with children with disabilities are living in or at the margins of poverty.¹⁵</p> <p>Caring for disabled children limits parents' capacity to work, reducing incomes and increasing the likelihood of poverty.¹⁶</p> <p>National Research: In 2009/10 31% of Crisis Loan final decisions were made in respect of disabled people. Overall success rates are very similar for disabled customers (76%) compared to non-disabled customers (77%).</p> <p>In 2009/10 33% of Community Care Grant final decisions were made in respect of disabled people. Overall success rates are higher for</p>

¹¹ 'Local welfare assistance to replace Social Fun Community Care Grants and Crisis Loans for general living expenses' Department for Work and Pensions Equality Impact Assessment, October 2011

¹² The Social Fund: Current role and future direction, Joseph Rowntree Foundation, 2006

¹³ DWP data for 2011/12 award by applicants in Surrey

¹⁴ JSNA Chapter: Children with disabilities

¹⁵ Families in Poverty Needs Assessment, Surrey County Council, 2011

¹⁶ Ibid

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<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 231</p>	<p>benefit from the scheme.</p> <p>This also applies to families with at least one disabled member and families with disabled children. They are more likely to report higher levels of material deprivation than families with no disabled members, meaning they are more likely to be apply to this scheme.</p> <p>However, this benefit will only be realised if the scheme is promoted with disability groups etc and that information is made available in accessible formats.</p> <p>By applying through CABx people and families with disabilities may also be positively impacted by being informed of support they did not previously know existed.</p>		<p>disabled customers (48%) than for non-disabled customers (43%).</p> <p>The number of disabled people accessing both Crisis Loans and Community Care grants has been rising in recent years.¹⁷</p>
<p>Gender reassignment</p>	<p>The new scheme is not anticipated to have a</p>		<p>Local data: There is currently no data on the number of people living in Surrey who have/ are undergoing gender reassignment.</p>

¹⁷ 'Local welfare assistance to replace Social Fun Community Care Grants and Crisis Loans for general living expenses' Department for Work and Pensions Equality Impact Assessment, October 2011

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	positive or negative impact on the basis of gender reassignment.		National Research: The DWP does not hold information on its administrative systems on transgender persons.
Pregnancy and maternity	The new scheme is not anticipated to have a positive or negative impact on the basis of pregnancy and maternity.		National Research: The DWP only holds information on pregnancy and maternity on its administrative systems where it is the primary reason for the incapacity. It cannot therefore be used to accurately assess the equality impacts.
Race	<p>The new scheme is not anticipated to have a positive or negative impact on the basis of race.</p> <p>However, the group is aware that according to a DWP Equalities Impact Assessment, overall success rates for Crisis Loan awards were 'slightly higher for white customers than other groups'.¹⁸</p> <p>The Council will need to monitor equalities data carefully to ensure that this is not replicated in the local scheme.</p>		<p>Local Data: 16.99% of Surrey's population are from BME groups. This is compared to 17.21% across England and 14.28% in the South East. Epsom & Ewell and Woking have the highest percentage of non-White residents while Waverley has the lowest. The largest ethnic minority group in Surrey is Indian (2.3% of the population)¹⁹</p> <p>All ethnic minority groups in Surrey have a higher proportions of poverty compared to the majority white population. Poverty differs among ethnic groups. These differences are often due to labour market disadvantage among some groups, for example the high risk of low pay among Pakistani and Bangladeshi groups.²⁰</p> <p>Most 0-19s in poverty are White British because the majority of Surrey's population is White British, however, Pakistani, Bangladeshi, Black African and Gypsy / Roma or Traveller children and young people in Surrey are more likely to experience poverty as it disproportionately affects these groups.²¹</p> <p>National Research: According to the DWP, "in 2009/10 79% of Crisis Loan final decisions were made in respect of white customers with some ethnic groups receiving less than 1 % of the final awards. Overall</p>

¹⁸ 'Local welfare assistance to replace Social Fun Community Care Grants and Crisis Loans for general living expenses' Department for Work and Pensions Equality Impact Assessment, October 2011

¹⁹ Surrey Joint Strategic Needs Assessment Chapter: Ethnicity

²⁰ Surrey Joint Strategic Needs Assessment Chapter: Ethnicity

²¹ Families in Poverty Needs Assessment, Surrey County Council

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			<p>success rates are slightly higher for white customers than other groups”.</p> <p>“In 2009/10 65% Community Care Grant final decisions were made in respect of white customers with some ethnic groups receiving less than 1% of the final decisions. Overall, success rates are slightly higher for all ethnic minority customers (average of 46%) than white customers (average of 44%).”²²</p>
Religion and belief	The new scheme is not anticipated to have a positive or negative impact on the basis of religion and belief.		<p>Local Data: The 2001 census revealed that 74.6% of the Surrey population were Christian; 1.3% Muslim; 0.3% Buddhist; 0.7% Hindu; 0.3% Jewish; 0.2% Sikh; 0.3% Other; and, 15.2% had no religion.</p> <p>National Research: The DWP does not hold information on its administrative systems on the religion or beliefs of claimants.</p>
Sex	<p>The new scheme is not anticipated to have a positive or negative impact on the basis of sex.</p> <p>Those fleeing domestic abuse, and women in general are at greater risk of becoming victims of domestic abuse than men, may be positively impacted by having a grant than a loan. This is particularly where there</p>		<p>National Research: In the current system there are no differences between male and female success rates for crisis loans. However, single females who are more likely to be caring for children are advantaged by the current system for awarding Community Care Grants. This is because during the assessment stage higher number of women than men are seen as having sufficient needs to be awarded a Community Care Grant.</p> <p>In 2009/10 58% of final awards for Crisis Loans were made in respect to single males, 34% in respect to single females and 8% made in respect to couples. The success rates were the same for single males and females (76%) and 74% for a couple. The majority of applications are made by unemployed recipients and the award rate is a reflection</p>

²² ‘Local welfare assistance to replace Social Fun Community Care Grants and Crisis Loans for general living expenses’ Department for Work and Pensions Equality Impact Assessment, October 2011

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	<p>has been no opportunity to pre-plan their flight.</p>		<p>of the profile of customers who currently claim Job Seekers Allowance (JSA) as 28% of the JSA caseload are female without children.</p> <p>In 2008/10 49% of Community Care Grant final decisions made in respect to single females, 36% made in respect to single males and 15% made in respect to couples. The success rates for single females were higher (49%) than single males (42%) but lower than couples (53%).²³</p> <p>Women in general are at greater risk of becoming victims of domestic abuse than men. 88% of those that contact Surrey's outreach services are female.²⁴</p>
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 234</p> <p style="text-align: center;">Sexual orientation</p>	<p>The new scheme is not anticipated to have a positive or negative impact on the basis of sexual orientation.</p>		<p>Local Data: The 2001 census showed that there was a smaller percentage of people living in a same sex couple in Surrey than in England and the South East.</p> <p>Although there is no definitive data, if we take the national estimate of 5-6% then approx. 55 000 - 66 000 people in Surrey would identify as lesbian, gay or bisexual.²⁵</p> <p>National Research: The DWP does not hold information on its administrative systems on the sexual orientation of claimants.</p>
<p>Marriage and civil partnerships</p>	<p>The scheme will need to consider that lone parent families are more likely to be in poverty and therefore lone parents are more likely to apply to this scheme. Having better access than</p>		<p>Local Data: Compared to England as a whole and the South East, Surrey has high rates of marriage (47.2% for Surrey compared with 43.5% for England and 44.7% for South East).</p> <p>Surrey rates of separated or divorced individuals are also low compared to England and the South East (Surrey County Council, no date).</p> <p>Most children and young people in poverty live in a lone parent</p>

²³ Local welfare assistance to replace Social Fund Community Care Grants and Crisis Loans for general living expenses, Equality Impact Assessment, October 2011

²⁴ JSNA Chapter: Domestic Abuse

²⁵ Surrey Joint Strategic Needs Assessment Chapter: Lesbian, Gay, Bisexual and Transgender

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	<p>previously, through more local access points, should result in a positive impact. Additionally a further positive impact will be any potential extra support or signposting identified for them by CABx.</p>		<p>household. In Surrey this equates to 72% of all 0-19 year olds in poverty, around 16,000 children and young people.²⁶</p> <p>National Research: The DWP does not hold information on the civil partnership status of claimants.</p>
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7b. Impact of the proposals on staff with protected characteristics

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
<p>Page 235</p> <p>Age</p>	<p>Five new posts will be created as a result of the Council taking on this new responsibility. The posts will be recruited in line with the Council's Equality and Diversity policy, therefore it is not anticipated that there will be any negative impact.</p>		
<p>Disability</p>	<p>As above</p>		
<p>Gender reassignment</p>	<p>As above</p>		
<p>Pregnancy and maternity</p>	<p>As above</p>		
<p>Race</p>	<p>As above</p>		

²⁶ Families in Poverty Needs Assessment, Surrey County Council

EQUALITY IMPACT ASSESSMENT TEMPLATE

Religion and belief	As above		
Sex	As above		
Sexual orientation	As above		
Marriage and civil partnerships	As above		

EQUALITY IMPACT ASSESSMENT TEMPLATE

8. Amendments to the proposals

Change	Reason for change
No changes are proposed as a result of this EIA.	

9. Action plan

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
<p>A locally delivered system may be better placed to identify people with protected characteristics who may benefit from the scheme.</p>	<p>In order to realise this potential positive impact it is important that service users with protected characteristics (as well as front line workers and volunteers who work with service users who have protected characteristics) are aware of the scheme, who may benefit and how to apply.</p> <p>A communications plan has been developed and service user feedback will be gathered to ensure that the scheme is meeting the needs of the people for whom it is intended.</p>		
<p>People with protected characteristics will not be negatively impacted by the changes.</p>	<p>By ensuring that eligibility for the Surrey Local Assistance Scheme is closely aligned to existing Social Fund criteria set by the DWP, it is anticipated that people with protected characteristics will not be negatively impacted by the changes.</p> <p>The Council will seek to collect appropriate equalities and diversities information from all those who apply for the payment. This information will be monitored on a quarterly basis.</p> <p>It is proposed that this EIA should be reviewed when there is local information available regarding the use of the</p>		

EQUALITY IMPACT ASSESSMENT TEMPLATE

	scheme.		
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10. Potential negative impacts that cannot be mitigated

Potential negative impact	Protected characteristic(s) that could be affected
<p>It is acknowledged that there will be less funding available for Surrey Local Assistance Scheme than had previously been available through the Social Fund. Therefore, there may be some applicants who would have been successful in being awarded a crisis loan or community care grant who may not be granted support from the Local Welfare Provision scheme. If this is the case, there could be a potential negative impact on people from protected characteristics who are more likely to benefit from the scheme.</p> <p>Surrey has tried to mitigate this potential negative impact by commissioning CAB to signpost applicants to other, more sustainable sources of support where possible.</p>	Age; Disability; Sex

11. Summary of key impacts and actions

<p>Information and engagement underpinning equalities analysis</p>	<p>Key data:</p> <ul style="list-style-type: none"> Surrey i – Surrey Joint Strategic Needs Assessment 'Local welfare assistance to replace Social Fund Community Care Grants and Crisis Loans for general living expenses' Department for Work and Pensions Equality Impact Assessment, October 2011 DWP data for 2011/12 awards by applicants in Surrey <p>Key engagement:</p> <ul style="list-style-type: none"> Local Assistance Scheme Project Group meetings Workshop with large variety of stakeholders including organisations who work directly with people likely to benefit from the scheme.
<p>Key impacts (positive and/or negative) on people with protected characteristics</p>	<p>A locally delivered system may be better placed to identify people with protected characteristics who may benefit from the scheme.</p> <p>In order to realise this potential positive impact it is important that service users with protected characteristics (as well as front line workers and volunteers who work with service users who have protected characteristics) are aware of the scheme, who may benefit and how to apply.</p>

EQUALITY IMPACT ASSESSMENT TEMPLATE

	<p>A communications plan has been developed and service user feedback will be gathered to ensure that the scheme is meeting the needs of the people for whom it is intended.</p>
<p>Changes you have made to the proposal as a result of the EIA</p>	<p>No changes have been made as a result of this EIA.</p>
<p>Key mitigating actions planned to address any outstanding negative impacts</p>	<p>By ensuring that eligibility for the Surrey Local Assistance Scheme is closely aligned to existing Social Fund criteria set by the DWP, it is anticipated that people with protected characteristics will not be negatively impacted by the changes.</p> <p>The Council will seek to collect appropriate equalities and diversities information from all those who apply for the payment. This information will be monitored on a quarterly basis.</p> <p>It is proposed that this EIA should be reviewed when there is local information available regarding the use of the scheme.</p>
<p>Potential negative impacts that cannot be mitigated</p>	<p>It is acknowledged that there will be less funding available for the Surrey Local Assistance Scheme than had previously been available through the Social Fund. Therefore, there may be some applicants who would have been successful in being awarded a crisis loan or community care grant who may not be granted support from the Surrey Local Assistance scheme. If this is the case, there could be a potential negative impact on people from protected characteristics who are more likely to benefit from the scheme.</p>

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SURREY COUNTY COUNCIL**CABINET****DATE: 5 FEBRUARY 2013****REPORT OF: MR MICHAEL GOSLING, CABINET MEMBER FOR ADULT SOCIAL CARE AND HEALTH****LEAD OFFICER: SARAH MITCHELL, DIRECTOR, ADULT SOCIAL CARE
ANDREW FORZANI, HEAD OF PROCUREMENT AND COMMISSIONING****SUBJECT: DIRECT PAYMENT INFORMATION ADVICE AND SUPPORT SERVICE: APPROVAL TO AWARD A CONTRACT****SUMMARY OF ISSUE:**

To award a contract to Surrey Independent Living Council for the provision of the Direct Payment Information Advice and Support Service to commence on 1 March 2013. The report provides details of the commissioning and procurement process, including the results of the evaluation process, and, in conjunction with the Part 2 Annex, demonstrates why the recommended contract award delivers best value for money.

Due to the commercial sensitivity involved in the contract award process, the financial details of the potential supplier have been circulated as a Part 2 Annex for Members.

RECOMMENDATIONS:

It is recommended that:

1. the information relating to the procurement process, as set out in this report, be noted; and
2. the award of a contract to Surrey Independent Living Council be agreed on the basis set out.

REASON FOR RECOMMENDATIONS:

The existing contract will expire on 28 February 2013. A full tender process, in compliance with the requirement of EU Procurement Legislation and Procurement Standing Orders has been completed, and the recommendations demonstrate that best value for money for the Council will be delivered following a thorough evaluation process.

DETAILS:

1. This report recommends that a contract be awarded to Surrey Independent Living Council (SILC) for the provision of Direct Payment Information Advice

and Support to commence on 1 March 2013. The Contract value is detailed in the Part 2 Annex (circulated separately to Members).

2. By awarding the contract to Surrey Independent Living Council, we will continue to receive a high quality of service at a competitive rate. SILC is a Surrey based voluntary sector supplier.

Background and options considered

3. The Government's Putting People First agenda (DOH, 2007) and the sector partnership Think Local Act Personal (DOH, Nov 2011) stress that the increase in Direct Payments should be a key priority for councils as they continue to transform social care and work towards making personal budgets available to people eligible to receive them over the next two years. As such personalisation and the increase in personal budgets is outlined in the Adult Social Care Directorate Strategy 2012—2017.
4. Since April 2003 Adult Social Care has had a statutory duty to make Direct Payments available to those eligible to receive them and who are willing and able (alone or with assistance) to use them. Direct Payments are therefore a right not a privilege for those eligible to receive them. On 9th November 2009 significant changes were made governing Direct Payments, new legislation extended Direct Payments to people who lack capacity and people with mental health problems.
5. Direct payments are cash payments given to service users or carers in lieu of community care or carers services they have been assessed as needing, and are intended to give people greater choice in their care and support. The payment must be sufficient to enable the service user or carer to purchase services to meet their eligible needs, and must be spent on services that meet eligible need. The County Council must offer a direct payment to the parent of a disabled child or adult receiving a care package or carer who is offered a carers service. Like community care services, direct payments for adults are means-tested so their value is dependent on a person's income and assets as well as their eligible needs.
6. Direct payments confer responsibilities on recipients to decide how their eligible needs are met, either by employing people, often known as personal assistants, or by purchasing services for themselves or their child. People can get support in fulfilling these responsibilities from direct payment support services commissioned by local authorities, In Surrey this is currently through the existing provider, Surrey Independent Living Council – a user-led organisation. This contract therefore delivers the ongoing required support and advice to all service users.
7. SCC is continuing to increase the current levels of Direct Payments in line with current legislation and Government targets which require all authorities to provide personal budgets to 70% of people eligible for support by April 2013. Children's services are currently working on a pilot for personal budgets. If the pilot is successful there will be a planned implementation in 2014, for personal budgets across the Directorate. SCC is committed to supporting people to remain as independent as possible. SCC will promote and increase the use of Direct Payments, including Carer's Direct Payments and Direct Payments to support young carers, and is working collaboratively with carers' organisations and the NHS to help achieve this.

8. The existing contract for the provision of Direct Payment Information Advice and Support will expire on 28 February 2013. A full tender process, compliant with the European Public Procurement Regulations and Procurement Standing Orders, has been carried out following the receipt of authority from Procurement Review Group (PRG) on 13 June 2012. This included advertising the contract opportunity on Surrey County Council (SCC) e-Sourcing portal (BravoSolution).
9. This project was jointly undertaken by Adult Social Care (ASC) and Children's Social Care. In the spirit of one Council, Children's and Adult Services agreed to run a joint tender for this service as a whole. This has allowed for the purchasing of the services on an economy of scale basis and will ensure that SCC achieves value for money in the delivery of these services.
10. Co-design and co-production are at the heart of any service design. This ensures best value by developing services that the public value and need. Extensive consultation was carried out, through a questionnaire and meetings with existing and potential service users and carers. All views and comments have been considered through a Commissioning Reference Group, consisting of nominated representatives of users and care groups.

Procurement Strategy

11. Several options were considered when completing the Strategic Procurement Plan (SPP) prior to commencing the procurement activity. These included review of the service requirement, whether the contract could be split into smaller lots or the service disaggregated into discreet packages.
12. After a full and detailed options analysis it was decided to invite tenders for the complete information, advice and support service as this demonstrated best value for money from the options appraisal completed. The purpose of tendering was for the service to test the market jointly in spirit of one Council and ensure that best value for the residents of Surrey is obtained.
13. The objective of going out to tender was to derive the following benefits:
 - To test the market allowing us to establish whether we are achieving value for money.
 - To run a joint tender with Children's Services who are currently receiving similar services from the same provider. This was to allow for the purchasing of the Services on an economy of scale basis and ensure that SCC achieves value for money in the delivery of these services. Also to ensure smooth hand over of support when young people reach the age of 18.

Use of e-Tendering and market management activities

14. Steps were taken to stimulate interest for this service, which was introduced to the supply base through a series of meetings and a provider event. Use of the electronic e-Sourcing platform managed the competitive process that was open and transparent to all involved. The provider event included a joint presentation from Procurement and the ASC Commissioner – this presentation also included detailed instructions on the use of SCC e-Sourcing portal (BravoSolution) and a questions and answers session.

Key Implications

15. By awarding a contract to Surrey Independent Living Council for the provision of Direct Payment Information Advice And Support to commence on 1 March 2013, the Council will be meetings its duties and ensuring best possible outcomes for people using services and carers is achieved.
16. Performance will be monitored through a series of Key Performance Indicators as detailed in the contract and reviewed at monthly operations meetings.
17. Performance reporting demonstrates that Direct Payments are continuing to increase and we have evidenced good customer satisfaction levels through customer feedback mechanisms and service user forums.
18. Activity demonstrates that in the past three years the numbers of people in receipt of a Direct Payment rose by 71% to an overall figure of 2361. In the last year the increase was 15%. In the past 3 years, the numbers of carers in receipt of ongoing Direct Payments increased overall by 51%. Alternative Direct Payment options such as supported managed accounts are now well established. Over 340 people now being supported through a Supported Managed Account, this compares to 33 people 2 years ago.
19. The management responsibility for the contract lies with the Senior Manager ASC Commissioning and will be managed in line with the Contract Management Strategy and plan as laid out in the contract documentation which also provides for review of performance and costs. The Direct Payment Reference Group, which will include ASC, Children's Services, user and carer representation will continue to undertake quarterly reviews of the performance of the contract to ensure it delivers the outcomes and performance specified.

Competitive Tendering Process

20. The contract has been let as part of a competitive tendering exercise. It was decided that the open tender was appropriate because of the limited supplier base.
21. An invitation to tender was published and providers given were given 6 weeks to complete and submit their tender. Tenders were to be evaluated against published criteria and weightings of 65% quality and 35% price.
22. There was interest during the Tender process from a number of providers but only one competitive Tender was submitted. One reason for the limited response was related to possible pension liabilities linked to the staff eligible for TUPE. The Tender was evaluated against the published criteria and weightings, the results being that this Tender was compliant.

CONSULTATION:

23. Internal – Procurement Review Group, Officers from Adult Social Care, Children's Services, Finance, Legal and Procurement.
24. External – Representatives from Surrey Coalition of Disabled People and the Joint Surrey Carers' Commissioning Group. The specification for the service

was developed through a co design process involving a questionnaire sent to over 2,000 existing Direct Payment Service users; four open access Consultation meetings held across Surrey and negotiation through the Direct Payment Reference Group with representation from Surrey Coalition of Disabled People & Action for Carers (Surrey).

RISK MANAGEMENT AND IMPLICATIONS:

- 25. The contract includes a Termination Clause. This will allow the Council to terminate the contract with three months notice should priorities change or funding no longer be available.
- 26. To mitigate any shortcomings should these arise in delivering services to SCC Terms & Conditions of the Contract include standard provision for:
 - Recovery of monies on behalf of the council
 - Default
 - Dispute resolution.
- 27. The tenderer successfully completed satisfactory financial checks as well as checks on competency.
- 28. The following key risks associated with the contract and contract award have been identified, along with mitigation activities:

Category	Risk Description	Mitigation Activity
Financial	Social Capital Loss – proposed provider is user led organisation – and currently operates within Surrey.	If we did not award contract to recommended provider we would need to consider how we might redeploy existing employed resource to preserve social capital investment in work valuable employment opportunity for disabled people
	Failure of Contracted Supplier	Performance manage the provider. Support with Business Continuity Planning and monitoring. Understand other potential providers and barriers to entry (TUPE)

Reputational	No alternative Surrey based user led organisation bid for the tender	User led was a key feature of co-design. Market development work should be carried out to encourage other providers to tender for this service in future. Surrey would need to consider capital resource to provide an appropriate accessible site for any alternative organisation to operate from
Reputational	The innovative use of carer direct payments including those made in partnership with health GPs has led to significant praise from Government Ministers. Ceasing this activity would therefore risk significant criticism from Government, health organisations in Surrey and from carers.	Ceasing of the Contract would mean a high risk of loss of £1.3 million in income from health for Carer payments made on the recommendation of GPs. Without this resource there would be likely to be additional requests for service to SCC and a risk of break down in caring situations resulting in a need for SCC funded care packages

Financial and Value for Money Implications

29. Full details of the contract value and financial implications are set out in the Part 2 Annex.
30. The specification has altered from the existing contract so as we are commissioning a service that is not like for like specific savings/additional costs are not applicable. However the Supported Managed Account (SMA) element is directly comparable and at the existing volumes would see a potential £158k saving per annum. In addition to this a change in process may also enable VAT on these amounts to be reclaimed, which in some cases will benefit the individual and in some cases benefit SCC.
31. Expenditure will fluctuate depending upon volumes of service subsequently commissioned / delivered.
32. No contractual obligation to award an inflationary increase has been agreed.
33. Non-cashable benefits will include the creation of an Apprenticeship placement as well as working with local communities in Surrey in order to support and develop social value as detailed in the contract.
34. An incorporated PA finder service if developed successfully will potentially reduce impact on social care sourcing teams, and reduce cost and impact on the home based care framework.
35. Using existing provider provides benefits in system continuity and reduced change management.

36. As a user led service the contract delivers wider social capital benefits such as peer support but importantly skilled paid employment for people who have a disability.
37. The new contract will also include significant enhancement in the Key Performance Indicators (KPI), reporting requirements and the service levels being delivered under the contract.

Outcomes and Performance Measures

38. Performance Trends: There is a consistent trend of increased volumes of Direct Payments being awarded year on year, and practice improvements have shown a determined increase in volumes of Direct Payments offered. We therefore anticipate increased volumes (subject to the impact on any policy revision) resulting in more cost effective support planning and improved choice and control for residents.

The Service Provider will be required to provide the following information:

- Type of Direct Payment
 - Demographics / Geographical spread
 - Type of Service accessed
 - Use of Direct Payment
 - Timeliness of Service provision
 - Measures of Service outputs
 - Access to services
 - Awareness & engagement
 - Quality Assurance
 - Delivery of outputs
 - Managing Demand
 - Value for money
 - How individual's outcomes are managed and monitored.
39. It is not envisaged that further savings could be achieved whilst maintaining the service delivery and quality aspects.

Section 151 Officer Commentary

40. The S151 Officer confirms that all material financial and business issues and risks have been considered in this report. All material financial and business issues and risks have been considered in this report: the provision is not fully comparable on a like-for-like basis with that provided at present, but will be overall cost-neutral at current volumes and with some service enhancement.

Legal Implications – Monitoring Officer

41. Responsibility for the provision of the service is in line with the statutory requirements / part of the Council strategic requirement.

Equalities and Diversity

42. An equalities impact assessment has not been completed as the results of this procurement process do not impact on any policy or other decisions and is neutral in any impact.

43. This tender was conducted on the principles of co-design and co-production and equalities issues were considered throughout the process.
44. There are no TUPE implications as the recommended provider is the current incumbent.

Corporate Parenting/Looked After Children implications

45. The Contract includes support for parents and carers of disabled children and for young carers and effective use of direct payments supported through the contract can help reduce the risk of family breakdown and of children or young people needing to be looked after by the local authority. There are no implications to the awarding of this contract for LAC purposes.

Safeguarding responsibilities for vulnerable children and adults implications

46. The terms and conditions of the Contract which the provider will sign stipulate that the provider will comply with the Council's Safeguarding Adults and Children's Multi- Agency procedures, any legislative requirements, guidelines and good practices as recommended by the Council. This is monitored through contractual arrangements.

WHAT HAPPENS NEXT:

47. Subject to approval, the provider will be advised of the intention to award the contract. Following on from the Cabinet Call in period and 10 days standstill the contract will be issued to the recommended provider for signature and return to SCC to be sealed and stored in line with Procurement Standing Orders.
48. The timetable for implementation is as follows:

Action	Date
Cabinet decision to award (including 'call in' period)	12 February 2013
'Alcatel' Standstill Period	26 February 2013
Contract Signature	26 February 2013
Contract Commencement Date	1 March 2013

49. The Council has an obligation to allow unsuccessful suppliers the opportunity to challenge the proposed contract award. This period is referred to as the 'Alcatel' standstill period.
50. Thereafter performance management will be undertaken with the provider, and a market stimulation and review exercise will be undertaken jointly by Procurement and Commissioning with a view to identifying options for 2015 and onwards.

Contact Officer:

Jean Boddy – Senior Manager – ASC Commissioning - 01483 518474
 Nicola Sinnett, Category Specialist Procurement, (CAE) – 020 8541 8746

Consulted:

Sarah Mitchell – Strategic Director for Adult Social Care

Anne Butler – Assistant Director for Commissioning
Christian George – Category Manager, Adults
Ayo Owusuh – Legal Services
Joint Carers' Commissioning Group
Sandy Thomas – Specialist Service Manager, Children's and Safeguarding Service
Paul Carey-Kent – Strategic Finance Manager – Adults
Andrew Forzani – Head of Procurement and Commissioning

Annexes:

Part 2 Annex – Financial information (Exempt information circulated in Part 2 of the agenda)

Sources/background papers:

None

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SURREY COUNTY COUNCIL**CABINET****DATE: 5 FEBRUARY 2013****REPORT OF: N/A****LEAD OFFICER: ANN CHARLTON, HEAD OF LEGAL AND DEMOCRATIC SERVICES****SUBJECT: LEADER/DEPUTY LEADER/CABINET MEMBER DECISIONS TAKEN SINCE THE LAST CABINET MEETING****SUMMARY OF ISSUE:**

To note any delegated decisions taken by the Leader, Deputy Leader and Cabinet Members since the last meeting of the Cabinet.

RECOMMENDATIONS:

It is recommended that the Cabinet note the decisions taken by the Leader, Deputy Leader and Cabinet Members since the last meeting as set out in Annex 1.

REASON FOR RECOMMENDATIONS:

To inform the Cabinet of decisions taken by Members under delegated authority.

DETAILS:

1. The Leader has delegated responsibility for certain executive functions to the Deputy Leader and individual Cabinet Members, and reserved some functions to himself. These are set out in Table 2 in the Council's Scheme of Delegation.
2. Delegated decisions are scheduled to be taken on a monthly basis and will be reported to the next available Cabinet meeting for information.
3. **Annex 1** lists the details of decisions taken by Cabinet Members by the time of the publication of the agenda for this meeting.

Contact Officer:

Anne Gowing, Cabinet Committee Manager, 020 8541 9938

Annexes:

Annex 1 – List of Cabinet Member Decisions

Sources/background papers:

- Agenda and decision sheets from the Cabinet Member, Deputy Leader and Leader meetings (available on the Council's website)

CABINET MEMBER DECISIONS

JANUARY 2013

(i) CRIMINAL RECORDS CHECKS FOR MEMBERS

1. That it is recommended to Council that the Constitution be amended to make it clear that the following positions will be appointed by the Council subject to a valid enhanced criminal records check:
 - Leader of the Council
 - Chairman and Vice-Chairman of the Council
 - Chairmen and Vice-Chairmen of Adult Social Care, Children and Families and Education Select Committees
2. That appointments of the Deputy Leader and Cabinet Members will be made subject to the Member having a valid enhanced criminal records check.
3. That all Members be encouraged to undertake an enhanced criminal records check as part of their role as a Corporate Parent.

Reasons for decision

To clarify the Council's policy in relation to criminal records checks for Members and ensure appropriate safeguarding processes are in place.

(Decision of Leader of the Council – 9 January 2013)

(ii) APPROVAL OF A BUDGET VIREMENT IN EXCESS OF £250,000

That the virement for £339,000 be approved, to off-set demand led service pressures in the safeguarding service.

Reasons for decision

The virement has a neutral impact on the net directorate budget overall. The purpose of the virement is to update the budget in line with developments during the year thus making budget monitoring more meaningful and encouraging improved financial management.

(Decision of Cabinet Member for Children and Families – 15 January 2013)

(iii) SURREY SHORT BREAKS FOR DISABLED CHILDREN CAPITAL GRANT FUNDING 2012/13

- (1) That the release of £739,037 Short Breaks for Disabled Children Capital Funding grant, being the total 2012-13 allocation be approved.
- (2) That the approach that has been taken to targeting and allocating funds be approved.

Reasons for decision

To ensure that the capital grants are utilised fully and within the grant criteria.

(Decision of Cabinet Member for Children and Families – 15 January 2013)

(iv) EXPANSION OF BISLEY COFE PRIMARY SCHOOL

This item was deferred because the outstanding Basing Plan had not yet been received from the Army. This item will go to a later meeting of the Cabinet Member for Children and Learning, following further information from the Army.

(Decision of Cabinet Member for Children and Learning – 15 January 2013)

(v) PORTESBURY SPECIAL SCHOOL

That the publication of statutory notices indicating the local Authority's intention to implement a proposal to relocate Portesbury Special School from its current location to a new site and to increase the capacity of the school from 70 to 105 places be approved.

Reasons for decision

The current site and buildings are deficient and a solution has been required for some time. Although the responses to the consultation were minimal, there are good reasons to believe that this has the strong support of both the school, Governors and the local community. Now that a suitable site has been identified that is acceptable to both the school and parents, the Local Authority should seek to proceed with the proposal to seek planning approval on the scheme.

(Decision of Cabinet Member for Children and Learning – 15 January 2013)

(vi) PROPOSAL TO PERMANENTLY EXPAND CRANMERE PRIMARY SCHOOL, ESHER

- (1) That the school be enlarged by 2 forms of entry (from 1 FE to 3 FE) plus the addition of a new 26 place nursery.
- (2) That the school be rebuilt on an adjacent site on land owned by Surrey County Council.
- (3) That this expansion be effective from 1 September 2015.

Reasons for decision

Cranmere Primary is a popular and successful school which delivers a high quality education. It was rated by OFSTED, at its last inspection (Nov 2011), as good with some outstanding features. The provision of additional places at Cranmere meets the Government's policy position to expand successful schools in order to meet parental preferences.

(Decision of Cabinet Member for Children and Learning – 15 January 2013)

(vii) PROPOSAL TO PERMANENTLY EXPAND ESHER C OF E HIGH SCHOOL

- (1) That the school be enlarged by 2 forms of entry (from 6 FE to 8 FE).
- (2) That the school undertake a building remodelling programme on its present site, to add teaching accommodation and improve the use of space on campus, be approved. This will enable the school to accommodate 1200 students (PAN 240).
- (3) That this expansion be effective from 1 September 2015.

Reasons for decision

Esher High is a popular and successful school which delivers a high quality education. It was rated by OFSTED at its last inspection (Nov 2009) as an outstanding school. It also holds a number of awards and is recognised as a National Teaching School, a National Support School and a Lead school for educating Gifted and Talented students. The provision of additional places at Esher High meets the Government's policy position to expand successful schools in order to meet parental preferences.

(Decision of Cabinet Member for Children and Learning – 15 January 2013)

(viii) EXPANSION OF BISLEY COFE PRIMARY SCHOOL FROM SEPT 2013

This item was deferred because the Basing Plan had not yet been received from the Army. The meeting will be re-arranged when this information is available.

(Decision of Cabinet Member for Children and Learning (on behalf of the Cabinet Member for Assets and Regeneration Programmes) – 15 January 2013)

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