

Cabinet



Date & time Tuesday, 24 February 2015 at 2.00 pm	Place Ashcombe Suite, County Hall, Kingston upon Thames, Surrey KT1 2DN	Contact Vicky Hibbert or Anne Gowing Room 122, County Hall Tel 020 8541 9229 or 020 8541 9938	Chief Executive David McNulty
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Cabinet Members: Mr David Hodge, Mr Peter Martin, Mrs Mary Angell, Mrs Helyn Clack, Mr Mel Few, Mr John Furey, Mr Mike Goodman, Mr Michael Gosling, Mrs Linda Kemeny and Ms Denise Le Gal

Cabinet Associates: Mr Steve Cosser, Mrs Clare Curran, Mrs Kay Hammond and Mr Tony Samuels

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1 APOLOGIES FOR ABSENCE

2 MINUTES OF PREVIOUS MEETING:

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.

Notes:

- In line with the Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012, declarations may relate to the interest of the member, or the member's spouse or civil partner, or a person with whom the member is living as husband or wife, or a person with whom the member is living as if they were civil partners and the member is aware they have the interest.
- Members need only disclose interests not currently listed on the Register of Disclosable Pecuniary Interests.
- Members must notify the Monitoring Officer of any interests disclosed at the meeting so they may be added to the Register.
- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest.

4 PROCEDURAL MATTERS

4a Members' Questions

- (i) The deadline for Member's questions is 12pm four working days before the meeting (18 February 2015).

4b Public Questions

The deadline for public questions is seven days before the meeting (17 February 2015).

4c Petitions

The deadline for petitions was 14 days before the meeting, and no petitions have been 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 REPORTS FROM SELECT COMMITTEES, TASK GROUPS, LOCAL COMMITTEES AND OTHER COMMITTEES OF THE COUNCIL

(Pages 1
- 4)

A report has been received from the Children and Education Select Committee regarding the following issues:

- Safeguarding
- School Governance Task Group

6 SURREY WASTE STRATEGY

(Pages 5
- 52)

To ensure that authorities in two-tier counties such as Surrey work together to manage their waste in a coherent way, the law requires these authorities to produce a joint strategy for the management of municipal waste, and keep this under review. The Surrey Waste Partnership has prepared a revised strategy which is now recommended for adoption by partner authorities, including Surrey County Council.

This report also gives an update on progress with the Eco Park development and delivering savings at Community Recycling Centres.

7 ADMISSION ARRANGEMENTS FOR SEPTEMBER 2016 FOR SURREY'S COMMUNITY AND VOLUNTARY CONTROLLED SCHOOLS, COORDINATED SCHEMES AND RELEVANT AREA

(Pages
53 - 148)

Following statutory consultation on the proposed changes to Surrey's admission arrangements for September 2016 and Surrey's Relevant Area, Cabinet is asked to consider the responses set out in Enclosure 5 and make recommendations to the County Council on admission arrangements for community and voluntary controlled schools, Surrey's coordinated schemes for September 2016 and its Relevant Area.

This report covers the following areas in relation to school admissions:

- Bagshot Infant School (Bagshot) – Recommendation 1
- Hammond Community Junior School (Lightwater) - Recommendation 2
- Meath Green Junior School (Horley) – Recommendation 3
- Wallace Fields Junior School (Ewell) – Recommendation 4
- Worplesdon Primary School (Worplesdon, Guildford) – Recommendation 5
- Cranleigh Primary School (Cranleigh) – Recommendation 6
- Own admission authority schools to be included in assessment of nearest school – Recommendation 7
- Start date to primary admissions round – Recommendation 8
- Surrey's Relevant Area – Recommendation 9
- Published Admission Numbers for other community and voluntary controlled schools – Recommendation 10
- Admission arrangements for other community and voluntary controlled schools – Recommendation 11
- Coordinated Admissions Schemes – Recommendation 12

8 SURREY BETTER CARE FUND IMPLEMENTATION - SECTION 75 AGREEMENTS WITH CLINICAL COMMISSIONING GROUPS

(Pages
149 -
170)

This report seeks approval from the Cabinet for the Council to enter into partnership arrangements under section 75 of the National Health Act 2006 ('section 75 agreements') with each of the seven Clinical Commissioning Groups (CCGs) covering the population of Surrey, enabling pooled budgets to be established to support the delivery of the Surrey Better Care Fund (BCF) plan for 2015/16.

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

9 IMPLEMENTING THE CARE ACT - CHARGING POLICY (Pages 171 - 236)

From 1 April 2015, local authorities must implement part 1 of the Care Act 2014. Under part 1 of the Act, new rules for charging will apply when a local authority arranges care and support to meet a person's support needs. These rules include discretionary powers to be determined by local policy.

At the Cabinet meeting on 25 November 2014, it was agreed that the Council would consult on the proposals to revise the charging policy for adult social care services.

This report summarises the responses to the consultation and sets out a new charging policy for adult social care services and a new deferred payment policy. The Cabinet should consider the summary of consultation responses which can be found at Annex 1.

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

10 SURREY COUNTY COUNCIL AND EAST SUSSEX COUNTY COUNCIL PARTNERSHIP (Pages 237 - 268)

The Council set out its long term strategy, in November 2011, to work in partnership to build resilience, deliver efficiencies and strengthen its service provision for the residents of Surrey. Working in partnership, the Council will take advantage of economies of scale to drive down fixed costs, will build resilience and strengthen skills and knowledge. The Council's business support services have developed effective collaboration with East Sussex County Council through its shared procurement team and transactional service provision in operation since April 2013.

Surrey County Council and East Sussex County Council propose to build upon the success to date and deliver significant and transformative change by working in partnership to provide a comprehensive set of business services to both authorities, operating as one function under the management of a Joint Committee. The proposed partnership will deliver resilient and sustainable services whilst providing savings to our authorities. The bringing together of services from Surrey County Council and East Sussex County Council will create sufficient scale to allow the recruitment and retention of the best staff, drive shared efficiencies and invest in new technology that might otherwise be prohibitively expensive for each organisation alone.

The partnership is expected to develop and grow over time, attracting further public sector partners (as members of a Joint Committee) and from the pursuit of opportunities to enhance income, undertaken for public sector clients on a contractual basis or by means of specific delegation of function.

The working title for the partnership is South East Business Services; there is activity underway to consider an appropriate brand for the partnership for the public sector market. The partnership will incorporate all functions currently provided by Surrey County Council's Business Services Directorate (Human Resources, Shared Services, Property Services, Procurement and IMT) together with Finance and Legal Services.

The Cabinet is requested to consider the proposal, supported by the business case appended to this report as Annex 1, to create this transformative public service partnership with East Sussex County Council.

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

11 FINANCE AND BUDGET MONITORING REPORT FOR JANUARY 2015 (Pages 269 - 272)

The Council takes a multiyear approach to its budget planning and monitoring, recognising that the two are inextricably linked. This report presents the Council's financial position at the end of January 2015 (tenth month).

The details of this financial position are covered in the annexes to this report.

Please note that the annex 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]

12 LEADERSHIP RISK REGISTER (Pages 273 - 288)

The Leadership risk register is presented to Cabinet each quarter and this report presents the Leadership risk register as at 31 January 2015.

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

13 AWARD OF CONTRACT FOR THE PROVISION OF INSURANCE SERVICES - EXCLUDING BROKER SERVICES (Pages 289 - 294)

This report seeks approval to award contracts for the provision of Insurance Services excluding Broker Services for the benefit of the Council to commence on 1 April 2015 as detailed in the recommendations as the current arrangements expire on 31 March 2015.

The report provides details of the procurement process, including the results of the evaluation process and, in conjunction with the Part 2 report, demonstrates why the recommended contract awards deliver best value for money.

Due to the commercial sensitivity involved in the contract awards process the financial details of the potential suppliers have been circulated as a Part 2 report.

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

- 14 LEADER / DEPUTY LEADER / CABINET MEMBER DECISIONS TAKEN SINCE THE LAST CABINET MEETING** (Pages 295 - 298)

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

15 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

- 16 AWARD OF CONTRACT FOR THE PROVISION OF INSURANCE SERVICES - EXCLUDING BROKER SERVICES** (Pages 299 - 302)

This is the part 2 annex relating to item 14.

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]

17 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, 16 February 2015

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 its terms of reference, in line with the procedures set out in Surrey County Council's Constitution.

Please note:

1. Members of the public can submit one written question to the meeting. Questions should relate to general policy and not to detail. Questions are asked and answered in public and so cannot relate to "confidential" or "exempt" matters (for example, personal or financial details of an individual – for further advice please contact the committee manager listed on the front page of this agenda).
2. 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.
3. Questions will be taken in the order in which they are received.
4. Questions will be asked and answered without discussion. The Chairman or Cabinet Members may decline to answer a question, provide a written reply or nominate another Member to answer the question.
5. Following the initial reply, one supplementary question may be asked by the questioner. The Chairman or Cabinet Members may decline to answer a supplementary question.

MOBILE TECHNOLOGY AND FILMING – ACCEPTABLE USE

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Children and Education Select Committee

Item under Consideration:

Responses from the Cabinet to issues referred by the Select Committee

Date considered: 26 January 2015

Areas of Scrutiny:

Surrey Safeguarding Children Board Annual Report 2013-2014

Surrey County Council Safeguarding Unit Report

(Considered by the Committee on 27 November 2014)

1. The Children and Education Select Committee noted the responses provided at the Cabinet meeting on 16 December 2015. With regards to the response to the first recommendation, the Committee emphasized the need to raise awareness of Child Sexual Exploitation (CSE) amongst Surrey's districts and boroughs authorities and communities, at both strategic and operational level, in order to protect children and young people from the risk of harm. The Committee is of the view that whilst the response from the Cabinet Member for Children and Families covered operational aspects, it did not address the strategic aspects of the Council's work with districts and boroughs.
2. Members also noted the response did not address the second recommendation made in connection with CSE.
3. The Cabinet Member for Children and Families drew the Committee's attention to the thematic report on CSE, *The Sexual Exploitation of Children: It Couldn't Happen Here, Could It?* (Ofsted, November 2014). It was highlighted that it was an area where all Local Authorities faced challenges, and that the report had set out a number of key recommendations for tackling CSE. The Committee was informed that the Corporate Parenting Board had requested a report on CSE in Surrey; this would be used to identify possible patterns and trends, in order to agree further actions.
4. Following discussion, the Committee agreed that the recommendations concerning Child Sexual Exploitation (CSE) would be referred back to the Cabinet Member for Children and Families for a more detailed response.
5. The Committee recommends:
 - a) **That Surrey County Council actively engages with District and Borough councils and Surrey Police to consider how the risk of Child Sexual Exploitation can be reduced through regulatory licensing, in particular taxi licensing and**

in respect of activities described as "Licensable Activities" by the Licensing Act 2003.

The Committee requests that an update on the progress of this work is brought to a meeting in six months time.

- b) That, given the crucial work of the Youth Support Service and Children's Services in supporting young people and children at risk of CSE and in reducing the risk of CSE, any future strategy and financial planning by Cabinet ensures that both services are suitably resourced to address CSE and safeguarding in Surrey.**

**Dr Zully Grant-Duff
Chairman of the Children & Education Select Committee**

Children & Education Select Committee

Item under consideration: School Governance Task Group – Final Report

Date Considered: 26 January 2015

1. The Children & Education Select Committee considered the final report from the Surrey School Governance Task Group, and also the Cabinet responses to the recommendations made in the Task Group's Interim Report. These reports are available in the agenda papers for the Committee meetings on [26 January 2015](#)¹ and [27 November 2014](#)².
2. The Committee discussed the role of Local Authority (LA) governors. It was advised that the Department for Education (DfE) set out in guidance that the LA must not attempt to influence an LA governor. Members discussed the potential risk associated with the perception of LA governors as representatives of the LA. The Cabinet Member for Schools and Learning highlighted the need to engage with and support all Surrey governors.
3. The role of the clerk to governors was highlighted by the Cabinet Member for Schools and Learning. The Committee was informed that this was another means by which the LA was able to circulate key training and support information to governing bodies.
4. The Committee supported engagement with all governors through Local Committees.
5. Following the final report of the Task Group the Committee recommends:
 - a) That the Cabinet Member for Schools and Learning engages with local economic and enterprise partners, Phase Council representatives and SGOSS to consider how the Council can best encourage individuals in the business sector to serve as school governors.
 - b) That the Cabinet Member and Assistant Director for Schools and Learning use the Council's internal communication network to actively promote the school governor role to all local government staff.

¹ Children and Education Select Committee. 'Surrey School Governance Task Group – Final Report'. 26 January 2015

<http://mycouncil.surreycc.gov.uk/ieListDocuments.aspx?CId=335&MId=3639&Ver=4>
(Accessed 27 January 2015)

² Children and Education Select Committee. 'Surrey School Governance Task Group – Interim Report'. 27 November 2014

<http://mycouncil.surreycc.gov.uk/ieListDocuments.aspx?CId=335&MId=3638&Ver=4>
(Accessed 27 January 2015)

- c) That the Directorate for Children, Schools and Families work with its professional governance partners to develop and strengthen peer to peer support between school governing bodies, and relevant professional associations.
- d) That the Internal Audit Team update the Committee on any themes emerging from the financial audits in schools following the conclusion of the 2015/16 audit plan.
- e) That the Council's Education Finance Team and Internal Audit Team are invited to attend a future meeting of all Surrey governors in order to highlight the skills and expertise of the Internal Audit Team and discuss the role of governing bodies in financial and risk management.
- f) That the Assistant Director for Schools and Learning considers how to involve the Internal Audit Team in future governor training on financial and risk management.

Dr Zully Grant-Duff
Chairman of the Children & Education Select Committee

SURREY COUNTY COUNCIL**CABINET****DATE: 24 FEBRUARY 2015****REPORT OF: MR MIKE GOODMAN, CABINET MEMBER FOR ENVIRONMENT AND PLANNING****LEAD OFFICER: TREVOR PUGH, STRATEGIC DIRECTOR – ENVIRONMENT & INFRASTRUCTURE****SUBJECT: SURREY WASTE STRATEGY****SUMMARY OF ISSUE:**

To ensure that authorities in two-tier counties such as Surrey work together to manage their waste in a coherent way, the law requires these authorities to produce a joint strategy for the management of municipal waste, and keep this under review. The Surrey Waste Partnership has prepared a revised strategy which is now recommended for adoption by partner authorities, including Surrey County Council.

This report also gives an update on progress with the Eco Park development and delivering savings at Community Recycling Centres.

RECOMMENDATIONS:

It is recommended that:

1. Cabinet endorses the Surrey Waste Partnership's Joint Municipal Waste Management Strategy Revision 2 (2015) and recommends it to County Council for adoption.
2. Cabinet requires that a further report on the Eco Park be brought back to the Cabinet in April 2015 with an updated value for money and affordability assessment
3. Cabinet approves the consultation process for potential changes at Community Recycling Centres and agrees that the proposals for consultation will be finalised and agreed by the Strategic Director Environment and Infrastructure in consultation with the Cabinet Member for Environment and Planning.
4. A report outlining the results of the consultation and recommendations for implementation of cost saving measures at Community Recycling Centres is brought back to Cabinet by July 2015.

REASON FOR RECOMMENDATIONS:

Adopting the Joint Municipal Waste Management Strategy will enable Surrey County Council (SCC) to work closely with Surrey districts and boroughs to improve performance and manage waste in a way that offers best value to the Surrey taxpayer.

Revisions to pricing for the Eco Park have arisen due to delays, associated with planning beyond the control of the Council. This has led to further time being required to complete the assessment process. To allow this to happen it is proposed that a further report including an updated value for money analysis should be brought to the Cabinet in April 2015.

Given the current financial climate, it has been necessary to investigate opportunities for making savings through optimising and rationalising the way in which Community Recycling Centres are managed. This will help address a funding gap that arises from increasing costs and reducing funding, in addition to contributing to other savings that will be required across SCC in the coming years.

DETAILS:

Joint Municipal Waste Management Strategy Revision 2 (2015)

1. The authorities in two-tier counties such as Surrey have different responsibilities for managing waste and recycling. The districts and boroughs are responsible for its collection and the county council is responsible for its treatment and disposal.
2. To ensure that the authorities work together to manage the waste in a coherent way, the law¹ requires two-tier areas to produce a joint strategy for the management of municipal waste, and to keep this under review.
3. In 2006, the Waste Members' Group of the Surrey Local Government Association (SLGA) produced the first Joint Municipal Waste Management Strategy for Surrey, which was adopted by Surrey County Council.
4. The SLGA Waste Members' Group then became Surrey Waste Partnership (SWP). This includes all of Surrey's authorities and is the main forum through which waste management matters are discussed and improvement actions are agreed. To reflect the dynamic nature of waste management in Surrey, SWP produced a revision of the joint strategy in 2010.
5. Again, much change has occurred since the 2010 revision and a further revision has now been prepared in order to ensure that the joint actions for the next ten years reflect the current needs and aspirations for the future. This comprehensive revision includes a new aim, objectives and targets which are supported by a new set of specific and measurable actions.
6. It is recommended that Surrey County Council adopts this new version of the Joint Municipal Waste Management Strategy. The revised strategy is provided as Annex 1 and this report provides a brief summary of its key sections.

¹ Waste Emissions and Trading Act 2003

Consultation

7. The revised strategy was developed by combining the input of:
 - Officers and Members of Surrey Waste Partnership via a project steering group (including Cllr Mike Goodman) and scrutiny at Partnership meetings
 - Best practice examples of other joint waste strategies
 - A consultation of residents and other key stakeholders
8. The consultation exercise took place between July and October 2014 and focused on identifying residents' barriers to reducing, reusing and recycling more of their waste. Other stakeholders included the waste management industry, businesses, environment and conservation groups and other local authorities.
9. SCC's Environment and Transport Select Committee was also included in the consultation and Members provided their input at the meeting in July 2014.
10. The feedback from the consultation was incorporated into the final draft of the strategy which was endorsed by the Environment and Transport Select Committee at its meeting on 22 January 2015.

Past performance

11. Much has been achieved since 2006, and Surrey County Council has actively participated in partnership working, making it responsible for many of the successes. Waste collection arrangements have largely been aligned, the range of recycling materials able to be collected has greatly increased and waste food collection from houses is now universal. Surrey's recycling rate has increased from 31% to 52% in 2013/14 and waste to landfill has decreased from 67% to 11% during the same period.

Current challenges

12. Whilst progress has been made over the last few years, the Council is now facing a number of serious challenges:
 - Stalling performance
 - Changing legislation and regulation
 - Increasing population
 - Budget pressures

Aims and targets

13. Surrey's authorities can and must continue to improve in order to succeed against the challenges described above; therefore the strategy has an ambitious aim - to be the leading county area in England for waste management. Performance against the aim will be measured periodically using the following indicators:
 - Household waste and recycling per person (kg)
 - Recycling and recovery rate (%)
 - Municipal waste sent to landfill (%)
 - Cost per household (£)
14. Targets against each of these indicators are presented in the revised strategy document (Annex 1).

Objectives and actions

15. To achieve the strategy's challenging aim and meet the targets, the following high level objectives set out what should be done:
- Provide a high quality service
 - Work with others
 - Maximise value from waste materials
16. These objectives are broken down into work areas containing specific actions within Annex 1. The successful delivery of these will help to achieve this revised strategy's targets.

Plan for delivery

17. To deliver the strategy successfully, each partner, including Surrey County Council, is required to develop an operational plan which delivers the actions. Delivery will be monitored annually, and the annual review will be considered by the Partnership.
18. Targets and actions will be revised periodically during the life of the strategy, and a further revision of the whole document is anticipated as being necessary in 2019/20.

Conclusions

19. This revision of the joint waste strategy has been produced via a thorough and inclusive process. The successful completion of its actions will result in higher performing, better value waste services for Surrey.
20. Adoption is commended to Surrey County Council by the Surrey Waste Partnership's Members' and Officers' Groups, and SCC's Environment and Transport Select Committee.

Adoption is concurrently being considered by all 12 partner authorities' democratic processes which will then result in formal adoption across the Surrey Waste Partnership.

Eco Park

21. On 25 November 2014 the Cabinet received a progress report on the delivery of the Eco Park. It was agreed, during that meeting, that a further report on the Eco Park be brought back to the Cabinet in February 2015 with an updated value for money and affordability assessment. The purpose of this section of the report is to update Cabinet on progress with regard to this.
22. Since the report to the Cabinet on 25 November 2014, an application for permission for a Judicial Review of the Planning and Regulatory Committee's decision to grant a variation to the planning consent has been refused by the High Court. The planning permission is therefore now secure. The challenge period in respect of the Environmental Permit has expired without any application being made and so the Permit has similarly been secured.
23. As Cabinet is aware, it has previously agreed to continue with phase one of the Eco Park development, whilst minimising the commitment of expenditure until the

necessary remaining consents were obtained. Recently, therefore work has commenced to clear vegetation around the site so that, in the event of a future Cabinet decision to start construction, this would not be delayed by restrictions on tree works during the bird nesting season

24. As was explained in the officer report to Cabinet in November 2014, delays, associated with planning beyond the control of the Council (an extended period awaiting a call-in decision and an unsuccessful application to the High Court for permission to bring Judicial Review proceedings) have resulted in revisions to pricing. A revised price and construction timetable were received from M+W just before Christmas. These are being evaluated both by SITA and Council officers, together with external advisors and discussions are continuing. This in turn has led to further time being required to complete the assessment process. To allow this to happen it is proposed that a further report including an updated value for money analysis should be brought to the Cabinet in April 2015.

Community Recycling Centres

25. Since reporting to Cabinet in November 2014, work has continued to progress on a number of initiatives for cost savings at the Community Recycling Centres (CRCs).
26. Activities that are currently underway include intercepting black bag waste to extract recyclable materials. New recycling outlets have also been found for rigid plastics and mattresses. These have resulted in benefits from the sale of increased amounts of recyclable materials and savings on residual waste disposal costs.
27. Further opportunities for making savings have been identified and these include:
- Targeted reductions in opening days and/or hours.
 - Charging for non-household materials such as rubble, plasterboard, tyres, gas bottles and asbestos.
 - Accepting, and charging for, commercial waste at more sites.
 - Generating income through selling materials either on or off site (e.g. reuse shops).
 - Closing particular sites which are inefficient to operate in their current form and cannot be improved due to prohibitive redevelopment costs or site-specific restrictions.
28. Over the next few months it is proposed to undertake consultation on the range of potential cost saving initiatives listed above. Members of the public and other key stakeholders such as district and borough partners will be included in the consultation. The proposals for consultation will be finalised and agreed by the Strategic Director Environment and Infrastructure in consultation with the Cabinet Member for Environment and Planning.
29. It is intended that a further report detailing the results of this consultation and recommendations for implementation of cost saving initiatives will be brought back to Cabinet by July 2015.

CONSULTATION:

30. Public consultation on the Surrey Waste Strategy took place from 1 July to 12 October 2014.
31. SCC's Environment and Transport Select Committee was also included in the strategy consultation and Members provided their input at the meeting in July 2014.
32. The feedback from the consultation was incorporated into the final draft of the strategy which was endorsed by the Environment and Transport Select Committee at its meeting on 22 January 2015.
33. There has been extensive consultation on the Eco Park in the past and details of this can be found in the 25 June 2013 and 30 October 2013 Cabinet reports.

RISK MANAGEMENT AND IMPLICATIONS:

Waste Strategy

34. Risk: Not all partners adopt the Joint Municipal Waste Management Strategy which would impact on SCC's ability to work closely with Surrey districts and boroughs to improve performance and manage waste in a way that offers best value to the Surrey taxpayer.
35. Mitigation: All members of the Surrey Waste Partnership, including Portfolio Holders, have been involved in the development of strategy and the Partnership has collectively endorsed it. The process allows for minor amendments to be made to the strategy if particular issues arise during adoption by individual authorities.

Eco Park

36. Risk: Not being able to deliver key waste infrastructure through the Private Finance Initiative (Waste Infrastructure Grant) contract may lead to negative financial and reputational impact.
37. Mitigation: Strong resourcing within SCC with appropriate governance arrangements and strategic overview in place.

Financial and Value for Money Implications

38. Adopting the Joint Municipal Waste Management Strategy will enable Surrey County Council (SCC) to work closely with Surrey districts and boroughs to improve performance and manage waste in a way that offers best value to the Surrey taxpayer
39. Work is currently underway with regard to a review of the affordability and value for money assessment of the Eco Park.
40. The financial implications of the CRC proposals will be set out in the July 2015 Cabinet report.

Section 151 Officer Commentary

41. The adoption of the Joint Municipal Waste Management Strategy should facilitate more effective waste management arrangements across Surrey, with consequent benefits for value for money. Work is ongoing with regard to the Eco Park including an assessment of affordability and value for money, and it is intended that the outcome of this analysis will be reported to Cabinet in April 2015. Any financial implications will then be reflected in the refresh of the Medium Term Financial Plan (2015-20) which will take place in summer 2015.

Legal Implications – Monitoring Officer

42. The Waste and Emissions Trading Act 2003 requires all local authorities to have in place a joint strategy for the management of waste from households and any other waste that because of its nature or composition is similar to waste from households and to review and keep the strategy up to date.

43. The public sector equality duty (Section 149 of the Equality Act 2010) applies to the decision to be made by Cabinet in this report. There is a requirement when deciding the recommendations to have due regard to the need to advance equality of opportunity for people with protected characteristics, foster good relations between such groups and eliminate any unlawful discrimination. These matters are dealt with in the Equalities and Diversity paragraph below.

Equalities and Diversity

44. Waste strategy - summary of key impacts and actions:

<p>Information and engagement underpinning equalities analysis</p>	<p>A second revision of the Joint Municipal Waste Management Strategy (JMWMS) has been produced. In order to assess equality impacts, residents, including groups with protected characteristics were consulted as part of the strategy's development. The strategy was updated following the consultation.</p> <p>In addition, an SCC EIA specialist undertook reviews of draft strategy documents both before and after the consultation and minor amendments were made to reduce some potentially negative equality impacts.</p>
<p>Key impacts (positive and/or negative) on people with protected characteristics</p>	<ul style="list-style-type: none"> • Communications not reaching the protected groups • Changes to household products and waste collection services as a result of lobbying. • Reducing capacity for non-recyclable waste • Recycling more materials • Space for recycling at new developments • Not collecting contaminated recycling bins • Changing collection systems
<p>Changes you have made to the proposal as a result of the EIA</p>	<p>No changes. The actions of the JMWMS are high-level and there is sufficient flexibility to allow partners to mitigate the impacts when planning any changes in detail.</p>
<p>Key mitigating actions planned to address any outstanding negative</p>	<ul style="list-style-type: none"> • Communications teams to fully engage with impacted groups • SWP manager to fully consider the implications of

impacts	lobbying on groups with protected characteristics <ul style="list-style-type: none"> • Local policies for reducing non-recyclable bin capacity should allow flexibility for groups with protected characteristics • Consider the needs of groups with protected characteristics when assessing the suitability of new materials for recycling • Consider the needs of groups with protected characteristics when reviewing bin space provision at new developments • Local policies for dealing with contaminated recyclable bins should allow flexibility for groups with protected characteristics • Collection authorities should carry out a full EIA for their district/borough when proposing any changes to collection systems
Potential negative impacts that cannot be mitigated	At this stage it is not perceived that the actions of the strategy will result in any negative impacts that cannot be mitigated.

The full EIA can be found as Annex 2.

45. This report confirms that there has been no change to the Equalities and Diversity implications of the Eco Park as described in the 30 October Cabinet 2013 report

Other Implications:

46. The potential implications for the following council priorities and policy areas have been considered. Where the impact is potentially significant a summary of the issues is set out in detail below.

Area assessed:	Direct Implications:
Corporate Parenting/Looked After Children	No significant implications arising from this report.
Safeguarding responsibilities for vulnerable children and adults	No significant implications arising from this report.
Public Health	Public health implications are not considered significant for this report. These matters were referred to in the report to the 25 June 2013 Cabinet and will have been considered as part of the regulatory permissions related to the Eco Park.
Climate change	Set out below.
Carbon emissions	Set out below.

Climate change/carbon emissions implications

47. This report confirms that the climate change and carbon emissions implications for the Eco Park remain the same as described in the 30 October 2013 Cabinet report.

48. The majority of the waste strategy initiatives discussed above are likely to have beneficial implications, for example; Reducing waste arisings and recycling

material rather than disposing of it reduces the carbon impact of producing materials and associated emissions from transportation and disposal.

WHAT HAPPENS NEXT:

49. The waste strategy is currently being taken through individual councils' democratic processes which will result in formal adoption across the Surrey Waste Partnership.
50. A further report including an updated value for money analysis will be brought to the Cabinet by April 2015.

Contact Officer:

Ian Boast, Assistant Director for Environment. Tel: 020 8541 9479

Consulted:

There has been a comprehensive consultation process with regard to the Eco Park, as described in the 25 June Cabinet report and which included:

- Constituency MP and other Local MPs
- All local Residents Associations (Charlton Village RA; Shepperton RA)
- Spelthorne Local Committee, which includes local councillors and county councillors
- Spelthorne Borough Council relevant officers (e.g. Chief Executive, Deputy Chief Executive, Director for Environment)
- Over 10,000 local residents
- Elmbridge Borough Council
- Neighbours to the Charlton Lane site
- SCC Cabinet

(Note: this does not relate to the County Planning Authority consultation as part of the planning application as this was a separate process.)

Consulted on report to Cabinet:

- Cabinet Member for Environment and Planning
- Chief Executive
- Strategic Director Environment and Infrastructure
- Director of Finance
- Monitoring Officer

Annexes:

- Annex 1: Waste Strategy document
- Annex 2: Waste Strategy equality impact assessment

Sources/background papers:

- Cabinet Reports:– 2 February 2010 – 14 March 2011 – 26 March 2013 – 25 June 2013 - 30 October 2013, 24 June 2014 (including the EIA which remains appropriate), 25 November 2014.
- Mott MacDonald technical advisors report – Technology Review August 2012
- Mott MacDonald Technical Due Diligence – M+W proposal June 2013

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Joint Municipal Waste Management Strategy Revision 2 (2015)

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1 Introduction

This is the Surrey Waste Partnership’s plan for managing Surrey’s waste for the next ten years, up until 2024/25. It is the second revision of a strategy which was first published in 2006 then revised in 2010. It has been updated to ensure we continue to manage Surrey’s waste in the best way and work towards higher performing, better value waste services for the future. As part of this revision, we have consulted with a wide range of residents and other interested groups, to take their views into account.

1.1 The Surrey Waste Partnership - who are we and what do we do?

We are the Surrey Waste Partnership (SWP) which is made up of Surrey County Council (SCC) and the 11 district and borough councils in Surrey (shown in Figure 1). SWP aims to manage Surrey's waste in the most efficient, effective, economical and sustainable manner.



Figure 1: Map of Surrey showing the district and boroughs

The 11 district and borough councils are Waste Collection Authorities (WCAs) and are responsible for the collection of Surrey's municipal waste which includes waste from households. SCC is the Waste Disposal Authority (WDA) and is responsible for the disposal and treatment of Surrey's municipal waste collected at the kerbside and waste and recycling from Surrey's Community Recycling Centres (CRCs).

The WCAs provide residents with a kerbside collection service for household waste and recycling. All WCAs currently collect recycling and residual waste on alternate weeks, alongside a weekly food waste recycling collection and an optional (charged for) garden waste collection. As part of this service, all WCAs offer the collection of the following 'dry recyclables':

- Glass bottles and jars
- Paper and cardboard
- Metal tins and cans
- Plastic bottles, pots, tubs and trays

Additional materials such as textiles, waste electrical items, batteries, foil, aerosols and Tetra Pak cartons are collected by some, but not all WCAs. Additionally, all WCAs provide bulky waste collections, local recycling banks or bring sites, street sweeping services and, in some cases, commercial waste collections.

SCC has two key roles as a WDA. First, it makes arrangements for the acceptance of municipal waste collected by WCAs and the provision of facilities for its treatment and disposal. Secondly, it provides CRCs for residents to recycle and dispose of their municipal waste. So far as it is practicable, CRCs are designed and operated so that all residents can use them.

1.2 Why do we have a joint waste strategy?

The roles of the WCAs and the WDA in Surrey are different, but both manage the same waste. To do this effectively, all SWP partners recognise the need to work together. We have a joint strategy to plan how the WCAs and the WDA will work with each other to manage Surrey's waste in the best way.

1.3 Why are we revising the strategy?

The waste management industry is influenced by many factors which change regularly such as: environmental laws, markets for waste materials, new technologies, economic conditions and national and local politics. It has been five years since the previous strategy revision, so it is time to revise it again to make sure that our plans are based on the most up-to-date picture of the industry. By revising the strategy, we are also:

- Ensuring that Surrey tax payers are getting a consistent and value for money waste service.
- Re-focusing the activities of SWP.
- Helping residents, businesses and other stakeholders to understand our aims and work with us to reach our objectives.
- Complying with our legal duty to have a joint waste strategy and keep it under review.

1.4 How does the strategy work?

This strategy document is broken into several sections. These are:

- **Background** - explaining how we have managed waste in the past, how we performed against the requirements of the previous strategy and the challenges that we currently face as a partnership.
- **Aim and targets** - explaining the aim of this strategy and the targets that we will use to measure our performance against the aim.
- **Core values** - these are the important considerations that will be in our minds when we implement the strategy.
- **Objectives** - high level statements of what we are planning to achieve with the strategy.
- **Actions and outcomes** - a detailed breakdown of the work required to achieve each objective and the overall aim and targets. This section will form the basis of each partner's own operational plan, which will result in improvements on the ground.
- **Plan for delivery** - this sets out: responsibilities for delivering the strategy; how we plan to monitor and evaluate our performance; and the process for revision.

Most of the above sections will remain unchanged until the strategy is next reviewed. However the 'actions and outcomes' section is more detailed and therefore sensitive to short-term changes in the waste industry, so it will be reviewed more frequently, as described in Section 7.3.

2 Background

2.1 Past performance

The vision set out in the previous version of the strategy was for a county in which resources are used and managed efficiently so that:

- the amount of waste produced will continue to be reduced or reused,
- materials reused, recycled or composted will exceed 70%, and
- the environment will be protected and enhanced for future generations.

This vision was supported by five policies and 32 actions. We have performed well against many of these actions, with achievements since 2010 that include:

- Aligning collection methodologies for nine out of the eleven WCAs.
- Providing recycling facilities for a wide range of materials including introducing kerbside food waste collections in all Surrey districts and boroughs.
- Redeveloping a number of CRCs to improve access and quality of service for the public.
- Successful behaviour change initiatives promoting activities such as food waste reduction and recycling and home composting.
- Promoting the reuse of furniture and white goods whilst supporting disadvantaged residents and low income households through the Surrey Reuse Network.
- Exploiting opportunities for partnership working including selling materials together, such as garden waste and textiles, and forming a project to join up kerbside collection services in at least four Surrey WCAs.

Performance in some of the other key areas is described below.

Waste reduction

The quantity of household waste generated in Surrey has decreased by around 50,000 tonnes since its peak in 2007/8 (see Figure 2) despite population increases during this time.

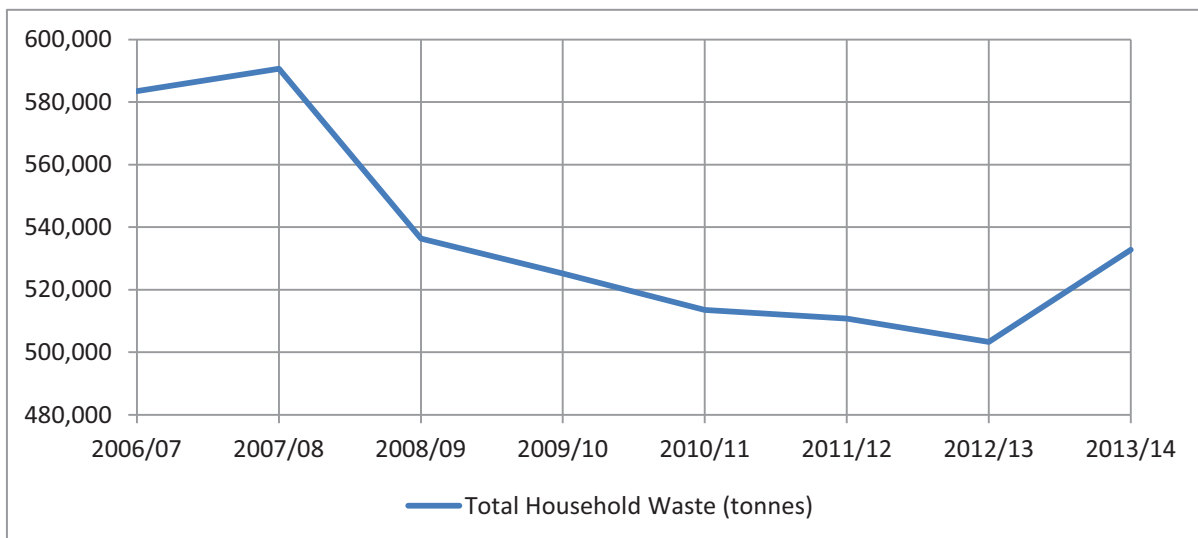


Figure 2: Total household waste produced in Surrey

The previous strategy revision aimed to continue the downward trend by reducing household waste by 30,000 tonnes between 2009/10 and 2013/14. We were on target to achieve this, with a 25,000 tonne decrease recorded in 2012/13, however there was a significant increase in 2013/14 which went against the downward trend and meant that the target was not met. This increase is thought to be caused by a combination of factors, including:

- Extreme weather in the final quarter which resulted in a large amount of extra waste from flood damage, street sweepings and power outages.
- Possible increases in consumerism as a result of a return to pre-financial crisis levels of economic growth.

2013/14 could have been an unusual year, but we will continue to monitor performance closely to see if this is the start of an increasing trend.

Landfill diversion and recycling

The amount of waste sent to landfill has declined dramatically from 67% in 2006/07 to 11% today (see Figure 3) making us one of the leading authorities in the country. Reducing waste to landfill even further remains a key priority.

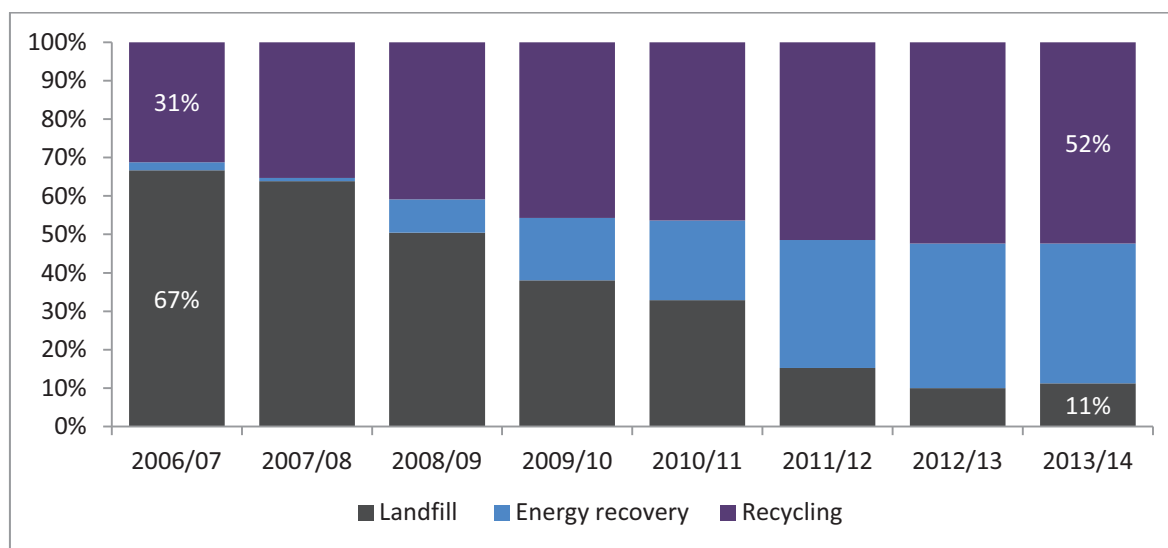


Figure 3: Proportion of waste recycled, recovered and landfilled

Recycling has increased from 31% in 2006/7 to 52% in 2013/14, which is a significant achievement, however we haven't met our aspirational target of 70% recycling. Whilst this target was always ambitious, some changes in legislation around the categorisation of waste materials (e.g. wood and leaf fall) have made reaching 70% recycling even more challenging. Yet Surrey is still a top performer nationally for recycling compared against other similar authorities.

Cost of waste management

Waste and recycling is extremely expensive to manage. The net cost of managing Surrey's waste and recycling in 2013/14 was estimated to be £76 million. However, despite a rise in population and increases in the cost of waste disposal (e.g. landfill tax and haulage cost increases) the net cost has been contained at 2010 levels (see Figure 4). This represents a significant increase in value for money for the Surrey tax payer.

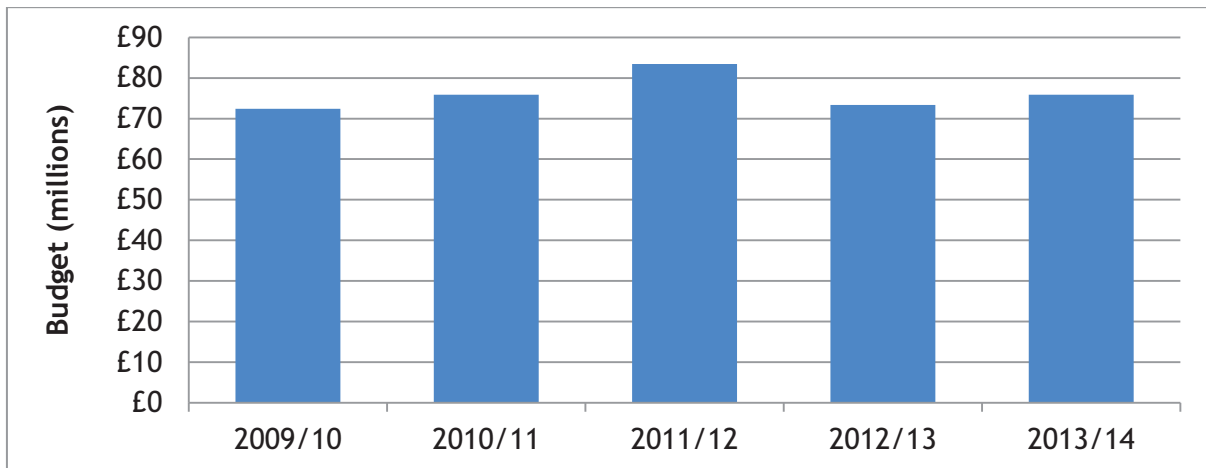


Figure 4: Budget estimates for the net total cost of waste management in Surrey

2.2 Current composition of waste

In order to manage our waste effectively we need to know what is in it. To work this out we did a detailed composition analysis of our household waste and recycling from kerbside collections and CRCs in 2013/14. The proportions of the different materials are shown in Figure 5.

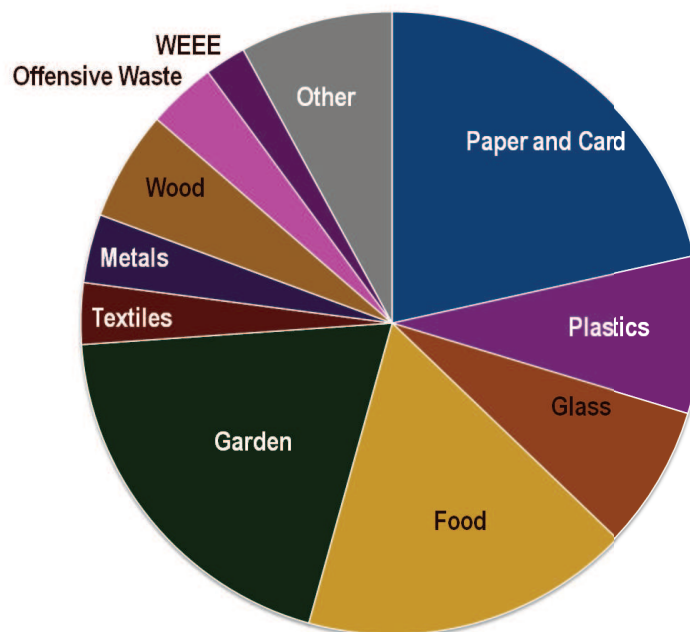


Figure 5: Composition of waste and recycling from the kerbside and CRCs in 2013/14

The composition shown in Figure 5 provides a strong indication of the types and proportions of materials that we will plan to manage as part of this strategy.

2.3 Current challenges

Whilst progress has been made over the last few years, we now have to overcome a number of challenges in order to make further improvements:

Performance has stalled

Recycling rates have started to level off and major changes will be required to make any significant improvements in the future. As Figure 6 shows, there is much variation in recycling performance amongst WCAs, with a 17% gap between the highest and lowest.

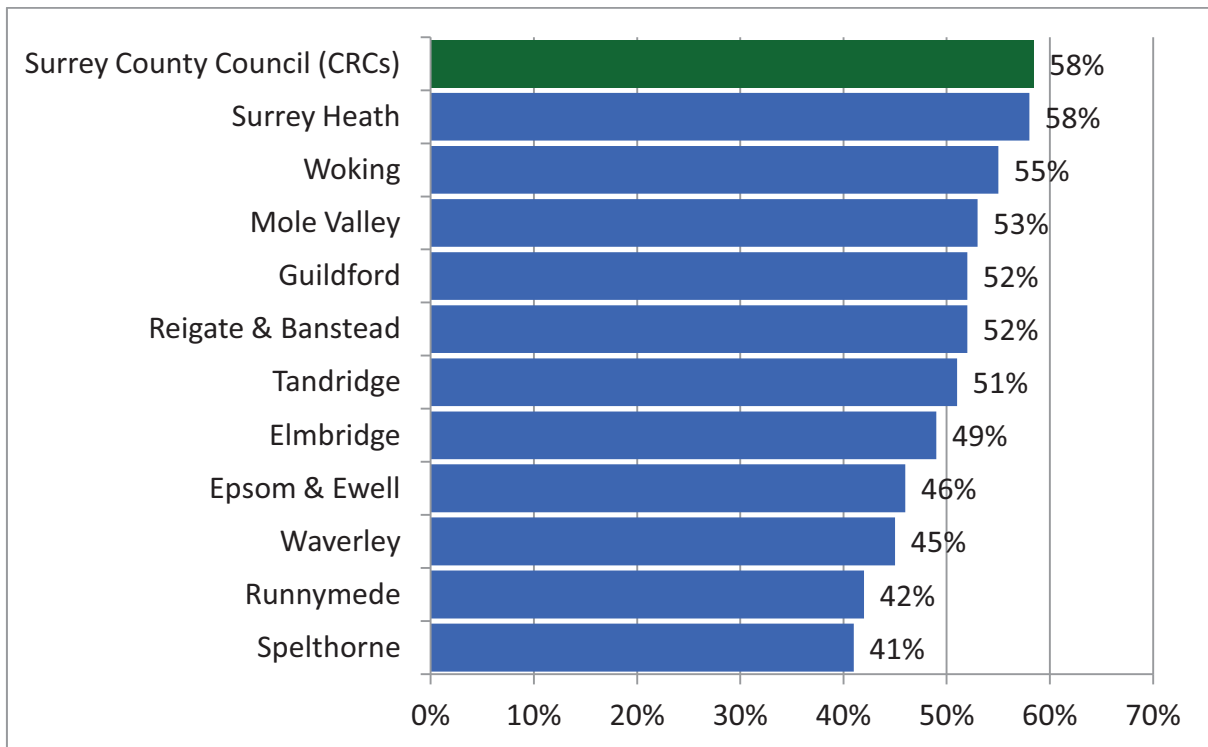


Figure 6: Household recycling rates in 2013/14 by partner authority

In addition, there was a big increase in total household waste in 2013/14 which may be the start of an increasing trend.

Changing legislation and regulation

Some waste disposal processes (e.g. composting of street-swept leaf fall) can no longer be counted towards recycling targets. In addition to this, revised Waste Regulations¹ came into force on 1 January 2015. These require authorities to collect paper, glass, metal and plastic by way of separate collection unless it is not necessary to increase the quality of the recycling, and it is not technically, environmentally or economically practicable to do so. This means that we must continually assess our methods for collecting waste to make sure that they are compliant with the new regulations.

Increasing population

Surrey’s population is projected to rise by 89,000 people (an 8% increase) over the strategy period. This along with the associated increase in new homes will result in more waste and therefore more pressure on our services.

Budget pressures

Increases in population along with continued reduction in funding from central government will put pressure on all council services. It is expected that local authorities will have to make difficult choices about the services that they can provide in the future and waste

¹ <http://www.legislation.gov.uk/uksi/2011/988/contents/made>

collection and management will be seen as a key area for saving money. However, this is not likely to be straightforward because of the challenges outlined above and the fact that transporting and disposing of waste is likely to get more expensive in the future.

These challenges mean that the current situation is unsustainable and we need to look at new ways of working together to reduce costs and increase performance whilst still providing a high quality service to Surrey residents.

3 Aim and targets

Surrey is already a high performing county but we can and must continue to improve in order to succeed against the challenges described above. We have therefore adopted the following ambitious aim for this strategy: **To be the leading county area in England for waste management.**

But what makes a leading county area for waste management? There are several performance indicators that we can use to define this, and we think that the most suitable of these are as follows:

Household waste and recycling per person - By far the best way to manage waste is to prevent it occurring in the first place (see Figure 7). This indicator shows how much waste we produce each year as individuals and therefore how much we need to focus on reducing our waste. Rather than using a specific target (expressed as kg/person/year), we think that it is fairer to use a relative target, i.e. comparing Surrey to other authorities. This is because household waste per person is affected by factors outside of our control, such as the state of the economy, and as all other counties will be subject to these factors too, it is a fair way of monitoring performance.

Recycling and recovery rate - Rather than using the standard recycling rate metric, as described in Section 2, we think that a more suitable indicator takes into account both recycling and the recovery of certain materials² where recovery is preferable to recycling. The indicator that we are using is about 'doing the right thing' with each material and managing it as far up the waste hierarchy (see Figure 7) as reasonably possible, e.g. recovering energy from wood waste that is not clean enough for recycling.

The standard recycling indicator³ has been subject to changes by the government, including a ban on recycling street-swept leaves, and could be changed again in the future. By using a new indicator that we have control over, we can keep it the same during the strategy period so that it remains a valid way of assessing our performance.

Percentage of municipal waste sent to landfill - Landfill is the least favourable way of managing waste and we want to minimise landfill as much as possible by complying with the waste hierarchy (Figure 7). This indicator will help to show how successful we have been at doing this.

² For example street sweepings and non-clean wood waste

³ National Indicator 192

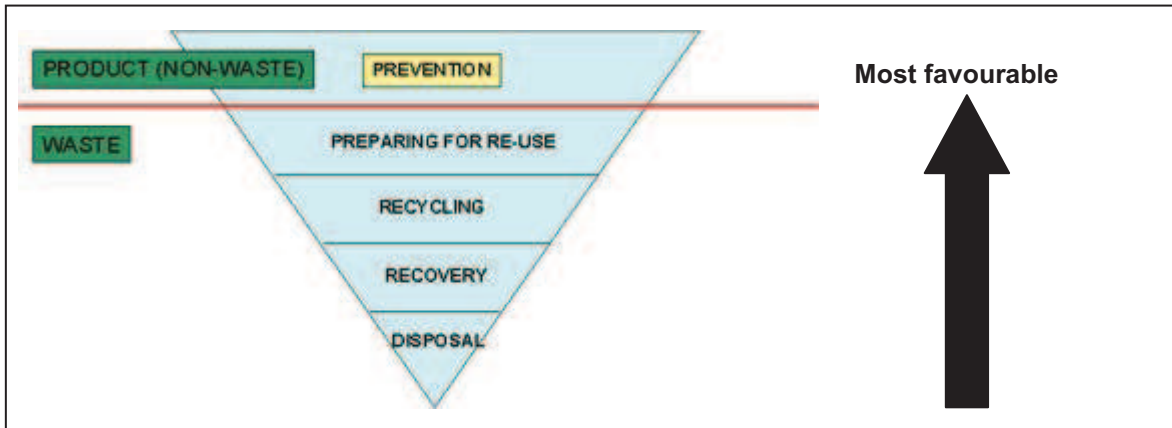


Figure 7: The waste hierarchy.

Cost of waste management per household - As Section 2 shows, waste is very expensive to manage and there is currently a strong imperative for local government to reduce its costs. This indicator will show us how well we are controlling the cost of waste for the average Surrey household.

The performance indicators are calculated using the methods summarised in 1 below.

Box 1: Methodology for calculating the strategy’s performance indicators

1. Household waste and recycling per person

This indicator is calculated using a nationally recorded metric called ‘BVPI 84a - Number of kilograms of household waste collected per head of population’. The calculation method is summarised below.

$$\frac{\text{Total tonnage of household waste in Surrey}}{\text{Population in Surrey}} \times 1,000$$

2. Recycling and recovery rate

This indicator is based on the nationally recorded recycling rate metric called ‘NI 192 - the percentage of household waste that is sent to reuse, recycling or composting’. However the calculation method used for the strategy is slightly different, for the reasons explained above. The calculation method is summarised below.

$$\frac{\text{Tonnage of household waste sent for reuse, recycling or composting} + \text{Separately collected materials where recovery is preferable to recycling e.g. street sweepings and non-clean wood}}{\text{Total tonnage of household waste}}$$

3. Percentage of municipal waste sent to landfill

This indicator is calculated using a nationally recorded metric called ‘NI 193 - the percentage of municipal waste sent to landfill’. The calculation method is as follows:

Numerator	Municipal waste sent directly to landfill, PLUS Municipal waste collected for recycling but rejected to landfill, PLUS Residual waste sent to landfill after an intermediate treatment (this does not include residues from thermal treatment)
Denominator	Total municipal waste

4. Cost of waste management per household

There is not a nationally recorded metric for this indicator. However, a SWP assessment of the total cost of waste is undertaken annually for all SWP authorities. The total cost is divided by the number of households in Surrey to calculate the indicator value.

‘The leading county area for waste management’ will perform well against all of the above indicators. However, it does not necessarily have to be the best in the country for each indicator as this may not be possible due to differences in geography. For example a rural county area is likely to have a high cost per household because houses are widely spaced which make collections less efficient.

We have looked at the performance of other county areas and assessed Surrey’s potential for improvement given its local constraints. From this we have developed targets against each indicator which are shown in Table 1.

Table 1: Strategy targets

#	Indicator	2013/14 performance	2019/20 target
1	Total household waste and recycling per person	Quartile 3 (463 kg/person)	Quartile 1
2	Recycling and recovery rate	59%	70%
3	Percentage of municipal waste sent to landfill	11%	0%
4	Cost of waste management per household	£158	No increase from 2013/14

The targets in Table 1 are to be achieved by the end of the year 2019/20 which is the middle year of the strategy period. They will be reviewed in 2019/20 for the remainder of the strategy period up to 2024/25.

4 Core values

In order to achieve our aim and meet our targets, we must deliver the work which is described in the sections below. To ensure that we do this effectively we have produced the following core values which we will always consider when undertaking our work:

Meeting the future needs of communities

We will ensure that the actions deliver a high quality service to everyone in our communities, both now and in the future. Past disposal routes such as landfill have resulted in long term environmental impacts and costs. This strategy is designed to avoid such issues for future generations.

Working in partnership

We will seek to work with the right partners from the public, private and community sectors that can help us to achieve our aim. This will include work with government and the private sector to reduce the quantity of materials entering the waste stream and work with the community sector to develop comprehensive systems of reuse.

As SWP partners, we must also work effectively with each other. To help us do this, we will work together more collaboratively, making more joint decisions and sharing budgets where feasible.

Best value to residents

We will seek to provide the best value to our residents through delivering waste management services that are both high quality and cost effective. We will work hard to continually improve the efficiency, effectiveness and cost of the services we provide.

Sustainable environment, society and economy

We will apply the principles of sustainable development. This takes into account three 'pillars' - our environment, society and the economy⁴. The development of our waste services will seek to protect our environment, support the wellbeing of Surrey's residents and benefit our economy, both now and in the future.

Treat waste as a resource

Traditionally waste has been viewed as something to be discarded. However, in line with national government policy we want to move towards a future where waste materials are fully valued, financially and environmentally. It means we reduce, reuse and recycle all we can, and throw things away only as a last resort.

Innovative thinking

We will develop new and innovative approaches to improve waste management. As part of this, we will move away from a culture of trying to solve our 'waste problem', towards positioning ourselves as suppliers of valuable commodities and fuel.

⁴ Guiding Principles for Sustainable Development, DEFRA



Figure 8: Our core values

5 Objectives

We have set a challenging and ambitious aim for this strategy. To achieve this, the following high level objectives set out what we are going to do:

High quality service: We will provide a high quality service that residents and businesses like, understand and use to its full potential.

Work with others: We will work innovatively with product manufacturers, community groups, other local authorities and the waste management companies to improve how we manage waste.

Maximise value: We will encourage and enable residents to deliver waste materials in the best way, then we will sustainably manage these materials to obtain maximum value.

6 Actions and outcomes

This section takes the objectives above and breaks them down further into work areas containing specific actions. These actions are detailed and represent the views of our officers, elected members, residents and other industry stakeholders on how to improve the management of Surrey's waste.

The actions are shown in the tables below. Each action is accompanied by one or more 'outcomes' which are measurable indicators that will be used to show if the action has been achieved or not. The successful delivery of the actions will help to achieve this strategy's targets. To demonstrate how each action relates to the targets, the third column in each table gives the numbers of the targets which will be most influenced.

These actions will be taken by each partner and turned into operational plans, which can then be delivered on the ground.

6.1 High quality service

Work area 1: In order to deliver a high quality service, we must take the views of residents including those with protected characteristics, and businesses into account. We will do this by:

#	Action	Outcomes	Contributes to target #	Who?
1	Regularly producing customer service surveys to find out what the barriers are to improving waste management and how we can improve the quality of the information that we provide	<ul style="list-style-type: none"> Periodic and targeted customer service surveys for waste management are produced and analysed at least once every three years. 	1,2,3,4	All partners
2	Providing simple, accessible and effective communication routes to give feedback	<ul style="list-style-type: none"> A question on the ease of accessibility of information is included in the above surveys 	1,2,3,4	All partners

Work area 2: Residents and businesses need to understand their role in waste management so that they feel engaged in the process and participate fully. We will make sure that residents including those with protected characteristics, and businesses understand their role in improving waste management by:

#	Action	Outcomes	Contributes to target #	Who?
1	Telling residents and businesses why it is important to reduce their waste and how they can do it	<ul style="list-style-type: none"> Include waste reduction as part of the county-wide communications campaigns described in Work area 7 	1,4	All partners
2	Providing all new residents with full information about their waste and recycling service	<ul style="list-style-type: none"> Information packs for new residents based on a best practice standardised format have been produced and are being issued to all new residents by 1 January 2016 	1,2,3,4	All WCAs
3	Engaging with specific residents and businesses that do not present recyclables for collection, or present contaminated recyclables for collection to understand their barriers to recycling and help overcome them	<ul style="list-style-type: none"> Each authority has a local procedure in place for following up contaminated collections by 1 January 2016 Each authority sees a year-on-year reduction in rate of contaminated recycling bin rejections 	1,2,3,4	All WCAs

#	Action	Outcomes	Contributes to target #	Who?
4	Publishing a charter each year showing residents and businesses where their waste and recycling is being sent for treatment	<ul style="list-style-type: none"> An annual charter is issued on the SWP website by July each year 	1,2,3,4	SWP manager

6.2 Work with others

Work area 3: We must engage with our communities to ensure they have sufficient support to improve waste management. We will support communities by:

#	Action	Outcomes	Contributes to target #	Who?
1	Engaging with and empowering volunteer and community groups	<ul style="list-style-type: none"> A partnership community engagement plan is produced by 1 January 2016 and is kept under annual review The community engagement plan includes actions that add social value to communities 	1,2,3,4	SWP manager

Work area 4: Working more effectively with other local authorities can improve performance and reduce costs due to economies of scale. We will work with other local authorities, both inside and outside of Surrey, to:

#	Action	Outcomes	Contributes to target #	Who?
1	Get better deals for goods and services e.g. new collection vehicles	<ul style="list-style-type: none"> Waste management related contracts, products and services are procured jointly unless deemed impractical after consultation with other partners 	4	All partners
2	Get better deals for contracts from waste management companies for collecting and/or managing our waste	<ul style="list-style-type: none"> The end dates of new waste management contracts are synchronised across similar contracts let by other SWP authorities to maximise opportunities for future joint procurement The costs of waste products and services reduce each year after the impact of inflation has been taken into account. 		

Work area 5: In Surrey, we work closely with the private sector in order to deliver some of our waste management services, but we could work together more effectively. We will work with the private sector companies that process our waste to:

#	Action	Outcomes	Contributes to target #	Who?
1	Clearly agree with reprocessors on what materials can be recycled, and pass on this information to our residents and businesses	<ul style="list-style-type: none"> MRF and reprocessor input contamination rates are checked quarterly by each authority and show a year-on-year reduction 	2,3,4	All partners
2	Make sure that both the Surrey taxpayer and the reprocessor get the best deal possible from selling the recyclables that we produce	<ul style="list-style-type: none"> Soft market testing is done on each material stream at least twice a year If prices are significantly worse than the market price, corrective action is taken where possible within the constraints of the contract 	4	All partners

Work area 6: The waste materials that Surrey produces are a large and valuable resource. We will use our influence as a major supplier of materials to:

#	Action	Outcomes	Contributes to target #	Who?
1	Lobby product manufacturers and retailers to design household products that minimise waste and are easy to recycle	<ul style="list-style-type: none"> The SWP is represented at all relevant forums and is in attendance at all relevant events involving waste authorities and product manufacturers 	1,2,3,4	SWP manager
2	Lobby central government to develop legislation that facilitates the reduction of waste and increases high quality recycling	<ul style="list-style-type: none"> SWP has provided a unified response to all relevant government consultations regarding waste management SWP actively lobbies central government on key matters 	1,2,3,4	SWP manager

6.3 Maximise value

Work area 7: By reducing the amount of waste produced by residents and maximising the proportion that is recycled, we can obtain more valuable recyclable materials and help the environment. We will do this by:

#	Action	Outcomes	Contributes to target #	Who?
1	Enabling residents to recycle any material where it is environmentally and financially beneficial to do so - at home, at community recycling centres and on the go	<ul style="list-style-type: none"> Waste hierarchy assessments take place as part of Waste Regulations compliance assessments (see Work area 10). These will determine if it is viable to recycle new materials. 	2,3,4	All partners
2	Ensuring controls are in place so that all new developments have sufficient space for waste and recycling containers	<ul style="list-style-type: none"> Each new development in a WCA's area has sufficient space for all recycling containers necessary to provide the full collection service 	2,3,4	All WCAs
3	Increasing the proportion of bulky waste that is reused and recycled	<ul style="list-style-type: none"> Each authority reuses and recycles at least 30% of bulky waste in 2016/17 and 40% in 2017/18 Each authority undertakes reuse and recycling using the community sector wherever possible 	2,3	All partners
4	Providing residents with as much capacity (bin space) for recycling as they need. This excludes garden waste which is chargeable throughout Surrey.	<ul style="list-style-type: none"> All WCAs provide free unlimited capacity for recycling (excluding garden waste) by 1 October 2015 	2,3,4	All WCAs
5	Reducing capacity for non-recyclable waste at the kerbside, to encourage residents to minimise their waste and use recycling bins	<ul style="list-style-type: none"> All WCAs are enforcing policies for no side-waste and closed lids on residual bins by 1 October 2015 Each WCA has provided each household with no more than 360 litres of residual waste capacity per month as standard by the end of each WCA's bin stock life or by 1 April 2020, whichever is sooner 	1,2,3,4	All WCAs

#	Action	Outcomes	Contributes to target #	Who?
6	Regularly identifying where and how recycling can be increased	<ul style="list-style-type: none"> • A high level annual assessment identifying recycling rates for individual materials is produced by SWP for each partner authority • From 1 April 2015, the WDA undertakes assessments at least once a quarter of recycling rates for each material at each CRC and identifies priority areas and improvement options • From 1 April 2015, all WCAs undertake assessments at least once a quarter, of: <ul style="list-style-type: none"> ○ MRF and reprocessor input contamination rates to determine what the contaminants are ○ Containers that are rejected because of contamination and where the problem areas are ○ Recycling rates at the individual round level to identify areas with high and low recycling rates • All WCAs undertake assessments of participation rates using the latest guidance and identify where problem areas are • Results of the above assessments are reported to SWP and summarised twice annually at the meetings • Measured improvements in priority areas for the above indicators 	N/A	All partners
7	Using targeted communication campaigns to increase recycling in the priority areas (identified by the six monthly analyses above)	<ul style="list-style-type: none"> • SWP communications guidance is used to provide clear communications • Each campaign performs well when evaluated using the SWP monitoring and evaluation template 	1,2,3,4	All partners
8	Publicising any changes to collection services with clear and comprehensive information		1,2,3,4	All WCAs

#	Action	Outcomes	Contributes to target #	Who?
9	Making communications campaigns more consistent across the county in order to increase their efficiency and maximise their impact	<p>From 1 April 2015:</p> <ul style="list-style-type: none"> Have agreed a timetable for county-wide communications campaigns Use 'Recycle for Surrey' branding on all communications Abide by SWP guidance for consistency in local service communications Use the SWP template for monitoring and evaluating communications campaigns 	1,2,3,4	All partners

Work area 8: We want our recyclable material to be as good quality as possible so that it can be turned into high quality products. We will maximise the quality of our recyclable materials by:

#	Action	Outcomes	Contributes to target #	Who?
1	Not collecting recycling containers containing contaminating waste materials, with clear information given to the affected resident as to why, and how they can reduce contamination in future	<ul style="list-style-type: none"> Annual reductions in MRF and reprocessor input contamination rates All WCAs provide regular training to crews on managing contamination by 1 January 2016 	4	All WCAs

Work area 9: We will get the best deals for all waste materials that we manage by:

#	Action	Outcomes	Contributes to target #	Who?
1	Collecting the same materials in the same way across Surrey	<ul style="list-style-type: none"> At the end of each WCA's materials management contract for each material, or by 1 April 2020, whichever is sooner all WCAs will collect and present each household material stream in the same way At the end of each WCA's bin stock life or by 1 April 2020, whichever is sooner, all WCAs will have an agreed form of consistent colour coding for their bins (for example bin bodies, or bin lids, or bin stickers). 	2,3	All WCAs

#	Action	Outcomes	Contributes to target #	Who?
2	Pooling and centrally managing all the material from each waste stream in Surrey, using economies of scale to attract the best possible prices	<ul style="list-style-type: none"> Each material waste stream is being centrally managed for all authorities once existing contracts have expired, if not before 	4	All partners
3	Investing in developing waste management infrastructure as appropriate, to give us more control over how materials are managed and help us ensure that we are getting the best deal environmentally and financially	<ul style="list-style-type: none"> An options appraisal for developing infrastructure for at least dry recyclables and textiles has been undertaken by 1 July 2015 	4	SCC

Work area 10: The way in which we collect waste is controlled by the Waste (amendment) Regulations 2011, which aims to promote high quality recycling and move us towards becoming a recycling society. Abiding by the regulations will help ensure that we collect waste in a way that is sustainable and provides best value. We will make sure that we are doing this by:

#	Action	Outcomes	Contributes to target #	Who?
1	Testing all of our collection systems against the requirements of the law and in particular assessing their cost and environmental impacts to make sure that they are compliant.	<ul style="list-style-type: none"> A Waste Regulations compliance assessment is undertaken and documented (at the individual authority level) whenever changes are proposed regarding <ul style="list-style-type: none"> The availability of recycling techniques and accessible facilities for materials that are currently difficult to recycle. The cost of vehicles. The cost of staff, value of recyclables and the costs of energy recovery or disposal. Collection, treatment or vehicle contracts coming to an end. 	4	All partners

Work area 11: Some of our WCAs already collect commercial waste, which they are allowed to charge for. This is a valuable income stream to them which helps to offset other waste management costs. We will generate more income from commercial waste by:

#	Action	Outcomes	Contributes to target #	Who?
1	Using existing collection vehicles and waste infrastructure to offer commercial waste collections across the county where financially viable	<ul style="list-style-type: none"> Each authority has been involved in an options appraisal exercise for creating or expanding commercial waste collections by 1 April 2016 Offer a commercial waste service at community recycling centres by 1 April 2016 	4	All partners
2	Offering commercial waste collection services that are excellent quality and competitively priced	<ul style="list-style-type: none"> Commercial waste collection prices are set at least annually by each partner at a level that is fair for customers and Surrey tax payers The size of the each partner's customer base and level of customer retention is assessed at least annually Each partner's customer base increases each year and customer retention levels do not decrease 	4	All partners
3	Making sure that businesses do not dispose of their waste through household waste services	<ul style="list-style-type: none"> Collection crews are trained to identify and report commercial waste abuse by 1 January 2016 Where household and commercial waste are collected together, an accurate and robust method will be used to calculate the proportions of each Cost effective measures to avoid commercial waste abuse at CRCs are implemented at all sites and monitored and recorded at least quarterly 	1,4	All partners

Work area 12: It is important that we do not forget about our existing arrangements for collecting and managing our waste. We will continually improve these by:

#	Action	Outcomes	Contributes to target #	Who?
1	Scrutinising existing arrangements regularly to identify opportunities for service improvement and cost savings	<ul style="list-style-type: none"> All contract monitoring frameworks involve constant scrutiny of performance and savings opportunities Key performance indicators for all contracts/arrangements are compared against peer authorities at least annually 	2,3,4	All partners
2	Making sure that our CRC network is optimised to provide a good service to residents whilst extracting maximum value from materials	<p>By 1 April 2016 options have been assessed for:</p> <ul style="list-style-type: none"> Charging for non-household waste Reducing opening days and/or hours Closing sites that are inefficient and can not be improved Selling reusable materials either on or off site 	4	SCC
3	Diverting our residual waste from landfill	<ul style="list-style-type: none"> All residual waste is diverted from landfill by 2019/20 	3,4	SCC
4	Improving our understanding of the total cost of managing waste and recycling in Surrey	<ul style="list-style-type: none"> A SWP cost assessment is undertaken by the end of each calendar year The cost capturing methodology is assessed annually prior to the assessment 	4	SWP Manager

7 Plan for delivery

7.1 Responsibilities

All SWP authorities have agreed to work together to deliver the actions of this strategy that are laid out above. The final column in each table says who is responsible for delivering each action. Where a partner has already achieved an action, they are responsible for helping other partners to do the same by providing advice and support.

Each partner will need to develop an operational plan which delivers the actions of the strategy. Partners will not be asked to submit their plans, but instead will be evaluated against the strategy's actions and outcomes as part of the annual performance review.

Working on behalf of SWP, the SWP manager is responsible for encouraging partners to deliver the strategy. They will monitor the performance of each partner closely and identify any actions that are at risk of not being delivered. They will then provide the necessary level of support to maximise the chances of successful delivery. Each partner should respect the SWP manager's position and offer them as much assistance as possible as they undertake the role.

7.2 Monitoring and evaluation process

The strategy has been set up so that each action has measurable outcomes attached to it which will help us to successfully monitor performance. The SWP manager will produce an annual review which will assess performance against each action and report on progress towards each target. This review will be in the form of a report that is presented to the SWP officer and Members' group meetings for discussion.

7.3 Revision process

This strategy's duration is ten years so that it terminates at the same time as SCC's waste disposal contract. It will be revised at the half way point - in the year 2019/20, and at the end - in 2024/25. However we recognise that both the strategy's targets and actions can quickly become outdated and need to be adjusted more regularly than once every five years. We will update the targets four times during the strategy period (as part of each revision and half way between each revision). The actions are quite specific, so we will update these every year as part of the annual performance review. The revision process is summarised in Table 2.

Table 2: Revision timetable - active years are shaded green

Year	Revision of targets	Revision of actions	Full strategy revision
2014/15			
2015/16			
2016/17			
2017/18			
2018/19			
2019/20			
2020/21			
2021/22			
2022/23			
2023/24			
2024/25			

8 Glossary of terms

Anaerobic Digestion

Anaerobic Digestion systems use natural processes to break down food wastes in the absence of oxygen to produce methane gas, which can be used as a fuel for the production of electricity.

Bring site

A bring site or bring bank is a localised collection point for recyclables such as glass, paper, cans, etc.

Bulky waste

Waste is considered 'bulky' if it weighs more than 25kg or any item that does not fit into the householder's bin; or if no container is provided, a cylindrical receptacle of 750mm in diameter and 1m high.

Community Recycling Centres (CRCs)

Sites operated by SCC where residents within a specified area can dispose of their household waste, in particularly bulky waste, free of charge.

Commercial waste

Commercial waste arises from premises used for trade, business, sport, recreation or entertainment, but excluding household and industrial waste.

Community sector

Also known as the voluntary or third sector, it includes organisations that are not-for-profit and non-governmental that undertake a duty of social activity, usually charities and non-charitable voluntary bodies.

Composting

The degradation of organic wastes in the presence of oxygen to produce a fertiliser or soil conditioner. This can either be an enclosed process (in-vessel) or operated as an 'open windrow' process.

Contamination rates

The amount of presented material that cannot be recycled as a proportion of the total amount of material that can be recycled at a MRF or other reprocessor.

Contaminated recycling

Material found in the recycling waste stream that cannot be recycled and affects the quality and value of the other material.

Dry recyclables

Materials such as paper, metals, plastics and glass that can be collected through kerbside schemes or bring banks.

The Environment Agency (England and Wales)

The Environment Agency for England was formed by the Environment Act 1995 to regulate emissions of and pollutants to air, land and water. The Agency's main role in the

management of waste is through its regulatory activities to protect the environment and human health.

Green waste

Vegetation and plant waste from household gardens and public parks and gardens.

Hazardous waste

Defined in the Landfill Regulations as any waste defined in Article 1 (4) of Directive 91/689/EEC on hazardous waste.

Household waste

Waste from domestic properties including waste from CRCs, material collected for recycling and composting, plus waste from educational establishments, nursing and residential homes and hostels, caravan parks, self-catering accommodation, prisons, places of worship, public meeting premises and street cleansing waste.

Kerbside collection

Any regular collection of recyclables from households and from commercial or industrial premises. It excludes collection services requested on demand.

Landfill sites

Landfills are areas of land in which waste is deposited, which often consist of disused quarries. In areas where there are limited, or no ready-made voids, the waste is deposited above ground and the landscape is contoured. This is known as land raising.

Market testing

Researching the cost of providing a new service or service change in current market conditions.

Material Reclamation Facility (MRF)

A place where mixed dry recycling is separated into its constituent parts - e.g. paper, card, cans, glass - usually by a mixture of specialised machines and manual sorting, before being sent elsewhere to be recycled into new products. Also sometimes known as a Materials Recycling Facility or Materials Recovery Facility.

Municipal waste

This includes all waste under the control of local authorities or agents acting on their behalf. It includes all household waste, street litter, waste delivered to council recycling points, municipal parks and garden wastes, council office waste, civic amenity site waste, and some commercial waste from shops and smaller trading estates where local authority waste collection agreements are in place.

National Indicators

Introduced on 1 April 2008, National Indicators were the only set of indicators on which central government performance managed local government. These were withdrawn in 2011, however local authorities are still obliged to report waste data and their performance against each indicator is still calculated.

Participation rates

The proportion of households that take part in a collection scheme at least once in a defined period of time, usually over three collection opportunities.

Recycling

Recycling involves the reprocessing of waste material, either into the same product or a different one. Many nonhazardous wastes such as paper, glass, cardboard, plastics and scrap metals can be recycled.

Recovery (other recovery)

The 2013 waste management plan produced by the Department for Environment, Food and Rural Affairs (Defra) says that 'other recovery' includes anaerobic digestion, incineration with energy recovery, gasification and pyrolysis which produce energy (fuels, heat and power) and materials from waste and some backfilling operations.

Reduction (prevention or minimisation)

Making less waste in the first place. Waste reduction can be accomplished through reviewing the production processes so as to optimise utilisation of raw (and secondary) materials and recirculation processes. This may lower disposal costs and the usage for raw materials and energy. Also householders can reduce waste by reusing products and buying goods with reduced packaging.

Rejects

Material that cannot be recycled or recovered by the reprocessor.

Reprocessor

A company that recycles or recovers waste.

Residual waste

Waste that has not been re-used, recycled or composted.

Re-use

The commercial sector can re-use products a number of times, such as re-usable packaging. Householders can buy refillable containers, re-use plastic bags, or donate bulky items such as furniture to re-use organisations. Re-use contributes to sustainable development and can save raw materials, energy and transport costs.

Side waste

Additional waste presented outside the container for collection e.g. an extra bag of rubbish left by your refuse bin.

Social value

A process whereby organisations meet their needs for goods, services, works and utilities in a way that achieves value for money on a whole life basis in terms of generating benefits to society and the economy, whilst minimising damage to the environment.

Sustainable development

Development which meets the needs of the present without compromising the ability of future generations to meet their own needs. Sustainable development, as defined by UK

Government [Defra. Securing the Future: delivering UK sustainable development strategy, March 2005], is the integration of social, economic and environmental objectives.

Waste Hierarchy

6

The Waste Hierarchy, introduced by the EU Waste Framework Directive, is an abstract framework that prioritises the options for waste management. It represents a sliding scale starting with the most sustainable option (reduction) and ending with the least sustainable option (disposal):

- reduction;
- re-use;
- recovery (i.e. recycling, composting and energy recovery); and
- disposal.

Equality Impact Assessment

1. Topic of assessment

EIA title:	Joint Municipal Waste Management Strategy Revision 2 (2015)
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EIA author:	Tom Beagan, Waste Policy and Partnerships Team Manager
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2. Approval

	Name	Date approved
Approved by¹	Matt Smyth, Waste Development Group Manager	02/02/2015

3. Quality control

Version number	1.0	EIA completed	02/02/2015
Date saved	02/02/2015	EIA published	

4. EIA team

Name	Job title (if applicable)	Organisation	Role
Les Andrews	Principal Planning Policy Officer	Surrey County Council	E&I Directorate Equalities Group
Tom Beagan	Waste Policy and Partnerships Manager	Surrey County Council	JMWMS author and EIA author
Helen Trew	Waste Programme Manager	Surrey County Council	EIA reviewer

¹ Refer to earlier guidance for details on getting approval for your EIA.

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5. Explaining the matter being assessed

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<p>What policy, function or service is being introduced or reviewed?</p>	<p>The authorities in two-tier counties such as Surrey have different responsibilities for managing waste and recycling. The districts and boroughs are responsible for its collection and the county council is responsible for its treatment and disposal.</p> <p>To ensure that the authorities work together to manage the waste in a coherent way, the law requires two-tier areas to produce a joint strategy for the management of municipal waste, and keep this under review.</p> <p>In 2006, the Waste Members' Group of the Surrey Local Government Association (SLGA) produced the first Joint Municipal Waste Management Strategy for Surrey, which was adopted by Surrey County Council.</p> <p>The SLGA Waste Members' Group then became Surrey Waste Partnership (SWP). This includes all of Surrey's authorities and is the main forum through which waste management matters are discussed and improvement actions are agreed. To reflect the dynamic nature of waste management in Surrey, SWP produced a revision of the joint strategy in 2010.</p> <p>Again, much change has occurred since the 2010 revision and a second revision has now been prepared in order to ensure that our joint actions for the next ten years reflect the needs of our current times and aspirations for the future. This comprehensive revision includes a new aim, objectives and targets which are supported by a new set of specific and measurable actions.</p>
<p>What proposals are you assessing?</p>	<p>The JMWMS has been completely redrafted and has 34 specific actions covering waste management in Surrey.</p> <p>Successfully achieving the actions within the JMWMS will enable SCC to work closely with Surrey districts and boroughs to improve performance and manage waste in a way that offers best value to the Surrey taxpayer.</p> <p>The actions are wide-ranging. Some will have no discernible impact on residents e.g. 'Offering commercial waste collections that are excellent quality and competitively priced'. However, some will have an impact on the type and level of service that residents receive.</p> <p>The actions are listed below. This EIA will assess all of the actions to determine their potential impacts on equality and diversity.</p>

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#	Action	Groups affected
1	Regularly producing customer service surveys to find out what the barriers are to improving waste management and how we can improve the quality of the information that we provide	All residents & business customers
2	Providing simple, accessible and effective communication routes to give feedback	
3	Telling residents and businesses why it is important to reduce their waste and how they can do it	
4	Providing all new residents with full information about their waste and recycling service	Residents that have recently moved house
5	Engaging with specific residents and businesses that do not present recyclables for collection, or present contaminated recyclables for collection to understand their barriers to recycling and help overcome them	Residents & business customers
6	Publishing a charter each year showing residents and businesses where their waste and recycling is being sent for treatment	Residents & business customers
7	Engaging with and empowering volunteer and community groups	Volunteer and community groups
8	Get better deals for goods and services e.g. new collection vehicles	Council staff & waste contractors
9	Get better deals for contracts from waste management companies for collecting and/or managing our waste	
10	Clearly agree with reprocessors on what materials can be recycled, and pass on this information to our residents and businesses	Reprocessors, residents and businesses
11	Make sure that both the Surrey taxpayer and the reprocessor get the best deal possible from selling the recyclables that we produce	Reprocessors
12	Lobby product manufacturers and retailers to design household products that minimise waste and are easy to recycle	Manufacturers, all residents & businesses
13	Lobby central government to develop legislation that facilitates the reduction of waste and increases high quality recycling	All residents & businesses
14	Enabling residents to recycle any material where it is environmentally and financially beneficial to do so – at home, at community recycling centres and on the go	All residents
15	Ensuring controls are in place so that all new developments have sufficient space for waste and recycling containers	Residents in new developments
16	Increasing the proportion of bulky waste that is reused and recycled	Reprocessors

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17	Providing residents with as much capacity (bin space) for recycling as they need. This excludes garden waste which is chargeable throughout Surrey.	Residents producing lots of recycling
18	Reducing capacity for non-recyclable waste at the kerbside, to encourage residents to minimise their waste and use recycling bins	Residents producing lots of non-recyclable waste
19	Regularly identifying where and how recycling can be increased	None directly
20	Using targeted communication campaigns to increase recycling in the priority areas	Residents in priority areas
21	Publicising any changes to collection services with clear and comprehensive information	All residents
22	Making communications campaigns more consistent across the county in order to increase their efficiency and maximise their impact	All residents
23	Not collecting recycling containers containing contaminating waste materials, with clear information given to the affected resident as to why, and how they can reduce contamination in future	Residents producing contaminated recycling
24	Collecting the same materials in the same way across Surrey	Residents in authorities where collection systems change.
25	Pooling and centrally managing all the material from each waste stream in Surrey, using economies of scale to attract the best possible prices	Waste contractors & collection staff
26	Investing in developing waste management infrastructure as appropriate, to give us more control over how materials are managed and help us ensure that we are getting the best deal environmentally and financially (options appraisal only)	None directly
27	Testing all of our collection systems against the requirements of the law and in particular assessing their cost and environmental impacts to make sure that they are compliant.	None directly
28	Using existing collection vehicles and waste infrastructure to offer commercial waste collections across the county where financially viable	Businesses, collection crews, waste companies.
29	Offering commercial waste collection services that are excellent quality and competitively priced	Businesses, waste companies
30	Making sure that businesses do not dispose of their waste through household waste services	Businesses

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	31	Scrutinising existing arrangements regularly to identify opportunities for service improvement and cost savings	None directly
	32	Making sure that our CRC network is optimised to provide a good service to residents whilst extracting maximum value from materials (options appraisal only)	None directly
	33	Diverting our residual waste from landfill	Waste contractors & collection staff
	34	Improving our understanding of the total cost of managing waste and recycling in Surrey	None directly
Who is affected by the proposals outlined above?	See table above		

6. Sources of information

Engagement carried out
<p>The revised strategy was developed by combining the input of:</p> <ul style="list-style-type: none"> • Officers and Members of Surrey Waste Partnership via a project steering group (including Cllr Mike Goodman) and scrutiny at Partnership meetings • Best practice examples of other joint waste strategies • A consultation of residents and other key stakeholders <p>The consultation exercise took place between July and October 2014 and focused on identifying residents' barriers to reducing, reusing and recycling more of their waste. Other stakeholders included the waste management industry, businesses, environment and conservation groups and other local authorities.</p> <p>The consultation for residents involved an online and paper based (leaflet style) survey. The survey was advertised widely via partner websites, e-newsletters, online advertising, social media and local newspapers. Emails were sent specifically to residents associations, parish councillors, county and local councillors encouraging them to complete the survey and pass it on to residents.</p> <p>Following discussions with our EIA Directorate advisor, hardcopy survey leaflets with cover letters (providing a link to the online survey) were also sent to groups with protected characteristics that would potentially be affected by the actions within the draft strategy. The protected groups that were contacted included:</p> <ul style="list-style-type: none"> • Disability groups • Ethnic groups • Senior persons groups <p>The responses from these groups were considered along with the input from all other respondents.</p> <p>Following the consultation, our Directorate EIA advisor reviewed an updated draft of the strategy and some minor changes were made to the strategy wording to reduce some</p>

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potentially negative equality impacts.

Data used

Not applicable

6

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 ²	Potential positive impacts	Potential negative impacts	Evidence
Age	-	Communications actions (1,2,3,4,5,6,10,20,21,22,23)	Communications undertaken by SWP authorities may not reach this group unless specific measures are taken.
	Recycling more materials (action 14)	-	This action may result in increased recycling services allowing this group to recycle more at home
	Space for recycling at new developments (action 17)	-	Sufficient space for recycling may make recycling easier for this group.
	-	Reducing capacity for non-recyclable waste (action 18)	This group may find it physically difficult to recycle/use multiple bins, so they may need more non-recyclable bin capacity.
	Consistent collection systems (action 24)	Consistent collection systems (action 24)	A consistent comingled collection system would make recycling physically easier for these groups; however a move to separating more materials could make it more difficult.
Disability	-	Communications actions (1,2,3,4,5,6,10,20,21,22,23)	Communications undertaken by SWP authorities may not reach this group unless specific measures are taken.
	Recycling more materials (action 14)	-	This action may result in increased recycling services allowing this group to recycle more at home
	Space for recycling at new developments (action 17)	-	Sufficient space for recycling may make recycling easier for this group.
	-	Reducing capacity for non-recyclable waste (action 18)	This group may find it physically difficult to recycle/use multiple bins, so they may need more non-recyclable bin capacity.
	Consistent collection systems (action 24)	Consistent collection systems (action 24)	A move to consistent comingled collection systems would make recycling physically easier for these groups; however a move to separating more materials could make it more difficult.

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² More information on the definitions of these groups can be found [here](#).



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Gender reassignment	-	-	-
Pregnancy and maternity	-	-	-
Race		Communications actions (1,2,3,4,5,6,10,20,21,22,23)	Communications undertaken by SWP authorities may not reach this group unless specific measures are taken.
Religion and belief		Communications actions (1,2,3,4,5,6,10,20,21,22,23)	Communications undertaken by SWP authorities may not reach this group unless specific measures are taken.
Sex	-	-	-
Sexual orientation	-	-	-
Marriage and civil partnerships	-	-	-
Carers³		Communications actions (1,2,3,4,5,6,10,20,21,22,23)	Communications undertaken by SWP authorities may not reach this group unless specific measures are taken.

³ Carers are not a protected characteristic under the Public Sector Equality Duty, however we need to consider the potential impact on this group to ensure that there is no associative discrimination (i.e. discrimination against them because they are associated with people with protected characteristics). The definition of carers developed by Carers UK is that 'carers look after family, partners or friends in need of help because they are ill, frail or have a disability. The care they provide is unpaid. This includes adults looking after other adults, parent carers looking after disabled children and young carers under 18 years of age.'

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7b. Impact of the proposals on staff with protected characteristics

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
Age	-	Recycling more materials (action 14)	Changes to collection systems could result in more manual handling for collection crews.
	-	Consistent collection systems (action 24)	
	-	Expand commercial collections (action 28)	
Disability	-	Recycling more materials (action 14)	
	-	Consistent collection systems (action 24)	
	-	Expand commercial collections (action 28)	
Pregnancy and maternity	-	Recycling more materials (action 14)	
	-	Consistent collection systems (action 24)	
	-	Expand commercial collections (action 28)	
Gender reassignment	-	-	-
Race	-	-	-
Religion and belief	-	-	-
Sex	-	-	-
Sexual orientation	-	-	-

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Marriage and civil partnerships	-	-	-
Carers	-	-	-

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8. Amendments to the proposals

The EIA above identified a number of areas where groups with protected characteristics could potentially be affected by changes resulting from the strategy's actions. However, the strategy's actions are high level and are not prescriptive about exactly what and how changes will be made.

The actions that could impact the affected groups will be taken by the individual partner authorities. There is sufficient flexibility in the wording of the actions to allow partner authorities to design changes so that groups with protected characteristics are not negatively impacted. Partner authorities should also undertake EIAs on specific proposed changes before they are implemented in order to better maximise/mitigate their impact.

9. Action plan

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
Communications not reaching the protected groups	Communications teams need to ensure that suitable measures are taken to fully engage with the protected groups identified above.	Before any new comms campaign	Partner comms teams
Reducing capacity for non-recyclable waste	The action specifies the capacity that should be supplied, but it says this should be 'standard'. Local policies will allow flexibility for groups with protected characteristics.	Before reducing the standard capacity for non-recyclable waste.	Collection authority waste teams
Recycling more materials	Consider the needs of groups with protected characteristics when assessing the suitability of new materials for recycling.	When assessing the suitability of new materials for recycling	Collection authority waste teams
Space for recycling at new developments	Consider the needs of groups with protected characteristics when reviewing bin space provision at new developments.	When reviewing planning applications	Collection authority planning teams
Changing collection systems	Collection authorities should carry out a full EIA for their district/borough when developing this policy in detail.	Before the policy is implemented	Partner authority waste teams

10. Potential negative impacts that cannot be mitigated

At this stage it is not perceived that the actions of the strategy will result in any negative impacts that cannot be mitigated locally.

EQUALITY IMPACT ASSESSMENT

11. Summary of key impacts and actions

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<p>Information and engagement underpinning equalities analysis</p>	<p>A second revision of the Joint Municipal Waste Management Strategy (JMWMS) has been produced. In order to assess equality impacts, residents, including groups with protected characteristics were consulted as part of the strategy's development. The strategy was updated following the consultation.</p> <p>In addition, an SCC EIA specialist undertook reviews of draft strategy documents both before and after the consultation and minor amendments were made to reduce some potentially negative equality impacts.</p>
<p>Key impacts (positive and/or negative) on people with protected characteristics</p>	<ul style="list-style-type: none"> • Communications not reaching the protected groups • Changes to household products and waste collection services as a result of lobbying. • Reducing capacity for non-recyclable waste • Recycling more materials • Space for recycling at new developments • Not collecting contaminated recycling bins • Changing collection systems
<p>Changes you have made to the proposal as a result of the EIA</p>	<p>No changes. The actions of the JMWMS are high-level and there is sufficient flexibility to allow partners to mitigate the impacts when planning any changes in detail.</p>
<p>Key mitigating actions planned to address any outstanding negative impacts</p>	<ul style="list-style-type: none"> • Communications teams to fully engage with impacted groups • SWP manager to fully consider the implications of lobbying on groups with protected characteristics • Local policies for reducing non-recyclable bin capacity should allow flexibility for groups with protected characteristics • Consider the needs of groups with protected characteristics when assessing the suitability of new materials for recycling • Consider the needs of groups with protected characteristics when reviewing bin space provision at new developments • Local policies for dealing with contaminated recyclable bins should allow flexibility for groups with protected characteristics • Collection authorities should carry out a full EIA for their district/borough when proposing any changes to collection systems
<p>Potential negative impacts that cannot be mitigated</p>	<p>At this stage it is not perceived that the actions of the strategy will result in any negative impacts that cannot be mitigated.</p>

SURREY COUNTY COUNCIL

CABINET

DATE: 24 FEBRUARY 2015



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

LEAD OFFICER: CLAIRE POTIER, PRINCIPAL MANAGER ADMISSIONS AND TRANSPORT

SUBJECT: ADMISSION ARRANGEMENTS FOR SEPTEMBER 2016 FOR SURREY'S COMMUNITY AND VOLUNTARY CONTROLLED SCHOOLS, COORDINATED SCHEMES AND RELEVANT AREA

SUMMARY OF ISSUE:

Following statutory consultation on the proposed changes to Surrey's admission arrangements for September 2016 and Surrey's Relevant Area, Cabinet is asked to consider the responses set out in Enclosure 5 and make recommendations to the County Council on admission arrangements for community and voluntary controlled schools, Surrey's coordinated schemes for September 2016 and its Relevant Area.

This report covers the following areas in relation to school admissions:

- Bagshot Infant School (Bagshot) – Recommendation 1
- Hammond Community Junior School (Lightwater) - Recommendation 2
- Meath Green Junior School (Horley) – Recommendation 3
- Wallace Fields Junior School (Ewell) – Recommendation 4
- Worplesdon Primary School (Worplesdon, Guildford) – Recommendation 5
- Cranleigh Primary School (Cranleigh) – Recommendation 6
- Own admission authority schools to be included in assessment of nearest school – Recommendation 7
- Start date to primary admissions round – Recommendation 8
- Surrey's Relevant Area - Recommendation 9
- Published Admission Numbers for other community and voluntary controlled schools – Recommendation 10
- Admission arrangements for other community and voluntary controlled schools – Recommendation 11
- Coordinated Admissions Schemes – Recommendation 12

Recommendations are set out on pages 1 to 6 and further details of each proposal are set out on pages 7 to 16.

RECOMMENDATIONS:

It is recommended that Cabinet make the following recommendations to the County Council:

Recommendation 1

That, subject to Connaught Junior School also agreeing to introduce a reciprocal sibling link with Bagshot Infant School, a reciprocal sibling link for Bagshot Infant School is introduced with Connaught Junior School so that Bagshot Infant School would be described as operating shared sibling priority with Connaught Junior School

for 2016 admission.

Reasons for Recommendation

- It would support families with more than one child as families with a sibling at Connaught Junior School would benefit from sibling priority at Bagshot Infant School
- This proposal is in line with a separate proposal by Connaught Junior School to introduce a reciprocal sibling link with Bagshot Infant School. This recommendation is therefore conditional on Connaught Junior School implementing this change before this recommendation is ratified by Full Council
- It would provide continuity and a clearer transition for parents, children and schools and would reduce anxiety for parents
- If Connaught also introduce a feeder link from Bagshot as they have proposed, it would enable families to benefit from a sibling link for Reception even if they had a child who was due to leave the infant school before the younger child was admitted
- It would maximise the opportunity for families to keep children together or at schools with agreed links
- It is supported by Connaught Junior School and by the Headteacher and Chair of Governors of Bagshot Infant School

Recommendation 2

That a new criterion for Hammond Community Junior School is introduced for September 2016 to provide priority for children attending either Valley End or Windlesham Village infant schools as follows:

- a. Looked After and previously Looked After Children
- b. Exceptional social/medical need
- c. Children attending Lightwater Village School
- d. Siblings not admitted under c) above
- e. Children attending either Valley End CofE Infant School or Windlesham Village Infant School
- f. Any other children

Reasons for Recommendation

- It would introduce a feeder link for infant schools where currently none exists and in doing so would provide continuity and a clearer transition for parents, children and schools and would reduce anxiety for parents
- It would help ensure that a school within a reasonable distance could be offered to all children within the area
- It would maximise the opportunity for families to keep children at schools with agreed links
- It would support viability of Valley End and Windlesham Village infant schools
- It is supported by the Headteacher and Governing Body of Hammond Community Junior School and by Valley End and Windlesham Village infant schools
- Eligibility to transport is not linked to the admission criteria of a school and as such attendance at Valley End or Windlesham Village infant schools would not confer an automatic right to transport to Hammond Community Junior School

Recommendation 3

That a feeder link from Meath Green Infant to Meath Green Junior School is introduced for September 2016 as follows:

- a. Looked After and previously Looked After Children
- b. Exceptional social/medical need

-
- c. Children attending Meath Green Infant School
 - d. Siblings not admitted under c) above
 - e. Any other children

Reasons for Recommendation

- It would provide continuity and a clearer transition for parents, children and schools and would reduce anxiety for parents
- It would enable families to benefit from a sibling link for Reception even if they had a child who was due to leave the infant school before the younger child was admitted
- It would maximise the opportunity for families to keep children together or at schools with agreed links
- It would be in line with the criteria that exist for most other community and voluntary controlled schools which have feeder and reciprocal sibling links
- It is consistent with Surrey's planning principles set out in the School Organisation Plan
- It is supported by the Governing Body of the school
- Eligibility to transport is not linked to the admission criteria of a school and as such attendance at Meath Green Infant School would not confer an automatic right to transport to Meath Green Junior School

Recommendation 4

That, in line with the tiered arrangements that currently exist at both schools, a tiered feeder link is introduced from Wallace Fields Infant School to Wallace Fields Junior School for September 2016 as follows:

- a. Looked after and previously looked after children
- b. Exceptional social/medical need
- c. Siblings for whom the school is the nearest school to their home address
- d. Children attending Wallace Fields Infant School for whom the school is the nearest school to their home address
- e. Other children for whom the school is the nearest school to their home address
- f. Other siblings for whom the school is not the nearest school to their home address
- g. Other children attending Wallace Fields Infant School for whom the school is not the nearest school to their home address
- h. Any other children

Reasons for Recommendation

- It would provide continuity and a clearer transition for parents, children and schools and would reduce anxiety for parents
- It would enable families to benefit from a sibling link for Reception even if they had a child who was due to leave the infant school before the younger child was admitted
- It would maximise the opportunity for families to keep children together or at schools with agreed links
- It would help ensure that a school within a reasonable distance could be offered to all children within the area
- It is consistent with Surrey's planning principles set out in the School Organisation Plan
- It is supported by the Headteacher and Chair of Governors of both schools
- There was overall support for this proposal
- Eligibility to transport is not linked to the admission criteria of a school and as such attendance at Wallace Fields Infant School would not confer an automatic

right to transport to Wallace Fields Junior School

Recommendation 5

That admission criteria are introduced for Year 3 entry to Worplesdon Primary School for September 2016 as follows:

- a. Looked after and previously looked after children
- b. Exceptional social/medical need
- c. Siblings
- d. Children attending Wood Street Infant School
- e. Children for whom the school is the nearest to their home address
- f. Any other children

Reasons for Recommendation

- As this school now has a Year 3 Published Admission Number (PAN) the local authority has a duty to determine criteria which confirm how children will be admitted
- Other than the feeder link for children attending Wood Street Infant School, it would introduce criteria that are in line with those that exist for the reception intake to the school
- It would provide continuity and reduce anxiety for parents and children of Wood Street Infant School
- It would maximise the opportunity for families to keep children at schools with agreed links
- It is supported by the Governing Bodies of both schools
- Eligibility to transport is not linked to the admission criteria of a school and as such attendance at Wood Street Infant School would not confer an automatic right to transport to Worplesdon Primary School

Recommendation 6

That the Year 3 Published Admission Number for Cranleigh Primary School is removed for September 2016.

Reasons for Recommendation

- It is supported by the Headteacher and Governing Body of the school
- There will still be sufficient junior places for local children if the PAN is removed
- It will help support other local schools in maintaining pupil numbers
- It will alleviate funding, accommodation and staffing issues in the school
- It will have no impact on children who are currently on roll at the school

Recommendation 7

That the own admission authority schools to be included in the assessment of nearest school are decided each year according to the policy set out in Section 12 of Enclosure 1.

Reasons for Recommendation

- It ensures that there will be a consistent approach in selecting schools to be taken in to account when assessing 'nearest school' when applying the admission arrangements of community and voluntary controlled schools
- It ensures that there is equity in the application of admission arrangements for community and voluntary controlled schools county wide
- It ensures a transparent and open policy that parents can understand
- It does not deliver a significant difference to current practice
- It ensures historical pattern of admission is taken in to account

-
- It prevents schools from being included due to the admission of a bulge class or a non-standard admission year
 - It allows for exceptions to apply where admission authorities change their admission arrangements

Recommendation 8

That following consultation, the start date to the primary admissions round remains as 1 September for 2016 admission rather than 1 November as proposed.

Reasons for Recommendation

- Response rate from schools was insufficient to gauge whether or not there would be general support for this proposal
- This proposal will be deferred until 2017 when a more targeted consultation will be carried out with schools

Recommendation 9

That Surrey's Relevant Area is agreed as set out in Enclosure 2.

Reasons for Recommendation

- The local authority is required by law to define the Relevant Area for admissions
- The Relevant Area must be consulted upon and agreed every two years even if no changes are proposed
- Setting a Relevant Area ensures that any schools who might be affected by changes to the admission arrangements for other local schools will be made aware of those changes
- No significant change has been made to Surrey's Relevant Area but clarity has been provided for faith schools that they should consider the advice issued by their Diocese when considering which other deanery schools to consult with

Recommendation 10

That the Published Admission Numbers (PAN) for September 2016 for all other community and voluntary controlled schools are determined as they are set out in Appendix 1 of Enclosure 1 which include the following changes:

- i. Ashford Park Primary - increase in Reception PAN from 60 to 90
- ii. Bishop David Brown Secondary – increase in Year 7 PAN from 150 to 180
- iii. Cranmere Primary – increase in Reception PAN from 60 to 90
- iv. Farncombe CofE Infant School - increase in Reception PAN from 40 to 50
- v. The Greville Primary – increase in Reception PAN from 30 to 60
- vi. Hinchley Wood Primary - increase in Reception PAN from 60 to 90
- vii. Hurst Park Primary - increase in Reception PAN from 30 to 60
- viii. Manby Lodge Infant - increase in Reception PAN from 60 to 90
- ix. Milford School – increase Reception PAN from 50 to 60
- x. North Downs Primary School – introduction of Year 3 PAN of 4
- xi. South Camberley Primary – increase in PAN from 110 to 120
- xii. Stoughton Infant - increase in Reception PAN from 60 to 90
- xiii. West Byfleet Infant - increase in Reception PAN from 60 to 90
- xiv. Worplesdon Primary – introduction of a junior PAN of 30

Reasons for Recommendation

- Where an increase in PAN is proposed the schools are increasing their intake to respond to the need to create more school places and will help meet parental preference
- The School Commissioning team and the schools support these changes
- All other PANs remain as determined for 2015 which enables parents to have

some historical benchmark by which to make informed decisions about their school preferences

Recommendation 11

That the remaining aspects of Surrey's admission arrangements for community and voluntary controlled schools for September 2016, for which no consultation was required, are agreed as set out in Enclosure 1 and its Appendices.

Reasons for Recommendation

- This will ensure stability and consistency for the majority of Surrey's parents, pupils and schools
- The arrangements enable parents to have some historical benchmark by which to make informed decisions about their school preferences
- The existing arrangements are working reasonably well
- The arrangements enable the majority of pupils to attend their nearest schools and in doing so reduces travel and supports Surrey's sustainability policies
- Changes highlighted in bold in sections 10, 13, 14, 19 and 20 of Enclosure 1 have been made to add clarity to the admission arrangements but do not constitute a policy change
- Changes highlighted in bold in sections 17 and 18 of Enclosure 1 have been made to comply with statutory requirements of the School Admissions Code 2014
- The change highlighted in bold in section 21 of Enclosure 1 has been made to reflect a change to Surrey's Home to School Transport policy
- Changes to PAN that are highlighted in bold in Appendix 1 of Enclosure 1 are referenced in Recommendation 10

Recommendation 12

That the Coordinated Admission Schemes for 2016/17 are agreed as set out in Appendix 4 of Enclosure 1.

Reasons for Recommendation

- The coordinated schemes for 2016 are the same as 2015
- The coordinated schemes will enable the County Council to meet its statutory duties regarding school admissions
- The coordinated schemes are working well

DETAILS:

Consultation

1. On 21 November 2014 the Cabinet Member for Schools and Learning agreed to consult on proposed changes to the admission arrangements for some community and voluntary controlled schools. This consultation ran for eight weeks from 28 November 2014 to 22 January 2015.
2. Full details of the proposed admission arrangements for Surrey's community and voluntary controlled schools, Surrey's Relevant Area and Surrey's coordinated admission schemes, including the arrangements for which there is no change proposed, are attached as Enclosure 1 and its Appendices.
3. A document which set out a summary of the main changes was made available to schools and parents and is attached as Enclosure 4.

4. The consultations were sent directly to Headteachers, Chairs of Governors and Parent Governors of all Surrey schools, Diocesan Boards of Education, neighbouring local authorities, out of County voluntary aided and foundation schools within 3 miles (primary schools) or 5 miles (secondary schools) radius of the Surrey border, Surrey County Councillors, Borough and District Councillors, Parish and Town Councillors, members of Surrey’s Admission Forum, Early Years establishments and Surrey MPs.
5. Surrey County Council Members and Borough and District Councillors were asked to draw the consultations to the attention of any local community or resident groups in their area who may have an interest in responding.
6. Nurseries and schools were asked to draw the consultation to the attention of parents with children at the nursery or school.
7. All consultees were also sent a suggested form of wording for parents, which they were encouraged to put on websites, noticeboards and in newsletters, as appropriate.
8. Notice of the consultations was also published on Surrey County Council’s website along with an online response form.
9. Details of the proposals have been shared with members of the Children and Education Select Committee.
10. With regard to the initial consultation, 70 responses were submitted by the closing date.
11. A summary of the responses to questions within that consultation is set out below in Table A.

Table A - Summary of responses to admission consultation

Question Number	Proposal	Document	Agree	Disagree
1	Bagshot Infant School - introduction of reciprocal sibling link with Connaught Junior School	Enclosure 1 Appendix 2	5	1
2	Hammond Community Junior School - introduction of priority for children attending Valley End and Windlesham Village Infant schools	Enclosure 1	7	1
3	Meath Green Junior School - introduction of a feeder link for children at Meath Green Infant School	Enclosure 1	6	0
4	Wallace Fields Junior School - introduction of a tiered feeder link from Wallace Fields Infant School	Enclosure 1	42	9
5	Worplesdon Primary School – introduction of admission criteria for Year 3	Enclosure 1	3	0
6	Cranleigh Primary School – removal of Published Admission Number for Year 3	Enclosure 1 Appendix 1	0	0
7	Own admission authority schools to be considered in the assessment of nearest school	Enclosure 1 Appendix 3	14	7

8	Start date to primary admissions round	Enclosure 1 Appendix 4	7	15
9	Surrey's Relevant Area	Enclosure 2	5	3

12. An analysis of the responses to the consultation is included in Enclosure 5.
13. Details of recommendations have been shared with the local Members for each area, where appropriate.

Proposed changes to local admission arrangements

Recommendation 1 - introduction of reciprocal sibling link for Bagshot Infant School with Connaught Junior School

14. The number of responses was low but five respondents supported this proposal and one was opposed.
15. The admission criteria for Bagshot Infant School would not change but Bagshot Infant School would be described as operating shared sibling priority with Connaught Junior School for 2016 admission (see Enclosure 1 – Appendix 2). In this way, families with an older child attending Connaught Junior School would receive sibling priority for a younger child to attend Bagshot Infant School.
16. This proposal is in line with a proposal by Connaught Junior School to introduce a reciprocal sibling link with Bagshot Infant School. Connaught Junior School also proposes to introduce Bagshot Infant School as its main feeder school. As an academy, the governing body of Connaught Junior School is responsible for consulting on any proposals for change to their admission arrangements.
17. Implementation of this proposal for Bagshot Infant School will be subject to Connaught Junior School also implementing the reciprocal sibling link between the two schools.
18. This proposal is supported by Connaught Junior School and by the headteacher and Chair of Governors at Bagshot Infant School.
19. In line with Surrey County Council policy, if Connaught Junior School introduce a feeder link from Bagshot Infant School, the introduction of a reciprocal sibling link with Connaught Junior School would enable sibling priority to be given to a child who is applying to start at Bagshot Infant School in Reception even if they have a sibling who would have left the school by the time the younger child starts. This is because the admission criteria for Connaught would provide for them to be admitted to Connaught thereby retaining their sibling priority.
20. This proposal, together with that put forward by Connaught Community Junior School, is consistent with Surrey's planning principles set out in the School Organisation Plan which undertake to consider sympathetically the desirability of separate infant schools feeding into junior or primary provision where this reduces transport needs for young children.
21. The introduction of a reciprocal sibling link between the two schools would provide a greater chance of families keeping their children together or at schools in close proximity.

Recommendation 2 - introduction of priority to Hammond Community Junior School for children attending Valley End and Windlesham Village Infant schools

22. The number of responses was low but seven respondents supported this proposal and one was opposed.

23. The junior schools in Bagshot and Lightwater are keen to provide support to Valley End and Windlesham Village infant schools to ensure that, as far as possible, parents with children at these schools can see a transition through to junior school.

24. The proposal for Hammond Community Junior School is in line with a proposal also being put forward by Connaught Junior School to provide priority for children attending Valley End or Windlesham Village infant schools, after children attending Bagshot Infant School and siblings.

25. Currently, Valley End and Windlesham Village infant schools have no feeder link to a junior school. Parents of children attending these schools are therefore left in some uncertainty regarding their child’s transition to Year 3. This uncertainty may lead parents to seek alternative infant provision at the outset or to seek alternative primary provision before their child finishes Year 2. Both these schools feel that this has impacted on their ability to maintain numbers at PAN.

26. In the 2014 admission round places were allocated at Hammond as follows:

a. LAC/PLAC	0
b. Exceptional	0
c. Children attending Lightwater	58
d. Siblings	13
e. Others on distance	17 (1.41km)
SEN	2

27. Children who might be displaced if the proposed criteria were introduced would be children who had previously been offered a place under criterion e) ‘Others on distance’. However, for the 2014 intake all of the 17 children allocated under criterion e) attended either Valley End or Windlesham Village infant schools. As such, the allocation outcome would have been the same in 2014 had the proposed criteria applied. In this way, based on the 2014 intake, no local children would have been displaced had these criteria applied.

28. There was a similar pattern in 2013 when, again, 17 children were offered under criterion e) to a distance of 1.19km. However in 2013, two of these children attended Bagshot Infant School. These two children would have been displaced if the feeder link with Valley End and Windlesham Village infant schools had existed. However, on the basis that governors at Connaught have proposed to introduce a feeder link from Bagshot Infant School from 2016, in future, any such children attending Bagshot Infant would be accommodated at Connaught Junior School.

29. On balance, it is not believed that this proposal would have a great impact on the pattern of admission to Hammond but, along with a similar proposal being put forward by Connaught Junior School, it provides for a formal link with Valley End and Windlesham Village infant schools. This proposal will therefore support those schools by providing a clearer transition for children attending them and will enable this group of schools to work together more positively on transition.

30. This proposal is supported by governors at Hammond Community Junior School and by Windlesham and Valley End schools.

31. Parents with children at Valley and Windlesham Village infant schools who do not wish to apply for a Year 3 place at Hammond Community Junior School will not have to. Those parents will still have the right to apply for other schools.

Recommendation 3 - introduction of a feeder link from Meath Green Infant School to Meath Green Junior School

32. The number of responses was low but six respondents supported this proposal and none were opposed.

33. Meath Green Junior School has a reciprocal sibling link with Meath Green Infant School but there is no feeder link from the infant school to the junior school. Instead the admission criteria for the junior school currently follow the standard criteria for community and voluntary controlled schools in Surrey.

34. However most children attending Meath Green Infant School do currently transfer to Meath Green Junior School. For 2014 admission, 55 of the 70 children attending Meath Green Infant School applied and were offered a place at Meath Green Junior School.

35. Since September 2013 Meath Green Infant School has admitted 90 children, with the PAN formally changing from 70 to 90 in September 2015. As such, from 2016 onwards, there will be 90 children seeking a junior place from Meath Green Infant School which aligns with the PAN of 90 for the junior school.

36. The criteria that have been proposed are consistent with the admission criteria for most other community and voluntary controlled schools which have feeder and reciprocal sibling links.

37. This proposal is consistent with Surrey's planning principles set out in the School Organisation Plan which undertake to consider sympathetically the desirability of separate infant schools feeding into junior or primary provision where this reduces transport needs for young children.

38. From the 2014 intake, Meath Green Junior School admitted children from the following schools:

- Charlwood Village 11
- Dovers Green 1
- Horley Infant 20
- Langshott Infant 2
- Meath Green Infant 55
- Wray Common 1

39. However from September 2016 Charlwood Infant School will become an all through primary school, allowing children in Year 2 to transfer to Year 3 at the same school.

40. Children attending Horley Infant School can apply for a place at Yattendon School which shares the same PAN of 90 and is the nearest junior school to Horley Infant. Since Langshott Infant School became a primary school in September 2014, children in Year 2 at this school can transfer to Year 3 at the same school, thus freeing up places at Yattendon for children attending Horley Infant School.

41. Whilst there is still no guarantee that all children at Meath Green Infant School who apply would be given a place at the junior school, it is quite likely that in most years those who want to transfer would be able to. In this way these criteria would provide continuity and a clearer transition for children and would reduce anxiety for parents.

42. Although siblings would be given a lower priority after the feeder link, for 2014 admission there were only five children who were allocated a place under the sibling criterion who did not attend Meath Green Infant School. Two of these were from Charwood Infant and one was from Langshott Infant. As these schools are now all through primary schools, the number of siblings seeking a place at Meath Green Junior is likely to fall. As not all children attending Meath Green Infant School are likely to apply for a place at Meath Green Junior, it is likely that all siblings would still be offered a place, although there would be no guarantee.
43. In line with Surrey County Council policy, due to the reciprocal sibling link between the infant and the junior schools, the introduction of a feeder link would also enable sibling priority to be given to a child who is applying to start at the infant school in Reception even if they have a sibling who would have left the infant school by the time the younger child starts. This is because the admission criteria provides for them to be admitted to the junior school thereby retaining their sibling priority.
44. This proposal is supported by governors at Meath Green Junior School.
45. Eligibility to transport is not linked to the admission criteria of a school and as such attending the feeder school would not confer an automatic right to transport to Meath Green Junior School.

Recommendation 4 - introduction of a tiered feeder link from Wallace Fields Infant School to Wallace Fields Junior School

46. There was general support for this proposal with 42 respondents in support and nine opposed.
47. Wallace Fields Junior School has a reciprocal sibling link with Wallace Fields Infant School but there is no feeder link from the infant school to the junior school. In line with the infant school, the admission criteria for the junior school are tiered to provide priority for siblings and other children who have the school as their nearest ahead of siblings and other children who do not.
48. However, most children attending Wallace Fields Infant School do currently transfer to Wallace Fields Junior School. For 2014 admission, 56 of the 60 children attending Wallace Fields Infant School applied and were offered a place at Wallace Fields Junior School.
49. This proposal is consistent with Surrey's planning principles set out in the School Organisation Plan, which undertake to consider sympathetically the desirability of separate infant schools feeding into junior or primary provision where this reduces transport needs for young children.
50. Wallace Fields Infant School has a PAN of 60 and Wallace Fields Junior School has a PAN of 68.
51. Historically, Wallace Fields Junior School has also admitted some children from Ewell Grove Infant School (6 in 2013 and 5 in 2014), either as siblings or as a nearest school on distance. Ewell Grove Infant School has no named feeder school and, although there are proposals to make this an all through primary school, there is not currently a confirmed date for this to happen. As such, although the number transferring to Wallace Fields Junior School is relatively low, the local authority is keen to ensure that any proposal to change admission arrangements is fair and does not disadvantage families

who have been unable to access Wallace Fields Infant School, but who still have the junior school as their nearest junior provision.

52. It is believed that the tiered feeder link and the fact that Wallace Fields Junior School has a PAN which is higher than that of Wallace Fields Infant School will mean that some places will still be available for children attending other infant schools if Wallace Fields Junior School is their nearest school.
53. Whilst more complex than having a straight feeder link, the proposed criteria remain consistent with the tiered sibling criteria that have been in place at both schools since 2013 (and which parents have become familiar with) and provide for children who have the school as their nearest junior provision to receive priority ahead of those who do not.
54. Whilst the nature of this proposal means that some children attending Wallace Fields Infant School might not be offered a place at the junior school, this would only apply if it is not their nearest school and these children would be unlikely to be offered a place under the existing arrangements.
55. On balance, until a permanent solution can be found for children attending Ewell Grove Infant School, the local authority considers this to be the fairest way to establish a feeder link between Wallace Fields Infant and Junior schools.
56. This proposal is supported by the headteacher and Chair of Governors at both Wallace Fields Infant and Junior Schools.
57. In line with Surrey County Council policy, due to the reciprocal sibling link between the infant and the junior schools, the introduction of a feeder link would also enable the appropriate sibling priority to be given to a child who is applying to start at the infant school in Reception even if they have a sibling who would have left the infant school by the time the younger child starts. This is because the admission criteria provides for them to be given priority for admission to the junior school.
58. Eligibility to transport is not linked to the admission criteria of a school and as such attending the feeder school would not confer an automatic right to transport to Wallace Fields Junior School.

Recommendation 5 - introduction of admission criteria for Year 3 at Worplesdon Primary School

59. The number of responses was low but three respondents supported this proposal and none were opposed.
60. Following a period of consultation through statutory proposals, it was agreed for Worplesdon Primary School to expand so that it has a junior intake of 30 from September 2016, in addition to its existing intake of 60 at Reception.
61. As a result, it is necessary for the local authority to introduce admission criteria for this intake.
62. The admission criteria that have been proposed are in line with those that exist for the reception intake, but introduce some priority for children who attend Wood Street Infant School.
63. Wood Street Infant School has a PAN of 30. Along with Stoughton Infant School (which currently has a PAN of 60), Wood Street Infant School has feeder school priority to Northmead Primary School (which has a Junior PAN of 90).

64. However, since 2013 Stoughton Infant School has admitted 90 children and it has recently been agreed to expand this school to a permanent PAN of 90 from September 2015. In this way, from September 2016, there will not be sufficient junior places at Northmead Primary School to accommodate all children attending Stoughton Infant and Wood Street Infant schools.
65. This proposal to establish a feeder link to Worplesdon Primary School from Wood Street Infant School is therefore consistent with an associated proposal by Northmead Infant School to remove Wood Street Infant School as a feeder school.
66. In this way, if these proposals go ahead, children attending Stoughton Infant School will have feeder priority for admission to Northmead Primary School and children attending Wood Street Infant School will have feeder priority for admission to Worplesdon Primary School. This will ensure that, as far as possible, there is clear transition from KS1 to KS2 in this area.
67. At a meeting on 10 November 2014, representatives from Stoughton Infant School, Worplesdon Primary School and Wood Street Infant School gave support to this proposal.
68. Eligibility to transport is not linked to the admission criteria of a school and as such attending the feeder school would not confer an automatic right to transport to Worplesdon Primary School.

Recommendation 6 – removal of Published Admission Number for Year 3 at Cranleigh Primary School

69. There were no responses to this proposal.
70. Cranleigh Primary School currently has a Reception PAN of 30 and a Year 3 PAN of 30. The Year 3 PAN has existed primarily to provide Year 3 places to children attending Ewhurst CofE Infant School and other rurally based children who attended Wonersh and Shamley Green and Bramley infant schools. In 2012 and 2013, Cranleigh Primary School admitted a bulge class in to Reception. Whilst these classes did not fill, they were still needed in order to accommodate children seeking a school place in the area. Now these children are on roll at Cranleigh Primary School they are entitled to remain at the school until the end of Year 6.
71. The headteacher and governors at the school have requested that the Year 3 PAN is removed for 2016 to alleviate funding, accommodation and staffing issues that the school might face as a consequence of admitting a bulge class in 2012 and 2013.
72. Whilst these factors alone would not normally lead Surrey to support a removal of the Year 3 PAN, taking account of changes to the wider area with regard to admissions and current pupil projections for the area, representatives from Surrey's School Commissioning and Admissions teams are in support of this request.
73. In September 2013 Wonersh and Shamley Green became an all through primary school and since that date the number of children in the area seeking transfer at Year 3 has fallen. Park Mead Primary School admits an additional 10 children at Year 3. These places along with existing vacancies in Year 1 at Park Mead and Cranleigh primary schools (the cohort due to transfer to Year 3 in September 2016) would indicate that there would still be sufficient junior places for local children in 2016 if the Year 3 PAN at Cranleigh Primary School was removed. Indeed, based on current vacancy numbers and

pupil projections, the removal of Cranleigh's Year 3 PAN may well help to support other local schools in maintaining their pupil numbers.

74. Cranleigh Primary School has been advised that the local authority:
- cannot rule out there being a subsequent need for an extra class in 2016
 - that if an objection was received there would be no guarantee that a Schools Adjudicator would support the removal of the Year 3 PAN
 - once removed the local authority would have to consider for 2017 whether it wished to reinstate the Year 3 PAN and any decision would be made in Autumn 2015 in light of school place planning considerations for the area.
75. The Published Admission Number determines the number of external applicants that a school will admit as part of its normal intake. In this case the number relates to the Published Admission Number for Year 3. As such this proposal does not affect children who start at the school in Reception, Year 1 or Year 2 as these children will automatically transfer to Year 3 as internal students.

Recommendation 7 – Own admission authority schools to be considered in the assessment of nearest school

76. The number of responses was low but 14 respondents supported this proposal and seven were opposed.
77. Many community and voluntary controlled schools afford priority to children who have the school as their nearest school ahead of those who do not.
78. When assessing nearest school, the local authority generally disregards boarding schools which charge a fee for their places and faith schools which have not offered any places to children who could not, or did not, demonstrate a commitment to a faith. However, although the local authority publishes a list of these schools each year, it does not publish how it decides which schools will or will not be included.
79. In order to make the decision of which schools will be included in the assessment of nearest school more transparent, it is proposed to publish the rule which will be applied to schools each year.
80. Section 12 of Enclosure 1 has therefore been updated to propose that, for 2016 admission, only schools which do not charge boarding fees and those which have offered places without regard to faith in the initial allocation of places in 2012, 2013 and 2014 will be included in the assessment of nearest school in 2016. This provides for three years historical pattern of admission to be taken in to account and will prevent schools being included due to a change in admission pattern following the admission of a bulge class or a non-standard admission year.
81. However, exceptions will apply where a faith school has changed its admission arrangements and that change has meant that they would be expected to offer places to children who do not demonstrate a commitment to faith in future.
82. This will ensure that all academies, foundation, trust and voluntary aided schools are treated consistently in this respect.
83. As a result of applying this rule for 2016 admission, the only change is that Saint Ignatius Catholic Primary School in Spelthorne would be removed from the list of infant and primary schools which will be considered in the assessment of nearest schools for admission to Reception.

84. Appendix 3 of Enclosure 1 sets out the full list of academies and foundation, trust and voluntary aided schools which will be considered to admit local children, as well as a list of some out of county school which are close to the Surrey border but which will not be considered to admit local children in 2016.

Recommendation 8 – Start date to primary admissions round

85. The number of responses was low but seven respondents supported this proposal and 14 were opposed.

86. For 2016 admission, it had been proposed to publish a later start date for the primary admissions round (Reception and Year 3). Instead of inviting applicants to apply from 1 September 2015 it was proposed to publicise a later date of 2 November 2015, which is the week after the October half term.

87. It was felt that publishing a later start date would have the following benefits:

- It would reduce the number of applications where parents make changes after they have submitted their application.
- It would enable support to be targeted to primary applicants after the secondary closing date (31 October).
- More would be known of school expansions and bulge classes so parents would be in a better position to make informed decisions.
- It would relieve some of the pressure from primary schools at the start of the autumn term and enable them to focus support in the second half of the term.
- It might reduce the pressure on parents in feeling they have to apply early, even though the closing date is not until 15 January.
- It would give parents more time to familiarise themselves with the process.
- It would give parents more time to visit schools and consider admission criteria before they have to submit their applications. This might especially benefit parents with summer born children who may not have considered school places as much as others.

88. However, in light of the low response rate and reluctance to introduce such a process change without broad support from primary schools, this proposal will be deferred until 2017 when a more targeted consultation will be carried out with schools.

Recommendation 9 – Surrey’s Relevant Area

89. The number of responses was low but five respondents supported this proposal and three were opposed.

90. The Relevant Area that Surrey intends to publish for schools for the next two years is set out in Enclosure 2.

91. The School Standards & Framework Act 1998 requires local authorities to establish Relevant Area(s) for admission policy consultations. The Relevant Area is the area in which admission authorities must consult with schools regarding their proposed admission arrangements before finalising them.

92. The Education Act 2002 requires the local authority to review and consult on its Relevant Area every 2 years.

93. The proposed Relevant Area for 2015 remains as it was determined in 2013, other than for faith schools, it no longer prescribes whether schools should consult with other schools in the same deanery if they fall outside of Surrey’s defined Relevant Area. In

response to requests from two Diocesan Boards, the Relevant Area now refers faith schools to the guidance issued by their Diocese.

Recommendation 10 - Proposed Published Admission Numbers (PAN) for other community and voluntary controlled schools

94. Whilst admission authorities are required to consult on any decrease to PAN they are not required to consult on proposed increases to PANs. Appendix 1 of Enclosure 1 sets out the proposed admission numbers for all community and voluntary controlled schools for 2016 admission, with changes highlighted in bold.
95. Where an increase in PAN is proposed, the school is increasing its intake to respond to the need to create more school places which in turn will help meet parental preference.
96. The School Commissioning team and the schools support these changes.
97. It is proposed that the PANs for all other community and voluntary controlled schools for 2016 should remain as determined for 2015 and this would enable parents to have some historical benchmark by which to make informed decisions about their school preferences.

Recommendation 11 - Admission arrangements for which no changes are proposed

98. The local authority has a duty to determine the admission arrangements for all community and voluntary controlled Schools by 15 April each year, even if there are no changes proposed.
99. Consistent admission arrangements that do not change enable parents to have a historical benchmark with which to assess their chances of success in future years and provides some continuity for schools and parents.
100. The admission arrangements are generally working reasonably well.
101. The admission arrangements enable the majority of pupils to attend their nearest schools and in doing so reduces the need for travel and supports Surrey's sustainability policies.
102. The existing admission arrangements provide for, on average, 85% of pupils to be offered their first preference school and 95% to be offered one of their named preference schools.

Recommendation 12 - Surrey's Primary and Secondary Coordinated Admission Schemes

103. The local authority has a duty to determine its primary and secondary coordinated admission schemes by 15 April each year, even if there are no changes proposed.
104. The coordinated admission schemes are working well with all schools participating, as they are legally required to.
105. The coordinated schemes provide for all preferences to be named on one application form and for applications to be coordinated to ensure that each child only receives one offer of a place.
106. There are no changes proposed to the coordinated admission schemes.

RISK MANAGEMENT AND IMPLICATIONS:

107. The risks of implementing these changes are low and the majority of local residents are likely to welcome the proposed changes. However, any parents who feel unfairly disadvantaged by the proposals can object to the Office of the Schools' Adjudicator.

Financial and Value for Money Implications

108. The admission criteria for the majority of community and voluntary controlled schools in Surrey conform to Surrey's standard criteria. The more schools that have the same admission criteria the more the processes can be streamlined and thus present better value for money. However, where required, the admission criteria for some schools vary from Surrey's standard but these can currently be managed within existing resources.

Section 151 Officer Commentary

109. The Section 151 Officer confirms that the proposed changes to the admission arrangements will be met within existing resources.

Legal Implications – Monitoring Officer

110. The admission arrangements comply with legislation on School Admissions and the School Admissions Code.
111. The local authority has carried out a consultation on all changes for a period of 8 weeks between 28 November 2014 and 22 January 2015, which is in accordance with statutory requirements.
112. The consultation was carried out with all persons required under The School Admissions (Admission Arrangements and Co-ordination of Admission Arrangements) (England) Regulations 2012.
113. A summary of responses is collated in Enclosure 5 and the local authority has given due regard to those responses in considering the recommendations to put before Cabinet.

Equalities and Diversity

114. The Equalities Impact Assessment has been completed in full and is attached in Enclosure 3. The adoption of determined admission criteria is a mandatory requirement supported by primary legislation. The policy relating to community and voluntary controlled schools does not discriminate according to age, gender, ethnicity, faith, disability or sexual orientation.
115. Measures have been taken to reference vulnerable groups both in terms of exceptional arrangements within admissions, the SEN process and the in-year fair access protocol. In addition a right of appeal exists for all applicants who are refused a school place.

Corporate Parenting/Looked After Children implications

116. The proposed admission arrangements give top priority to children who are Looked After or accommodated by a local authority and to those children who have left care through adoption, a child arrangements order or a special guardianship order.

Safeguarding responsibilities for vulnerable children and adults implications

117. The efficient and timely administration of the schools admission process coupled with the equitable distribution of school places in accordance with the School Admission Code and parental preference contribute to the County Council's priority for safeguarding vulnerable children.

Climate change/carbon emissions implications

118. The County Council attaches great importance to being environmentally aware and wishes to show leadership in cutting carbon emissions and tackling climate change.
119. The admission arrangements enable the majority of pupils to attend their nearest school and in doing so reduces travel and supports policies on cutting carbon emissions and tackling climate change.

WHAT HAPPENS NEXT:

- The September 2016 admissions arrangements as agreed by the Cabinet will be ratified by the full County Council on 17 March 2015.
- The new arrangements for September 2016 will be circulated to all Surrey schools via a bulletin in the early Summer Term 2015.
- These arrangements will be published in the primary and secondary admissions booklets in July-August 2015, which will be made available to parents online and in hard copy by request in September 2015.
- The information on school admissions will be circulated to the Contact Centre, Surrey County Council Libraries and Early Years.
- The information on school admissions will also be published on Surrey County Council's website in September 2015.

Contact Officer:

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Consulted:

Nick Wilson, Strategic Director for Children, Schools and Families
Peter-John Wilkinson, Assistant Director - Schools and Learning
Sarah Baker, Legal and Democratic Services
School Commissioning Team
School Admissions Forum
Headteachers, Chairs of Governors, Parent Governors of all Surrey schools
Early Years establishments in Surrey
Diocesan Boards of Education
Neighbouring local authorities
Out of County own admission authority schools within 3/5 miles radius of the Surrey border
Surrey County Councillors, Parish Councils, Local MPs,
General public consultation via the website/schools/contact centre

Annexes:

- Enclosure 1** Admission arrangements for Community & VC schools
- Appendix 1** Proposed Published Admission Numbers
- Appendix 2** Schools to be considered as adjoining/shared sites for sibling priority
- Appendix 3** Schools to be considered to admit local children
- Appendix 4** Coordinated Schemes
- Appendix 5** Catchment map for Southfield Park Primary
- Appendix 6** Catchment map for Woodmansterne Primary
- Appendix 7** Catchment map for Oxted
- Appendix 8** Catchment map for Tatsfield Primary
- Appendix 9** Catchment map for St Andrew's CofE Controlled Infant
- Enclosure 2** Proposed Relevant Area
- Enclosure 3** Equality Impact Assessment
- Enclosure 4** Proposed changes to admission arrangements – consultation document
- Enclosure 5** Outcome of Consultation

Sources/background papers:

- School Admissions (Admission Arrangements and Coordination of Admission Arrangements) (England) Regulations 2012
 - School Admissions and Framework Act 1998
 - Education Act 2002
 - School Admissions Code 2014
 - Cabinet Member for Schools and Learning report, addendum and decision - 21 November 2014
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PROPOSED Admission arrangements for Surrey County Council's community and voluntary controlled schools 2016/17

This document sets out Surrey County Council's admission arrangements for community and voluntary controlled schools in 2016/17. **Where changes have been made, text is in bold.**

1. The Published Admission Numbers for initial entry to Surrey's community and voluntary controlled schools in September 2016 are set out in APPENDIX 1.
2. Applications for admission at the normal intake will be managed in accordance with Surrey's coordinated schemes on primary and secondary admission. Please see Surrey's coordinated schemes at APPENDIX 4 for further details regarding applications, processing, offers, late applications, post-offer and waiting lists.
3. Applications for Reception and applications for a Junior place at schools which have a published admission number for Year 3, must be made by 15 January 2016. Places at Surrey schools will be offered on the basis of the preferences that are shown on the application form. Applicants will be asked to rank up to four primary or Year 3 preferences and these will be considered under an equal preference system.
4. Applications for secondary school must be made by 31 October 2015. Places at Surrey secondary schools will be offered on the basis of the preferences that are shown on the application form. Applicants will be asked to rank up to six preferences and these will be considered under an equal preference system.
5. The admission arrangements for 2016/17 for the majority of Surrey's community and voluntary controlled schools are set out in section 7 below. Where there are local variations these are set out by area and by school in section 8.
6. Children with a statement of special educational needs or an education, health and care plan (EHCP) that names a school will be allocated a place before other children are considered. In this way, the number of places available will be reduced by the number of children with a statement that has named the school.
7. Other than for schools listed in section 8, when a community or voluntary controlled school is over-subscribed for any year group, applications for entry in 2016/17 will be ranked in the following order:
 - i) First priority: Looked after and previously looked after children
See section 9 for further information relating to looked after and previously looked after children.
 - ii) Second priority: Exceptional social/medical need
See section 10 for further information relating to exceptional social/medical need.
 - iii) Third priority: Children who will have a sibling at the school or at an infant/ junior school which will operate shared sibling priority for admission at the time of the child's admission
See APPENDIX 2 for infant/junior schools that will operate shared sibling priority for admission for the purpose of this criterion. See section 11 for further information relating to siblings.

If within this category there are more children than places available, any remaining places will be offered to children who meet this criterion on the basis of proximity of the child's home address to the school (please see criterion v).

- iv) Fourth priority: Children for whom the school is the nearest to their home address
All community and voluntary controlled schools will be considered in the assessment of nearest school. A list of the academies and foundation, trust and voluntary aided schools in Surrey that will be considered in the assessment of nearest school and the out of county schools that will not be considered in the assessment of nearest school can be seen at APPENDIX 3. See section 12 for further information on the definition of nearest school. See section 13 for further information on the definition of home address.

If within this category there are more children than places available, any remaining places will be offered to children who meet this criterion on the basis of proximity of the child's home address to the school (please see criterion v).

- v) Fifth priority: Any other children
Remaining places will be offered on the basis of nearness to the school measured in a straight line from the address point of the pupil's house, as set by Ordnance Survey to the nearest official school gate for pupils to use. This is calculated using the admissions team's Geographical Information System. See section 13 for further information on the definition of home address.

Where two or more children share a priority for a place, e.g. where two children live equidistant from a school and only one place remains, Surrey County Council will draw lots to determine which child should be given priority.

8 Local admission arrangements for September 2016

Unless stipulated otherwise, if any of the following schools are oversubscribed within any category, priority will be given to those living closest to the school. Home to school distance will be measured by a straight line from the address point of the pupil's house as set by Ordnance Survey to the nearest official school gate for pupils to use. This is calculated using the Admission and Transport team's Geographical Information System.

a) Elmbridge

i) Hinchley Wood Primary School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings for whom the school is the nearest to their home address
4. Non-siblings for whom the school is the nearest to their home address
5. Other siblings for whom the school is not the nearest to their home address
6. Any other children

ii) Thames Ditton Infant School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings for whom the school is the nearest to their home address
4. Non-siblings for whom the school is the nearest to their home address
5. Other siblings for whom the school is not the nearest to their home address
6. Any other children

iii) Thames Ditton Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings for whom the school is the nearest school to their home address
4. * Children attending Thames Ditton Infant School for whom the school is the nearest school to their home address
5. Other children for whom the school is the nearest school to their home address
6. Other siblings for whom the school is not the nearest school to their home address
7. * Other children attending Thames Ditton Infant School for whom the school is not the nearest school to their home address
8. Any other children

* Criteria 4 and 7 will only apply until 31 August 2016 at which time the child will have left the infant school

b) Epsom & Ewell

i) Auriol Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. *Children attending The Mead Infant School
4. Siblings not admitted under 3 above
5. Any other children

* Criterion 3 will only apply until 31 August 2016 at which time the child will have left the infant school

ii) Southfield Park Primary School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings
4. Children living in the defined catchment area of the school (see APPENDIX 5 for map). If the number of children in the defined catchment area is greater than the number of places available at the school, places will be offered to those living the furthest distance from the school, measured in a straight line.
5. Other children for whom the school is their nearest school
6. Any other children

iii) Wallace Fields Infant School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Children who will have a sibling at Wallace Fields Infant School or Wallace Fields Junior School on the date of their admission and for whom the school is the nearest to their home address
4. Non-siblings for whom the school is the nearest to their home address
5. Other children who will have a sibling at Wallace Fields Infant School or Wallace Fields Junior School on the date of their admission and for whom the school is not the nearest to their home address
6. Any other children

iv) Wallace Fields Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Children who will have a sibling at Wallace Fields Infant School or Wallace Fields Junior School on the date of their admission and for whom the school is the nearest to their home address
4. ***Children attending Wallace Fields Infant School for whom the school is the nearest school to their home address**
5. Non-siblings for whom the school is the nearest to their home address
6. Other children who will have a sibling at Wallace Fields Infant School or Wallace Fields Junior School on the date of their admission and for whom the school is not the nearest to their home address
7. ***Other children attending Wallace Fields Infant School for whom the school is not the nearest school to their home address**
8. Any other children

*** Criteria 4 and 7 will only apply until 31 August 2016 at which time the child will have left the infant school**

c) Guildford

i) Walsh C of E Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. *Children attending Walsh Memorial CofE (Controlled) Infant School
4. Siblings not admitted under 3 above
5. *Children attending St Paul's CofE Infant School (Tongham)
6. Any other children

* Criteria 3 and 5 will only apply until 31 August 2016 at which time the child will have left the infant school

ii) Worplesdon Primary School at 7+

1. **Looked after and previously looked after children**
2. **Exceptional social/medical need**
3. **Siblings**
4. ***Children attending Wood Street Infant School**
5. **Children for whom the school is the nearest to their home address**
6. **Any other children**

*** Criterion 4 will only apply until 31 August 2016 at which time the child will have left the infant school**

d) Mole Valley

i) St Martin's C of E Primary School at 7+:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings
4. *Children attending St Michael's CofE (Aided) Infant School
5. Children for whom the school is the nearest to their home address
6. Any other children

* Criterion 4 will only apply until 31 August 2016 at which time the child will have left the infant school

e) Reigate & Banstead

i) Banstead Community Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. *Children attending Banstead Infant School
4. Siblings not admitted under 3 above
5. Any other children

* Criterion 3 will only apply until 31 August 2016 at which time the child will have left the infant school

ii) Earlswood Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. *Children attending Earlswood Infant School
4. Siblings not admitted under 3 above
5. Children for whom the school is the nearest to their home address
6. Any other children

* Criterion 3 will only apply until 31 August 2016 at which time the child will have left the infant school

iii) Meath Green Junior

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. ***Children attending Meath Green Infant School**
4. Siblings not admitted under 3 above
5. Any other children

*** Criterion 3 will only apply until 31 August 2016 at which time the child will have left the infant school**

iv) Reigate Priory School

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings for whom the school is the nearest to their home address
4. Non-siblings for whom the school is the nearest to their home address
5. Other siblings for whom the school is not the nearest to their home address
6. Any other children

v) Woodmansterne Primary School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings
4. Children living in the defined catchment area of the school (see APPENDIX 6 for map).
5. Children for whom the school is nearest to the home address
6. Any other children

f) Runnymedei) Ottershaw C of E Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. *Children attending Ottershaw CofE Infant School
4. Siblings not admitted under 3 above
5. Any other children

* Criterion 3 will only apply until 31 August 2016 at which time the child will have left the infant school

ii) St Ann's Heath Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings
4. *Children attending Trumps Green Infant School or Meadowcroft Infant School
5. Children for whom St Ann's Heath Junior School is the nearest school with a Junior PAN
6. Any other children

* Criterion 4 will only apply until 31 August 2016 at which time the child will have left the infant school

h) Surrey Heathi) Crawley Ridge Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. *Children attending Crawley Ridge Infant School
4. Siblings not admitted under 3 above
5. Any other children

* Criterion 3 will only apply until 31 August 2016 at which time the child will have left the infant school

ii) Hammond Community Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. *Children attending Lightwater Village School
4. Siblings not admitted under 3 above
5. ***Children attending either Valley End CofE Infant School or Windlesham Village Infant School**
6. Any other children

* Criteria 3 **and** 5 will only apply until 31 August 2016 at which time the child will have left the infant school

h) Tandridgei) Oxted School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings
4. *Children who both live in the catchment area (see APPENDIX 7 for map) and who attend one of the following feeder schools:
 - Crockham Hill CofE Primary School (Kent)
 - Dormansland Primary School
 - Godstone Village School
 - Holland Junior School
 - Lingfield Primary School
 - St Catherine's Primary School
 - St John's CofE (Aided) Primary School
 - St Mary's CofE Junior School
 - St Stephen's CofE Primary School
 - Tatsfield Primary School
 - Woodlea School
5. Those children who live in the catchment area but do not attend one of the feeder schools named above
6. Any other children

* Criterion 4 will only apply until 31 August 2016 at which time the child will have left the feeder school

If there is oversubscription within any criteria, priority will be given to children who live furthest from their nearest alternative school as measured by straight line from the address point of the pupil's house, as set by Ordnance Survey, to the nearest official school gate for pupils to use. This is calculated using the Admission and Transport team's Geographical Information System.

ii) Tatsfield Primary School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Children who will have a sibling on roll at the school at the end of the 2013/14 academic year and that sibling will still be expected to be on roll at the school on the date of the child's admission
4. Siblings who live within the catchment area (see APPENDIX 8 for map)
5. Other children who live within the catchment area
6. Siblings who live outside the catchment area
7. Other children who live outside the catchment area

i) Waverleyi) Hale Primary School at 7+:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings
4. *Children attending one of the following named feeder schools. In alphabetical

order these are:

- Folly Hill Infant School
- Weybourne Infant School

5. Children for whom the school is the nearest to their home address
6. Any other children

* Criterion 4 will only apply until 31 August 2016 at which time the child will have left the infant school

ii) Shottermill Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. *Children attending Shottermill Infant School
4. Siblings not admitted under 3 above
5. Any other children

* Criterion 3 will only apply until 31 August 2016 at which time the child will have left the infant school

iii) St Andrew's C of E (Controlled) Infant School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings
4. Children living within the catchment area of St Andrew's CofE Infant School (see APPENDIX 9 for catchment map)
5. Any other children

iv) William Cobbett Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Siblings
4. *Children attending a named feeder school. In alphabetical order these are:
 - Badshot Lea Village Infant School
 - Folly Hill Infant School
 - Weybourne Infant School
5. Children for whom the school is the nearest to their home address
6. Any other children

* Criterion 4 will only apply until 31 August 2016 at which time the child will have left the infant school

j) Woking

i) Knaphill School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. *Children attending Knaphill Lower School
4. Siblings not admitted under 3 above
5. Any other children

* Criterion 3 will only apply until 31 August 2016 at which time the child will have left the infant school

ii) West Byfleet Junior School:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. *Children attending West Byfleet Infant School
4. Siblings not admitted under 3 above
5. Any other children

* Criterion 3 will only apply until 31 August 2016 at which time the child will have left the infant school

9. Looked after and previously looked after children

Within the admission arrangements for all community and voluntary controlled schools looked after and previously looked after children will receive the top priority for a place. Looked after and previously looked after children will be considered to be:

- children who are registered as being in the care of a local authority or provided with accommodation by a local authority in accordance with Section 22 of the Children Act 1989(a), e.g. fostered or living in a children's home, at the time an application for a school is made; and
- children who have previously been in the care of a local authority or provided with accommodation by a local authority in accordance with Section 22 of the Children Act 1989(a) and who have left that care through adoption, a child arrangements order (in accordance with Section 8 of the Children Act 1989 and as amended by the Children and Families Act 2014) or special guardianship order (in accordance with Section 14A of the Children Act 1989).

Places will be allocated under this criterion when places are first offered at a school and the local authority may also ask schools to admit over their published admission number at other times under this criterion.

10. Exceptional social/medical need

Occasionally there will be a very small number of children for whom exceptional social or medical circumstances apply which will warrant a placement at a particular school. **The exceptional social or medical circumstances might relate to either the child or the parent/carer.** Supporting evidence from a professional is required such as a doctor and/or consultant for medical cases or a social worker, health visitor, housing officer, the police or probation officer for other social circumstances. This evidence must confirm the circumstances of the case and must set out why the child should attend a particular school and why no other school could meet the child's needs.

Providing evidence does not guarantee that a child will be given priority at a particular school and in each case a decision will be made based on the merits of the case and whether the evidence demonstrates that a placement should be made at one particular school above any other. **Common medical conditions and allergies can usually be supported in all mainstream schools, therefore priority under a school's exceptional medical criterion would not normally be given for these. In addition, routine child minding arrangements will not normally be considered to be an exceptional social reason for placement at a particular school.**

We reserve the right to refer medical evidence to our designated medical officer, where necessary, to assist us in making a decision about medical priority for a school place.

Places may be allocated under this criterion when places are first offered at a school and the local authority may also ask schools to admit over their published admission number at other times under this criterion.

11. Siblings for community and voluntary controlled schools

A sibling will be considered to be a brother or sister (that is, another child of the same parents, whether living at the same address or not), a half-brother or half-sister or a step-brother or step-sister or an adoptive or foster sibling, living as part of the same family unit at the same address.

A child will be given sibling priority if they have a sibling on roll at the school concerned and that sibling is still expected to be on roll at that school at the time of the child's admission.

For the initial intake to an infant/junior school a child will also be given sibling priority for admission if their sibling will be attending an infant/junior school which will operate shared sibling priority for admission in 2016. See APPENDIX 2 for schools that will operate shared sibling priority for admission in 2016 for the purpose of the sibling criterion. This will apply both at the initial allocation of places and also when prioritising the waiting list. Giving sibling priority has the effect of maximising the opportunity for children in the same family to be educated at the same school or at a school which operates shared sibling priority.

At the initial allocation, when an applicant is applying for a Reception place at an infant school that has both a feeder and sibling link to a junior school and the child has a sibling currently attending Year 2 of the infant school but who will have left by the time the younger child starts, the younger child will be considered under the sibling criterion as part of the initial allocation. This is because, due to the feeder link, they will be expected to still have a sibling at the linked junior school at the time of admission. The schools for which this will apply are as follows:

Bagshot Infant and Connaught Junior (Academy)

Crawley Ridge Infant and Crawley Ridge Junior

Earlswood Infant and Earlswood Junior

The Grange Community Infant and New Haw Community Junior (Academy)

Knaphill Lower and Knaphill Junior

Lightwater Village Infant and Hammond Community Junior

The Mead Infant and Auriol Junior

Meadocroft Infant and St Ann's Heath Junior

Meath Green Infant and Meath Green Junior

Merrow CofE Infant and Bushy Hill Junior (Foundation)*

Ottershaw Infant and Ottershaw Junior

Shottermill Infant and Shottermill Junior

Thames Ditton Infant and Thames Ditton Junior

Trumps Green Infant and St Ann's Heath Junior

Wallace Fields Infant and Wallace Fields Junior

Walsh Memorial CofE Infant and Walsh CofE Junior

Warren Mead Infant and Warren Mead Junior (Academy)

West Byfleet Infant and West Byfleet Junior
Weybourne Infant and William Cobbett Junior

* Shared sibling priority only applies to Merrow CofE Infant School

For other schools, which have a sibling link but no feeder link, neither child will be treated as a sibling under the sibling criterion until after the offer day. At that time, if a place has been offered to only one child, the waiting list position for the other child will be adjusted to reflect the fact that they are expected to have a sibling in a school which will operate shared sibling priority for admission in 2016. The schools for which this will apply are as follows:

Eastwick Infant and Eastwick Junior

Where a sibling is in Year 11 or Year 12 at a school that has a sixth form at the time of an application for a younger child to start year 7 in September 2016, they will be deemed as being in the school at the time of admission, unless the parent/carer has specifically expressed that they will not be continuing in to the following academic year.

12. Nearest school

For the normal intake to a school, the nearest school will be defined as the school closest to the home address with a published admission number for pupils of the appropriate age-range, as measured by a straight line and **which has admitted children without regard to faith or boarding in the initial allocation of places in 2012, 2013 and 2014. An exception to this would be where a faith school has changed its admission arrangements and that change has meant that they would be expected to offer places to children who do not demonstrate a commitment to faith in future.**

The nearest school may be inside or outside the county boundary. Under this criterion all Surrey community and voluntary controlled schools will be considered. A list of the academies and foundation, trust and voluntary aided schools in Surrey that will be considered in the assessment of nearest school and the out of county schools that will not be considered in the assessment of nearest school can be seen at APPENDIX 3.

From 1 September 2016, any applicant remaining on the waiting list will be considered to be an application for in year admission. After this date, when assessing nearest school, schools without a published admission number will also be taken in to account.

13. Home address

Within the admission arrangements for community and voluntary controlled schools the child's home address excludes any business, relative's or childminder's address and must be the child's normal place of residence. In the case of formal equal shared custody it will be up to the parent/carers to agree which address to use. In other cases it is where the child spends most of the time. **Where a child spends their time equally between their parents/carers and they cannot agree on who should make the application, we will accept an application from the parent/carer who is registered for child benefit. If neither parent is registered for child benefit we will accept the application from the parent/carer whose**

address is registered with the child's current school or nursery.

We will not generally accept a temporary address if the main carer of the child still possesses a property that has previously been used as a home address, nor will we accept a temporary address if we believe it has been used solely or mainly to obtain a school place when an alternative address is still available to that child. All distances will be measured by the computerised Geographical Information System maintained by Surrey's admissions team.

The address to be used for the initial allocation of places to Reception, Year 3 and Year 7 will be the child's address at the closing date for application. Changes of address may be considered in accordance with Surrey's coordinated scheme if there are exceptional reasons behind the change, such as if a family has just moved to the area. The address to be used for waiting lists, after the initial allocation, will be the child's current address. Any offer of a place on the basis of address is conditional upon the child living at the appropriate address on the relevant date. Applicants have a responsibility to notify Surrey County Council of any change of address.

14. Tie breaker and the admission of twins, triplets, other multiple births or siblings born in the same academic year

Where two or more children share a priority for a place, e.g. where two children live equidistant from a school **and only one place remains**, Surrey County Council will draw lots to determine which child should be given priority.

In the case of multiple births, where children have equal priority for a place, Surrey County Council will draw lots to determine which child should be given priority. If after the allocation one or more places can be offered but there are not sufficient places for all of them, wherever it is logistically possible, each child will be offered a place. Where it is not logistically possible to offer each child a place the child(ren) ranked the highest will retain their offer and the applicant will be advised of their right of appeal and informed about waiting lists.

15. Waiting lists

Where there are more children than places available, waiting lists will operate for each year group according to the oversubscription criteria for each school without regard to the date the application was received or when a child's name was added to the waiting list.

Waiting lists for the initial intake to each community and voluntary controlled school will be maintained until the last day of the Summer term 2017 when they will be cancelled. Applicants who wish a child to remain on the waiting list after this date must write to Surrey County Council by 29 July 2016, stating their wish and providing their child's name, date of birth and the name of their child's current school. After 29 July 2016, applicants whose children are not already on the waiting list but who wish them to be so must apply for in-year admission through Surrey County Council. Waiting lists for all year groups will be cancelled at the end of each academic year.

16. In-year admissions

The following applications will be treated as in-year admissions during 2016/17:

- applications for admission to Reception which are received after 1 September 2016;

- for any school which has a published admission number (PAN) for Year 3, applications for admission to Year 3 which are received after 1 September 2016;
- applications for admission to Year 7 which are received after 1 September 2016;
- all other applications for admission to Years 1 to 6 and 8 to 11.

Applications for Surrey’s community and voluntary controlled schools must be made to the local authority on Surrey’s common application form. Where there are more applications than places available, each application will be ranked in accordance with the published oversubscription criteria for each school.

17. Starting school

The community and voluntary controlled infant and primary schools in Surrey have a single intake into Reception. All children whose date of birth falls between 1 September 2011 and 31 August 2012 will be eligible to apply for a full time place in Reception at a Surrey school for September 2016. Applicants **can** defer their child’s entry to Reception until later in the school year, but this will not be agreed beyond the beginning of the term after the child’s fifth birthday, nor beyond the **beginning of the final term of the** academic year for which the offer was made. Applicants may also **arrange** for their child to start part time until their child reaches statutory school age.

18. The admission of children outside of their chronological year group

Applicants may choose to seek places outside their child’s chronological (**correct**) year group. Decisions will be made on the basis of the circumstances of each case **and what is in the best interests of the child concerned.**

- **Applicants who are applying for their child to have a decelerated entry to school, i.e. to start later than other children in their chronological age group, must initially apply for a school place in accordance with the deadlines that apply for their child’s chronological age. If, in liaison with the school, the local authority agrees for the child to have a decelerated entry to a community or voluntary controlled school, they will be invited to apply again in the following year for the decelerated cohort**
- **Applicants who are applying for their child to have an accelerated entry to school, i.e. to start earlier than other children in their chronological age group, must initially apply for a school place at the same time that other families are applying for that cohort. If, in liaison with the school, the local authority agrees for the child to have an accelerated entry to a community or voluntary controlled school, the application will be processed. If it is not agreed for the child to have an accelerated entry to a community or voluntary controlled school, they will be invited to apply again in the following year for the correct cohort**

Applicants must state clearly why they feel admission to a different year group is in the child's best interest and provide evidence to support this. More information on educating children out of their chronological year group **and the process for making such requests** is available at www.surreycc.gov.uk/admissions.

19. Nursery admissions

The local authority has delegated the admissions of nursery children to the governing body of community and voluntary controlled schools/nurseries. Applicants wishing to apply for a place must complete the application form and submit it directly to the school or nursery that they wish to apply for in accordance with the dates set by the school.

Each nursery class within community and voluntary controlled infant and primary schools operate one or two part-time sessions of up to 3 hours a day, depending on the school. This means that children might normally attend in the morning or afternoon, although if the school is offering the place more flexibly this could be over a longer period. Children attending a nursery in a community or voluntary controlled infant or primary school would normally either attend for 5 morning or 5 afternoon sessions per week. Schools which offer part-time sessions of less than 3 hours a day should review their session length each year.

Places for two year olds

Some nurseries might admit children after they turn two years old if they are entitled to the free extended provision. Where there are more applications than places available children who are entitled to the free extended provision will be ranked according to the following criteria:

- a) Looked after and previously looked after children
- b) Exceptional social/medical need
- c) Children who will have a sibling attending the nursery or the main school at the time of admission
- d) Any other children

Where any category is oversubscribed, children will be ranked according to the straight line distance that they live from the school with priority being given to children who live closest to the school.

Once such children are placed on roll at a nursery, they will be automatically entitled to take up a three year old place and the number of places available for three year olds will reduce.

Places for three year olds

All children will be eligible **to be considered** for admission to a nursery class in a community or voluntary controlled school or nursery in the term after they turn three years old, although admission will be subject to an application being made and places being available.

When a nursery in a community or voluntary controlled infant or primary school is over-subscribed for a three year old place, applications for entry in 2016/2017 will be ranked according to the following criteria, **which will be applied in the first instance to children wishing to take up the free early years provision:**

- a) Looked after and previously looked after children
- b) Exceptional social/medical need
- c) Children who will have a sibling attending the nursery or the main school at the time of admission
- d) Children who will turn 4 years old between 1 September 2016 to 31 August 2017 (this is to give priority to older children who will be due to transfer to

- Reception in the next academic year and hence only have one year left to attend nursery)
- e) Children who will be 3 years old between 1 September 2016 to 31 August 2017 (these children will be able to stay on in nursery for another year in 2017/18 as they will not be due to start Reception until September 2018)

Where any category is oversubscribed, children will be ranked according to the straight line distance that they live from the school with priority being given to children who live closest to the school.

Procedures for admission

Each school will endeavour to inform applicants of the outcome of their application by letter, at least one term before admission. A school will only allocate nursery sessions once it has determined that a place can be offered in accordance with the admission criteria. If an applicant is offered a place they must confirm acceptance directly with the school by the date stipulated in their offer letter.

The final decision with regard to admission and the allocation of morning or afternoon sessions rests with the governing body of the school.

Where a school is oversubscribed it will maintain a waiting list in criteria order.

Admission to a school's nursery does not guarantee admission to the Reception class at that school. Applications for Reception must be made on a separate application and be submitted by the statutory deadline in order to be considered.

Some schools or nurseries may allow parents to pay for extra nursery provision, beyond their free entitlement. However such requests will only be considered once all applications for the free early year's entitlement have been processed.

In addition to nurseries within some community and voluntary controlled infant and primary schools, Surrey also has four stand alone Nursery schools, some with attached Children's Centres, in Chertsey, Dorking, Godalming and Guildford. These may provide a mix of full and part time places. Whilst these schools will also follow the admission criteria set out above, under the social and medical need criterion they may also consider the individual learning need of a child, if it can be demonstrated that no other school can meet the child's learning needs.

20. Sixth form admissions

The following community and voluntary controlled schools have sixth forms:

- The Ashcombe School
- Therfield School
- Oxted School

Internal students

Each school will welcome applications from internal students who have attended year 11 of the school during the 2015/16 academic year. **Acceptance onto a programme of subjects/courses is subject to a student having achieved the entry requirements set by the school.**

External students

Each school will also accept applications for entry to the sixth form from external

applicants. The published admission number for external applicants for entry to Year 12 in September 2016 will be 15 for each school, but more places may be available subject to the take up by internal applicants. Acceptance onto a programme of subjects/courses is subject to a student having achieved the entry requirements, **which will be the same as those for internal applicants**. Students should refer to each school's Sixth Form prospectus for the individual subject requirements. Individual subjects may be limited in the number of students they can accommodate.

Should applications from suitably qualified external students exceed the number of places available, the following oversubscription criteria will apply:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Other applicants on the basis of nearness to the school, measured in a straight line from the address point of the pupil's house, as set by Ordnance Survey, to the nearest official school gate for pupils to use. This is calculated using the Admission and Transport team's Geographical Information System.

21. Home to school transport

Surrey County Council has a Home to School Transport policy that sets out the circumstances that children might qualify for free home to school transport.

Generally, transport will only be considered if a child is under 8 years old and is travelling more than two miles or is over 8 years old and travelling more than three miles to the nearest school with a place. Transport will not generally be provided to a school that is further away if a child would have been offered a place at a nearer school had it been named as a preference on the application form, although exceptions may apply to secondary aged children whose families are on a low income if they are travelling to one of their three nearest schools **and to children whose nearest school is out of County but over the statutory walking distance**.

Eligibility to transport is not linked to the admission criteria of a school. Some schools give priority to children who are attending a feeder school, but attending a feeder school does not confer an automatic right to transport to a linked school. In considering admission criteria and school preferences it is important that applicants also consider the home to school transport policy so they might take account of the likelihood of receiving free transport to their preferred school before making their application. A full copy of Surrey's Home to School Transport policy is available on Surrey's website at www.surreycc.gov.uk or from the Surrey Schools and Childcare Service on 0300 200 1004.

PROPOSED Admission numbers for Surrey County Council's community and voluntary controlled schools 2016

This document sets out Surrey County Council's proposed Published Admission Numbers (PAN) for community and voluntary controlled schools for September 2016. Where changes have been made text is in bold.

1. Primary schools

School	PAN
ELMBRIDGE	
Bell Farm Primary	90
Claygate Primary	60
#Cranmere Primary	90
Grovelands Primary	60
#Hinchley Wood Primary	90
*Hurst Park Primary	60
Long Ditton Infant & Nursery	60
**Manby Lodge Infant	90
Oatlands	90
The Royal Kent C of E Primary	4+ 30 7+ 2
St Andrew's Cof E Primary	4+ 52 7+ 8
St James C of E Primary	60
Thames Ditton Infant	90
Thames Ditton Junior	90
Walton Oak	60

Agreed through statutory proposals to expand to a PAN of 90 from September 2016

* Agreed through statutory proposals to expand to a PAN of 60 from September 2015

**Agreed through statutory proposals to expand to a PAN of 90 from September 2015

EPSOM & EWELL	
Auriol Junior	90
Cuddington Community Primary	30
Epsom Primary	60
Ewell Grove Infant & Nursery	70
The Mead Infant	90
Meadow Primary	90
Southfield Park Primary	60
Stamford Green Primary	90
The Vale Primary	30
Wallace Fields Infant	60
Wallace Fields Junior	68
West Ewell Infant	120

GUILDFORD

Ash Grange Primary	30
Guildford Grove Primary	60
Holly Lodge Primary	60
Merrow C of E (Cont) Infant	60
Onslow Infant	90
Pirbright Village Primary	60
Ripley Church of England Primary	28
St Mary's C of E (VC) Infant	30
St Paul's Church of England Infant	30
Shalford Infant	30
Shawfield Primary	30
#Stoughton Infant	90
Tillingbourne Junior	90
Walsh Church of England Junior	75
Walsh Memorial C of E (Cont) Infant	60
Wood Street Infant	30
*Worplesdon Primary	4+ 60 7+ 30
Wyke Primary	30

Agreed through statutory proposals to expand to a PAN of 90 from September 2015

* Agreed through statutory proposals to introduce a Junior PAN of 30 from September 2016

MOLE VALLEY

Barnett Wood Infant	52
Charlwood Village Infant	15
The Dawnay	4+ 30 7+ 15
Eastwick Infant	75 (+ 7 SEN)
Eastwick Junior	90
Fetcham Village Infant	60
#The Greville Primary	4+ 60 7+ 60
Leatherhead Trinity	60
North Downs Primary	4+ 60 7+ 4
Oakfield Junior	60
Polesden Lacey Infant	30
Powell-Corderoy Primary	30
St Martin's Church of England (C) Primary	4+ 45 7+ 15
West Ashtead Primary	4+ 30 7+ 30

Agreed through statutory proposals to expand to a Reception PAN of 60 from September 2015

REIGATE & BANSTEAD

Banstead Community Junior	90
Dovers Green	56
Earlswood Infant & Nursery	120
Earlswood Junior	120
Epsom Downs Primary	60
Furzeffield Primary Community	60
Holmesdale Community Infant	120
Horley Infant	90
Kingswood Primary	30
Langshott Primary	60
Manorfield Primary & Nursery	30
Meath Green Infant	90
Meath Green Junior	90
Merstham Primary	30
*Reigate Priory Community Junior	150
St John's Primary	30
Salfords Primary	60
Sandcross Primary	4+ 60 7+ 60
Shawley Community Primary	45
Walton on the Hill Primary	30
Warren Mead Infant	70
Woodmansterne Primary	60
Wray Common Primary	60

* Exploring options for expansion to a PAN of 180

RUNNYMEDE

Darley Dene Primary	30
Englefield Green Infant & Nursery	60
The Grange Community Infant	90
The Hythe Community Primary	60
Manorcroft Primary	60
Meadowcroft Community Infant	30
Ongar Place Primary	30
Ottershaw Infant	60
Ottershaw Junior	60
St Ann's Heath Junior	90
Stepgates Community	30
Thorpe Lea Primary	30
Trumps Green Infant	60

SPELTHORNE

# Ashford Park Primary	90
Beauclerc Infant	40
Buckland Primary	60
Chennestone Primary Community	4+ 30 7+ 40
Clarendon Primary	30
Riverbridge Primary	90
Spelthorne Primary	90
Town Farm Primary	60

Agreed through statutory proposals to expand to a PAN of 90 from September 2015

SURREY HEATH

Bagshot Infant	60
Crawley Ridge Infant	60
Crawley Ridge Junior	66
Cross Farm Infant	50
Frimley Church of England	90
The Grove Primary	60
Hammond Community Junior	90
Heather Ridge Infant	60
Holy Trinity Church of England	60
Lakeside Primary	60
Lightwater Village	60
Lorraine	30
Mytchett Primary	30
Pine Ridge Infant & Nursery	30
Prior Heath Infant	60
Sandringham	60
South Camberley Primary & Nursery	120
Valley End Church of England Infant	60
Windlesham Village Infant	60

TANDRIDGE

Audley Primary	30
Dormansland Primary	30
Downs Way	45
Felbridge Primary	30
Hamsey Green Primary	60
Holland Junior	60
Hurst Green	30
Lingfield Primary	60
St Catherine's Primary	30
Tatsfield Primary	30

WAVERLEY

Badshot Lea Village Infant	45
Beacon Hill Primary	30
Busbridge Infant	60
Cranleigh CofE Primary (removal of Year 3 PAN)	4+ 30
Farncombe CofE Infant & Nursery	50
Folly Hill Infant	30
Godalming Junior	58
Hale Primary	4+ 60 7+ 2
Milford	60
Moss Lane	60
Potters Gate CE Primary	60
St Andrew's C of E (Cont) Infant	40
Shottermill Infant	60
Shottermill Junior	68
Weybourne Infant	40
William Cobbett Junior	90
Witley C of E (Cont) Infant	30

WOKING

Brookwood Primary	30
Byfleet Primary	30
Kingfield	30
Knaphill	90
Knaphill Lower	90
Maybury Primary	30
St Mary's C of E (Cont) Primary, Byfleet	60
# West Byfleet Infant	90
** West Byfleet Junior	60
Westfield Primary	60

Agreed through statutory proposals to expand to a PAN of 90 from September 2015

** Due to expand to a PAN of 90 from September 2018

2. Secondary schools

School	PAN
GUILDFORD	
Ash Manor School	210
MOLE VALLEY	
The Ashcombe School	240
Therfield School	210
REIGATE & BANSTEAD	
Oakwood School	240
Reigate School	250
The Warwick	180
TANDRIDGE	
Oxted School	335
WAVERLEY	
Broadwater School	120
Glebelands School	180
WOKING	
# Bishop David Brown School	180

Agreed through statutory proposals to expand to a PAN of 180 from September 2016

**PROPOSED - Community and voluntary controlled schools in
Surrey which will operate shared sibling priority for admission in
2016
(Changes highlighted in bold)**

Elmbridge

- Thames Ditton Infant and Thames Ditton Junior

Epsom & Ewell

- The Mead Infant and Auriol Junior
- Wallace Fields Infant and Wallace Fields Junior

Guildford

- Merrow C of E Infant and Bushy Hill Junior (Foundation)*
- Walsh Memorial C of E Infant and Walsh C of E Junior

Mole Valley

- Eastwick Infant and Eastwick Junior

Reigate & Banstead

- Banstead Infant (Academy) and Banstead Community Junior
- Earlswood Infant and Earlswood Junior
- Meath Green Infant and Meath Green Junior
- Warren Mead Infant and Warren Mead Junior (Academy)

Runnymede

- The Grange Community Infant and New Haw Community Junior (Academy)
- Meadowcroft Infant and St Ann's Heath Junior
- Ottershaw Infant and Ottershaw Junior
- Trumps Green Infant and St Ann's Heath Junior

Surrey Heath

- **Bagshot Infant and Connaught Junior (Academy)**
- Crawley Ridge Infant and Crawley Ridge Junior
- Lightwater Village and Hammond Community Junior

Waverley

- Shottermill Infant and Shottermill Junior
- Weybourne Infant and William Cobbett Junior

Woking

- Knaphill Lower and Knaphill School
- West Byfleet Infant and West Byfleet Junior

* Shared sibling priority only applies to Merrow CofE Infant School

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PROPOSED - Academies and foundation, trust and voluntary aided schools that will be considered in the assessment of nearest school and out of county schools that will not be considered in the assessment of nearest school - 2016/17 admissions

1.	Academies and foundation, trust and voluntary aided schools in Surrey that will be considered in the assessment of nearest school when applying the admission arrangements for community and voluntary controlled schools are set out below. Community and voluntary controlled schools which convert to academy status and new free schools which open after these arrangements have been determined will be added to this list by default.	
a)	Infant & primary schools – Reception intake	
	<p><u>Elmbridge</u> Burhill Community Infant School Chandlers Field Primary School Cobham Free School The Orchard School St Matthew's C of E Infant School</p> <p><u>Epsom & Ewell</u> Cuddington Croft Primary School Riverview C of E Primary School St Martin's C of E Infant School</p> <p><u>Guildford</u> Boxgrove Primary Burpham Foundation Primary School Chilworth C of E Infant School Clandon C of E Infant School Peaslake School Pewley Down Infant School Puttenham C of E School The Raleigh School St Lawrence Primary School St Nicolas C of E Infant School Sandfield Primary School Send C of E First School Shere C of E Infant School Weyfield Primary Academy</p> <p><u>Mole Valley</u> Newdigate C of E Endowed Infant School St Giles C of E Infant School St John's C of E Primary School St Michael's C of E Infant School St Paul's C of E Primary School Scott-Broadwood C of E Infant School Surrey Hills C of E Primary School The Weald C of E Primary School</p> <p><u>Reigate & Banstead</u> Banstead Infant School Lime Tree Primary School Reigate Parish Church Infant School St Matthew's C of E Primary School Tadworth Primary School Trinity Oaks CofE Primary School</p> <p><u>Runnymede</u> Christ Church C of E Infant School Lyne & Longcross C of E School Pycroft Grange Primary School Sayes Court School St Paul's C of E Primary School Thorpe C of E Infant School</p> <p><u>Spelthorne</u> Ashford C of E Primary School The Echelford Primary School Hawkedale Infant School</p>	<p><u>Spelthorne (continued)</u> Kenyngton Manor Primary School Laleham C of E Primary School Littleton C of E Infant School Saxon Primary School Springfield Primary School Stanwell Fields CofE Primary School St Nicholas C of E Primary School</p> <p><u>Surrey Heath</u> Bisley C of E Primary School St Lawrence C of E Primary School</p> <p><u>Tandridge</u> Burstow Primary School Godstone Village School Hillcroft Primary School Limpsfield C of E Infant School Marden Lodge Primary Nutfield C of E Primary St John's C of E Primary School St Peter & St Paul C of E Infant School St Peter's C of E Infant School St Stephen's C of E Primary School Warlingham Village Primary Whyteleafe School Woodlea School</p> <p><u>Waverley</u> All Saints C of E Infant School Bramley C of E Infant School Ewhurst C of E Infant School Grayswood C of E Infant School Green Oak C of E Primary School Highfield South Farnham School Loseley Fields Primary School Park Mead Primary School South Farnham Primary St Bartholomew's C of E Primary School St James's C of E Primary School St John's C of E Infant School St Mary's C of E Infant School St Mary's C of E Primary School St Peter's C of E Primary School Wonersh & Shamley Green C of E Infant School</p> <p><u>Woking</u> Barnsbury Primary School Beaufort Community Primary School Broadmere Community Primary Goldsworth Primary School Horsell Village School New Monument The Oaktree Pyrford C of E Primary School St John's Primary School Sythwood Primary School</p>

b)	Junior & primary schools – Year 3 intake	
	<p><u>Elmbridge</u> Cleves School Long Ditton St Mary's C of E Junior School St Lawrence C of E Junior School</p> <p><u>Epsom & Ewell</u> Cuddington Croft Primary School Danetree Junior School St Martin's C of E Junior School</p> <p><u>Guildford</u> Bushy Hill Junior School Holy Trinity Junior School Northmead Junior School Queen Eleanor's C of E Junior School St Bede's C of E Junior School</p> <p><u>Mole Valley</u> Surrey Hills C of E Primary School (Westcott site) The Weald C of E Primary School</p> <p><u>Reigate & Banstead</u> Warren Mead Junior Yattendon School</p> <p><u>Runnymede</u> New Haw Junior School St Jude's C of E Junior School</p>	<p><u>Spelthorne</u> Springfield Primary School St Nicholas C of E Primary School</p> <p><u>Surrey Heath</u> Connaught Junior School Cordwalles Junior School Ravenscote Community Junior School</p> <p><u>Tandridge</u> St John's C of E Primary School St Mary's C of E Junior School</p> <p><u>Waverley</u> Busbridge C of E Junior School The Chandler C of E Junior School Loseley Fields Primary School Park Mead Primary School South Farnham Primary St Bartholomew's C of E Primary School Waverley Abbey C of E School</p> <p><u>Woking</u> The Hermitage School Horsell C of E Junior School</p>
c)	Secondary schools – Year 7 intake	
	<p><u>Elmbridge</u> Cobham Free School Esher CofE High School Heathside School Hinchley Wood School Rydens School</p> <p><u>Epsom & Ewell</u> Blenheim High School Epsom & Ewell High School Glyn Technology School (Boys) Rosebery School (Girls)</p> <p><u>Guildford</u> Christ's College George Abbot Guildford County School Howard of Effingham School Kings College</p> <p><u>Mole Valley</u> The Priory St Andrew's Catholic Secondary School</p> <p><u>Reigate & Banstead</u> The Beacon</p> <p><u>Runnymede</u> Fullbrook School</p>	<p><u>Runnymede (continued)</u> Jubilee International High School The Magna Carta School</p> <p><u>Spelthorne</u> Bishop Wand Church of England School The Matthew Arnold School Sunbury Manor School Thamesmead School Thomas Knyvett College</p> <p><u>Surrey Heath</u> Collingwood College Kings International College Tomlinscote School</p> <p><u>Tandridge</u> De Stafford School Warlingham School</p> <p><u>Waverley</u> Farnham Heath End Rodborough Weydon School Woolmer Hill</p> <p><u>Woking</u> The Winston Churchill School Woking High School</p>
2.	<p>Out of county comprehensive schools that will <u>not</u> be considered in the assessment of nearest school when applying the admission arrangements for community and voluntary controlled schools are as follows:</p> <ul style="list-style-type: none"> • Camelsdale Primary School – West Sussex County Council • The Wavell School – Hampshire County Council • Charters School – Royal Borough of Windsor & Maidenhead <p>Historically, no Surrey child has been eligible for a place at these schools on distance. As such, to consider either school as a nearest school for a Surrey child would cause disadvantage to that child's application for their nearest Surrey school.</p>	

Surrey County Council

PROPOSED Coordinated schemes for admission to primary and secondary school 2016/17

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PROPOSED Coordinated scheme for admission to primary school 2016/17

Applications

7

1. Surrey's admissions and transport team will distribute information leaflets on admissions early in September **2015**. These will be available in all Surrey primary schools. The leaflet will refer parents to the Surrey County Council website www.surreycc.gov.uk/admissions via which parents will be able to access the admissions information and apply online from 1 September **2015**. Alternatively, they can obtain a primary school admissions booklet and a paper preference form by ringing the Surrey Schools and Childcare Service on 0300 200 1004.
2. All parents living in Surrey must only complete Surrey's online application form or a Surrey paper form which will be available from 1 September **2015**. Parents living outside Surrey must use their home local authority's form to apply for a place at a Surrey school. Parents living inside Surrey can apply for a school in another local authority on Surrey's online or paper form. Along with all other local authorities, Surrey operates an equal preference system. Surrey's application form invites parents to express a preference for up to four maintained primary schools or academies within and/or outside of Surrey. This enables Surrey County Council to offer a place at the highest possible ranked school for which the applicant meets the admission criteria.
3. In accordance with the School Admissions Code, the order of preference given on the application form will not be revealed to a school within the area of Surrey. However, where a parent resident in Surrey expresses a preference for a school in the area of another local authority, the order of preference for that local authority's school will be revealed to that local authority in order that it can determine the highest ranked preference in cases where a child is eligible for a place at more than one school in that local authority's area.
4. The closing date for all applications (either online or paper) will be 15 January **2016**. Changes to ranked preferences and applications received after the closing date will not be accepted unless they are covered by paragraphs in this scheme which relate to late applications and changes of preference. If a parent completes more than one application stating different school preferences, Surrey's admissions and transport team will accept the form submitted on the latest date before the closing date. If the date is the same, Surrey's admissions and transport team will contact the parents to ask them to confirm their ranked preferences.
5. Schools that are their own admission authority must not use any other application form but may use a supplementary form if they need to request additional information that is required to apply their admission criteria. Surrey County Council's website and Surrey's primary school admissions booklet will indicate which schools require a supplementary form. Supplementary forms can be accessed via the website or can be obtained from each school. All supplementary forms should be returned to the school by the date specified by the school but in any case no later than the national closing date of 15 January **2016**. The supplementary form should clearly indicate where it is to be returned. Where supplementary forms are used by admission authorities within Surrey, the admissions and transport team will seek to ensure that these only collect information which is required by the published oversubscription criteria, in accordance with the School Admissions Code. Page 100

6. Where a school in Surrey receives a supplementary form, Surrey's admissions and transport team will not consider it to be a valid application unless the parent/carer has also listed the school on their home local authority's common application form.
7. It is recommended that any paper preference forms handed in to schools should be sent to Surrey's admissions and transport team immediately.
8. Surrey's admissions and transport team will confirm the status of any resident child for whom it receives a common application form stating s/he is a looked after or previously looked after child and will provide evidence to the maintaining local authority in respect of a preference for a school in its area by **3 February 2016**.
9. Surrey's admissions and transport team will advise a maintaining local authority of the reason for any preference expressed for a school not in its area and will forward any supporting documentation to the maintaining local authority by **3 February 2016**.
10. Surrey County Council participates in the Pan London Coordinated Admission Scheme. Surrey's admissions and transport team will upload application data relating to preferences for schools in other participating local authorities, which have been expressed within the terms of Surrey's scheme, to the Pan London Register by **3 February 2016**. Alternative arrangements will be made to forward applications and supporting information to non-participating local authorities.
11. Surrey County Council will participate in the Pan London application data checking exercise scheduled between **16 and 23 February 2016**.

Processing

12. By **8 February 2016**, Surrey's admissions and transport team will have assessed the level of preferences for each school and will send all admission authority schools a list of their preferences so that they can apply their admission criteria.
13. By **7 March 2016** all schools which are their own admission authority will have applied their admission criteria and will provide Surrey's admissions and transport team with a list of all applicants in rank order. This will enable Surrey to offer places to ensure that under the terms of the coordinated scheme each applicant is offered the highest possible ranked preference. Surrey County Council will expect schools to adhere to their published admission number unless there are exceptional circumstances such as if this would not enable Surrey to fulfil its statutory duty where the demand for places exceeds the number of places available.
14. Between **15 and 23 March 2016** Surrey's admissions and transport team will send and receive electronic files with all coordinating local authorities, in order to achieve a single offer.

Offers

15. Surrey's admissions and transport team will identify the school place to be offered and communicate information as necessary to other local authorities by **31 March 2016**. In instances where more than one school could make an offer of a place to a child, Surrey's admissions and transport team will offer a place at the school which the parent had ranked highest on the application form. Where Surrey is unable to offer a place at any of the preferred schools the admissions and transport team will offer a place at an

alternative community or voluntary controlled school with places or by arrangement with an academy or voluntary aided, foundation or trust school with places.

- 7
16. Surrey's admissions and transport team will not make an additional offer between the end of the iterative process and **18 April 2016** which may impact on an offer being made by another participating local authority.
 17. Notwithstanding paragraph 16, if an error is identified within the allocation of places at a Surrey school, the admissions and transport team will attempt to manually resolve the allocation to correct the error. Where this impacts on another local authority (either as a home or maintaining local authority) Surrey's admissions and transport team will liaise with that local authority to attempt to resolve the correct offer and any multiple offers which might occur. However, if another local authority is unable to resolve a multiple offer, or if the impact is too far reaching, Surrey's admissions and transport team will accept that the applicant(s) affected might receive a multiple offer.
 18. Surrey's admissions and transport team will participate in the Pan London offer data checking exercise scheduled between **24 March** and **12 April 2016**.
 19. Surrey's admissions and transport team will send a file to the E-Admissions portal with outcomes for all resident applicants who have applied online no later than **13 April 2016**.
 20. By **18 April 2016** lists of children being allocated places will be sent to primary schools for their information.
 21. On **18 April 2016** an outcome will be sent by Surrey's admissions and transport team to all parents who have completed a Surrey application form. Where a first preference has not been met a letter will be sent by first class post which will refer parents to Surrey's website or the contact centre for further advice. Parents will be asked to confirm whether or not they wish to accept any school place offered. **UNDER NO CIRCUMSTANCES MUST ANY SCHOOL WRITE TO OR MAKE ANY OTHER CONTACT WITH PARENTS TO MAKE AN OFFER OF A PLACE, OR TAKE ANY ACTION TO INFORM THEM THAT A PLACE WILL OR WILL NOT BE OFFERED BEFORE 18 APRIL 2016.**

Late Applications and changes of preference

22. It is recognised that applications will be received after the closing date and that some parents will wish to change their preferences e.g. if a family is new to the area or has moved house. Such applications must still be dealt with and this section deals with applications received in these circumstances.

Applications and changes of preference received after the closing date but before 18 April 2016

23. Some late applications will be treated as late for good reason. These will generally relate to applications from families who are new to the area where it could not reasonably have been expected that an application could have been made by the closing date. Applicants must be able to provide recent proof of ownership or tenancy of a Surrey property (completion or signed tenancy agreement). Other cases might relate to a single parent family where the parent has been ill or where there has been a recent bereavement of a close relative. These cases will be considered individually on their merits.

- 24.** The latest date that an application can be accepted as late for good reason is **15 February 2016**. If an application is deemed late for good reason and all supporting information is received by this date it will be passed to any admission authority named for consideration alongside all applications received on time.
- 25.** Where applications which have been accepted as late for good reason contain preferences for schools in other local authorities the admissions and transport team will forward the details to maintaining local authorities as they are received.
- 26.** Where an applicant lives out of county, Surrey will accept late applications which are considered to be on time within the terms of the home local authority's scheme up to **15 February 2016**.
- 27.** Where an applicant moves from one home local authority to Surrey after submitting an on time application under the terms of the former home local authority's scheme, Surrey will accept the application as on time up to **15 February 2016**, on the basis that an on time application already exists within the system.
- 28.** Late applications from parents where it could reasonably have been expected that an application could have been made by the closing date and those received after **15 February 2016** will be considered as late. These applications will not be processed until after all on time applications have been considered.
- 29.** Some parents may wish to change a preference after the closing date due to a change of circumstances. Surrey's admissions and transport team will accept changes to preferences after the closing date only where there is good reason, such as a house move or other significant change of circumstance, which makes the original preference no longer practical. Any such request for a change of preference must be supported by documentary evidence and must be received by **15 February 2016**. Any changes of preference received after **15 February 2016** will not be considered until all on time applications have been dealt with.

Applications and changes of preference received between 18 April 2016 and 31 August 2015

- 30.** Applications will continue to be received after the **18 April 2016**. Only those preferences expressed on the application form will be valid. Where the school is its own admission authority the application data will be sent to them requesting an outcome for the preference within 14 days. Once the outcome is known for each preference Surrey's admissions and transport team will issue the outcome letter to the parent.
- 31.** Where the stated preference is for a school in a neighbouring authority the application form will be passed to that authority requesting an outcome for the preference within 14 days. Once the outcome is known for each preference Surrey's admissions and transport team will issue the outcome letter to the parent.
- 32.** After **18 April 2016** some parents may wish to change a preference or order of preference due to a change of circumstances. Surrey's admissions and transport team will accept changes to preferences or order of preferences after the **18 April 2016**. Parents may also name additional preferences after the offer day of **18 April 2016**.
- 33.** The coordination scheme will end on 31 August **2016**. Applications received after 31 August **2016** will be considered in line with Surrey's in year admissions procedures.

Post Offer

34. Surrey's admissions and transport team will request that resident applicants accept or decline the offer of a place by **3 May 2016**, or within two weeks of the date of any subsequent offer.
35. If they do not respond by this date Surrey's admissions and transport team will issue a reminder. If the parent still does not respond the admissions and transport team or the school, where it is its own admission authority, will make every reasonable effort to contact the parent to find out whether or not they wish to accept the place. Only where the parent fails to respond and the admissions and transport team or school, where it is its own admission authority, can demonstrate that every reasonable effort has been made to contact the parent, will the offer of a place be withdrawn.
36. Where an applicant resident in Surrey accepts or declines a place in a Surrey school by **3 May 2016**, Surrey's admissions and transport team will forward the information to the school by **17 May 2016**.
37. Where an applicant resident in Surrey accepts or declines a place in a school maintained by another local authority by **3 May 2016**, Surrey's admissions and transport team will forward the information to the maintaining local authority by **17 May 2016**. Where such information is received from applicants after **3 May 2016**, Surrey's admissions and transport team will pass it on to the maintaining local authority as it is received.
38. Where an acceptance or decline is received for a Surrey school in respect of an applicant resident outside Surrey, Surrey's admissions and transport team will forward the information to the school as it is received.
39. When acting as a maintaining local authority, Surrey will inform the home local authority, where different, of an offer that can be made for a maintained school or academy in Surrey, in order that the home local authority can offer the place.
40. When acting as a maintaining local authority, Surrey and the admission authorities within it will not inform an applicant resident in another local authority that a place can be offered.
41. When acting as a home local authority, Surrey will offer a place at a maintained school or academy in the area of another local authority, provided that the school is ranked higher on the common application form than any school already offered.
42. When acting as a home local authority, when Surrey is informed by a maintaining local authority of an offer which can be made to an applicant resident in Surrey which is ranked lower on the common application form than any school already offered, it will inform the maintaining local authority that the offer will not be made.
43. When acting as a home local authority, when Surrey has agreed to a change of preference order for good reason, it will inform any maintaining local authority affected by the change.
44. When acting as a maintaining local authority, Surrey will inform the home local authority, where different, of any change to an applicant's offer status as soon as it occurs.

- 45.** When acting as a maintaining local authority, Surrey will accept new applications (including additional preferences) from home local authorities for maintained schools and academies in its area.

Waiting Lists

- 46.** Where a child does not receive an offer of their first preference school, their name will be placed on the waiting list for each school in Surrey that is named as a higher preference school to the one they have been offered, in accordance with the policy of each admission authority. Parents will be advised that if they want to go on the waiting list for an out of county preference school that they should contact the school or the maintaining local authority for the school to establish their policy on waiting lists.
- 47.** Details of pupils who have not been offered a higher preference school will be shared with the admission authority for each Surrey school by **6 May 2016**.
- 48.** Each admission authority will operate waiting lists so that it is clear which child will be eligible for the next offer of a place should a vacancy arise. The waiting list order will be determined by the admission criteria of the school. However all offers must be made by the home local authority. Admission authorities are encouraged to share waiting list information confidentially with other local schools to support effective planning of school places.
- 49.** Schools within Surrey will not inform any applicant that a place can be offered in advance of such notification being sent by the home local authority.
- 50.** Waiting lists for each school will be held until the end of the Autumn term after which some schools may cancel their waiting lists and in those cases parents may apply in writing to remain on the list if they wish to.

Surrey County Council

PROPOSED Coordinated scheme for admission to secondary school 2016/17

Applications

7

1. Surrey's admissions and transport team will distribute information leaflets on admissions early in September **2015**. These will be distributed to all children in Year 6 in Surrey maintained schools who are resident in Surrey. The leaflet will refer parents to the Surrey County Council website www.surreycc.gov.uk/admissions via which parents will be able to access the admissions information and apply online from 1 September 2015. Alternatively, they can obtain a secondary school admissions booklet and a paper preference form by ringing the Surrey Schools and Childcare Service on 0300 200 1004.
2. All parents living in Surrey must only complete Surrey's online application form or a Surrey paper form which will be available from 1 September 2015. Parents living outside Surrey must use their home local authority's form to apply for a place at a Surrey school. Parents living inside Surrey can apply for a school in another local authority on Surrey's online or paper form. Along with all other local authorities, Surrey operates an equal preference system. Surrey's application form invites parents to express a preference for up to six maintained secondary schools or academies within and/or outside of Surrey (and any city technology college that has agreed to participate in their local authority's qualifying scheme). This enables Surrey County Council to offer a place at the highest possible ranked school for which the applicant meets the admission criteria.
3. In accordance with the School Admissions Code, the order of preference given on the application form will not be revealed to a school within the area of Surrey. However, where a parent resident in Surrey expresses a preference for a school in the area of another local authority, the order of preference for that local authority's school will be revealed to that local authority in order that it can determine the highest ranked preference in cases where a child is eligible for a place at more than one school in that local authority's area.
4. The closing date for all applications (either online or paper) will be 31 October **2015** but parents will be encouraged to return their form by **23 October 2015**, which is the Friday that schools break up for the autumn half term. Changes to ranked preferences and applications received after the closing date will not be accepted unless they are covered by the paragraphs in this scheme which relate to late applications and changes of preference. If a parent completes more than one application stating different school preferences, Surrey's admissions and transport team will accept the form submitted on the latest date before the closing date. If the date is the same, Surrey's admissions and transport team will contact the parents to ask them to confirm their ranked preferences.
5. Schools that are their own admission authority must not use any other application form but may use a supplementary form if they need to request additional information that is required to apply their admission criteria. Surrey County Council's website and the secondary school admissions booklet will indicate which schools require a supplementary form. Supplementary forms can be accessed via the website or can be obtained from each school. All supplementary forms should be returned to the school by the date specified by the school but in any case no later than the national closing

date of 31 October **2015**. Surrey County Council will publish information that will encourage applicants to submit their supplementary form by **23 October 2015** (i.e. the Friday before half term). The supplementary form should clearly indicate where it is to be returned. Where supplementary forms are used by admission authorities within Surrey, the admissions and transport team will seek to ensure that these only collect additional information which is required by the published oversubscription criteria in accordance with the School Admissions Code.

6. Where a school in Surrey receives a supplementary form, Surrey's admissions and transport team will not consider it to be a valid application unless the parent/carer has also listed the school on their home local authority's common application form.
7. Surrey's admissions and transport team will confirm the status of any resident child for whom it receives a common application form stating s/he is a looked after or previously looked after child and will provide evidence to the maintaining local authority in respect of a preference for a school in its area by **13 November 2015**.
8. Surrey's admissions and transport team will advise a maintaining local authority of the reason for any preference expressed for a school not in its area and will forward any supporting documentation to the maintaining local authority by **13 November 2015**.
9. Surrey County Council participates in the Pan London Coordinated Admission Scheme. Surrey's admissions and transport team will upload application data relating to preferences for schools in other participating local authorities, which have been expressed within the terms of Surrey's scheme, to the Pan London Register by **13 November 2015**. Alternative arrangements will be made to forward applications and supporting information to non-participating local authorities.
10. Surrey County Council will participate in the Pan London application data checking exercise scheduled between **14 December 2015** and **4 January 2016**.

Processing

11. By **7 December 2015**, Surrey's admissions and transport team will have assessed the level of preferences for each school and will send all admission authority schools a list of their preferences so that they can apply their admission criteria.
12. By **11 January 2016** all schools which are their own admission authority will have applied their admission criteria and will provide Surrey's admissions and transport team with a list of all applicants in rank order. This will enable Surrey to offer places to ensure that under the terms of the coordinated scheme each applicant is offered the highest possible ranked preference. Surrey County Council will expect schools to adhere to their published admission number unless there are exceptional circumstances such as if this would not enable the local authority to fulfil its statutory duty where the demand for places exceeds the number of places available.
13. Between **3 and 16 February 2016** Surrey's admissions and transport team will send and receive electronic files with all coordinating local authorities, in order to achieve a single offer.

Offers

14. Surrey's admissions and transport team will identify the school place to be offered and communicate information as necessary to other local authorities by **16 February 2016**. In instances where more than one school could make an offer of a place to a child, Surrey's admissions and transport team will offer a place at the school which the parent had ranked highest on the application form. Where Surrey is unable to offer a place at any of the preferred schools the admissions and transport team will offer a place at an alternative community or voluntary controlled school with places or by arrangement with an academy or voluntary aided, foundation or trust school with places.
15. Surrey's admissions and transport team will not make an additional offer between the end of the iterative process and **1 March 2016** which may impact on an offer being made by another participating local authority.
16. Notwithstanding paragraph 15, if an error is identified within the allocation of places at a Surrey school, the admissions and transport team will attempt to manually resolve the allocation to correct the error. Where this impacts on another local authority (either as a home or maintaining local authority) Surrey's admissions and transport team will liaise with that local authority to attempt to resolve the correct offer and any multiple offers which might occur. However, if another local authority is unable to resolve a multiple offer, or if the impact is too far reaching, Surrey's admissions and transport team will accept that the applicant(s) affected might receive a multiple offer.
17. Surrey's admissions and transport team will participate in the Pan London offer data checking exercise scheduled between **17 and 24 February 2016**.
18. Surrey's admissions and transport team will send a file to the E-Admissions portal with outcomes for all resident applicants who have applied online no later than **25 February 2016**.
19. By **1 March 2016**, lists of children being allocated places will be sent to secondary schools for their information.
20. On **1 March 2016** an outcome will be sent by Surrey's admissions and transport team to all parents who have completed a Surrey application form. Where a first preference has not been met a letter will be sent by first class post which will refer parents to Surrey's website or the Contact Centre for further advice. Parents will be asked to confirm whether or not they wish to accept any school place offered. **UNDER NO CIRCUMSTANCES MUST ANY SCHOOL WRITE TO OR MAKE ANY OTHER CONTACT WITH PARENTS TO MAKE AN OFFER OF A PLACE, OR TAKE ANY ACTION TO INFORM THEM THAT A PLACE WILL OR WILL NOT BE OFFERED BEFORE 1 MARCH 2016.**

Late Applications and changes of preference

21. It is recognised that applications will be received after the closing date and that some parents will wish to change their preference e.g. if a family is new to the area or has moved house. Such applications must still be dealt with and this section deals with applications received in these circumstances.

Applications and changes of preference received after the closing date but before 1 March 2016

22. Some late applications will be treated as late for good reason. These will generally relate to applications from families who are new to the area where it could not

reasonably have been expected that an application could have been made by the closing date. Applicants must be able to provide recent proof of ownership or tenancy of a Surrey property (completion or signed tenancy agreement). Other cases might relate to a single parent family where the parent has been ill or where there has been a recent bereavement of a close relative. These cases will be considered individually on their merits.

23. The latest date that an application can be accepted as late for good reason is **11 December 2015**. If an application is deemed late for good reason and all supporting information is received by this date it will be passed to any admission authority named for consideration alongside all applications received on time.
24. Where applications which have been accepted as late for good reason contain preferences for schools in other local authorities the admissions and transport team will forward the details to maintaining local authorities as they are received.
25. Where an applicant lives out of county, Surrey will accept late applications which are considered to be on time within the terms of the home local authority's scheme.
26. The latest date for the upload to the Pan London Register of late applications which are considered to be on time is **11 December 2015**.
27. Where an applicant moves from one participating home local authority to another after submitting an on time application under the terms of the former home local authority's scheme, the new home local authority will accept the application as on time up to **11 December 2015**, on the basis that an on time application already exists within the Pan London system. Applicants moving to or from non-participating Pan London local authorities will be managed on a case by case basis.
28. Late applications from parents where it could reasonably have been expected that an application could have been made by the closing date and those received after **11 December 2015** will be considered as late. These applications will not be processed until after all on time applications have been considered.
29. Some parents may wish to change a preference after the closing date due to a change of circumstances. Surrey's admissions and transport team will accept changes to preferences after the closing date only where there is good reason, such as a house move or other significant change of circumstance, which makes the original preference no longer practical. Any such request for a change of preference must be supported by documentary evidence and must be received by **11 December 2015**. Any changes of preference received after **11 December 2015** will not be considered until all on time applications have been dealt with.

Applications and changes of preference received between 1 March 2016 and 31 August 2016

30. Applications will continue to be received after the **1 March 2016**. Only those preferences expressed on the application form will be valid. Where the school is its own admission authority the application data will be sent to them requesting an outcome for the preference within 14 days. Once the outcome is known for each preference Surrey's admissions and transport team will issue the outcome letter to the parent.
31. Where the stated preference is for a school in a neighbouring authority the application form will be passed to that authority requesting an outcome for the preference within 14 days. Once the outcome is known for each preference Surrey's admissions and transport team will issue the outcome letter to the parent.

- 32.** After **1 March 2016** some parents may wish to change a preference or order of preferences due to a change of circumstances. Surrey's admissions and transport team will accept changes to preferences or order of preferences after the **1 March 2016**. Parents may also name additional preferences after the offer day of **1 March 2016**.
- 33.** The coordination scheme will end on 31 August **2016**. Applications received after 31 August **2016** will be considered in line with Surrey's in year admissions procedures.

Post Offer

- 34.** Surrey's admissions and transport team will request that resident applicants accept or decline the offer of a place by **15 March 2016**, or within two weeks of the date of any subsequent offer.
- 35.** If they do not respond by this date Surrey's admissions and transport team will issue a reminder. If the parent still does not respond the admissions and transport team or the school, where it is its own admission authority, will make every reasonable effort to contact the parent to find out whether or not they wish to accept the place. Only where the parent fails to respond and the admissions and transport team or school, where it is its own admission authority, can demonstrate that every reasonable effort has been made to contact the parent, will the offer of a place be withdrawn.
- 36.** Where an applicant resident in Surrey accepts or declines a place in a Surrey school by **15 March 2016**, Surrey's admissions and transport team will forward the information to the school by **24 March 2016**.
- 37.** Where an applicant resident in Surrey accepts or declines a place in a school maintained by another local authority by **15 March 2016**, Surrey's admissions and transport team will forward the information to the maintaining local authority by **24 March 2016**. Where such information is received from applicants after **15 March 2016**, Surrey's admissions and transport team will pass it on to the maintaining local authority as it is received.
- 38.** Where an acceptance or decline is received for a Surrey school in respect of an applicant resident outside Surrey, Surrey's admissions and transport team will forward the information to the school as it is received.
- 39.** When acting as a maintaining local authority, Surrey will inform the home local authority, where different, of an offer that can be made for a maintained school or academy in Surrey, in order that the home local authority can offer the place.
- 40.** When acting as a maintaining local authority, Surrey and the admission authorities within it will not inform an applicant resident in another local authority that a place can be offered.
- 41.** When acting as a home local authority, Surrey will offer a place at a maintained school or academy in the area of another local authority, provided that the school is ranked higher on the common application form than any school already offered.
- 42.** When acting as a home local authority, when Surrey is informed by a maintaining local authority of an offer which can be made to an applicant resident in Surrey which is ranked lower on the common application form than any school already offered, it will inform the maintaining local authority that the offer will not be made.

- 43. When acting as a home local authority, when Surrey has agreed to a change of preference order for good reason, it will inform any maintaining local authority affected by the change.
- 44. When acting as a maintaining local authority, Surrey will inform the home local authority, where different, of any change to an applicant's offer status as soon as it occurs.
- 45. When acting as a maintaining local authority, Surrey will accept new applications (including additional preferences) from home local authorities for maintained schools and academies in its area.

Waiting Lists

- 46. Where a child does not receive an offer of their first preference school, their name will be placed on the waiting list for Surrey schools that are named as a higher preference school to the one they have been offered, in accordance with the policy of each admission authority. Parents will be advised that if they want to go on the waiting list for any out of county preference school that they should contact the school or the maintaining local authority for the school to establish their policy on waiting lists.
- 47. Details of pupils who have not been offered a higher preference school will be shared with the admission authority of each Surrey school by **25 March 2016**.
- 48. Each admission authority will operate waiting lists so that it is clear which child will be eligible for the next offer of a place should a vacancy arise. The waiting list order will be determined by the admission criteria of the school. However all offers must be made by the home local authority. Admission authorities are encouraged to share waiting list information confidentially with other local schools to support effective planning of school places.
- 49. Schools within Surrey will not inform any applicant that a place can be offered from a waiting list in advance of such notification being sent by the home local authority.
- 50. Waiting lists for each school will be held until the end of the Autumn term after which some schools may cancel their waiting lists and in those cases parents may apply in writing to remain on the list if they wish to.

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Chessington

Horton Country Park

Great Wood

St Ebba's Farm

Cemy

Playing Field

Cricket Ground Pavilion

Horton Farm

Horton Park Farm

Blenheim High School

Epsom Polo Club

Equestrian Centre

West Park Farm

Sch

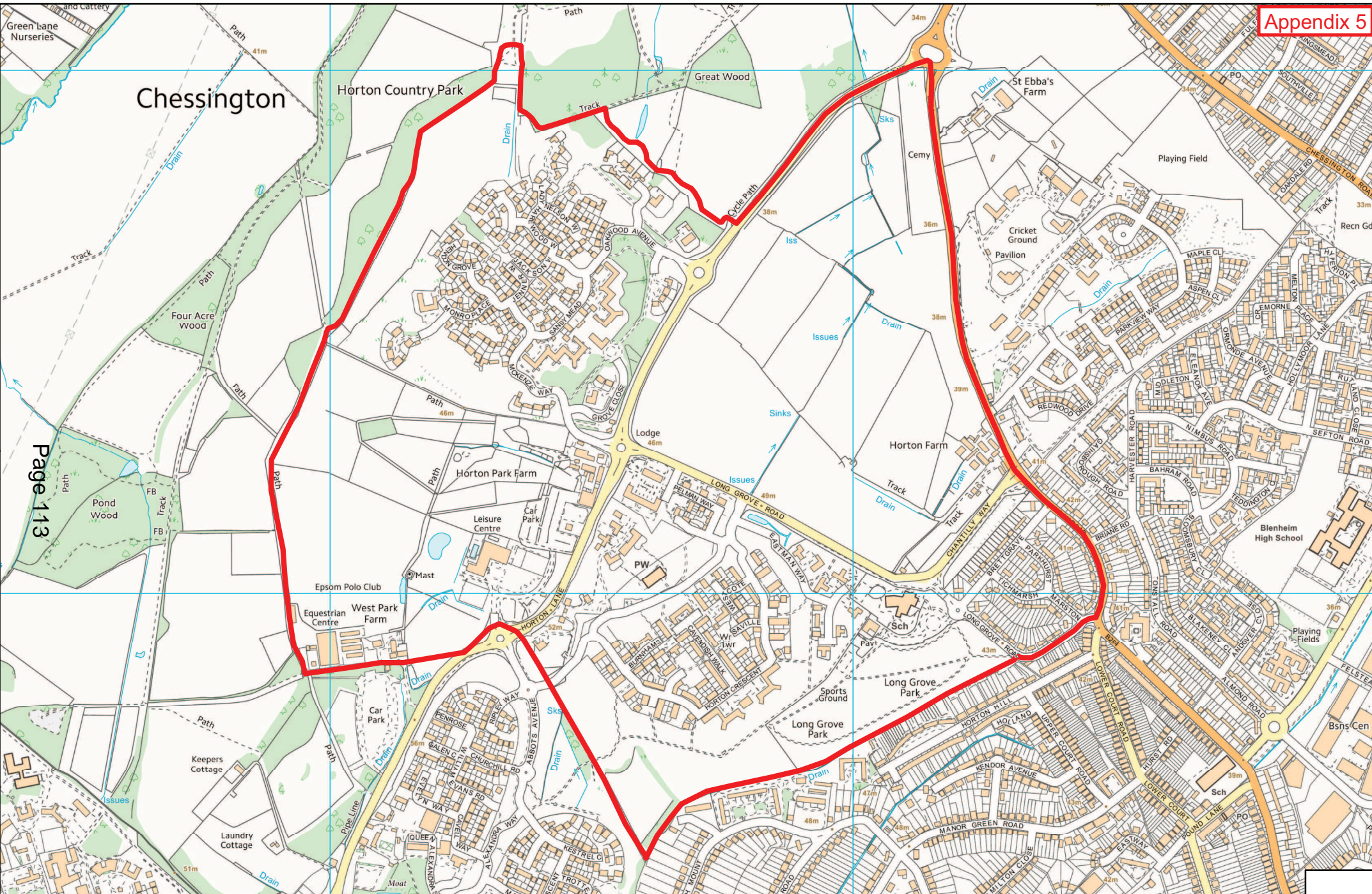
Long Grove Park

Long Grove Park

Keepers Cottage

Laundry Cottage

Page 113



Southfield Park Primary Catchment Area



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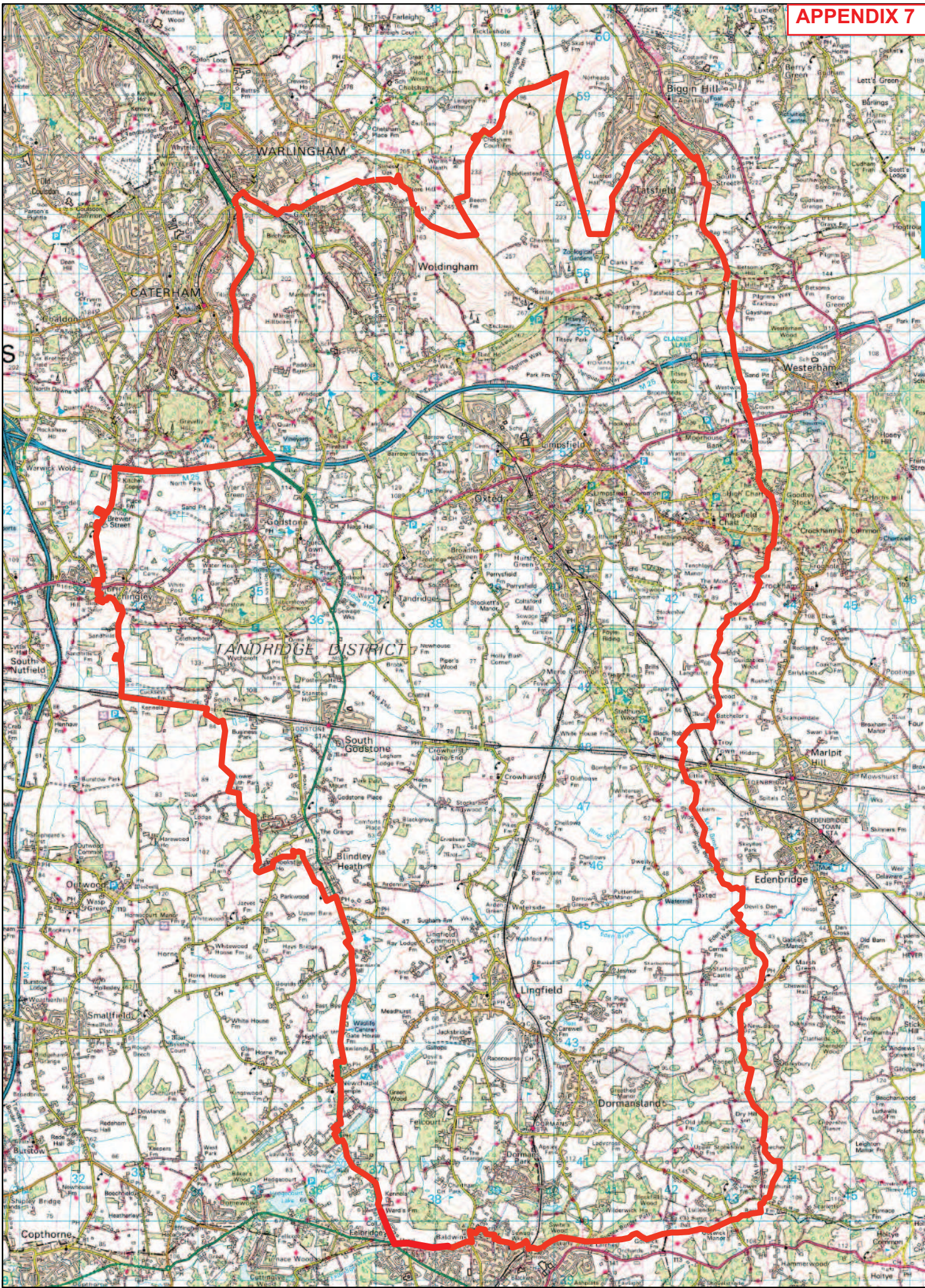


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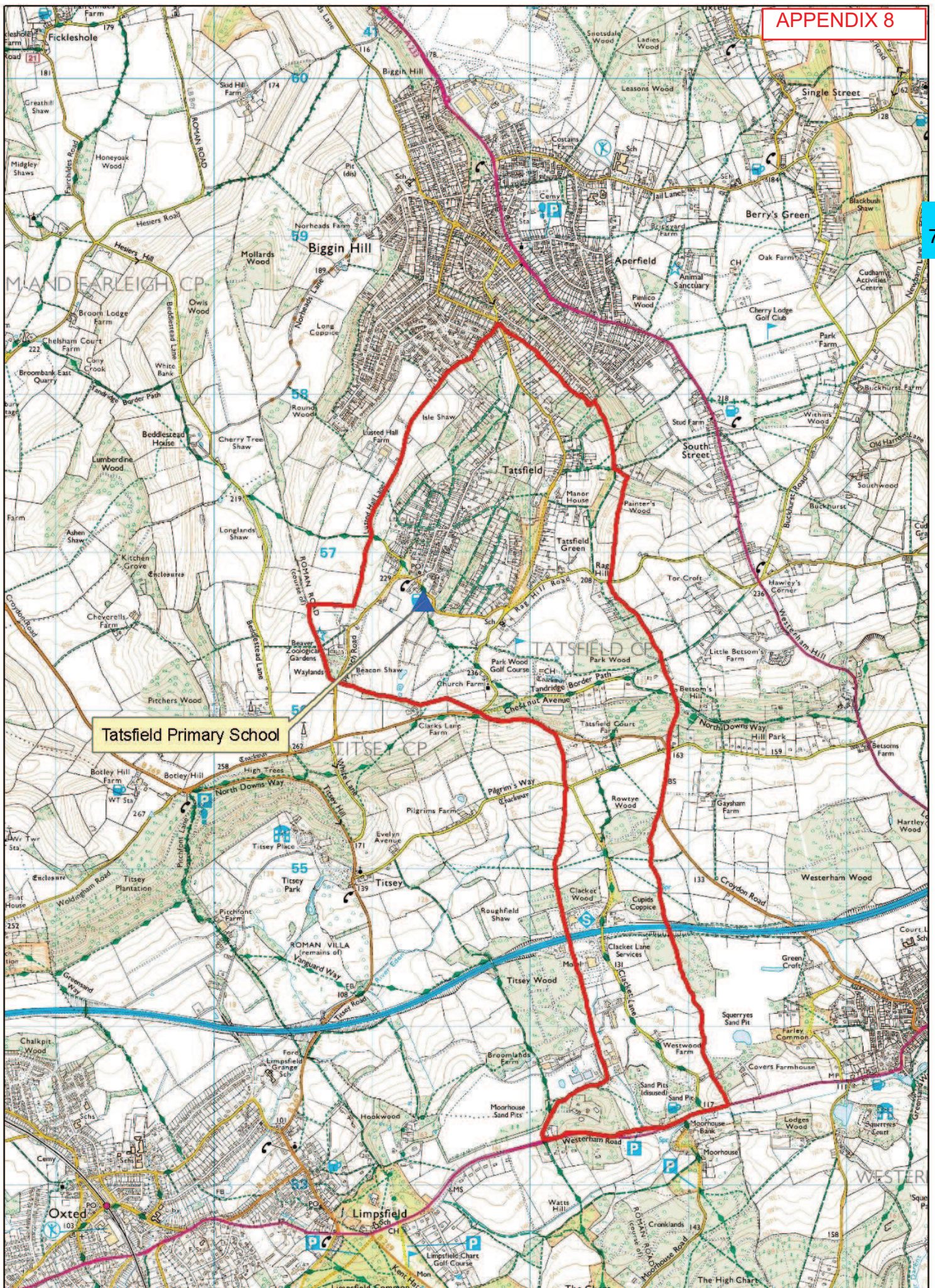
Woodmansterne Primary Catchment Area



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Tatsfield Primary School

Tatsfield Primary School Catchment Area

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St Andrew's Infant School Catchment Area



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PROPOSED Surrey's Relevant Area for Admissions - 2015

The School Standards & Framework Act 1998 requires local authorities to establish Relevant Area(s) for admission policy consultations. The Relevant Area is the area in which admission authorities must consult with schools regarding their proposed admission arrangements before finalising them.

The Education Act 2002 requires the local authority to consult on and review its Relevant Area every 2 years.

It is proposed that Surrey sets its Relevant Area as follows:

- i) The local authority consults on the admission arrangements for community and voluntary controlled schools with:
 - all schools within the administrative area of Surrey
 - all 14 neighbouring local authorities
 - any out of county academy and foundation, trust and voluntary aided primary school within 4.8 kilometres (3 miles) of the Surrey border
 - any out of county academy and foundation, trust and voluntary aided secondary school within 8 kilometres (5 miles) of the Surrey border.
- ii) Having first consulted with their Diocese, **primary schools designated as having a religious character** consult with:
 - Surrey County Council
 - all other primary schools within a 4.8 kilometre radius (3 miles)
 - other local authorities within a 4.8 kilometre radius (3 miles)
 - other faith primary schools within their own deanery, **according to guidance issued by their Diocese**
- iii) Primary academies and foundation and trust schools consult with:
 - Surrey County Council
 - all other primary schools within a 4.8 kilometre radius (3 miles)
 - other local authorities within a 4.8 kilometre radius (3 miles)
- iv) Having first consulted with their Diocese, **secondary schools designated as having a religious character** consult with
 - Surrey County Council
 - all other primary and secondary schools within an 8 kilometre radius (5 miles)
 - other local authorities within an 8 kilometre radius (5 miles)
 - other primary and secondary faith schools within their own deanery, **according to guidance issued by their Diocese**
- v) Secondary academies and foundation schools consult with:
 - Surrey County Council
 - all other primary and secondary schools within an 8 kilometre radius (5 miles)
 - other local authorities within an 8 kilometre radius (5 miles)

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Addressing Inequalities

Equalities Impact Assessment

Surrey County Council Equality Impact Assessment Template

Stage one – initial screening

7

What is being assessed?	Admissions policy and coordinated schemes 2016
Service	Admissions and Transport
Name of assessor/s	Claire Potier
Head of service	Peter-John Wilkinson
Date	28 October 2014
Is this a new or existing function or policy?	Existing policy under review

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.

The policies being considered under this EIA set out the processes and criteria for admitting children to community and voluntary controlled schools and how Surrey County Council will coordinate admission applications and outcomes within the County Council and across County borders. In accordance with the School Admissions Code, these policies include processes and criteria that are fair, objective and transparent.

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	X			<ul style="list-style-type: none"> • Parents of 4 year olds can ask for their child to defer entry or start Reception full / part-time • Requests from the parents of summer

				<p>born children for their child to be admitted to Reception in the year after they turn five will be considered on a case by case basis</p> <ul style="list-style-type: none"> • Older applicants will be prioritised for admission to a three year old nursery place as they will have less time to spend in nursery
Gender Reassignment			X	
Disability	X			<p>Provision is made for SEN children to be admitted to school</p> <p>Provisions made within the policy for priority to be given to medical need</p>
Sex			X	
Religion and belief	X			Provision made within the admissions timetable for faith schools to rank their applicants
Pregnancy and maternity			X	
Race			X	
Sexual orientation			X	
Carers	X			Potential for child carers to claim for social priority for a school place based on need
Other equality issues – please state	X			<p>Children in care and children who have left care through adoption, a child arrangement order or special guardianship order, receive top priority for a school place by law</p> <p>A translation service is on offer for parents who might find language a barrier to understanding the literature and Surrey’s Schools and</p>

				Childcare service acts as a Choice Advice service to help parents understand the process
HR and workforce issues			X	
Human Rights implications if relevant			X	

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

For screenings only:

Review date	
Person responsible for review	
Head of Service signed off	
Date completed	

- Signed off electronic version to be kept in your team for review
- Electronic copy to be forwarded to Equality and Diversity Manager for publishing

Introduction and background

Using the information from your screening please describe your service or function. This should include:

- The aims and scope of the EIA
- The main beneficiaries or users
- The main equality, accessibility, social exclusion issues and barriers, and the equality groups they relate to (not all assessments will encounter issues relating to every strand)

The policies being considered under this EIA set out the processes and criteria for admitting children to community and voluntary controlled schools and how Surrey County Council will coordinate admission applications and outcomes within the County Council and across County borders. These are statutory policies required by legislation and in accordance with the School Admissions Code, these policies include processes and criteria that are fair, objective and transparent and that comply with equalities legislation and the Human Rights Act.

The main users of the policies will be parents applying for Surrey schools, schools and neighbouring local authorities.

The admission policy allows for SEN children to be admitted ahead of other applicants. SEN admissions fall outside the scope of admissions legislation.

The admission criteria make provision for looked after children and children who have left care through adoption, a child arrangements order or special guardianship order, as a top priority for admission. The second criteria for admission allows for children who have a social or medical need for a place at a particular school to be given priority, this might include a child who has a disability or a parent with a disability, or a child who has caring responsibilities for a parent.

Most children start school in the year after they turn 4 years old but all children must be in school in the term after they turn 5 years old. By law the admission arrangements for entry to Reception allow for a parent of a 4 year old to defer their entry until later in the school year or to ask that their child start school part time. In addition, parents of summer born children may ask for their child to be admitted out of cohort in the following year and these cases are considered on an individual basis according to the circumstances and what is best for the child. However, by law, these applicants would have to reapply for a place in the following year.

The arrangements for admission to a three year old nursery place allow nurseries to give a higher priority to older children who might have less time to

spend in nursery. The proposed admission arrangements for a two year old nursery place provide for a fair allocation of places to children who are entitled to the extended nursery provision.

The policies and application procedure are widely publicised on Surrey County Council's website, in print and through publicity posters throughout the County and the closing dates are broadcast on local radio. Parents are encouraged to apply online and leaflets are sent out widely setting out how parents can apply and how they might obtain a paper copy of the application form. Schools act as a support and advisory point for parents and primary schools are asked to target parents of children in their nursery to make sure they apply for a Reception place. Primary schools are also asked to check the applications made to ensure that all children who are approaching Year 7 transition have made an application. Online application numbers are high at over 96%, which demonstrates that most parents have the access and ability to apply online. However paper forms are readily available for parents who do not have the access or ability to apply online to ensure that these parents have equal access to school places. There is no evidence that would indicate that these families are not currently accessing the service.

The County Council also employs a dedicated translation service for all written material and the Contact Centre is used to support parents who might have difficulty in understanding and applying the policy.

Now describe how this fits into 'the bigger picture' including other council or local plans and priorities.

Surrey County Council acts as admission authority for community and voluntary controlled schools, whilst the governing body of each school acts as the admission authority for academies and foundation, trust and voluntary aided schools. The admission arrangements for all schools must be determined by 15 April each year and the arrangements and processes to determine which children will be admitted must be lawful and comply with the School Admissions Code.

Under the Coordination regulations each local authority must coordinate applications for children living in their area and must publish schemes setting out how it will do this.

The over-arching aspect of admission arrangements and coordinated schemes is that they must be fair and objective, give every parent the opportunity to apply for schools that they want for their child, provide parents with clear information and provide support to parents who find it hardest to understand the system.

Evidence gathering and fact-finding

What evidence is available to support your views above? Please include a summary of the available evidence including identifying where there are gaps to be included in the action plan.

Remember to consider accessibility alongside the equality groups

Over 96% of parents applied online in 2014 and paper forms were readily available to parents who could not or chose not to apply online

As part of the normal intake to schools in 2014, 52 places were offered at community and voluntary controlled schools to children in care or children who had left care through adoption, a special guardianship order or a residence order.

As part of the normal intake to schools in 2014, 33 places were offered at community and voluntary controlled schools on exceptional grounds (social/medical need)

Sources of evidence may include:

- Service monitoring reports including equality monitoring data
- User feedback
- Population data – census, Mosaic
- Complaints data
- Published research, local or national.
- Feedback from consultations and focus groups
- Feedback from individuals or organisations representing the interests of key target groups
- Evidence from partner organisations, other council departments, district or borough councils and other local authorities

How have stakeholders been involved in this assessment? Who are they, and what is their view?

Schools which have changes being proposed have been consulted on the changes. All community and voluntary controlled schools have been sent confirmation of the published admission number that is to be proposed and have been offered the opportunity to query it if they felt it was incorrect or if they had anticipated a change.

The consultation is the opportunity to engage with parents and the wider school community. As part of the consultation process the proposed admission arrangements and coordinated schemes will be widely publicised both on the County Council website and in schools and nurseries. All forms of responses will be accepted including the standard response form, online responses and any other relevant correspondence.

A total of 69 responses were received to the consultation. Of the total responses, only 13 (18.8%) respondents completed the equality monitoring form and as such, little conclusion can be drawn from the responses. This response rate is similar to last year and may be due to the consultation tool that is used. Of those completing a monitoring form:

Age

84.6% (11) of respondents were aged 18 – 49

7.7% (1) of respondents were aged 50 – 64

7.7% (1) of respondents were aged over 65

Race

84.6 % (11) of respondents described themselves as White-British

7.7% (1) of respondents described themselves as Chinese

7.7% (1) of respondents described themselves as Other-Japanese

Disability

No respondents indicated that they had a disability, condition or impairment

Gender

76.9% (10) of respondents were female

23.1 % (3) of respondents were male

Faith

76.9% (10) of respondents indicated that they had no religious or faith group

23.1% (3) of respondents indicated that they were of Christian faith (including Protestant, Roman Catholic, Methodist and Evangelical)

Sexual Orientation

92.3% (12) of respondents stated that they were heterosexual

7.7% (1) of respondents stated that they would rather not answer

Analysis and assessment

Given the available information, what is the actual or likely impact on minority, disadvantaged, vulnerable and socially excluded groups? Is this impact positive or negative or a mixture of both? (Refer to the EIA guidance for full list of issues to consider when making your analysis)

Based on the assessment of the policies and the evidence, these policies will have an overall positive equality impact.

What can be done to reduce the effects of any negative impacts? Where negative impact cannot be completely diminished, can this be justified,

and is it lawful?

No evidence of any negative impact.

Where there are positive impacts, what changes have been or will be made, who are the beneficiaries and how have they benefited?

Recommendations

Please summarise the main recommendations arising from the assessment. If it is impossible to diminish negative impacts to an acceptable or even lawful level the recommendation should be that the proposal or the relevant part of it should not proceed.

Action Plan – actions needed to implement the EIA recommendations

Issue	Action	Expected outcome	Who	Deadline for action

- Actions should have SMART Targets
- Actions should be reported to the Directorate Equality Group (DEG) and incorporated into the Equality and Diversity Action Plan, Service Plans and/or personal objectives of key staff.

Date taken to Directorate Equality Group for challenge and feedback	
Review date	
Person responsible for review	Claire Potier
Head of Service signed off	Peter-John Wilkinson
Date completed	26 January 2015
Date forwarded to EIA coordinator for publishing	

- **Signed off electronic version to be kept in your team for review**

- **Electronic copy to be forwarded to your service EIA coordinator to forward for publishing on the external website**

7

EIA publishing checklist

- Plain English – will your EIA make sense to the public?
- Acronyms – check that you have explained any specialist names or terminology
- Evidence – will your evidence stand up to scrutiny; can you justify your conclusions?
- Stakeholders and verification – have you included a range of views and perspectives to back up your analysis?
- Gaps and information – have you identified any gaps in services or information that need to be addressed in the action plan?
- Legal framework – have you identified any potential discrimination and included actions to address it?
- Success stories – have you included any positive impacts that have resulted in change for the better?
- Action plan – is your action plan SMART? Have you informed the relevant people to ensure the action plan is carried out?
- Review – have you included a review date and a named person to carry it out?
- Challenge – has your EIA been taken to your DEG for challenge
- Signing off – has your Head of Service signed off your EIA?
- Basics – have you signed and dated your EIA and named it for publishing?

Document setting out a summary of the main changes which was made available as part of the consultation

Proposed changes to the admission arrangements for Surrey County Council’s community and voluntary controlled schools September 2016 and Surrey’s proposed Relevant Area

7

Introduction

Surrey County Council is consulting on the changes which it has proposed to the admission arrangements for some community and voluntary controlled schools from September 2016. Full details of the changes are explained in this document.

A copy of the proposed admission arrangements for all community and voluntary controlled schools are set out in **Enclosure 1** and its appendices, with changes highlighted in bold, as follows:

- ENCLOSURE 1 Admission arrangements for community & voluntary controlled schools
- APPENDIX 1 Published admission numbers
- APPENDIX 2 Schools to operate shared sibling priority
- APPENDIX 3 Schools to be considered to admit local children
- APPENDIX 4 Primary and secondary coordinated schemes
- APPENDIX 5 Catchment map for Southfield Park Primary School
- APPENDIX 6 Catchment map for Woodmansterne Primary School
- APPENDIX 7 Catchment map for Oxted School
- APPENDIX 8 Catchment map for Tatsfield Primary School
- APPENDIX 9 Catchment map for St Andrew’s CofE Controlled Infant School

Local Authorities are also required to consult on their Relevant Area every two years. Surrey last consulted on its Relevant Area between November 2012 and January 2013. As two years have now passed, it is consulting again this year. The proposed Relevant Area is included at **Enclosure 2**.

An equality impact assessment is included as **Enclosure 3**.

What changes are being proposed?

1. Bagshot Infant School – Surrey Heath

From September 2016 it is proposed to introduce a reciprocal sibling link between Bagshot Infant School and Connaught Junior School. The admission criteria for Bagshot Infant School would not change but Bagshot Infant School and Connaught Junior School would be described as operating shared sibling priority for 2016 admission, as set out in **Appendix 2 of Enclosure 1**. In this way, families with an older child attending Connaught Junior School would receive sibling priority for a younger child to attend Bagshot Infant School.

This proposal is in line with a proposal by Connaught Junior School to introduce a reciprocal sibling link with Bagshot Infant School. Connaught Junior School also proposes to introduce Bagshot Infant School as its main feeder school. As an academy, the governing body of Connaught Junior School is responsible for consulting on any proposals for change to their admission arrangements and as such their changes are not the subject of this consultation.

Implementation of the proposal for Bagshot Infant School will be subject to the outcome of this consultation and to Connaught Junior School also implementing the reciprocal sibling link between the two schools.

In line with Surrey County Council policy, the introduction of a reciprocal sibling link and feeder link between Bagshot Infant and Connaught Junior schools would enable sibling priority to be given to a child who is applying to start at Bagshot Infant School in Reception even if they have a sibling who would have left the school by the time the younger child starts. This is because the admission criteria for Connaught Junior would provide for them to be admitted to Connaught thereby retaining their sibling priority. This is reflected in **Section 11 of Enclosure 1**.

2. Hammond Community Junior School – Surrey Heath

From September 2016 it is proposed to introduce a new criterion for Hammond Community Junior School, to provide priority for children attending either Valley End or Windlesham Village infant schools so that the admission criteria would be as set out in **paragraph 8 h) ii) of Enclosure 1**, as follows:

1. Looked after and previously looked after children
2. Exceptional social/medical need
3. Children attending Lightwater Village School
4. Siblings not admitted under 3 above
5. **Children attending either Valley End CofE Infant School or Windlesham Village Infant School**
6. Any other children

This is in line with a proposal being put forward by Connaught Junior School to also provide priority for children attending Valley End and Windlesham Village infant schools after children attending Bagshot Infant School and siblings. As an academy, the governing body of Connaught Junior School is responsible for consulting on any proposals for change to their admission arrangements and as such their changes are not the subject of this consultation.

Currently, Valley End and Windlesham Village infant schools have no feeder link to a junior school. Parents of children attending these schools are therefore left in some uncertainty regarding their child's transition to Year 3. This uncertainty may lead parents to seek alternative infant provision at the outset or to seek alternative primary provision before their child finishes Year 2.

From the 2014 admission round, places were allocated to Hammond Community Junior School as follows:

a. LAC/PLAC	0
b. Exceptional	0
c. Children attending Lightwater	58
d. Siblings	13
e. Others on distance	17 (1.41km)
SEN	2

Children who might be displaced if the new criterion was introduced as proposed, would be children who had previously been offered a place under criterion e) Others on distance. However, for the 2014 intake, all of the 17 children allocated under criterion e) attended either Valley End or Windlesham Village infant schools. As such, the allocation outcome

would have been the same in 2014 had the proposed criteria applied. In this way, based on the 2014 intake, no local children would have been displaced had these criteria applied.

There was a similar pattern in 2013 when, again, 17 children were offered a place under criterion e) to a distance of 1.19km. However in 2013, two of these children attended Bagshot Infant School. These two children would have been displaced if the feeder link with Valley End and Windlesham Village infant schools had existed. However, on the basis that governors at Connaught are proposing to introduce a feeder link from Bagshot Infant School from 2016, in future, any such children attending Bagshot Infant would be accommodated at Connaught Junior School.

This proposal, along with that being put forward by Connaught Junior School, provides for a clearer transition for children attending Valley End and Windlesham Village infant schools and will enable this group of schools to work together more positively on transition.

3. Meath Green Junior School – Reigate and Banstead

From September 2016 it is proposed to introduce a feeder link to Meath Green Junior School for children at Meath Green Infant School so that the admission criteria would be as set out in **paragraph 8 e) iii) of Enclosure 1**, as follows:

1. Looked after and previously looked after children
2. Exceptional social/medical need
- 3. Children attending Meath Green Infant School**
4. Siblings not admitted under 3 above
5. Any other children

Whilst Meath Green Junior School has a reciprocal sibling link with Meath Green Infant School there is currently no feeder link from the infant school to the junior school. However, most children attending Meath Green Infant School do currently transfer to Meath Green Junior School.

From the 2014 intake, Meath Green Junior School admitted children from the following schools:

- Charlwood Village 11
- Dovers Green 1
- Horley Infant 20
- Langshott Infant 2
- Meath Green Infant 55
- Wray Common 1

From September 2016 Charlwood Village Infant School will become an all through primary school, allowing children in Year 2 to transfer to Year 3 at the same school. Children attending Horley Infant School can apply for a place at Yattendon School which shares the same PAN of 90 and is the nearest junior school to Horley Infant. Since Langshott Infant School became a primary school in September 2014, children in Year 2 at Langshott can transfer to Year 3 at that school, thus freeing up places at Yattendon for children attending Horley Infant School.

Since September 2013 Meath Green Infant School has admitted 90 children, with the PAN formally changing from 70 to 90 in September 2015. As such, from 2016 onwards, there will be 90 children seeking a junior place from Meath Green Infant School which aligns with the PAN of 90 for the junior school.

Whilst there is no guarantee that all children at Meath Green Infant School who apply would be given a place at the junior school it is likely that in most years those who want to transfer would be able to. In this way these criteria would provide continuity and a clearer transition for children and would reduce anxiety for parents.

Although siblings would be given a lower priority after the feeder link, for 2014 admission there were only five children who were allocated a place under the sibling criterion who did not attend Meath Green Infant School. Two of these were from Charlwood Village Infant and one was from Langshott Infant. As these schools are now all through primary schools, the number of siblings seeking a place at Meath Green Junior who are not attending Meath Green Infant School is likely to fall. As not all children attending Meath Green Infant School are likely to apply for a place at Meath Green Junior, it is likely that all siblings would still be offered a place, although there would be no guarantee.

In line with Surrey County Council policy, due to the reciprocal sibling link between the infant and the junior schools, the introduction of a feeder link would also enable sibling priority to be given to a child who is applying to start at the infant school in Reception even if they have a sibling who would have left the infant school by the time the younger child starts. This is because the admission criteria provides for them to be admitted to the junior school thereby retaining their sibling priority. This is reflected in **Section 11 of Enclosure 1**.

4. Wallace Fields Junior School – Epsom and Ewell

In line with the tiered arrangements that currently exist at Wallace Fields Infant and Junior schools, from September 2016 it is proposed to introduce a tiered feeder link to Wallace Fields Junior School for children at Wallace Fields Infant School so that the admission criteria would be as set out in **paragraph 8 b) iv) of Enclosure 1**, as follows:

- a. Looked after and previously looked after children
- b. Exceptional social/medical need
- c. Siblings for whom the school is the nearest school to their home address
- d. **Children attending Wallace Fields Infant School for whom the school is the nearest school to their home address**
- e. Other children for whom the school is the nearest school to their home address
- f. Other siblings for whom the school is not the nearest school to their home address
- g. **Other children attending Wallace Fields Infant School for whom the school is not the nearest school to their home address**
- h. Any other children

Whilst Wallace Fields Junior School has a reciprocal sibling link with Wallace Fields Infant School there is currently no feeder link from the infant school to the junior school

However, most children attending Wallace Fields Infant School do currently transfer to Wallace Fields Junior School. For 2014 admission, 56 of the 60 children attending Wallace Fields Infant School applied and were offered a place at Wallace Fields Junior School.

Wallace Fields Infant School has a PAN of 60 and Wallace Fields Junior School has a PAN of 68. Historically, Wallace Fields Junior School has also admitted some children from Ewell Grove Infant School (7 in 2013 of which 4 were allocated on distance; and 5 in 2014 of which 3 were allocated on distance). Ewell Grove Infant School has no named feeder school and, although the number transferring to Wallace Fields Junior School is relatively low, the local authority is keen to ensure that any proposal to change admission arrangements is fair and does not disadvantage families who have been unable to access Wallace Fields Infant School but who still have the junior school as their nearest junior provision.

The proposed tiered feeder link and the fact that Wallace Fields Junior School has a PAN which is higher than that of Wallace Fields Infant School will mean that some places will still be available for children attending other infant schools if Wallace Fields Junior School is their nearest school.

Whilst more complex than having a straight feeder link, the proposed criteria remain consistent with the tiered sibling criteria that have been in place at both schools since 2013 and provide for children who have the school as their nearest junior provision to receive priority ahead of those who do not.

In line with Surrey County Council policy, due to the reciprocal sibling link between the infant and the junior schools, the introduction of a feeder link would also enable sibling priority to be given to a child who is applying to start at the infant school in Reception even if they have a sibling who would have left the infant school by the time the younger child starts. This is because the admission criteria provides for them to be admitted to the junior school thereby retaining their sibling priority. This is reflected in **Section 11 of Enclosure 1**.

5. Worplesdon Primary School – Guildford

From September 2016, Worplesdon Primary School will publish a Year 3 PAN of 30, in addition to its existing intake of 60 at Reception.

It is therefore proposed to introduce admission criteria for Year 3 in September 2016 which will include a feeder link from Wood Street Infant School as set out in **paragraph 8 c) ii) of Enclosure 1**, as follows:

- a. Looked after and previously looked after children
- b. Exceptional social/medical need
- c. Siblings
- d. Children attending Wood Street Infant School
- e. Children for whom the school is the nearest to their home address
- f. Any other children

This keeps the admission arrangements in line with those that exist for the reception intake, but introduces some priority for children who attend Wood Street Infant School. Wood Street Infant School has a PAN of 30. Along with Stoughton Infant School (which currently has a PAN of 60), Wood Street Infant School has feeder school priority to Northmead Junior School (which has a PAN of 90).

However, since 2013 Stoughton Infant School has admitted 90 children and it has recently been agreed to expand this school to a permanent PAN of 90 from September 2015. In this way, from September 2016, there will not be sufficient junior places at Northmead Junior School to accommodate all children attending Stoughton Infant and Wood Street Infant schools.

This proposal to establish a feeder link to Worplesdon Primary School from Wood Street Infant School is therefore consistent with an associated proposal by Northmead Junior School to remove Wood Street Infant School as a feeder school. As a foundation school, the governing body of Northmead Junior School is responsible for consulting on any proposals for change to their admission arrangements and as such their changes are not the subject of this consultation.

In this way, it is intended that children attending Stoughton Infant School will have feeder priority for admission to Northmead Junior School and children attending Wood Street Infant

School will have feeder priority for admission to Worplesdon Primary School. This will ensure that, as far as possible, there is clear transition from KS1 to KS2 in this area.

6. Cranleigh Primary School - change proposed to published admission number

Appendix 1 of Enclosure 1 sets out the proposed published admission numbers for all community and voluntary controlled schools for September 2016. Any changes to the published admission number which was set for 2015 are highlighted in bold.

The local authority is only required to consult if it proposes to decrease a published admission number for a school. As it is proposed to remove the published admission number for Year 3 for Cranleigh Primary School, the local authority is consulting on this change.

This decrease is proposed to reduce the surplus of Year 3 places that would otherwise be expected in this area in 2016 and to provide for a better use of resources within the school following the admission of bulge classes in 2012 and 2013.

7. Own admission authority schools to be considered in the assessment of nearest school

Annex 3 of Enclosure 1 sets out a list of academies and foundation, trust and voluntary aided schools which will be considered in the assessment of nearest school as well as a list of some out of County schools which are close to the Surrey border but which will not be considered to admit local children. Where a community or voluntary controlled school gives priority to children attending their nearest school, these lists will be used to assess which school is considered to be each child's nearest school.

When assessing nearest school, the local authority generally disregards boarding schools which charge a fee for their places and faith schools which have not offered any places to children who could not, or did not, demonstrate a commitment to a faith. However, although the local authority publishes a list of these schools each year, it does not publish how it decides which schools will or will not be included.

In order to make the decision of which schools will be included in the assessment of nearest school more transparent, it is proposed to publish the rule which will be applied to schools each year.

Section 12 of Enclosure 1 has therefore been updated to make clear that, for 2016 admission, only schools which do not charge boarding fees and those which have offered places without regard to faith in the initial allocation of places in 2012, 2013 and 2014 will be included in the assessment of nearest school. This provides for three years historical pattern of admission to be taken in to account and will prevent schools being included due to a change in admission pattern following the admission of a bulge class or a non-standard admission year.

However, exceptions may still apply where a faith school has changed its admission arrangements and that change has meant that they would be expected to offer places to children who do not demonstrate a commitment to faith in future.

As a result of applying this rule for 2016 admission, the only change to the list of schools which will be considered in the assessment of nearest school is that Saint Ignatius Catholic Primary School in Spelthorne will be removed from the list of infant and primary schools.

8. Start date to primary admissions round

For 2016 admission, it is proposed to publish a later start date for the primary admissions round (Reception and Year 3). Instead of inviting applicants to apply from 1 September 2015 it is proposed to publicise a later date of 2 November 2015, which is the week after the October half term.

It has been identified that publishing a later start date would have the following benefits:

- It would reduce the number of applications where parents make changes after they have submitted their application
- It would enable support to be targeted to primary applicants after the secondary closing date (31 October)
- More would be known of school expansions and bulge classes so parents would be in a better position to make informed decisions
- It would relieve some of the pressure from primary schools at the start of the autumn term and enable them to focus support in the second half of the term
- It might reduce the pressure on parents in feeling they have to apply early, even though the closing date isn't until 15 January
- It would give parents more time to familiarise themselves with the process
- It would give parents more time to visit schools and consider admission criteria before they have to submit their applications. This might especially benefit parents with summer born children who may not have considered school places as much as others

It is not anticipated that this proposal would have any detrimental effect on parents who would still have nearly eleven weeks to complete their application by 15 January (the statutory closing date for primary applications). This timeframe is more in line with that allowed for secondary applicants, who are given nearly nine weeks to complete their application by 31 October (the statutory closing date for secondary applications).

Although the majority of London local authorities open their primary admissions round at the beginning of September there are a number of other local authorities which have published a later start to their primary admissions round for 2015:

Bracknell Forest	1 November 2014
Buckinghamshire	4 November 2014
Essex	10 November 2014
Hampshire	1 November 2014
Hertfordshire	10 November 2014
Kent	11 November 2014
Slough	1 December 2014
West Sussex	6 October 2014
Windsor & Maidenhead	1 November 2014

As well as asking respondents whether or not they support this change, we would be interested to know whether this proposal might help or hinder parents and/or schools in the admissions process.

9. Changes proposed to Surrey's Relevant Area

The Relevant Area that Surrey intends to publish for schools for the next two years is set out in **Enclosure 2**.

The School Standards & Framework Act 1998 requires local authorities to establish Relevant Area(s) for admission policy consultations. The Relevant Area is the area in which admission authorities must consult with schools regarding their proposed admission arrangements before finalising them. The Education Act 2002 requires the local authority to review and consult on its Relevant Area every 2 years.

The Relevant Area that has been proposed generally remains as it was determined in 2013, other than, for faith schools, it no longer prescribes whether schools should consult with other schools in the same deanery if they fall outside of Surrey's defined Relevant Area. In response to requests from two Diocesan Boards, the Relevant Area now refers faith schools to the guidance issued by their Diocese.

How can you respond to the consultation?

The consultation on these proposed changes will run from Friday 28 November 2014 to Thursday 22 January 2015. If you would like to take part please complete an online response form at www.surreysays.co.uk. Alternatively if you would prefer to respond on a paper form, please telephone the Surrey Schools and Childcare Service on 0300 200 1004 to request a copy. Please note that only response forms which are fully completed with the respondents name and address will be accepted.

What happens next?

After the closing date responses will be collated and presented to the County Council's decision making Cabinet on 24 February 2015. It will decide whether or not to proceed with the proposed changes as well as determining the admission arrangements for all community and voluntary controlled schools for which no changes are proposed. Cabinet's decision will then need to be ratified by the full County Council on 17 March 2015. Once determined the final admission arrangements for all community and voluntary controlled schools will be placed on Surrey's website at www.surreycc.gov.uk/admissions.

Consultation on Surrey's admission arrangements for September 2016 for community and voluntary controlled schools and coordinated schemes

Outcome of consultation

Consultation 1 – Changes to admission arrangements for community and voluntary controlled schools

Response to consultation

1. By the closing date, 69 individual responses had been submitted online and one further response was received by email.
2. The 69 responses were from:

Headteacher	3
Parent	67
3. A summary of the responses to questions within the consultation that were received from all sources is set out below in Table A

Table A - Summary of responses to admission consultation for September 2016

Question Number	Proposal	Document	Agree	Disagree
1	Bagshot Infant School - introduction of reciprocal sibling link with Connaught Junior School	Enclosure 1 Appendix 2	5	1
2	Hammond Community Junior School - introduction of priority for children attending Valley End and Windlesham Village Infant schools	Enclosure 1	7	1
3	Meath Green Junior School - introduction of a feeder link for children at Meath Green Infant School	Enclosure 1	6	0
4	Wallace Fields Junior School - introduction of a tiered feeder link from Wallace Fields Infant School	Enclosure 1	42	9
5	Worplesdon Primary School – introduction of admission criteria for Year 3	Enclosure 1	3	0
6	Cranleigh Primary School – removal of Published Admission Number for Year 3	Enclosure 1 Appendix 1	0	0
7	Own admission authority schools to be considered in the assessment of nearest school	Enclosure 1 Appendix 3	14	7
8	Start date to primary admissions round	Enclosure 1 Appendix 4	7	15
9	Surrey's Relevant Area	Enclosure 2	5	3

Analysis of responses to questions within the 2016 admission consultation

4. **Introduction of reciprocal sibling link for Bagshot Infant School with Connaught Junior School** - Overall, five respondents agreed with this proposal whilst one was opposed to it.
5. Of the five respondents who agreed with the proposal three were parents and two were headteachers. Of the parents, only one indicated that they would be affected by the proposal.
6. Respondents in agreement with the proposal indicated that:
 - Siblings should be placed at the same school or schools next to each other
 - These schools formed a natural pair and served the same community
7. The respondent who was opposed to the proposal was a parent who indicated that they would be directly affected by the proposal. The reason given for not supporting the proposal was because it would exclude pupils from neighbouring towns who might live the same distance from Connaught.
8. **Introduction of priority to Hammond Community Junior School for children attending Valley End and Windlesham Village Infant schools** – Overall, seven respondents agreed with this proposal whilst one was opposed to it.
9. Of the seven respondents who agreed with the proposal five were parents and two were headteachers. One of the headteachers represented a school affected by the proposal. Of the parents, all five indicated that they would be affected by the proposal.
10. Reasons given for agreeing with the proposal were as follows:
 - Valley End currently has no feeder link
 - Parents are currently put off applying for Valley End and Windlesham Village infant schools because they have no feeder links
 - Live in the village of Valley End and may choose this school
 - Provides more equality and options
 - Parents will be less likely to remove their children from Valley End and Windlesham Village infant schools
11. The respondent who was opposed to the proposal was a parent who indicated that they would be directly affected by the proposal. The reason given for not supporting the proposal was because they do not want to be forced to send their children to a 'sub par' school that is further away from Connaught and that had they wanted their children to go to Hammond they would have applied to Windlesham Village Infant school.
12. **Introduction of a feeder link from Meath Green Infant School to Meath Green Junior School** – Overall, six respondents agreed with this proposal and none were opposed to it.
13. Of the six respondents who agreed with the proposal, five were parents and one was a headteacher (unrelated school). All five parents declared that they would be affected by the proposal.
14. Reasons given for agreeing with the proposal were as follows:
 - Would like child to progress to same schools as his peers
 - Both schools local to home
 - Makes sense that schools work together and for the excellent work of the infant school to continue at the junior school
 - Prevent a lot of extra administration for both schools
 - Enable children to go to same school as friends
 - Schools are close together and other Horley schools are all through schools

- Takes away the worry of child not getting the place they want
 - Without feeder links there will be uncertainty
15. **Introduction of a tiered feeder link from Wallace Fields Infant School to Wallace Fields Junior School** - Overall, 42 respondents agreed with this proposal whilst nine were opposed to it.
16. Of the 42 respondents who agreed with the proposal 41 were parents and one was a headteacher (unrelated school). Of the parents, 33 indicated that they would be affected by the decision.
17. Reasons given for agreeing with the proposal were as follows:
- Makes sense for schools to have tiered feeder link and will minimise stress and heartache for children
 - The current system is unfair
 - Majority of children do currently go on to the junior school
 - Unsettling for a child not to get in when their friends do
 - Due to close proximity of the two schools it makes sense for them to be a feeder school
 - It will remove the anxiety but remain fair as it still needs to be the nearest school
 - Removes discriminatory element of children without siblings being lower down the order of priorities
 - Gives children continuity and is settling for families to know that their child is likely to follow on through the school
 - Gives greater certainty to families whose siblings are three school years apart
 - Creates logistical difficulties if children allocated schools further away
 - Does not prevent children from Ewell Grove taking up places if they live nearby
 - Important for children to have continuity as children move from the infants to the juniors
 - Whole community benefits as friendships and close ties between children and parents will remain in place
 - All children at Wallace Fields Infant School should automatically be given a place at the junior school
 - It would make life a lot easier if the school's were run as one school
 - Few other schools admit children at aged 7
 - Wallace Fields Infant and Junior schools share out of school arrangements like breakfast, after school and holiday clubs and so infants already know many of the juniors
 - Would help to smooth the transition between infants and juniors
 - Too many out of area children with siblings in the junior who will unfortunately take priority. A new system would be fairer
18. Of the nine respondents who were opposed to the proposal all were parents and eight indicated that they would be affected by the decision.
19. Reasons given for opposing this proposal were as follows:
- Sibling should be higher priority than distance
 - Not good for environment, traffic, safety or life for children and parents
 - Complexity leads to more errors
 - Help children go to their nearest school if they choose to
 - Will affect children attending Ewell Grove Infant School and may endanger its survival
 - It does not include all children at the infant school
 - Tiered sibling link is not good for current parents who already have a child attending
 - Changes would benefit families living on the infant school side and penalise those living on the junior school side
 - Reduces the options for families who have children attending an infant school that does not have a feeder

20. **Introduction of admission criteria for Year 3 at Worplesdon Primary School** - Overall, three respondents agreed with this proposal and none were opposed to it.
21. Of the three respondents who agreed with the proposal two were parents and one was a headteacher (unrelated school). Of the parents, both indicated that they would be affected by the decision.
22. Reasons given for agreeing with the proposal were as follows:
- Potentially opens up a junior school option for my children
 - Will be welcomed by families who send their children to Wood Street as geographically it makes more sense to send children to a school that is close by rather than another part of Guildford
23. **Removal of Published Admission Number for Year 3 at Cranleigh Primary School** – No respondents commented on this proposal.
24. **Own admission authority schools to be considered in the assessment of nearest school** - Overall, 14 respondent agreed with this proposal whilst seven were opposed to it.
25. Of the 14 respondents who agreed with the proposal 13 were parents and one was a headteacher. Of the parents, seven indicated that they would be affected by the decision.
26. Reasons given for agreeing with the proposal were as follows:
- Fairer for children to go to their nearest school
 - Seems a fair approach
 - Distance only rule disadvantages children who do not have a choice of schools in their area
27. Of the seven respondents who were opposed to the proposal all were parents and only one indicated that they would be affected by the decision.
28. Reasons given for opposing the proposal were as follows:
- St Martin's Junior should not be included on the basis that there are only sufficient places for children at the infant school, it is able to change its policy without reference to the local authority and it is a faith school
 - Faith schools retain the right to offer places to children according to faith and it is not fair to deprive such schools from being able to recruit from Catholic families
 - Don't understand why Charter's is not included
29. **Start date to primary admissions round** - Overall, seven respondents agreed with this proposal whilst 15 were opposed to it.
30. Of the seven respondents who agreed with the proposal six were parents and one was a headteacher. Of the parents, four indicated that they would be affected by the decision.
31. Reasons given for agreeing with the proposal were as follows:
- Only if that continues through the following years
 - Children at 4 years old are too young for school
 - A more staggered approach is helpful and will enable teachers to concentrate on the changes to older pupils
 - Open days don't happen until the Autumn term anyway so easier to make an informed decisions
 - It will give parents more time to submit admissions
32. Of the 15 respondents who were opposed to the proposal 13 were parents and two were headteachers. Of the parents, only one indicated that they would be affected by the decision.

33. Reasons given for opposing the proposal were as follows:
- Don't wish to penalise children with a summer birthday
 - Would rather get it sorted sooner rather than later
 - It gives parents more time to make the right decision for their child
 - Spaces at primary schools are so complicated and restricted already
 - Can't see how it will make any difference if closing date remains unchanged
 - Consequences of concentrating parent visits into November and January would put a much larger burden on the headteacher's time
 - How would families understand that they may begin to view the school from September if they haven't already made contact with them
 - Families who view a school early and complete a school's SIF may omit to complete the Surrey application for at a later date if the dates don't coincide
34. **Surrey's Relevant Area** - Overall, five respondents agreed with this proposal whilst three were opposed to it.
35. Of the five respondents who agreed with the proposal all were parents. No reasons were given.
36. Of the three respondents who were opposed to the proposal two were parents and one was a headteacher.
37. Reasons given for opposing the proposal were as follows:
- Not sufficiently explained thus it cannot be assessed properly
 - There shouldn't be too many changes that gives uncertainty to parents and children

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SURREY COUNTY COUNCIL**CABINET****DATE: 24 FEBRUARY 2015****REPORT OF: MR MICHAEL GOSLING, CABINET MEMBER FOR PUBLIC HEALTH AND HEALTH & WELLBEING BOARD****LEAD OFFICER: SUSIE KEMP, ASSISTANT CHIEF EXECUTIVE
DAVID SARGEANT, STRATEGIC DIRECTOR FOR ADULT SOCIAL CARE****SUBJECT: SURREY BETTER CARE FUND IMPLEMENTATION - SECTION 75 AGREEMENTS WITH CLINICAL COMMISSIONING GROUPS****SUMMARY OF ISSUE:**

This report seeks approval from the Cabinet for the Council to enter into partnership arrangements under section 75 of the National Health Act 2006 ('section 75 agreements') with each of the seven Clinical Commissioning Groups (CCGs) covering the population of Surrey, enabling pooled budgets to be established to support the delivery of the Surrey Better Care Fund (BCF) plan for 2015/16.

RECOMMENDATIONS:

It is recommended that the Cabinet agrees to enter into section 75 agreements with seven Clinical Commissioning Groups (CCGs) in accordance with the principles set out in this report, to enable pooled funds to be established and to govern the delivery of the Surrey Better Care Fund Plan 2015/16 and for an agreed period thereafter (by the Cabinet and relevant CCG Governing Body).

REASON FOR RECOMMENDATIONS:

The Care Act 2014 requires that funds allocated to local areas for the Better Care Fund must be put into pooled budgets established under section 75 agreements. Authority is required from the County Council's Cabinet and each CCG Governing Body to enable each organisation to enter into the section 75 agreements.

These agreements need to be in place by 1 April 2015 to allow the funds to be pooled and invested in line with the Surrey Better Care Fund plan – this will support the joint working with the Surrey CCGs and other partners to achieve better outcomes and high quality coordinated care for Surrey residents through greater integration and alignment of health and social care services.

There are six CCGs in Surrey: East Surrey CCG; Guildford & Waverley CCG; North West Surrey CCG; North East Hampshire & Farnham CCG; Surrey Downs CCG; and Surrey Heath CCG. The seventh, Windsor and Maidenhead CCG, is also included because its population crosses Surrey in a small area of North West Surrey. Windsor, Ascot and Maidenhead CCG is consequently making a small contribution to the Surrey Better Care Fund but does not form part of the Surrey planning area.

Background

1. The Better Care Fund (BCF) is a national programme announced by the Government in the June 2013 spending round. The aim of the programme is to incentivise the NHS and local government to work more closely together around people, placing their wellbeing as the focus of health and care services. It is important to note that the funding comes from existing funding streams, the majority of which comes from health budgets.
2. Whilst BCF plans are to be agreed locally, six national conditions have been applied to the BCF – plans must:
 - be agreed jointly by councils and CCGs (and by the Health and Wellbeing Board);
 - demonstrate how local adult social care services will be protected;
 - confirm how local plans will provide 7-day services to support patients being discharged and prevent unnecessary admissions at weekends;
 - support and enable better data sharing between health and social care, based on the NHS number;
 - set out a joint approach to assessments and care planning and ensure that, where funding is used for integrated packages of care, there will be an accountable professional; and
 - identify, provider-by-provider, what the impact will be in their local area, including if the impact goes beyond the acute hospital sector.
3. The County Council has established a clear policy direction to promote and encourage the integration of health and social care (Cabinet report: 'Health and Social Care Integration' - 16 December 2014) and the implementation of Surrey's Better Care Fund plan will play an important part in achieving better outcomes and high quality co-ordinated care for Surrey residents.

Surrey Better Care Fund Plan

4. In Surrey, the County Council has worked with each of the CCGs covering the population of Surrey to develop Surrey's BCF Plan which, following a rigorous assurance process, has been approved by the national BCF team for implementation in 2015/16.
5. The Surrey BCF plan brings together a range of complementary local schemes that have been developed with each of the CCGs under three strategic aims:
 - **Enabling people to stay well** - Maximising independence and wellbeing through prevention and early intervention for people at risk of being unable to manage their physical health, mental health and social care needs;
 - **Enabling people to stay at home** - Integrated care delivered seven days a week through enhanced primary and community services which are safe and effective and increase public confidence to remain out of hospital or residential/nursing care; and
 - **Enabling people to return home sooner from hospital** - Excellent hospital care and post-hospital support for people with acute, specialist or complex needs supported by a proactive discharge system which enables a prompt return home.

Section 75 agreement

6. Section 121 of the Care Act 2014 requires the BCF arrangements to be underpinned by pooled funding arrangements set out in a section 75 agreement – a section 75 agreement is an agreement between a local authority and an NHS body in England which allows them to work in partnership to improve the way NHS and health related functions are exercised. The agreements can include arrangements for pooling resources and delegating certain NHS and local authority health related functions to the other partner(s), details of the services to be provided under the partnership arrangements, and any staff, goods services or accommodation to be provided by the partners to support the services.
7. In order to secure the BCF funding allocation of £71.4m for 2015/16 there is a requirement for a pooled fund to be set up from 1 April 2015. It is therefore necessary for the County Council and the seven CCGs covering the population of Surrey to enter into agreements under section 75 of the National Health Service Act 2006.
8. The section 75 agreement forms the basis of the governance arrangements and will set out clearly and precisely what the overall aims are; who is responsible for what; the financial arrangements; and the associated plans for reporting and accountability.
9. Working on behalf of the Surrey Health and Wellbeing Board, the Surrey Better Care Board (a partnership group co-chaired by the Strategic Director for Adult Social Care, Assistant Chief Executive and a representatives of a Clinical Commissioning Group) has made significant progress in agreeing the governance arrangements which will form the basis of the section 75 agreement - as part of the agreed Surrey BCF plan ([link](#) to the BCF plan), the Surrey Better Care Board has developed and agreed the Surrey BCF Governance Framework (annex one). This includes the contributions to the pooled funds; roles and responsibilities; governance arrangement and headline reporting requirements; and risk sharing arrangements.

Principles of the section 75 agreements

10. The total amount of funding to be pooled in Surrey is £71.4m for 2015/16 (£65.5m revenue funding, £5.9m capital funding).
11. The principles of the section 75 agreements are set out in detail within the Surrey BCF plan and the Surrey Governance Framework. The key principles include:
 - the County Council being the host each of the pooled funds;
 - specified contributions to the pooled funds from each of the partners (as set out on page 3 of the Governance Framework);
 - the funds being allocated to each pooled fund in accordance with the table below and allocated proportionately in line with the contributions made by each CCG (as set out on page 4 of the Governance Framework):

£000	Surrey total	East Surrey	Guildford & Waverley	North West Surrey	Surrey Downs	Surrey Heath	North East Hampshire & Farnham	Windsor, Ascot & Maidenhead
Protection of adult social care	25,000	3,588	4,288	7,563	6,261	2,100	993	207
Care Act (revenue)	2,563	368	440	775	642	215	102	21
Carers	2,463	353	422	745	617	207	99	20
Subtotal	30,026	4,309	5,150	9,083	7,520	2,522	1,194	248
Health commissioned out of hospital services	17,461	2,507	2,996	5,277	4,374	1,468	695	144
Health commissioned in hospital services	1,462	209	250	447	365	122	57	12
Subtotal	18,923	2,716	3,246	5,724	4,739	1,590	752	156
Continuing investment in health and social care	16,526	2,372	2,834	5,001	4,139	1,389	655	136
Total revenue	65,475	9,397	11,230	19,808	16,398	5,501	2,601	540
Disabled facilities grants	3,723	534	639	1,126	932	313	148	31
Care Act (capital)	946	136	162	286	237	79	38	8
ASC capital	1,278	183	219	387	320	107	51	11
Total capital	5,947	853	1,020	1,799	1,489	499	237	50
Total BCF	71,422	10,250	12,250	21,607	17,887	6,000	2,838	590

- Risk sharing arrangements set out under three main headings:
 - shared risks for the 'Continuing investment in health and social care' (£16.526m) elements of the pooled funds where any under or over spends will be shared 50:50 between the County Council and the relevant CCG;
 - shared risks for the 'Health commissioned in hospital services' (£1.462m) elements of the pooled funds where funds will only be contributed to the pooled fund once the 1% reduction in emergency admissions target has been achieved (this is in line with national guidance); and
 - partner risks for the 'protection of adult social care' (£25m), 'Care Act' (£2.563m), 'Carers' (£2.463m) and 'Health commissioned out of hospital services' (£17.461m) elements of the pooled fund where each partner will manage the pressures associated with these programmes and retain any 'knock on' benefits. Spend in these areas is also protected – e.g. any underspends against funds allocated to the 'protection of adult social care' should be re-invested in alternative 'protection of adult social care' provision.
- Agreed assurance and reporting mechanisms to help ensure robust and proper management of the fund and important conditions placed upon the funds to mitigate risks including:

- Local Joint Commissioning Groups (LJCGs) established in each CCG area will be responsible for agreeing local plans; remaining within their agreed budget; and monitoring and ensuring delivery of the agreed metrics;
 - once an initial expenditure plan has been agreed, any changes to this plan must be agreed in advance by the LJCG;
 - no overspends to be incurred without knowledge and agreement of relevant LJCG; and
 - any under or overspends against planned expenditure / investments and/or variations against planned BCF activity / performance metrics identified will be reported to the LJCG at the earliest opportunity to determine the cause of the variance and a mitigating action proposed by the LJCGs.
- Membership of the LJCGs vary between areas but include a senior Adult Social Care lead, CCG lead, County Council finance lead, CCG Chief Financial Officer, and other local stakeholders, including district and borough councils, patient/service user and carer representatives;
 - Regular performance, activity and finance reports will be prepared for each of the LJCGs, the Better Care Board and shared with each relevant CCG and the County Council to track progress; and
 - The agreements being written to allow flexibility:
 - for the arrangements to continue for a number of years, or to be terminated if the funding stream is discontinued; and
 - to enable additional services or funding to be added to the agreement (subject to agreement by the County Council and the relevant CCG) to support further health and social integration.
12. The Surrey BCF plan sets out the schemes that the pooled funds will be invested in. These schemes are all aligned to the strategic aims set out in paragraph 5 above.

CONSULTATION:

13. The Surrey BCF plan and Governance Framework have been presented to, and approved by, the Surrey Health and Wellbeing Board (as required by the national guidance). This has ensured that the BCF plan and associated governance arrangements have shared at various points through their development with representatives from the CCGs and district and borough councils in Surrey, Surrey Police and Healthwatch Surrey.
14. Local Joint Commissioning Groups have also been established in each CCG area to enable more detailed review and comment on the local elements of Surrey's BCF plan. Further, the Surrey BCF plan details the significant engagement of provider organisations (acute hospitals, primary care and social care providers) that has been undertaken to support the development of the Surrey BCF plan.
15. The Health Scrutiny Committee and the Adult Social Care Select Committee have received regular updates on the overall development of the Surrey BCF plan and updates have also been presented on some of the specific local schemes. A joint task group has been established by the two scrutiny committees and these have met twice to date to discuss progress, with a further meeting to be arranged to discuss progress and its role in the ongoing scrutiny of the BCF.

RISK MANAGEMENT AND IMPLICATIONS:

16. There are a number of risks that are associated with the integration of health and social care services – these include financial risks associated with managing activity and demand, workforce and staffing risks and the risks to the continuity and quality of services during a period of change.
17. The scale and complexity of the changes being developed in Surrey and the pace at which they have to be implemented increases the risk that the full benefits of integration will not be achieved either in total quantum and or within the required timeframe. Robust governance arrangements are in place to help to mitigate the risks including the use of partnership groups (e.g. the Better Care Board), and the BCF plan has been subject to national and local assurance processes.
18. The section 75 agreements are an essential part of the governance arrangements for the BCF and will set out the range of mechanisms that will be in place to manage the BCF pooled fund and the associated risks.
19. The BCF plan itself includes a detailed risk log which captures the key risks, risk owners and mitigating actions.

Financial and Value for Money Implications

20. The Surrey BCF Governance Framework (annex one) sets out the financial implications of the BCF pooled fund. This includes the contributions to the pooled funds (which total £71.4m - £65.5m revenue funding, £5.9m capital funding) and what the funds can be spent on.
21. There are four main elements of the overall fund:
 - £30m allocated to adult social care, carers and the implementation of the Care Act (this includes £25m allocated for the 'protection of adult social care');
 - £19m allocated for health commissioned services;
 - £16.5m allocated for continuing joint investment in health and social care; and
 - £5.9m capital funding allocated for Disabled Facilities Grants, Care Act and other adult social care requirements.
22. Successful implementation of the Surrey BCF plan is vital to support the financial sustainability of the health and social care system in Surrey.

Section 151 Officer Commentary

23. The Director of Finance has worked closely with the Clinical Commissioning Group Chief Finance Officers to develop the financial aspects of the governance framework. The principles of the framework will now be developed into seven formal section 75 agreements which will then ensure transparency regarding the detailed financial arrangements, including monitoring and reporting of progress.
24. The Council's Medium Term Financial Plan (2015-20) reflects the agreed pooling arrangements as set out in the approved Better Care plan.

25. The Director of Finance confirms that both of the above need to be in place ahead of finalising the plans for integration and that, in view of the risks associated with the arrangements, regular reporting is essential so that early management action can be put in place if necessary.

Legal Implications – Monitoring Officer

26. The main body of the report highlights the relevant legislation in relation to the requirement to establish pooled budgets for the BCF.
27. Legislation and associated national policy is placing a duty on local authorities to promote and encourage the integration health and social care integration – for example:
- The Health and Social Care Act 2012 places a duty on the Council’s Health and Wellbeing Board to encourage integrated working; and
 - The Care Act 2014 places a duty upon local authorities to “promote integration between care and support provision, health and health related services, with the aim of joining up services”.
28. In developing the BCF section 75 agreements, it will be important to ensure that any specific duties placed on the County Council are specified and properly managed.

Equalities and Diversity

29. Equality Impact Assessments (EIAs) will form an important part of any planning for changes to services across health and social care to assess the impact upon residents, people who use services, carers and staff with protected characteristics. Individual schemes and programmes that are part of the BCF will have EIAs completed and included as part of the local plans.

Safeguarding responsibilities for vulnerable children and adults implications

30. Improving and strengthening joint working will support the County Council and its partners to meet their responsibilities around safeguarding vulnerable children and adults – the Surrey Better Care Fund plan is an important example of this through its focus on improving services for the frail elderly population.

Public Health implications

31. A fundamental principle of the Surrey Better Care plan is the focus on helping older people to stay well through a focus on prevention and early intervention. This focus is essential to ensure that the plans deliver improved outcomes for individuals and support the shift from more expensive care in acute hospital settings to care provided at home or within the community.

WHAT HAPPENS NEXT:

32. The next steps include:
- Continue discussions with the CCGs (and their legal representatives) to finalise the section 75 agreements (by 31 March 2015).

- Establish pooled funds (and associated management arrangements) for each of the seven CCG areas in Surrey (by 1 April 2015).
-

Contact Officer:

Justin Newman, Health and Wellbeing Lead, Tel: 020 8541 8750

Consulted:

Legal Services

Finance

(Throughout the development of the Surrey Better Care Fund plan):

All members of the Surrey Health and Wellbeing Board

Health Scrutiny Committee

Adult Social Care Select Committee

Annexes:

Annex one – the Surrey Better Care Fund Governance Framework

Sources/background papers:

- The Surrey Better Care plan
 - 8 January 2015 Health and Wellbeing Board – report: The Surrey Better Care Fund
 - 16 December 2014 Cabinet meeting – report: Health and Social Care Integration
 - 23 October 2014 – Publication of the NHS Five Year Forward View
 - 2 October 2014 Health and Wellbeing Board – The Surrey Better Care Fund Plan
 - 25 March 2014 Cabinet meeting - report: Surrey Better Care Fund
 - 25 March 2014 Cabinet meeting - report: Medium Term Financial Plan 2014 to 2019
 - 11 February 2014 Council meeting - report: Report of the Cabinet 'Corporate Strategy 2014-19'
 - 4 February 2014 Cabinet meeting - report: Public Service Transformation
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SURREY BETTER CARE FUND GOVERNANCE FRAMEWORK (2015/16)

Version: 1.17.1

Approvals:

- **Surrey Better Care Board - 28/11/14**
- **Surrey Health and Wellbeing Board – 08/01/15**

1. PURPOSE

This document sets out details of the agreed governance arrangements for Surrey's Better Care Fund 2015/16. It provides information on the arrangements which have been established to ensure proper and effective management of the Better Care Fund in Surrey.

The purpose of the Framework is to support the practical implementation of the Better Care Fund including partners' financial strategy for managing the Better Care Fund through a pooled budget for 2015/16, by setting out the following:

- The financial strategy behind the framework
- Responsibilities of individuals and groups
- Actions consequent on those.

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2. OVERALL STRATEGY

Surrey CCGs and Surrey County Council have worked very closely in developing its Integrated Strategic Operating Plan and also in planning, commissioning and delivering services.

In August 2013, the Local Government Association and NHS England published their planning 'vision' for how the pooling of £3.8 billion of funding, announced by the Government in the June spending round, will ensure a transformation in integrated health and social care.

In July 2014 further guidance was published that required £1 billion of the fund to be linked to a reduction in total emergency admissions. The intention of this policy change is to ensure that a risk of failure for the NHS in reducing emergency admissions is mitigated.

One of the national conditions of the fund is that an element of it should be used to protect adult social care services. It must be used to support adult social care services in the local authority, which also have a health benefit.

Each CCG will agree a single pooled budget with Surrey County Council for health and social care services to work more closely together in local areas.

The BCF will be a pooled budget which will be deployed locally on social care and health, subject to the following national conditions which will need to be addressed in the plans:

- Plans to be jointly agreed at local system level and with the Health & Wellbeing Board;
- Protection for social care services and contributing share of the £135m cost of implementation of the Care Act;
- As part of agreed local plans, 7-day working in health and social care to support patients being discharged and prevent unnecessary admissions at weekends;
- Better data sharing between health and social care, based on the NHS number (it is recognised that progress on this issue will require the resolution of some Information Governance issues by the Department of Health);
- Ensure a joint approach to assessments and care planning;
- Ensure that, where funding is used for integrated packages of care, there will be an accountable professional;
- Agreement on the consequential impact of changes in the acute sector. This will include delivery of the reduction of emergency admissions and other factors such avoiding a negative impact on the level and quality of mental health services.

CONTEXT

The CCG's have a statutory duty to break even and under the NHS operating framework are required to deliver a 1% surplus of their resource limit. The County Council, similarly, has a statutory duty to set a balanced and sustainable annual budget by February 2015.

3. SURREY BETTER CARE FUND – THE POOLED FUNDS

The partners have agreed to establish a S75 pooled budget for each CCG area (totalling 7).

CONTRIBUTIONS TO THE POOLED FUNDS

The table below sets out the overall contributions to the Surrey Better Care Fund for 2015/16:

Organisation	Gross contribution (£000)
East Surrey CCG	9,397
Guildford and Waverley CCG	11,230
North East Hampshire and Farnham CCG	2,601
North West Surrey CCG	19,808
Surrey Downs CCG	16,398
Surrey Heath CCG	5,501
Windsor, Ascot and Maidenhead CCG	540
Surrey County Council	2,224
Districts and Boroughs	3,723
Total	71,422

Partners (CCGs and Surrey County Council) have agreed that funds are to be allocated to the pool on a 'back to back' basis i.e. on 1/12th, monthly basis to match monthly drawdowns of funds by CCGs (on an exceptional basis, an alternative payment schedule may be agreed with the host to ensure that there are sufficient funds in the pooled budget to meet the planned / committed expenditure). The section 75 Agreement will specify the practical arrangements for the flow of funds into the pooled budget¹.

An exception to the above is the health commissioned 'in hospital' services element of the pooled budgets (pay for performance associated element) which will be added to the pool upon delivery of emergency admission reductions only (see table below for details of this element of the fund).

WHAT THE POOLED FUND CAN BE SPENT ON

The table below sets out the agreed allocation of the Surrey Better care Fund:

£000	Surrey Total	East Surrey 14.35%	Guildford & Waverley 17.15%	North West Surrey 30.25%	Surrey Downs 25.04%	Surrey Heath 8.4%	North East Hampshire & Farnham 3.97%	Windsor, Ascot & Maidenhead 0.82%
Protection of adult social care	25,000	3,588	4,288	7,563	6,261	2,100	993	207
Care Act (revenue)	2,563	368	440	775	642	215	102	21
Carers	2,463	353	422	745	617	207	99	20
Subtotal (Adult Social Care & Carers)	30,026	4,309	5,150	9,083	7,520	2,522	1,194	248
Health commissioned out of hospital services	17,461	2,507	2,996	5,277	4,374	1,468	695	144
Health commissioned 'in hospital' services	1,462	209	250	447	365	122	57	12
Subtotal (health commissioned services)	18,923	2,716	3,246	5,724	4,739	1,590	752	156
Continuing investment in health and social care	16,526	2,372	2,834	5,001	4,139	1,389	655	136
Total revenue	65,475	9,397	11,230	19,808	16,398	5,501	2,601	540
Disabled facilities grants	3,723	534	639	1,126	932	313	148	31
Care Act capital	946	136	162	286	237	79	38	8
ASC capital	1,278	183	219	387	320	107	51	11
Total capital	5,947	853	1,020	1,799	1,489	499	237	50
Total BCF	71,422	10,250	12,250	21,607	17,887	6,000	2,838	590

¹ E.g. the 'Health commissioned out of hospital services' element of the fund is not intended to be a cash based transfer.

Partners have agreed the basis for each of the contributions set out above:

- the Adult Social Care and Carers funds (£30m) will be allocated from the pooled budgets to Surrey County Council to manage directly. This includes the £2.6m Care Act implementation funding, £2.5m Carers funding and £25m for the protection of Adult Social Care. The agreed local definition for the protection of Adult Social Care is:
 - Any contribution towards the £25m allocation for the protection of Social Care is dependent upon clear implementation plans (with related impact assessments) agreed locally by the LJCGs before the end of November 2014 and agreed risk share (to be agreed by the end of November 2014) against delivery of agreed metrics.
 - Assumption that the Whole Systems Funding ceases from 1 April 2015 and then is explicitly renegotiated at local level by the LJCGs (*see 'use of the continuing investment in health and social care' below*).
 - A named social care lead with decision making authority and a dedicated finance lead to be part of each LJCG.
 - The £25m payment for the protection of Social Care would not be made as a lump sum on 1 April 15 and may be by 1/12th per month.
 - Funds for the protection for Social Care must be used for the CCG population from which the funding has come.
 - Funds for the protection for Social Care cannot be used to fund local authority statutory functions or services.
 - Health and Social Care (*meaning the LJCG*) will agree jointly what specific services will be protected in each CCG area.
 - Joint monitoring, transparency and open book approach.
 - Dedicated commitment to transformation and integration at CCG level.
 - The release of social care protection money is dependent on production of a plan which demonstrates improved outcomes. If partners do not agree that plan produces the appropriate improved outcomes then a third party will be asked to arbitrate.
- the health commissioned out of hospital services (£17.5m) funds are pooled and will be allocated from the pooled budgets to the CCGs to manage directly. LJCGs will jointly agree the health schemes that this funding will be spent on in order to achieve the necessary whole systems benefits (primarily reductions in acute admissions).
- the use of the health commissioned 'in hospital' services (£1.5m) will be as follows:
 - If admissions reduce in line with the specific targets then the funding will be contributed to the pooled budget to be spent on health schemes (to be agreed by each LJCG).
 - If admissions do not reduce in line with the specified targets, these funds will be retained by the CCGs.
- use of the continuing investment in health and social care (£16.5m) will be agreed locally by each of the LJCGs as set out in section 5 of this governance framework.
- the disabled facilities grant (£3.7m) will be allocated directly to the district and borough councils.
- the remaining capital funds will be allocated to Surrey County Council to support implementation of the Care Act and Adult Social Care priorities.

Plans for each LJCG should include an agreed schedule with planned expenditure/investment and metrics (benefits and activity/volumes) against all schemes / projects across all elements of the BCF pooled fund (including the protection of adult social care element).

Partners will bear all their own costs for what are considered 'non-pooled budget' services/activity (including but not limited to overheads, internal recharges, incidental expenses, damages) and such costs must not be paid out of the Pooled Fund. External audit fees for the audit of the BCF pooled budgets will be funded from the pooled budget (from the 'continuing investment in health and social care' element of the funds).

HOSTING AND MANAGEMENT ARRANGEMENTS

The regulations require that one of the partners is nominated as the host of each pooled budget and this body is then responsible for the budget's overall accounts and audit.

The partners have agreed to establish a pooled budget for each CCG, totalling 7. Each LJCG will agree which partner will host the pooled budget.

Responsibilities in relation to the hosting of the fund include:

- The host must appoint / nominate a pool manager whose role is covered appropriately by standing financial instructions / prime financial policies and the scheme of delegation
- *In-year reporting of the performance of the pooled budget to the parties to the agreement must be undertaken by the host on a quarterly basis
- *The host (through a nominated 'pool manager') must provide monthly detail of accruals, income to and expenditure from the pooled budget as well as '...other information by which the partners can monitor the effectiveness of the pooled (budget) arrangements.'
- The host must arrange for their appointed external auditor to certify the pooled budget accounts.
- The host must review other requirements within the S75 Agreement and ensure compliance.
- The host must, to meet the requirements of an annual return, prepare and publish a full statement of spending, signed by the host's Statutory Finance Officer to provide assurance to all other parties to the pooled budget – this is likely to include:
 - Contributions to the pooled budget
 - Expenditure from the pooled budget
 - The difference and the treatment of the difference
 - Any other agreed information
- The host will authorise income and expenditure in relation to the Pooled Fund in accordance with its own or each partner's standing orders and financial regulations, dependant on where the individual contracts will sit and who will make direct payments to those providers.
- The host will be responsible for ensuring that appropriate capital accounting arrangements are applied.
- The host will be responsible for ensuring that the VAT arrangements are compliant with both NHS and local authority VAT regimes as appropriate.

*requirements set out in SI 2000/617 section 7

LEGISLATIVE BASIS FOR THE POOLED FUNDS

The arrangements for the Better Care Fund must comply with section 75(2) of the NHS Act 2006. The Act provides for the establishment and maintenance of a fund based on contributions by one or more NHS Bodies and one or more local authorities in relation to health related functions. In practical terms this means the money invested in a pooled budget can only be spent with the agreement of both parties on activities that benefit both health and social care. It is imperative to check that services considered for inclusion in the pooled budget can be incorporated legitimately and that no ultra vires spending is incurred.

The fund will be operated for each LJCG level as a single budget with all partners to deliver specific outcomes at a local level. It is a formal arrangement, governed by legislation and as such is subject to formal agreement and processes of the CCG Governing Body and approval by Surrey CC Cabinet. This influences the services supported, the way in which the fund is used and how the use of the fund is reported and accounted for, and the arrangements that must be in place to ensure the taxpayers money is used wisely and for its intended purpose. It is important to note that whilst the Better Care Fund will operate as a pooled budget, the conditions attached to each funding stream will still have to be met. For example, where funding such as the Disabilities Facilities Grant has been earmarked for a particular purpose, it must be used for that purpose. This may have implications for the accounting arrangements and parties must consider what information is required to gain assurance that ringfenced elements of the pooled budget have been spent appropriately.

The section 75 Agreement will set out the responsibilities and requirements in relation to procurement and contracting of services in relation to the pooled budgets.

An element of funding related to former section 256 funding arrangement is to be added to the CCG's baseline in 15/16 before transfer to the pooled budget is made. Other funding may be added into the Better Care Fund at this time if agreed at the LJCG and by the appropriate funding organisation, i.e. Third Sector grants.

4. RISK SHARING AND MANAGEMENT

SCOPE OF THE RISK SHARING ARRANGEMENTS

Partners acknowledge that there are two main risk types:

- shared partnership risks; and
- partner organisational risks associated with the move towards integrated working that are specific to each partner.

All LJCGs should develop and agree their own local risk management arrangements (including a risk register) associated with the delivery of local plans.

Individual partners will be reviewing their own leadership risk registers to ensure full account is taken of any organisation specific risks (financial and operational), while the overall better care plan will contain a risk register covering shared risks.

SHARED RISKS (£16.5m continuing investment in health and social care element of the fund)

Partners have agreed to share risks for the continuing investment (£16.5m) funds as follows:

- spend to be agreed locally by LJCG. The appointed representatives from each organisation will have approval to agree how the joint funds allocated to the LJCG are spent.
- once an initial expenditure plan has been agreed, any changes to this plan must be agreed in advance by both partners of the LJCG
- under or over spends to be shared 50:50
- no overspends to be incurred without knowledge and agreement of relevant LJCG
- LJCG's are permitted to allocate up to 15% to a contingency to mitigate against increased acute costs if admissions do not reduce in line with stated requirement outlined in the pooled fund. Where LJCGs agree a contingency, this amount will be set aside in the pooled fund. If admissions reduce in line with the stated requirement outlined in pooled fund and agreed at the LJCG then the contingency will be released for investment in new joint social care and health schemes. If admissions do not reduce as required, then the contingency will be released to CCGs to offset the level of pressures caused by failure to reduce admissions as planned.

SHARED RISKS (£1.5m health commissioned 'in hospital' services – the pay for performance element)

- For each CCG the P4P funds (£1.5m) will only be added to the pool once the specific CCG's 1% emergency admissions targets have been achieved at the local level.

PARTNER ORGANISATION RISKS (£30m and £17.5m)

Risks for each partner performing their duties through the partnership arrangement include:

- Each partner will manage pressures associated with these programmes themselves
- Each partner organisation to retain full knock on benefits
- Spend in these areas is protected (e.g. any underspend against funds allocated to health commissioned out of hospital services should be re-invested in alternative health commissioned out of hospital services as agreed by the relevant LJCG. The same applies to the funds allocated to the protection of adult social care).

The assurance and reporting mechanisms section below sets out the reporting mechanism to enable LJCGs to identify and mitigate any under or overspends against planned expenditure / investments and/or variations against planned BCF activity / performance metrics.

5. GOVERNANCE AND ACCOUNTABILITY

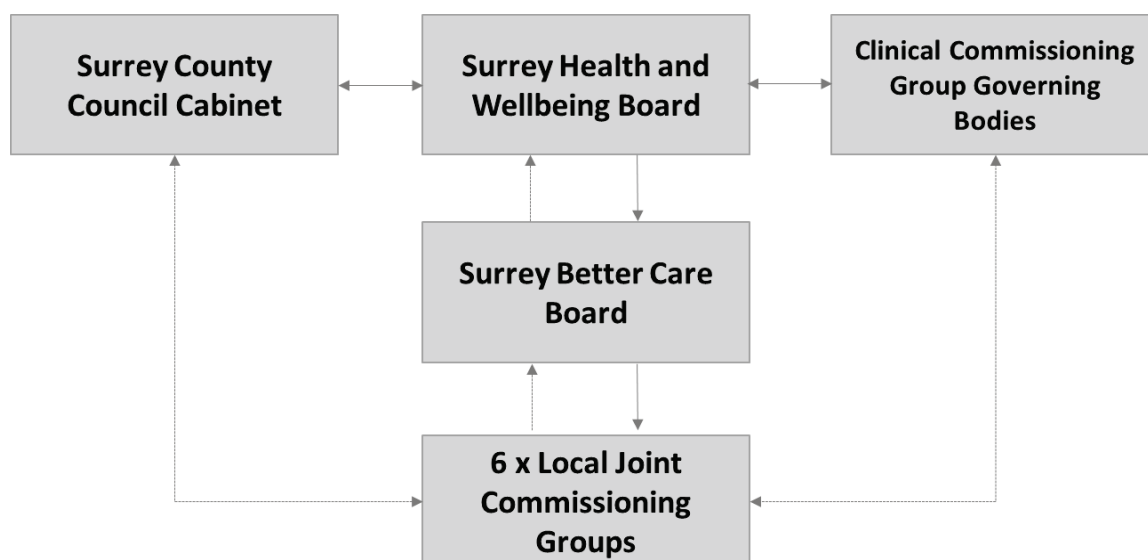
GOVERNANCE STRUCTURE

The model of governance (shown below) builds on strategic work at the Surrey Health and Wellbeing Board which is co-chaired by a County Councillor and a CCG Health and Wellbeing Board representative. Our model recognises that the pooled budget arrangements do not constitute a delegation of statutory responsibilities – these are retained by the CCG Governing Bodies and the County Council’s Cabinet.

The Surrey Better Care Board is a partnership group, co-chaired by representatives of a Clinical Commissioning Group and the County Council. The Better Care Board operates on behalf of the Health and Wellbeing Board providing strategic leadership across the health and social care system.

At a local CCG level,² six local joint commissioning groups have been established – this enables each area to address the range of different communities across Surrey and will drive local ownership and leadership.

The governance structure and this governance framework are intended to support and enable decision making at the local level (through the LJCGs). Representatives within the LJCGs will need to ensure the decisions made at a local level are within their own organisation’s scheme of delegation.



ROLES AND RESPONSIBILITIES

Body	Roles and responsibilities
Local Joint Commissioning Groups (LJCGs)	<p>Provide a joint commissioning framework for the delivery and implementation of the Better Care Fund plan and integration in each LJCG, to:</p> <ul style="list-style-type: none"> • Agree local plans to determine how the amount allocated to each LJCG area will be spent. Allocations to LJCGs will be agreed at the Better Care Board with final sign off by the Health and Wellbeing Board; • Jointly commission and oversee the operational delivery of local services to improve outcomes for the local adult population via the Surrey Better Care Fund plan; • Drive closer integration between health and social care; • Support the strategic shift from acute to community and to protect social care services;

² The six LJCGs cover the following CCG areas: East Surrey; Guildford & Waverley; NE Hampshire & Farnham; North West Surrey; Surrey Downs; and Surrey Heath. Alternative arrangements are in place to manage the pooled fund with Windsor, Ascot and Maidenhead.

	<ul style="list-style-type: none"> • Invest funds prudently to generate whole systems benefits and avoid new pressures for joint BCF schemes; • Monitor and report financial, quality and performance outcome measures to the Better Care Board; • Remain within agreed budget (the CCG's Chief Finance Officer and SCC finance lead) will take the lead in ensuring that income and expenditure of the LJCG is accounted for correctly); • Monitor and ensure delivery of agreed metrics; • Report to the local Transformation Board (or equivalent) to ensure provider engagement; • Develop appropriate skills and knowledge to manage budgets effectively; • Develop consistent standards and operational procedures; • Exercise control over budgets delegated to them, identifying and reporting risks and exceptions and taking action to manage variations from plan; and • Comply with Delegated Financial Limits, financial policies and procedures of the organisation, and requests to supply information to auditors. <p>Decision-making responsibilities are clear and stated in the terms of reference of the LJCG, with explicit delegated powers to take decisions about the fund, with clear rules governing its operation.</p> <p>The LJCG will make a local decision on appropriate membership, to be agreed by CCG Governing Body and Better Care Board.</p> <p>A named social care lead with decision making authority and a dedicated finance lead to be part of each LJCG.</p> <p>The CCG and Surrey County Council will have equal status in relation to all aspects of governance and decision-making for each LJCG.</p>
Better Care Board	<p>The Better Care Board has responsibility to:</p> <ul style="list-style-type: none"> • Formulate, agree and implement strategies for achieving the objectives of the Fund; • Oversee the implementation and management of the joint Agreement and related Service Contracts; • Monitor and assure delivery of the agreed improvement targets and trajectories; • Review performance of the pooled budgets; • Seek to determine or resolve any matter referred to it by the Local Joint Commissioning Groups; • Provide strategic oversight across LJCG plans, identifying complementary workstreams and opportunities to align improvement initiatives; • Promote and ensure effective engagement with wider partnership arrangements in Surrey, including but not limited to the Health and Wellbeing Board and Partnership Boards; • Ensure effective clinical / professional leadership and project management arrangements are in place; • Ensure engagement with patients, service users and local communities is meaningful and effective; • Promote learning that can be shared and / or applied to different client groups; and • Determine and approve the Terms of Reference of the Local Joint Commissioning Groups.
Health & Wellbeing Board	<p>The Health & Wellbeing Board:</p> <ul style="list-style-type: none"> • sets and monitors the overarching strategy across the Surrey health and care system; • receives assurance through regular updates from the Better Care Board on progress to implement the Better Care Fund Plan; • has overall accountability for approving and delivery of the Better Care Fund Plan.

CCGs / SCC	<ul style="list-style-type: none"> • CCG Governing bodies and the SCC Cabinet retain their statutory responsibilities for the delivery of statutory services and are accountable for the proper use of resources. • The CCG Accountable Officer remains accountable for the use of these resources. • CCG Governing bodies will be asked to approve the local plans created by the LJCGs. • Adult Social Care Area Directors will approve the local plans created by the LJCGs on behalf of Surrey County Council. • SCC Cabinet and CCG Governing bodies will determine any additional contributions from their respective organisations to the BCF pooled budget beyond the required minimum. • The Director of Adult Social Care Services remains accountable for the delivery of local authority adult social services functions (in line with relevant legislation).
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ASSURANCE AND REPORTING MECHANISMS

Set out below are a combination of internal and external assurance mechanisms to ensure appropriate use of the pooled budgets and drive delivery of Surrey’s Better Care Fund plan. These are in addition to the reporting and assurance requirements of the ‘host’ set out under section 3 above.

Performance, activity and finance reporting

Reports will be prepared for each LJCG in relation to key financial and activity / performance metrics. These reports will be provided to each LJCG, reported to the Better Care Board, and shared with each relevant CCG and Surrey County Council.

The finance reports will be prepared on a monthly basis to support the monthly meetings of the LJCG and the Better Care Board.

CCG Chief Finance Officers and senior finance representatives from Surrey County Council will take the lead in ensuring that income and expenditure of the LJCG is accounted for correctly. The finance elements of the report will contain key financial analyses and highlight significant finance issues. Budget holders will also be provided with budget/expenditure comparison reports.

The CCG Governing Body will be informed of Better Care Fund financial performance as part of the overall CCG finance report and Surrey County Council Cabinet via its monthly finance report.

The CCGs and Surrey County Council have developed a Finance Report to identify and report upon key financial issues, an example of the agreed format of the report is appended as Appendix B which will include schedules of allocations, year to date spend, and forecast outturn.

The Surrey BCF metrics group, which has representatives of Surrey County Council and each of the CCGs on it, will coordinate the reporting of the BCF activity / performance metrics. An agreed quarterly reporting framework has been agreed which ensure each LJCG reviews and validates performance against the metrics, before they are collated and presented to the Better Care Board. Appendix C shows the six metrics and an example reporting format.

Any under or overspends against planned expenditure / investments and/or variations against planned BCF activity / performance metrics (including the reduction in emergency admissions metric) identified will be reported to the LJCG at the earliest opportunity to determine the cause of the variance and a mitigating action proposed by the LJCGs.

The Surrey Health and Wellbeing Board will receive updates twice a year providing the latest information in relation to the BCF financial and activity / performance metrics.

All partners to the pooled budgets will be committed to joint monitoring, transparency and an open book approach – for example, financial reporting will include schedules of transactions and details of any accruals, and copies of invoices will be made available when requested.

Internal Audit

The internal auditors of the host will be responsible for the internal audit of the pooled fund. They will agree their audit plan in relation to the pooled fund with the Audit Committee of the Host. Internal auditors of the Host will provide assurance on the systems administering the pooled fund to each partner.

External Audit

The external auditors of the host will be responsible for the external audit of the pooled fund. They will agree their audit plans in relation to the pooled fund with the Audit Committee of the Host. External auditors of the Host Partner will provide assurance to the auditors of other partners in relation to the disclosures required in their accounts.

Copies of all audit reports in relation to the pooled budget to be reported to the Health and Wellbeing Board and CCG Governing Body.

PROGRAMME AND FINANCIAL MANAGEMENT SUPPORT

Programme management and secretariat support to the LJCGs will be agreed and secured locally.

Programme management and secretariat support to the Better Care Board will be provided by Surrey County Council and a named representative of the CCGs.

Financial management staff within both Surrey County Council and CCGs will be responsible for providing professional advice, regular financial management reports regarding use of the pooled budget, and support to the LJCG, budget holders and other staff to enable them to fulfil their financial responsibilities. Senior Finance representatives of both organisations are formal members of the LJCG and will attend or provide deputising arrangements. The Director of Finance for Surrey County Council and a coordinating representative of the CCGs' Chief Finance Officers will sit on the Better Care Board.

REVIEW ARRANGEMENTS

A signed joint S75 Agreement for the fund must be in place by 1 April 2015. This forms the basis of the arrangement and should set out clearly and precisely what the overall aims are, who is responsible for what, the associated accountability and reporting arrangements and the rights of each partner to terminate the agreement (with associated timescales).

The agreement should be reviewed at least annually to ensure that the arrangement remains relevant to local circumstances and that all those involved are working towards the same goals.

This document is subject to change if new guidance is issued.

7 ESCALATION PROCESS / DISPUTE RESOLUTION

Where the LJCG is unable to reach agreement representatives of the CCG Governing Body and Surrey County Council will meet in order to review the areas of disagreement with the aim of resolution.

Where resolution cannot be reached, the CCG Chief Officer and Director of Adult Social Care should agree a third party to arbitrate.

8 APPENDICES

Appendix A summarises the essential measures and controls contained in the CIPFA/HFMA guide to pooled budgets and the better care fund which must be considered.

Appendix B shows an example of the finance report format

Appendix C shows an example of the activity / performance metrics report format

Appendix A – the essential measures and controls contained in the CIPFA/HFMA guide to pooled budgets and the better care fund which must be considered.

Governance arrangements

- The governance arrangements for the pooled budget should meet the requirements of all partners
- Each partner must satisfy itself the pooled budget complies with requirements of its appropriate code of governance.
- Each partner must satisfy itself that all other regulatory requirements are met.
- In-year changes to plans must be subject to appropriate authorisation/approval including final sign-off by relevant HWB.
- In-year financial reporting must comply with the requirements of SI 2000/617 section 7 paragraph 4(b)
- Parties to the pooled budget will need to reflect the better care fund in their risk register.
- Risks of pooled budget arrangements must be assessed and as necessary be subject to ongoing internal audit review.
- Supporting assurance must be obtained that the information received in relation to the fund is correct and accurate.
- There must be a process for alerting the CCG governing body and local authority cabinet/executive of concerns about delivery of better care fund projects.
- CCGs will probably be required to identify if there have/have not been significant financial issues relating to the pooled budget for the period of the governance statement.
- Other than the host, parties to the pooled budget must identify what assurance information they require on the projects from other organisations.
- Those charged with governance need to assure themselves that the data underpinning the above assurances is robust, then consider the results and the implications for the achievement of the fund's objectives.

Operational structures

- Each local area must determine the operational structure for their pooled budget.
- The HWB must sign off pooled budget plans.
- The HWB must implement measures for the on-going oversight of better care fund projects.
- The operational structure must include formal delegation arrangements.
- The membership and terms of reference of the HWB must be appropriate.

Hosting

- The decision on which partner hosts the pooled budget should be made locally.
- While the host body will have delegated powers it will need to work within the reporting and management environments of the partnership

Signed agreement

- The signed agreement must set out precisely what the overall aims are; who is responsible for what and the associated plans for reporting and accountability.
- The agreement should be reviewed regularly.

Information requirements

- The information required to support performance monitoring and reporting must be identified in advance and collected on a regular basis from the outset.

Financial arrangements

- Parties to the pool will need to discuss with their external auditors the assurances that will be required in order to sign off the year-end accounts.
- The pooled budget host must ensure that VAT arrangements are compliant with NHS and local authority VAT regimes.
- The pooled budget host will be responsible for ensuring that appropriate capital accounting arrangements are applied as required.
- Regular and timely performance reports must be provided for the HWB, the CCG governing body and the local authority cabinet/executive.
- All parties to a pooled budget must understand and consider the various issues relating to the year-end financial processes in advance of the year end itself.
- The accountable officer/section 151 officer must consider the assurances that may be required to sign off accounts that include pooled budget transactions.
- For joint operations, parties should account for their share of as the assets, liabilities, income and expenditure in accordance with IFRS 11.
- Under SI 2000/617 paragraph 7(4), hosts must submit an annual return to the partners about the income and expenditure of the pooled fund.
- The annual return must include a full statement of spending, signed by the accountable officer/section 151 officer

Appendix B – an example of the finance report format

LJCG scheme 15/16	Spend proposal 15/16 £'000	Spend to date 15/16 £'000	Expected outturn forecast 15/16 £'000	Benefit – activity	Benefit – saving £'000
Protection of ASC – scheme 1					
Protection of ASC – scheme 2					
Protection of ASC – scheme...					
Health commissioned out of hospital services – scheme 1					
Health commissioned out of hospital services – scheme 2					
Health commissioned out of hospital services – scheme...					
Continuing investment in health and social care – scheme 1					
Continuing investment in health and social care – scheme 2					
Continuing investment in health and social care – scheme...					

8

Appendix C - an example of the activity / performance metrics report format



Better Care Board –
Metrics
Surrey

Process - Prepared by the BCF Joint Metrics Group and signed-off by the LJCG (Please see metrics reporting process timeline)
Purpose - Report progress (quarterly) against the BCF national metrics to the Better Care Board – this will be done at a local level wherever possible and at a Surrey level to meet national reporting requirements; Enable the Board to report progress to the Surrey Health & Wellbeing Board; Support sharing of best practice amongst LJCGs

Date: Q2 14/15

CCG Name	Metric	Baseline (14-15 figures are CCG)	Plan for Pay for performance
		84 81 82 83 (Jan 14 - (Apr 14 - (Jul 14 - (Oct 14 - (Jan 15 - (Apr 15 - (Jul 15 - (Oct 15 - (Jan 16 - (Mar 16)	84 81 82 83 (Jan 15 - (Apr 15 - (Jul 15 - (Oct 15 - (Jan 16 - (Mar 16)
Non - Elective admissions (general and acute)	Total non-elective admissions in to hospital (general & acute), all-age, per 100,000 population	Quarterly rate Numerator Denominator	Actual

CCG Name	Metric	Baseline	Planned	Actual
		2013/14 2014/15 2015/16	Q1 Jun Q2 Sep Q3 Dec Q4 Mar	
Local Metric	Estimated diagnosis rate for people with dementia (Surrey target)	Diagnosis % diagnosed	Prevalence of dementia (Number Expected)	

SURREY	Metric	Baseline	Planned	Actual
		2013/14 2014/15 2015/16	Q1 (Apr 14 - Jun 14) Q2 (Apr 14 - Jun 14) Q3 (Apr 14 - Jun 14) Q4 (Apr 14 - Jun 14)	
Residential admissions	Permanent admissions of older people (aged 65 and over) to residential and nursing care homes, per 100,000	Annual Rate Numerator Denominator		
Reablement	Proportion of older people (65 and over) who were still at home 91 days after discharge from hospital into reablement/ rehabilitation services (Countwide data)	Annual % Numerator Denominator		

SURREY	Metric	Baseline	Planned	Actual
		2014/15 Plan	2015/16 Plan	
		Q1 (Apr 13 - Jun 13) Q2 (Apr 13 - Jun 13) Q3 (Apr 13 - Jun 13) Q4 (Apr 13 - Jun 13)	Q1 (Apr 14 - Jun 14) Q2 (Apr 14 - Jun 14) Q3 (Apr 14 - Jun 14) Q4 (Apr 14 - Jun 14)	Q1 (Apr 15 - Jun 15) Q2 (Apr 15 - Jun 15) Q3 (Apr 15 - Jun 15) Q4 (Apr 15 - Jun 15)
Delayed transfers of care 18+	Delayed transfers of care (delayed days) from hospital per 100,000 population (aged 18+)	Quarterly rate Numerator Denominator	Actual	

SURREY	Metric	Baseline	Planned	Actual
		2013/14 2014/15 2015/16	Q1 Jun Q2 Sep Q3 Dec Q4 Mar	
Patient / Service User Experience	Friends and Family Test (Inpatient)	Metric Value (%) Numerator Denominator		

SURREY COUNTY COUNCIL**CABINET****DATE: 24 FEBRUARY 2015****REPORT OF: MR MEL FEW, CABINET MEMBER FOR ADULT SOCIAL CARE****LEAD OFFICER: DAVID SARGEANT, STRATEGIC DIRECTOR ADULT SOCIAL CARE****SUBJECT: IMPLEMENTING THE CARE ACT – CHARGING POLICY****SUMMARY OF ISSUE:**

From 1 April 2015, local authorities must implement part 1 of the Care Act 2014. Under part 1 of the Act, new rules for charging will apply when a local authority arranges care and support to meet a person's support needs. These rules include discretionary powers to be determined by local policy.

At the Cabinet meeting on 25 November 2014, it was agreed that the Council would consult on the proposals to revise the charging policy for adult social care services.

This report summarises the responses to the consultation and sets out a new charging policy for adult social care services and a new deferred payment policy. The Cabinet should consider the summary of consultation responses which can be found at Annex 1.

RECOMMENDATIONS:

It is recommended that:

1. The Cabinet approves the new charging policy for Adult Social Care at Annex 2.
2. The Cabinet approves the Deferred Payment Policy and schedule of charges at Annex 4.

REASON FOR RECOMMENDATIONS:

The Council must revise its current Charging and Deferred Payment Policies to meet the requirements of the Care Act 2014. The proposed policies provide an open and transparent framework which will enable people to make informed decisions about how their care and support needs may be met.

The proposals do not significantly change charging for the majority of people currently receiving care and support.

The recommended Deferred Payment Policy provides more flexibility to people in relation to how they fund their care and support and is in line with the legislation, allowing people to pay for residential care without needing to sell their homes during their lifetime to cover the cost of their care.

Introduction

1. This report sets out the key proposals for a new charging policy and a new deferred payment policy from 1 April 2015, to comply with the Care Act. In particular, it addresses charging for Adult Social Care Services using the new power under the Care Act as well as power to charge an administration fee for arranging care for people who could otherwise self-fund.
2. This report also highlights key recommendations in the charging policy concerning, the amount of net available income taken in charges, the treatment of capital and the Council's position on charging carers.

Charging for Adult Social Care Services

3. Under the existing legislation, local authorities have a legal duty to charge for residential and nursing care and a *power* to charge for non-residential services. The Council has previously determined that it will exercise the power to charge for non-residential services in addition to the statutory duty to charge for residential and nursing care. Income from charging for 2014/15 will be in the region of £42 million. This income is an essential contribution to Adult Social Care's budget
4. Under the Care Act 2014, the legal basis for charging for *any* adult social care services changes to a power to charge. This means that from 1 April 2015, a local authority must determine whether or not to exercise this new power to charge.
5. The Cabinet agreed, on 25 November 2014, to consult on whether or not to exercise this new power. A summary of the consultation responses is attached at Annex 1, paragraph 1.
6. It is recommended that the Council continues to charge for all residential and nursing care and non-residential services as set out in the charging policy at Annex 2.

Power to make a charge for putting arrangements in place

7. Under the current rules, local authorities may only recover the direct costs of providing or arranging services, that is, the actual cost of a residential or nursing placement or the cost of care and support at home.
8. From 1 April 2015, when a person (known as a full-cost payer) has capital above the upper capital limit, (currently £23,250) and the Council has a duty to make arrangements for their care and support needs to be met in a residential or nursing care home, or the Council is requested to meet the person's needs in their own home, local authorities may charge an arrangement fee. The arrangement fee or 'administrative charge' may cover the cost of managing the contract with the provider and any administration costs.
9. The Council currently funds around 200 care home placements and recovers the full charge from the person. An administrative charge would enable the

Council to recover the costs of managing any new placements in future in addition to recovering the cost of the placement.

10. From 1 April 2015, the Council's preferred arrangement for meeting the care and support needs of people in their own homes will be via a direct payment net of any contribution. For those people who are required to pay the full cost of their care, there would be no administrative costs involved and therefore no similar administrative charge.
11. The Cabinet agreed to consult on whether or not to charge a fee to cover the cost of putting arrangements in place for those people who are required to pay the full cost of their care and move into a residential or nursing care home. A summary of the consultation responses is attached at Annex 1, paragraph 2.
12. It is recommended that an administrative charge will be made for residential and nursing placements. The administrative charge will reflect the cost incurred in putting the arrangements in place, including any ongoing costs. It is estimated that the average set up cost of putting arrangements in place is equivalent to £265 per placement with an annual charge of £75. If agreed, these charges will take effect from 1 April 2015 and will be subject to annual review.

Percentage of available income taken in charges

13. Under the current charging policy for non-residential services, the financial assessment calculates the service user's gross weekly income, less certain disregarded income, less statutory allowances, certain housing costs and any disability related expenditure to determine the amount of net available income left over for charging. The Council's current charging policy is to take 80% of the net available income in charges.
14. Many neighbouring local authorities take between 90% and 100% of net available income. A table to show the comparison with other local authorities is attached at Annex 3.
15. The Cabinet agreed to consult on whether or not to increase the amount of available income taken in charges from 80% to 90%. A summary of the consultation responses is attached at Annex 1, paragraph 3.
16. It is recommended that the Council increases the percentage of available income taken in charges from the current 80% to 90%. The level of the disagreement with this proposal has been considered along with the potential benefit to the Council in supporting the sustainability of adult social care services. If agreed the increase would take effect from 1 April 2015.

Treatment of capital

17. The new charging regulations prescribe a capital limit (above which people pay the full cost of their care and support) of £23,250 for both residential and non-residential services. Under Surrey County Council's current charging policy, which was set in 2003, the capital cut-off limit for non-residential services is £24,500. It is likely that the national capital cut-off limit will increase to £27,000 in April 2016, it is recommended that the Council retain the capital limit £24,500 for non-residential services and revisit this item in 2016.

18. Where a person has capital between the lower limit (£14,250) and upper limits (£23,250), the charging regulations treat each £250 of capital as equivalent to £1 weekly income. This is known as tariff income. The Council's charging policy for people receiving care and support at home, is to use tariff income on capital equivalent to the amount of interest the person could earn if the capital was invested in a high street bank or building society account. This approach was agreed as part of the consultation in 2003. The new charging rules do not permit tariff income to be calculated in this manner. It is therefore recommended that we disregard income from capital for those people receiving care and support at home. This will reduce the Council's overall income by approximately £1,700 per annum.

Charging Carers

19. The new regulations on charging can be applied to both adults and carers receiving services where the carer is the direct recipient of the service. The Council will need to determine whether or not it intends to charge carers. Carers make a significant contribution towards care and support at home that would otherwise incur additional costs for the Council. It is proposed that the Council will not introduce charging for carer's services.

Universal Deferred Payment Scheme

20. Currently, deferred payment agreements are discretionary. At any one time the Council has approximately 80 agreements in place and proactively offers the scheme to people who meet our criteria. From 1 April 2015, local authorities must offer a deferred payment to people who meet the basic eligibility criteria for the national scheme.
21. The Cabinet agreed to consult on the operation of the new deferred payment scheme.
22. There was a very limited response to the deferred payment consultation despite the efforts to raise awareness of it, only four responses were received. Consequently the responses have not significantly influenced the proposals. It is recommended that the Council implement the scheme from 1 April 2015 as set out in the policy at Annex 4. The discretionary elements of the scheme to be determined by local policy are:
- The Council is permitted to offer a deferred payment agreement to people who do not meet the basic eligibility criteria. The proposed response to this new power is covered in paragraphs 11 and 12 of the policy document at Annex 4. In particular they reflect promotion of the use of deferred payments to encourage people to consider supported living and extra care housing arrangements as an alternative to residential care.
 - The Council may seek contributions from a person's income, savings or other assets but must leave the person with up to £144 per week available income. It is recommended that we will require a contribution from a person's income to minimise the level of debt.
 - The Council is permitted to accept forms of security other than the first legal charge on a property. It is recommended that the Council would consider this on a case by case basis if a first charge on a property were not available.

- The Council is permitted to charge compound interest on any amount deferred from the commencement of the agreement until the debt is repaid. The amount of interest must not exceed the maximum amount specified in regulations. It is recommended that the Council will charge interest at the maximum amount specified in regulations. The interest rate to be applied from 1 April 2015 is 2.65%.
- The Council is permitted to charge an administration charge to include any reasonable costs incurred by the council in relation the deferred payment agreement. At the Cabinet meeting on 25 June 2013, it was agreed that the Council charge legal fees of £250 plus the cost of any Land Registry fees for any deferred payment application whether or not the matter proceeded to completion and a further £125 for the work involved in discharging the legal charge. It is recommended that the Council extend the charges as set out in the schedule of charges attached to Annex 4. If agreed, these will apply from 1 April 2015 to all new applications.

CONSULTATION:

23. Consultation on elements of the Council's charging policy took place from 15 December 2014 for a period of 7 weeks. Consultation documents were issued to 6,400 people in receipt of non-residential chargeable services and 1662 completed questionnaires were received; a response rate of around 26%. An analysis of the responses received is attached at Annex 1.
24. The Council gave people an opportunity to comment on the consultation and a wide range of views were expressed, ranging from those people who disagree with charging for social care to those people who believe that it is reasonable to make a charge if a person can afford to contribute towards their social care and support. These responses are summarised at Annex 1.
25. Consultation on the discretionary elements of the deferred payment took place during the same period. Surrey County Council received just 4 responses to the consultation. This is despite the fact that we circulated information to all Surrey libraries, the Hubs and to the organisations represented at the Care Act Implementation Board. Details of the consultation were also included in a newsletter to 2,000 people on the Surrey Disability Register and to 1,600 staff and partners in the electronic newsletter for Adult Social Care.
26. The Council will monitor take-up of the new scheme from April 2015 to determine whether changes are necessary to improve access to the scheme. There will be a further opportunity to revisit the scheme as part of the implementation of the funding reforms in 2016.

RISK MANAGEMENT AND IMPLICATIONS:

27. There is a reputational risk if the Council implements policy changes but fails to consult on matters where the public expect to be consulted. The recommendations in this report reflect both the response rate and the analysis of responses received.

FINANCIAL AND VALUE FOR MONEY IMPLICATIONS:

28. Continuing to charge for residential and non residential care is essential in order to sustain the Adult Social Care budget. A decision not to charge would cost the Council up to £42m of receipts annually. This income could not be replaced by savings or alternative funding sources and so reductions in service provision would be required in order to make up the shortfall.
29. The proposal to increase the percentage of disposal income taken into account when calculating assessed charges for non residential care to 90% is estimated to generate £440k of additional income towards the services budget and would bring Surrey in line with the majority of other local authorities.
30. In light of the financial pressures the Council faces, it is equally important that any new charging policies do not create any additional administrative burden. As such, it is appropriate that, subject to consultation, administration charges are levied on commissioning care for individuals who have the means to pay for their own care and for offering deferred payment agreements. This will ensure that front line services are not affected by these policy changes.

Section 151 Officer Commentary

31. The income received from charging for social care is an important aspect of the Council's overall funding. The Section 151 Officer supports the policy changes outlined in this report in order to maintain income levels to support the delivery of Adult Social Care services and avoid additional costs arising as a result of some of the new requirements of the Care Act.

Legal Implications – Monitoring Officer

32. In recognition of its duty to consult, the Council carried out a 7 week consultation process which resulted in 1,662 completed responses. The consultation exercise was directed at consultees who were considered most likely to be affected by the proposals. All responses have been collated, summarised and will be considered by the Cabinet prior to making a decision on the recommendations made in this report. The Council is therefore satisfied that the duty to consult has been fulfilled.

Equalities and Diversity

33. The equalities impact assessments can be found at Annex 5 and 6.

WHAT HAPPENS NEXT:

34. Subject to the Cabinet agreeing the recommendations:
- a) The Council will publish its revised policies on its website
 - b) Use the policies to revise its relevant public information
 - c) The policies will be implemented from 1 April 2015

Contact Officer: Toni Carney, Head of Resources, Adult Social Care, 01483 519473

Consulted:

David Sargeant – Strategic Director Adult Social Care
William House – Finance Manager
Deborah Chantler – Principal Lawyer

Annexes: Annex 1 Responses to the Consultation
Annex 2 Charging Policy – Adult Social Care Services
Annex 3 Table of other local authorities % of available income
Annex 4 Deferred Payment Policy April 2015
Annex 5 Equalities Impact Assessment – Charging Policy
Annex 6 Equalities Impact Assessment – Deferred Payment Policy

Sources/background papers:

- Care Act 2014
- Care Act 2014 Impact Assessment
- Care and Support Statutory Guidance
- The Care and Support (Deferred Payment) Regulations 2014.
- The Care and Support (Charging and Assessment of Resources) Regulations 2014

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Responses to the consultation

1. Charging for residential and nursing care provision

The council is proposing that it will continue to charge people for residential and nursing care services using the new power to charge.

Question 1. Do you agree that the council should continue to charge people for residential and nursing care services using the new power introduced in the Care Act 2014?

Responses	Standard version	Accessible version	Totals
Strongly Agree	76	19	615
Agree	461	59	
Neither agree nor disagree	387	47	434
Disagree	205	86	567
Strongly disagree	223	53	
Not answered	40	6	46
	1392	270	1662

Summary: 1,662 responses in total. 66% of people either agree that the council should use the new power to continue to charge for residential and nursing care, or have not expressed a view on the matter.

2. Power to make a charge for putting arrangements in place

The council is proposing to charge an arrangement fee to those people who are able to pay the full cost of their residential or nursing placement, where the council has a duty to make the arrangement.

Question 2. Do you agree that the council should charge an administrative fee to those people able to pay the full cost of their care?

Responses	Standard version	Accessible version	Totals
Strongly Agree	73	31	611
Agree	409	98	
Neither agree nor disagree	295	46	341
Disagree	307	52	675
Strongly disagree	278	38	
Not answered	30	5	35
	1392	270	1662

Summary: 60% of people who returned the questionnaire either agree that the council should charge an administrative fee, or have not expressed a view on the matter.

3. Percentage of available income taken in charges

The council is proposing to increase the amount of available income taken into account in charges from 80% to 90%.

Question 3.

	Standard version	Accessible version	Totals
Strongly Agree	48	12	354
Agree	262	32	
Neither agree nor disagree	288	36	324
Disagree	381	106	963
Strongly disagree	393	83	
Not answered	20	1	21
	1392	270	1662

Summary: 42% of people who responded either agree that the council should increase charges, or did not express a view on the matter.

The above responses were further analysed to show how those people who will be directly affected by the increase responded to this question

	Pay a contribution	Totals
Strongly Agree	13	113
Agree	100	
Neither agree nor disagree	79	79
Disagree	101	242
Strongly disagree	141	
Not answered	1	1
	435	435

Summary: Respondents who currently pay a contribution will see an increase in their charge if this proposal is agreed. 44% of people who will be directly affected by this change either agree that the council should increase the % of available income taken into account, or have not expressed a view on the matter.

4. Summary of Comments

We invited people to comment on the proposals as part of the consultation. Of the 1,622 responses received over 500 additional comments were received, including comments from Action for Carers and Surrey Coalition for Disabled People.

Comments were wide ranging from those people who understand that government funding is not sufficient to meet the cost of services to those people who disagree with charging.

There were many comments about the treatment of savings and the concern that those people who have saved for their retirement are 'penalised' by having saved in comparison to those people who have not made not any provision for their needs in later life.

The negative comments on charging were largely against the principle of charging for care and support and that personal care should be fully funded by the NHS or through existing taxation or National Insurance contributions. Several references were made to free care in Scotland. A significant number of people questioned the fairness of charging disabled people with many commenting that the government should fund more help for the elderly.

Many people commented that the proposed increase in charges seemed unfair and excessive, though others agreed that if people have the means to contribute towards their care and support then it was reasonable for them to do so.

There were many comments about the cost of living generally increasing and income levels not keeping pace with these costs and the concern that the increase in charges would not reflect other increasing costs.

There were comments from carers who raised concerns about the impact on them of the caring role.

There were positive comments too, with people reporting that they were pleased with the support they received and were happy to pay more. Others were concerned at the private cost of care and suggest the Council could look to run more services to meet the demand for affordable care.

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Charging policy for Adult Social Care services

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Purpose

1. This policy sets out Surrey County Council's position on charging for adult social care services.
2. It is effective from 1 April 2015. This policy has been produced in accordance with the legal requirements set out in:
 - [The Care Act 2014, Sections 14, 17, 69 and 70](#)
 - [The Care and Support \(Charging and Assessment of Resources\) Regulations 2014](#)
 - [The Care and Support Statutory Guidance 2014](#)
3. The key elements that apply to charging for support services in the community and residential or nursing accommodation are described briefly within this document. There is a separate charging policy for the Council's Universal Deferred Payment scheme.
4. This policy clearly states the Council's position on areas where there is discretion within the legislation.

Background

5. The Care Act 2014 provides a single legal framework for charging for care and support. Where a local authority arranges care and support to meet a person's eligible need, the local authority has a power to charge that individual, except where the local authority is required to arrange care and support free of charge.
6. Surrey County Council will make a charge for adult social care support services, with the exception of those services listed in paragraph 13.

Principles

7. The Council will apply a means test to ensure that people are not charged more than they can reasonably afford to pay, in accordance with the above regulations and guidance. This policy highlights the areas where it has used its discretion.
8. Information on charging will be clear and transparent to ensure people know what they will be charged. A written record of the financial assessment will be given to the person to explain how the assessment has been carried out, what it will be, how often it will be made and the reason for any fluctuations.

Policy Statement

9. This policy has been developed following a consultation with Surrey residents currently receiving care and support who may be affected by any changes. It has been developed with reference to The Equality Act 2010 and the Public Sector Equality Duty. The Equalities Act requires public bodies to have due regard to the need to prevent discrimination, advance equal opportunities and encourage positive relationships.

9 Charging for residential and nursing care

10. Surrey County Council will charge for residential and nursing accommodation provided under the Care Act 2014, unless it is prohibited from doing so. The Council will use the legislation and guidance referred to in paragraph 2 above to assess the level of the adult's resources and the amount of any contribution the person is required to make.

Where a person has assets above the upper capital limit and the Council has a duty to make the arrangements for their residential or nursing care accommodation. The Council will apply an administrative fee to cover the cost of making the arrangements. The set-up fee from 1 April 2015 is £265 with an annual charge thereafter of £75 payable on 1 April each year. These figures will be reviewed annually.

Charging for care and support at home

11. The following services **will** be charged for:

Home care services. This includes, for example, help with personal care, practical tasks, shopping, bathing, night care and night sitting and support workers.

Attendance at day services

Housing related support such as warden assistance

Supported Living and Extra Care Housing

Direct Payments (with the exception of those paid to carers)

Major adaptations to property

Transport

Respite care (including in residential accommodation)

12. When a person receives more than one of the above services, charges will not be made for any one service in isolation. The impact of charges for one service on the user's income will be taken into account in assessing whether a charge should be made for another service.
13. The following services **will not** be charged for:

Services for Carers

After-care services provided under section 117 of the Mental Health Act 1983

Services provided to a person suffering from any form of Creutzfeldt Jacob Disease

Equipment to help with daily living

Minor adaptations to property where the cost does not exceeding £1000

Intermediate Care services, including reablement, of up to six weeks

Providing information and advice, assessments of need and support planning

Any service or part of a service that the National Health Service (NHS) has a duty to provide, this includes Continuing Healthcare and the NHS contribution to Registered Nursing Care.

Financial Assessment

14. The financial assessment will determine the person's 'ability to pay'; that is whether they will be required to pay all of, part of, or none of the cost of their care and support.
15. 'Ability to pay' is assessed by taking into account the person's capital, income, personal allowance, household expenditure, and disability related expenditure.
16. If a person declines a financial assessment it will be assumed that they can meet the full cost of their care and support from the start date of the service.

'Light –touch' financial assessments

In some circumstances the Council will consider that a financial assessment has already been carried out and there will be no need to go through the full process. *The main circumstances are:*

- Where a person has significant financial resources and does not want to have a financial assessment
- Where the Council is satisfied that the person can afford the charges due because their savings are clearly above the upper limit, any property taken into account is above the upper capital limit, or they would have sufficient income to pay the full cost
- Where there is a small or nominal charge for a service which the person can clearly meet
- Where the person is in receipt of income support or Guarantee Credit.

17. Evidence of these circumstances will be required.

As part of the 'light-touch' assessment' the Council must be satisfied that the person is willing to pay for their care and support as long as that care is needed.

The Council will make it clear to the person when it carries out a 'light-touch' financial assessment and of their right to request a full assessment.

Capital

Capital taken into account, capital disregarded and the value of capital and assets is as defined within the Care Act 2014 regulations, with additional guidance provided by the Care and Support Statutory Guidance 2014.

A person with capital or assets of more than the upper capital limit, other than the value of their main home, will be required to pay the full cost of their care and support. The upper capital limit for care and support at home is £24,500.

18. Tariff income from capital will be calculated in accordance with the regulations for those in residential or nursing accommodation. Tariff income from capital will be disregarded in full for those people receiving care and support at home.
19. Income taken into account, and income that is to be disregarded, is defined in the Care Act 2014 regulations, with additional guidance provided by the Care and Support Statutory Guidance 2014, with the exception of;

- Tariff income, which will be calculated as stated as above
- The night element of higher rate Attendance Allowance (the difference between the lower and higher rate) will be **disregarded** for care and support at home.
- The night element of the higher rate Disability Living Allowance Care component (the difference between the middle and higher rate) will be **disregarded** for care and support at home.
- The night element of the Enhanced rate of Personal Independence Payment Daily living component (the difference between the standard and enhanced rate) will be **disregarded** for care and support at home.

20. The total of all income to be assessed is known as 'available income'.

Personal Allowances

21. A personal allowance will be calculated for the individual.
22. The personal allowance will equal the level of Guarantee Credit (GC) or Income Support (IS), plus a 25% buffer for community based services and will equal the amount set out in regulations for those in residential or nursing accommodation.

Household expenditure

- An allowance will be made for the following household expenditure for care and support at home.
 - Mortgage repayments - net of payments from the Department of Work and Pensions or a mortgage protection scheme
 - Rent payments - net of housing benefit
 - Council tax payments - net of council tax benefit
 - Water rates and metered water charges
 - Buildings insurance
23. Allowances will be made in respect of Maintenance Orders determined by the Court or Child Support Agency (CSA).

Disability related expenditure

24. Allowance will be made for disability related expenditure (DRE) for care and support at home. Reasonable expenditure needed for independent living by the person, where they have little or no choice other than to incur that expenditure, will be allowed. This policy will ensure that assessed charges do not result in a person being left without the means to pay for any other necessary care, support or for other costs arising from their disability.
25. The council recognises that some people may not wish to discuss additional expenditure incurred due to their disability. A £20 disregard will be applied to all people in respect of these costs, regardless of whether or not the costs are actually incurred. This will ensure that the process of assessment is not made unduly complex for people.
26. The minimum £20 disregard will not prevent proper consideration of person's full disability related expenses. Everybody will be given the opportunity to identify costs in excess of the £20 disregard and will be supported and given personal assistance in claiming such costs where applicable.
27. A list of possible disability related costs and examples of reasonable evidence requirements are found in Appendix A. The list is neither exclusive nor exhaustive and will be reviewed as part of the monitoring of the implementation of this policy. Discretion will need to be given on the level of costs claimed taking into account an individual's particular circumstances.
28. The Council may verify that items claimed for have actually been purchased, particularly for unusual items or where there is a high cost. Evidence of DRE will be requested at the Council's discretion. Where evidence is not available, the assessment will take into account the person's views and a request will be made for future receipts to be retained. If, despite a request to keep receipts, a person does not do so, and there is doubt about the expenditure, the cost will not be included in the assessment.
29. Costs claimed which arise from personal choice for a higher quality product or service than that provided by the council will not be taken into account. Where a reasonable alternative is available for a lesser cost, an amount equal to the lesser cost will be allowed for.

Assessing Ability to Pay

30. The person's net available income (NAI), upon which a charge can be made, will be calculated as follows for care and support at home:

Total of 'available income'

less

Guarantee Credit or Income Support level+ 25%

Household expenditure

Disability related expenditure

= **Net available income**

31. The Council seeks to ensure that a person's independent living is not undermined by its charging policy. The Council, in ensuring that people have some income that is not taken in charges, will assess the charge to be 90% of NAI.
32. Following a change in circumstances, a reassessment of ability to pay can be requested by the person or their representative at any time.
33. If the council has reason to believe that a person has access to means held by a partner or spouse, other than those disclosed, the council may make a request for the partner or spouse to disclose his or her relevant resources. If there is no such disclosure, the council may consider that it is not satisfied that the person has insufficient means to pay for the service. In such circumstances the council will consider the case in the light of legal advice.
34. When assessing one member of a couple, that person will be assessed on their own resources:
 - 100% of solely owned and 50% of all jointly owned capital will be taken into account
 - All assessable income appropriate to the service user will be taken into account. Where benefits are paid at the couple rate, the benefit will be apportioned
 - 50% of the couple's total joint household expenditure will be allowed for
 - The 'basic' level of Guarantee Credit or Income Support will be that of a single person
 - Disability Related Expenditure relating to the individual will be allowed for.

The Assessed charge

35. The assessed charge will be equivalent to the person's ability to pay; that is 90% of the Net Available Income, or the actual cost of the care and support, whichever is the lower amount. The assessed charge for respite care will be in accordance with the regulations for those in residential or nursing accommodation, allowing for household expenditure plus an additional £20 pw.

36. Parents and other members of an adult's family will not be required to pay the charges – except in certain legal circumstances, for example, where a family member may be managing the service user's own resources, or where a service user has died and money is owed to the council from the estate.

Direct Payments and paying charges

37. Direct payments are money paid to people to meet their eligible support needs. The amount of the direct payment depends on their needs and the outcome of the financial assessment. They allow people to have more independence, choice and control by enabling them to arrange their own care and support.
38. If a person has eligible needs and, following a financial assessment, is entitled to funding to help them meet those needs, that funding will be via a direct payment unless the person does not want this or cannot have one for reasons stated in the legislation.
39. Our preferred arrangement is to pay Direct Payments net of the assessed charge.
40. If the Council arranges care and support for somebody and they are required to pay for some or all of their care and support charges, the Council will tell them about this clearly and will collect the amount owed.
41. The charge will apply from the service start date, or the date the person was notified of the charge in writing; whichever the latter. Where a person is found to have in excess of the upper capital limit after the service start date, full charges will be backdated to day 1 in all cases where the Council is satisfied the person was made aware of the upper capital limit before the service commenced.

Welfare benefits check

42. An integral part of the financial assessment will be to offer welfare benefits advice. Advice will be offered about entitlement, assistance with the completion of claim forms and follow-up action.
43. Advice will not be limited to benefits directly affecting charges. Equal emphasis to benefit entitlements will be given, irrespective of the impact on income to the council.
44. People who prefer to obtain welfare benefits advice from an independent source will be offered this choice.

Information and advice

45. The Council will, as a minimum, provide information and advice throughout the financial assessment process and refer people for independent financial advice where needed, in line with its legal duties.

Reviews, Appeals and Complaints

46. People will be informed of their right to ask the council for a review of the charge which has been assessed, if he or she considers that they cannot afford to pay it.
47. The council will ensure the facility for a review is accessible to all and will ensure consistency on decisions. Information leaflets and correspondence notifying charges will include reference to the facility to ensure good practice.
48. People will be made aware of their right to an appeal if, following the outcome of a review, he or she still considers they cannot afford to pay.
49. People will be made aware of their right to make a formal complaint.
50. Services to meet assessed needs will not be refused or withdrawn if a person refuses to pay their assessed contributions. If a service user refuses to pay, the council will continue to provide services and the debt will be pursued, if necessary through the civil courts.
51. Complaints about the financial assessment process or Adult Social Care can be made through the Adult Social Care complaints procedure in the following ways:

Online: fill in our [online customer feedback form](#)

Post: fill in our [printable Adults Complaints form](#) attached below.

You can also request a form from the [Adult Social Care helpline](#) by phoning 0300 200 1005 and post it to the team that provides you with a service, or

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Email: asc.customerrelations@surreycc.gov.uk

More information on providing Adult Social Care with your feedback, compliments or complaints can be found on the Council's website:

www.surreycc.gov.uk

Appendix A

9 Examples of disability related expenditure and reasonable evidence requirements:

This list is neither exclusive nor exhaustive and will be reviewed as part of the monitoring of the implementation of this policy. Discretion will be given on the level of costs claimed taking into account an individual's particular circumstances. Evidence will be sought, where reasonable, at the council's discretion.

Item of expenditure	Limitations	Evidence of
Private domestic help	Actual cost where Care Manager confirms requirement as part of care plan and Surrey supported care is reduced accordingly. In accordance with Direct Payment rulings, payment to family members is not allowed. Max of 2 hours care where not a requirement of the care plan	4 weeks of signed receipts using a receipt book
Privately arranged care	As per private domestic help	4 weeks of signed receipts using a receipt book
Gardening	Basic lawn cutting and gardening	4 weeks of signed receipts using a receipt book

Special dietary needs	Discretionary; noting that special dietary needs may not always be more expensive than a standard diet. Meals-on-wheels will not be taken as DRE - this cost subsidises for ordinary expenditure	Details and frequency of special purchases.
Special clothing or footwear	Actual cost where the disability is likely to incur this cost, noting that standard replacement clothing or footwear is relatively infrequent	Receipts. Request for future receipts to be kept if unavailable.
Frequently replaced bedding	Actual cost where the disability is likely to incur this cost as normal, noting that replacement of bedding is relatively infrequent	Receipts. Request for future receipts to be kept if unavailable.
Additional laundry	Additional electricity and water will be identified in fuel costs and water in water rates	Care plan identifies incontinence
Medical and chemist items	NHS provides incontinence items. Consider items that should be made available via prescription. Allow cost of annual season ticket divided by 52wks or actual cost, whichever the less	Receipts. Request for future receipts to be kept if unavailable
Chiropody	6 weekly visits, noting that diabetics receive free chiropody via the NHS	Unable to do for self and unavailable form NHS
Treatments	Alternative therapy e.g. acupuncture, homeopathy etc	Receipts. Request for future receipts to be kept if unavailable. Input from care manager.

Transport	Transport costs where they are greater than those incurred by an able bodied person. Where DLA Mobility component is in payment, only those costs over and above the Mobility in payment and available to meet these costs will be allowed	Care plan will identify mobility difficulties.
Mobile phone	Lowest monthly rental charge and emergency calls only	Phone bill and care manager to confirm essential need
Disability equipment	Essential equipment required and maintenance cost. Mobility aids over and above DLA Mobility in payment and available.	Receipts. Care manger or OT to confirm essential requirement
Community alarm system	Actual cost if not met by Housing Benefit or Supporting People	Bills from provider
Additional fuel	Additional fuel, only where incurred due to disability, over and above Family Expenditure Survey guidelines	Annual receipts for all fuel types
Breakages	Actual cost where caused by disability	Receipts. Request for future receipts to be kept if unavailable

Comparison of other Local Authorities

Local Authority	Current % of available income taken in charges
Surrey	80%
Buckinghamshire	100%
Oxfordshire	100%
Hertfordshire	100%
Hampshire	95%
West Sussex	100%
Cambridgeshire	100%
Gloucestershire	100%
Kent	100%
Leicestershire	100%
Essex	90%
Warwickshire	100%
Dorset	100%
Worcestershire	100%
East Sussex	100%
Devon	100%

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Deferred Payment Agreements Policy

Adult Social Care

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Purpose

1. This Policy sets out Surrey County Council's position in relation to Deferred Payment Agreements.
2. It relates to Deferred Payment Agreements effective from 1 April 2015. It does not apply retrospectively. Deferred Payment Agreements made before 1 April 2015 fall under the Council's Deferred Payment Scheme Policy, September 2009.
3. It has been produced in accordance with the legal requirements set out in:
 - [The Care Act 2014](#), Sections 34-36
 - [The Care and Support \(Deferred Payment\) Regulations 2014](#)
 - [Care and Support Statutory Guidance 2014](#)
4. We will meet the legal requirements outlined in the legislation above. The key elements are described briefly within this policy.
5. The policy clearly states the Council's position on areas where there is discretion within the legislation.

Background

6. A deferred payment is designed to help a person who has been assessed to pay the full cost of their care home fees but cannot afford to pay the full amount immediately because their capital is tied up in their home. By agreeing to a deferred payment, a person can delay paying the cost of their care home fees until a later date. Typically, this means that a land registry charge is attached to their property and the Council will recover the cost of care after the property is sold or from the person's estate.
7. The Health and Social Care Act 2001 enabled councils to offer Deferred Payment Agreements but did not require it. Surrey County Council has offered Deferred Payment Agreements under the Health and Social Care Act since 2002. The Care Act 2014 now requires that Deferred Payment Agreements are offered to all people who meet certain criteria.
8. The policy assumes that proper consideration has been given to the inclusion of any property in the assessment of a person's resources. Where there is a mandatory property disregard or where it is appropriate to disregard the property on discretionary grounds a deferred Payment Agreement will not be offered. A person may only enter into a Deferred Payment Agreement once the 12-weeks property disregard has been completed.

Policy Statement

9. The Policy Statement below has been developed following a consultation with Surrey residents and with reference to The Equality Act 2010 and its Public Sector Equality Duty. The Equalities Act requires public bodies have due regard to the need to prevent discrimination, advance equal opportunities and encourage positive relationships.

People a deferred payment will be offered to

The Council must offered a Deferred Payment Agreement to people who meet all three of the following criteria when they apply:

- The person is assessed as having eligible needs which the council decides should be met through a care home placement;
 - The person is assessed as having less than or equal to £23,250 (or such other capital limit that may apply) in savings and other capital excluding the value of their home; *and*
 - The property would not be disregarded for charging purposes.
10. If the person meets the above criteria **and** is able to provide adequate security for the debt, usually in the form of a first legal charge against the property on the Land Registry, the Council must offer a deferred payment.
11. The Council will consider applications for a Deferred Payment Agreement made by people who narrowly fail to meet the above criteria. For example, if the person has slightly more than the £23,250 asset threshold. These applications will be considered on a case by case basis and informed by individual circumstances. In making such decisions the Council will have regard to:
- Whether they will meet the criteria in the near future
 - Other support that may be available to them
12. The Council will also consider applications for a Deferred Payment Agreement for those people moving into supported living type accommodation as defined in the regulations, where the person intends to retain their former home and pay their accommodation and care costs from a deferred payment. These applications will be considered on a case by case basis but all other aspects of the Deferred Payment Policy will apply.

When a Deferred Payment Scheme Application will be refused

13. The Council will not offer a deferred payment where any one of the following apply :
- If the Council cannot secure a first charge on the person's property and no other adequate security can be provided.
 - If the person is seeking a top-up for a more expensive placement than the council would usually fund and the amount of the top-up does not seem sustainable for the duration of the placement
 - Where the person does not agree to the terms and conditions of the agreement
 - In the case of jointly-owned property, if all owners or those people with a beneficial interest in the property refuse to consent to a legal charge against the property.

How much can be deferred

14. The council will require a contribution from the person's income, savings or other assets but must leave the person with up to £144 per week if the person wishes to retain this sum. All other costs, including top-ups and extra care costs can be deferred, subject to having adequate security and paragraph 12 above.

What the Council will accept as adequate security

15. The Council will accept a first legal charge on a property as adequate security. Where this is not available as adequate security the council will consider alternative security in the individual circumstances of the case. Any additional costs that may be incurred by the Council as a result of investigating or agreeing to alternative security, including any legal or valuation costs must be met by the person and cannot be added to the deferred debt.

What the Deferred Payment Agreement will cost an individual

16. The Council will make an administration charge for the arrangement of the Deferred Payment Agreement. This charge covers the Council's costs to administer the Deferred Payment Agreement which include, for example, legal fees and staff time. The amount of the charge may vary and the current charge will be available on the Council's website and in literature about the Deferred Payment Scheme. This charge is payable at the outset and will not usually be part of the deferred debt, unless in the exceptional circumstances of the case, funds are unavailable to pay the charge upfront.

17. In addition to the administration charge, if a professional valuation of a property is required, or some other form of valuation, the person will be required to meet the valuation fees in full plus any VAT at the time of the valuation. This may happen when the Council is considering the application, in the event of a dispute or during the agreement when a review of continued adequate security is made. These fees cannot be added to the deferred debt. The schedule of charges is attached at Appendix A.
18. The Council will charge compound interest on the total deferred debt (including any administration charge and accrued interest), until that debt has been repaid. The rate of interest charged will be the 'national maximum interest rate'. The rate will change every six months on 1 January and 1 June to track the market gilts rate stated in a report published by the Office of Budgetary Responsibility. The current rate of interest will be available on the Council's website and in literature about the Deferred Payment Scheme.

How a deferred Payment Agreement can be terminated

19. The agreement can be brought to an end in any one of these ways:
- By repaying the full amount due to the Council. This can be done at any time
 - When the property or security is sold and the Council is repaid in full
 - When the person dies and the full amount is repaid to the Council

What information and advice will be provided by the Council

20. The Council will, as a minimum, provide information and advice throughout the Deferred Payment Agreement process, in line with its legal duties.
21. The Council will recommend that people seek independent financial advice.

How to make a complaint

22. Complaints about the Deferred Payment Agreements process or Adult Social Care can be made through the Adult Social Care complaints procedure in the following ways:

Online: fill in our [online customer feedback form](#)

Post: fill in our [printable Adults Complaints form](#) attached below.

You can also request a form from the [Adult Social Care helpline](#) by phoning 0300 200 1005 and post it to the team that provides you with a service, or

Write to:

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Surrey GU2 4BB

Email: asc.customerrelations@surreycc.gov.uk

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Schedule of charges

Set Up Charges	£	
Legal fees	250	Payable in full at the outset whether or not the application proceeds to completion
Administration charge including staff time on processing the DPA, printing, and postage costs	215	One off cost payable in full at the outset whether or not the application proceeds to completion
Arrangement fee	265	If care is arranged by the Council
Total administrative charge	730	
Land registry charges and search fees	variable	As determined by Land Registry
Professional fees		
Valuation fees	variable	Payable in full, in the event that a professional valuation is required
Annual Fee		
Annual administration fee – including staff time on review of the agreement, printing and postage	75	Annual fee payable in April
Valuation fees	variable	In the event that a valuation is required to determine the equity in the property
Redemption Fee		
Legal fees for removal of the charge	125	
Debt recovery costs	variable	If the debt is not repaid in full at the end of the agreement, any costs incurred in recovering the debt may be charged in full.

1. Topic of assessment

EIA title:	Charging Policy for Adult Social Care Services
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EIA author:	Tristram Gardner, Project Manager
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2. Approval

	Name	Date approved
Approved by	Dave Sargeant, Strategic Director, Adult Social Care	10/02/2015
Approved by	Adult Social Care Directorate Equality Group (DEG)	09/02/2015

3. Quality control

Version number	2	EIA completed	09/02/2015
Date saved	09/02/2015	EIA published	

4. EIA team

Name	Job title (if applicable)	Organisation	Role
Toni Carney	Head of Resources	Surrey County Council	Project Team
Dina Bouwmeester	Policy Development Manager	Surrey County Council	Project Team
Lyndon Edwards	Information Officer	Surrey County Council	Chair of Directorate Equality Group

5. Explaining the matter being assessed

<p>What policy, function or service is being introduced or reviewed?</p>	<p>In April 2003 Surrey County Council adopted the current Fairer Charging Policy in order to adhere to statutory guidance issued under Section 7 of the Local Authority Social Services Act 1970 to help local councils to design reasonable and fair charging policies. The policy sets out in clear terms what services the Council will and will not charge residents.</p> <p>The policy affects all residents of Surrey who are assessed as needing care and support services. Any adult needing care and support is assessed to see if they need to contribute towards their care costs. The resident is informed of their assessed charge and how it was arrived at so they can plan their care.</p>
<p>What proposals are you assessing?</p>	<p>The specific proposals are outlined in a separate Cabinet report titled: 'Implementing the Care Act – charging policy' (24th February 2015); the proposed revised charging policy is titled 'Charging Policy for Adult Social Care Services'.</p> <p>Following public consultation, the proposed changes to the charging policy are as follows:</p> <ol style="list-style-type: none"> 1. The council exercises the power to charge for residential and nursing care and non-residential services. 2. The council will charge an administration fee in any case where the person is able to pay the full cost of their care and support for a residential or nursing home placement but nevertheless the person asks the council to make the arrangements for the placement under the council's usual terms and conditions. 3. The council will increase the percentage of available income taken in charges for non-residential services by 10% with effect from 1 April 2015 <p>Power to charge for residential and nursing care and non-residential services</p> <p>The Care Act 2014 and supporting regulations and statutory guidance will replace a raft of legislation and guidance that has been in place for many years. From 1 April 2015, the legal basis for charging will be a power rather than a duty to charge. This new power replaces the existing duty to charge under the National Assistance Act 1948 for residential and nursing provision and the power to charge for non-residential services (largely under the Chronically Sick and Disabled Persons Act 1970). This means that from April 2015 a local authority may make a charge for meeting needs under sections 18 to 20 of the Care Act but is no longer required to do so, that is, unless the person's resources are above the upper capital limit; the local authority is then precluded from paying towards the cost of care in a care home setting.</p>

	<p>Income from charging is an essential contribution to Adult Social Care's budget to help maintain front-line services and it is recommended that the council exercises the power to charge for all residential and nursing care and non-residential services unless it is prohibited from charging under the regulations or otherwise outside of our current policy</p> <p>Power to make a charge for putting arrangements in place</p> <p>From 1 April 2015, when a person has capital above the upper capital limit, (currently £23,250) and the council has a duty to make arrangements for their care and support needs to be met, the council may charge an arrangement fee to cover the cost of managing the contract with the provider and any administration costs. It is proposed that an administrative charge will be made. The administrative charge will reflect the cost incurred in putting the arrangements in place including any ongoing costs. It is estimated that the average set up cost of putting arrangements in place is equivalent to £265 per placement with an annual charge of £75. If agreed, these charges will take effect from 1 April 2015 and will be subject to annual review.</p> <p>Percentage of available income taken in charges</p> <p>For people in receipt of non-residential care and support, the financial assessment calculates the service user's total weekly income, less certain disregarded income, statutory allowances, certain housing costs and any disability related expenditure to determine the amount of net disposable income left over for charging. The Department of Health recommends that local authorities should consider whether it is appropriate to set a maximum percentage of disposable income which may be taken into account in charges. Many neighbouring local authorities take between 90% and 100% of available income. Surrey's current charging policy is to take 80% of net disposable income. If we increased the percentage of net disposable income by 10% to 90%, this would generate an additional £440k per annum income.</p>
<p>Who is affected by the proposals outlined above?</p>	<p>The proposals will affect all residents of Surrey who are assessed as having eligible care and support needs. The proposals will affect those who are currently receiving services who have already been financially assessed as well as those who are assessed as having needs in the future. Carers and families may be directly affected if they are funding care and support for their relative. Whilst most families not providing funded support will not be directly affected, they will need to understand the changes nonetheless when assisting their loved ones with care planning.</p> <p>In April 2016 the Care Act introduces a further change which will impact on residents who are moving into residential care and have assets of £118,000 or less as they will be assessed from that time as being below the capital threshold (currently set at £24,500). It is</p>

therefore anticipated that a group of residents who would have been funding their own care will approach the council for assessments and will be affected by the changes outlined in this impact assessment.

Surrey County Council staff will not be directly affected by the changes; however they will need to understand the new policy and any new procedures which come out of the proposals. Staff in frontline teams will also need to understand the policy so they can provide appropriate advice and guidance during assessments.

External organisations will not be directly affected; however they will need to have an awareness of the changes to the charging and deferred payments policies so that they are able to provide correct advice and guidance to their customers.

6. Sources of information

Engagement carried out
<p>Consultation on the proposed changes to the council's charging policy took place from 15 December 2014 for a period of 7 weeks. We issued consultation documents to 6,400 people in receipt of non-residential chargeable services. We received 1,662 completed questionnaires; a response rate of around 23%. The consultation documents included an accessible version.</p> <p>The consultation was also published online on the county's consultation hub www.surreysays.co.uk, circulated to key partners and networks, and was publicised through local newsletters, partnership board meetings, the directorate's weekly e-brief and posters in public libraries.</p> <p>Further to the above, over 500 comments were received, including from Action for Carers and Surrey Coalition of Disabled People. An analysis of the responses received is attached at Annex 1 of the separate Cabinet report titled: 'Responses to the consultation summary' (24th February 2015).</p> <p>Separate, ongoing consultation with Surrey residents and council staff has also been undertaken in relation to the Care Act and its implementation in the county. This has included consultation on the charging section of the legislation as follows:</p> <ul style="list-style-type: none"> • Hosting two Care Act consultation events for both residents and staff in July 2014. During both days, held in east and north Surrey, we ran four workshops specifically focussing on charging and deferred payments. These were attended by a mixture of service users, residents, staff and interested groups from District and Borough councils, Carers groups, Health colleagues from Virgin Care and NHS, Surrey Coalition for Disabled People and care providers. • At the same time as the above we encouraged residents to respond to the national consultation on the Care Act via our web site and postal addresses and have a generic Care Act e-mail address where concerns and questions can be raised. • We have run staff road shows during November and December 2014 with all frontline social care staff informing them of the changes and giving the chance to feedback concerns and answer questions. Charging was a part of these road shows. • We have been engaging early with local empowerment boards, the Health and Wellbeing Board, partnership boards and other user-led organisations and networks to inform them of the impending changes.
Data used
<p>The following data has been used to inform changes to the charging policy.</p> <ul style="list-style-type: none"> • Department of Health Impact Assessment on the Care Act 2014. • Surrey County Council in house financial modelling on the impact of the Care Act • Surrey County Council in house data from the Adults Information System (AIS) database on client characteristics • Joint Strategic Needs Assessment (JSNA) data on the profile of Surrey's population

broken down by the protected characteristics.

7. Impact of the new/amended policy, service or function

7a. Impact of the proposals on residents and service users with protected characteristics

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 213</p> <p style="text-align: center;">Age</p>	<p>1) <i>Exercising the power to charge for residential and nursing care and non-residential services</i></p> <p>This new power is in line with the council's current policy which is to charge residents for these services. This will therefore have little impact on Surrey residents who are either current or future clients.</p> <p>2) <i>Power to make a charge for putting in place the arrangements</i></p> <p>People who ask the council to make arrangements for them may benefit from decreased rates of payment as the council is able to bulk buy services at reduced rates compared to the rates which private buyers are able to achieve. Even if an administration fee is charged this may be smaller than the savings achieved, though this would not be known for sure until the scheme is in operation.</p>	<p>1) <i>Exercising the power to charge for residential and nursing care and non-residential services</i></p> <p>No negative impacts identified as this is not a change from our current policy.</p> <p>2) <i>Power to make a charge for putting in place the arrangements</i></p> <p>This may preclude self funding clients from accessing our professional services to arrange care and support as they do not want to pay an administration charge.</p>	<p>1) <i>Exercising the power to charge for residential and nursing care and non-residential services</i></p> <p>The majority of people who returned the questionnaire either agreed that the council should use the new power to continue to charge for residential and nursing care, or did not express a view on the matter. Approximately 34% disagreed with the proposal.</p> <p>2) <i>Power to make a charge for putting in place the arrangements</i></p> <p>The majority of people who returned the questionnaire either agreed that the council should charge an administrative fee, or did not express a view on the matter. Approximately 40% of respondents disagreed with the proposal.</p>

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
	<p><i>3) Increasing available income taken in charges from 80% to 90%</i></p> <p>Increasing the available income taken will mean that there will be a larger contribution paid towards the overall Adult Social Care budget which may help in the longer term to ensure that council services are sustainable or increased for vulnerable groups with the protected characteristics.</p>	<p><i>3) Increasing available income taken in charges from 80% to 90%</i></p> <p>This could have a negative impact in that it will reduce the disposable income of people who are charged for services. We do not know on an individual basis what people spend their disposable income on and consequently cannot analyse the impact of decreasing that amount.</p>	<p><i>3) Increasing available income taken in charges from 80% to 90%</i></p> <p>41% of people who responded either agreed that the council should increase charges, or did not express a view on the matter. 59% of respondents disagreed with the proposal.</p> <p>Respondents who currently pay a contribution will see an increase in their charge if this proposal is agreed. 44% of people who will be affected by this change either agreed that the council should increase the % of available income taken into account, or did not express a view on the matter. Approximately 56% of respondents who will be affected by this change disagreed with the proposal. It should be noted that there was generally a low response rate to the questionnaire; only 26% of people who will be affected by the increase returned the questionnaire.</p> <p>Comments were wide ranging from an understanding that government funding is not sufficient to meet the cost of services to others who vehemently disagree with charging. There were many comments about the treatment of savings and the concern that those people who have</p>

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
			<p>saved for their retirement are 'penalised' by having saved in comparison to those people who have not made not any provision for their needs in later life.</p> <p>The negative comments on charging were largely against the principle of charging for care and support and that personal care should be fully funded by the NHS or through existing taxation or National Insurance contributions. Several references were made to free care in Scotland. A significant number of people questioned the fairness of charging disabled people and there were a considerable number of comments about the government funding more help for the elderly.</p> <p>Many people commented that the proposed increase in charges seemed unfair and excessive, though others agreed that if people have the means to contribute towards their care and support then it was reasonable for them to do so. There were many comments about the cost of living generally increasing and income levels not keeping pace with these costs and the concern that the increase in charges would not reflect other increasing costs.</p>

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
			<p>There were comments from carers who raised concerns about the impact on them of the caring role.</p> <p>There were positive comments too, with people reporting that they were pleased with the support they received and were happy to pay more. Others were concerned about the private cost of care and suggested the Council could look to run more services to meet the demand for affordable care.</p> <p>Concerns were raised by the Surrey Coalition of Disabled People that increasing the percentage of income taken in charges would reduce affected residents' ability to participate fully in society, increasing isolation and potentially placing more pressure on formal public service provision to meet this need.</p> <p>AIS data</p> <ul style="list-style-type: none"> • There are currently just over 23,000 open clients on the AIS database and around 7,000 carers receiving support of some kind. <p>Joint Strategic Needs Assessment</p> <ul style="list-style-type: none"> • Data shows that Surrey has a higher

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
			<p>proportion of people over eighty five years old and estimates that this population is set to double by 2033. This will lead to a greater demand on council services and a higher number of people who are able to fund their own care seeking advice and support.</p> <ul style="list-style-type: none"> • In 2012 the estimated number of carers in Surrey was 106,700 or 10% of the population. An estimated 23,000 of these are thought to be over the age of 65. • There are an estimated 38,952 people over 65 in Surrey who are unable to manage at least one physical activity on their own. This includes going out of doors and walking down the road, getting up and down stairs, getting around the house, going to the toilet and getting in and out of bed. This number is predicted to rise to 46,883 in 2020.
Disability	Same as above	Same as above	Same as above
Gender reassignment	No impact	No impact	No impact
Pregnancy and maternity	No impact	No impact	No impact

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
Race	No impact	No impact	No impact
Religion and belief	No impact	No impact	No impact
Sex	No impact	No impact	No impact
Sexual orientation	No impact	No impact	No impact
Marriage and civil partnerships	No impact	No impact	No impact
Carers	Same as above	Same as above	Same as above

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7b. Impact of the proposals on staff with protected characteristics

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
Age	These proposals do not impact on staff, unless they are in receipt of services in which case see above.	These proposals do not impact on staff, unless they are in receipt of services in which case see above.	These proposals do not impact on staff, unless they are in receipt of services in which case see above.
Disability	As above	As above	As above
Gender reassignment	As above	As above	As above

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
Pregnancy and maternity	As above	As above	As above
Race	As above	As above	As above
Religion and belief	As above	As above	As above
Sex	As above	As above	As above
Sexual orientation	As above	As above	As above
Marriage and civil partnerships	As above	As above	As above
Carers	As above	As above	As above

8. Amendments to the proposals

Change	Reason for change
N/A	

9. Action plan

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
Power to make a charge for putting in place the arrangements – might put off people who fund their own care from approaching the council for assistance	<p>Ensure people who fund their own care are aware of the potential charge by:</p> <ul style="list-style-type: none"> Updating our information and advice materials Ensuring staff are suitably trained and able to advise residents 	April 2015	Toni Carney
	<p>Cost of charge may be offset by the reduced cost to people who fund their own care of paying for services when these are organised by the council – to review in light of the implementation of the 2016 Care Act cap on care costs, which is likely to increase demand on the council to organise services.</p>	April 2016	Toni Carney
	<p>In all other respects ensure frontline social care staff support people who fund their own care on an equivalent basis to those in receipt of local authority funding, including the offer of free assessments of their needs, universal information and advice, and signposting to appropriate sources of support, including family, friends and community support. To achieve this through staff training and ongoing development.</p>	April 2015 and ongoing	David Sargeant
Increasing the amount of available income taken from 80% to 90% - will	Write to affected residents offering a reassessment of their financial situation if they feel the	1 st April 2015	Toni Carney

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
reduce the disposable income of residents who are charged for non-residential care and support	change is not financially sustainable.		
	Continue to support frontline social care staff to advise and signpost all residents requiring support, irrespective of their level of funding, on how they can access family, friends and community support, some of which may be free of charge at the point of access.	Ongoing	Shelley Head
	Continue to support frontline social care staff to identify, assess and support carers in their caring role, particularly in light of the new legal rights for carers in the Care Act. Continue to invest in early intervention support services for carers in Surrey.	April 2015 and ongoing	Sonya Sellar
	Continue to work with the provider market in Surrey to offer a wide range of services for vulnerable adults at different price points.	Ongoing	David Sargeant

10. Potential negative impacts that cannot be mitigated

Potential negative impact	Protected characteristic(s) that could be affected
Increasing the amount of available income taken from 80% to 90% (as above). Likely to reduce the disposable income of people who we charge for non-residential care and support.	Age, disability, carer

11. Summary of key impacts and actions

Information and engagement underpinning equalities analysis	7 week public consultation from December 2014 to January 2015, including writing to 6,400 people in receipt of non-residential chargeable services, publication of proposals online and circulation through networks.
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<p>Key impacts (positive and/or negative) on people with protected characteristics</p>	<p>1) <i>Exercising power to charge</i></p> <ul style="list-style-type: none"> This is in line with our current charging policy and therefore no positive or negative impacts have been identified. <p>2) <i>Power to make a charge of an administration fee where a person is able to pay the full cost of their care and support</i></p> <ul style="list-style-type: none"> This may have a positive impact on Surrey residents needing care and support who would normally have to make their own arrangements. This group will be able to access services at a lower rate which will offset any administration fee charged. A potential negative impact is that people who fund their own care may be put off using Surrey services due having to pay an administration fee. <p>3) <i>Increasing the amount of available income taken from 80% to 90%</i></p> <ul style="list-style-type: none"> Increasing the amount taken to 90% will bring greater income to Adult Social Care which may benefit vulnerable people using services which could be sustained or increased in light of the increase to income. A negative impact of this policy would be that the disposable income of vulnerable residents would be lowered if the council takes more in way of contributions to care.
<p>Changes you have made to the proposal as a result of the EIA</p>	<p>None</p>
<p>Key mitigating actions planned to address any outstanding negative impacts</p>	<p>2) <i>Power to make a charge of an administration fee where a person is able to pay the full cost of their care and support</i></p> <ul style="list-style-type: none"> Cost of charge may be offset by the reduced cost to people who fund their own care of paying for services when these are organised by the council – to review in light of the implementation of the 2016 Care Act cap on care costs, which is likely to increase demand on the council to organise services. In all other respects ensure frontline social care staff support people who fund their own care on an equivalent basis to those in receipt of local authority funding, including the offer of free assessments of their needs, universal information and advice, and

	<p>signposting to appropriate sources of support, including family, friends and community support. To achieve this through staff training and ongoing development.</p> <p><i>3) Increasing the amount of available income taken from 80% to 90%</i></p> <ul style="list-style-type: none"> • Write to affected residents offering a reassessment of their financial situation if they feel the change is not financially sustainable. • Continue to support frontline social care staff to advise and signpost all residents requiring support, irrespective of their level of funding, on how they can access family, friends and community support, some of which may be free of charge at the point of access. • Continue to support frontline social care staff to identify, assess and support carers in their caring role, particularly in light of the new legal rights for carers in the Care Act. Continue to invest in early intervention support services for carers in Surrey. • Continue to work with the provider market in Surrey to offer a wide range of services for vulnerable adults at different price points.
<p>Potential negative impacts that cannot be mitigated</p>	<p><i>Increasing the amount of available income taken from 80% to 90%</i></p> <ul style="list-style-type: none"> • The disposable income of vulnerable residents would be lowered if the council takes more in way of contributions to care. • The impact of this change can partly be mitigated by the above actions.

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1. Topic of assessment

EIA title:	Deferred Payments Agreement policy – Adult Social Care
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EIA author:	Tristram Gardner, Project Manager
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2. Approval

	Name	Date approved
Approved by	Dave Sargeant	10/02/2015
Approved by	Adult Social Care Directorate Equality Group (DEG)	09/02/2015

3. Quality control

Version number	2	EIA completed	09/02/2015
Date saved	09/02/2015	EIA published	

4. EIA team

Name	Job title (if applicable)	Organisation	Role
Toni Carney	Head of Resources	Surrey County Council	Project Team
Dina Bouwmeester	Policy Development Manager	Surrey County Council	Project Team
Lyndon Edwards	Information Officer	Surrey County Council	Chair of Directorate Equality Group

5. Explaining the matter being assessed

<p>What policy, function or service is being introduced or reviewed?</p>	<p>The Health and Social Care Act 2001 enables local authorities to operate a deferred payment scheme. Regulations made under Section 55 of the Act allow councils to agree to take a legal charge on a person's main or only home, in which they have a beneficial interest, instead of requiring the immediate payment of the person's full contribution towards the care home fees.</p> <p>Deferred payment schemes were introduced in October 2001. The Department of Health expects councils to operate a scheme but councils retain the discretion as to whether or not to agree to a deferred payment according to the individual circumstances of the case. Surrey County Council has a policy on deferred payments and operates a deferred payments scheme.</p> <p>The aim of the scheme is to allow a person with property, but without sufficient income or other assets, to fund their chosen residential placement, whilst enabling the person to keep their home on admission to residential care.</p>
<p>What proposals are you assessing?</p>	<p>Under the current arrangements, deferred payment agreements are discretionary. At any one time the council has around 80+ agreements in place and proactively offer the scheme to people who meet our criteria. From 1 April 2015, local authorities must offer a deferred payment to people who meet the basic eligibility criteria for the national scheme.</p> <p>It is proposed to implement the new national scheme from 1 April 2015, and to implement the discretionary aspects of the scheme as follows:</p> <ul style="list-style-type: none"> • The council is permitted to offer a deferred payment agreement to people who do not meet the basic eligibility criteria. The proposed response to this new power is covered in paragraphs 11 and 12 of the 'Charging Deferred Payments Agreements policy – Adult Social Care'. In particular we propose to promote the use of deferred payments to encourage people to consider supported living and extra care housing arrangements as an alternative to residential care. • The council may seek contributions from a person's income, savings or other assets but must leave the person with up to £144 per week available income. It is proposed that we will require a contribution from a person's income to minimise the level of debt. • The council is permitted to accept other forms of security, such as a third-party guarantor, a solicitor's undertaking, a valuable object or an agreement to repay the amount deferred from the proceeds of a life assurance policy. The proposed response to this is covered in paragraph 15 of the 'Charging Deferred Payments Agreements policy – Adult Social Care'.

	<ul style="list-style-type: none"> • The council is permitted to charge compound interest on any amount deferred from the commencement of the agreement until the debt is repaid. The amount of interest must not exceed the maximum amount specified in regulations. It is proposed that the council will charge interest at the maximum amount specified in regulations. The interest rate to be applied from 1 April 2015 is 2.65%. • The council is permitted to charge an administration charge to include any reasonable costs incurred by the council in relation the deferred payment agreement. At the Cabinet meeting on 25 June 2013, it was agreed that the Council charge legal fees of £250 plus the cost of any Land Registry fees for any deferred payment application whether or not the matter proceeded to completion and a further £125 for the work involved in discharging the legal charge. It is proposed that the schedule of charges attached to 'Charging Deferred Payments Agreements policy – Adult Social Care' apply from 1 April 2015 to cover the administration costs and any fees incurred by the Council. <p>The specific proposals are outlined in a separate Cabinet report titled: 'Implementing the Care Act – charging policy' (24th February 2015); the proposed revised deferred payments policy is titled 'Deferred Payments Agreements policy – Adult Social Care'.</p>
<p>Who is affected by the proposals outlined above?</p>	<p>The proposals will affect Surrey residents who have been assessed to pay the full cost of their care home fees but cannot afford to pay the full amount immediately because their capital is tied up in their home. The proposed changes will <i>not</i> affect those residents who make a deferred payment agreement with the council before 1st April 2015; it will affect residents who may seek to make a deferred payment agreement with the council after this date.</p> <p>Carers and families may be directly affected if they are funding care and support for their relative. Whilst most families not providing funded support will not be directly affected, they will need to understand the changes nonetheless when assisting their loved ones with care planning.</p> <p>Surrey County Council staff will not be directly affected by the changes; however they will need to understand the new policy and any new procedures which come out of the proposals. Staff in frontline teams will also need to understand the policy so they can provide appropriate advice and guidance during assessments.</p> <p>External organisations will not be directly affected; however they will need to have an awareness of the changes to the deferred payments policy so that they are able to provide correct advice and guidance to their customers.</p>

6. Sources of information

Engagement carried out
<p>Consultation on the proposed changes to the council's deferred payments scheme took place from 15 December 2014 for a period of 7 weeks. The consultation was published online on the county's consultation hub www.surreysays.co.uk, circulated to key partners and networks, and was publicised through local newsletters, partnership board meetings, the directorate's weekly e-brief and posters in public libraries.</p> <p>We received just 4 responses to this consultation. However, it is acknowledged that it is difficult to engage with people who fund their own care who are likely to only be interested in the deferred payment scheme at the time of considering a residential or nursing placement.</p> <p>Separate, ongoing consultation with Surrey residents and council staff has also been undertaken in relation to the Care Act and its implementation in the county. This has included consultation on the deferred payment agreement sections of the legislation as follows:</p> <ul style="list-style-type: none"> • Hosting two Care Act consultation events for both residents and staff in July 2014. During both days, held in east and north Surrey, we ran four workshops specifically focussing on charging and deferred payments. These were attended by a mixture of service users, residents, staff and interested groups from District and Borough councils, Carers groups, Health colleagues from Virgin Care and NHS, Surrey Coalition for Disabled People and care providers. • At the same time as the above two events we encouraged residents to respond to the national consultation on the Care Act via our web site and postal addresses and have a generic Care Act e-mail address where concerns and questions can be raised. • We have run staff road shows during November and December with all frontline social care staff informing them of the changes and giving the chance to feedback concerns and answer questions. Deferred payments were a part of these road shows. <p>We have been engaging early with local empowerment boards, the Health and Wellbeing Board, partnership boards and other user-led organisations and networks to inform them of the impending changes.</p>
Data used
<p>The following data has been used to inform changes to the and deferred payments policy:</p> <ul style="list-style-type: none"> • Department of Health Impact Assessment on the Care Act 2014. • Surrey County Council in house financial modelling on the impact of the Care Act • Surrey County Council in house data from the Adults Information System (AIS) database on client characteristics • Joint Strategic Needs Assessment (JSNA) data on the profile of Surrey's population broken down by the protected characteristics.

7. Impact of the new/amended policy, service or function

7a. Impact of the proposals on residents and service users with protected characteristics

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 229</p> <p>Age</p>	<p>Changes to the deferred payment policy are likely to be beneficial for Surrey residents who currently own their own homes but are at risk of having to sell them if they move into residential or nursing care in the near or far future. As Surrey house prices are above average for the UK this is likely to have a positive impact on people entering care who can to afford to have greater choice in homes than if they were not able to have a deferred loan.</p> <p>1) <i>The council is permitted to offer a deferred payment agreement to people who do not meet the basic eligibility criteria</i></p> <p>This will benefit people who are looking to move into supported living or extra care accommodation, and supports the council's direction of travel to encourage residents to explore these options as an alternative to residential care.</p> <p>2) <i>The council may seek</i></p>	<p>1) <i>The council is permitted to offer a deferred payment agreement to people who do not meet the basic eligibility criteria</i></p> <p>No negative impact could be identified.</p> <p>2) <i>The council may seek</i></p>	<p>AIS data</p> <ul style="list-style-type: none"> • There are currently just over 23,000 open clients on the AIS database and around 7,000 carers receiving support of some kind. <p>Department of Health Impact Assessment for the Care Act 2014</p> <ul style="list-style-type: none"> • The impact assessment states that the new rules around deferred payments will have a positive impact on three groups: <ul style="list-style-type: none"> ○ Group 1: When people enter residential care ○ Group 2: When people already in residential care spend down their assets over time ○ Group 3: When people lose eligibility for a housing disregard due to the death or entry into care of a relative or spouse

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
	<p><i>contributions from a person's income, savings or other assets but must leave the person with up to £144 per week available income</i></p> <p>No change to current policy.</p> <p>3) <i>The council is permitted to accept other forms of security</i></p> <p>This may enable more residents to benefit from a deferred payment agreement (dependent on the individual circumstances of the case) than currently, i.e. beyond only those who can provide a property as adequate security.</p> <p>4) <i>The council is permitted to charge compound interest on any amount deferred from the commencement of the agreement until the debt is repaid</i></p> <p>Increasing the available income taken will mean that there will be a larger contribution paid towards the overall Adult Social Care budget which may help in the longer term to ensure that council services are</p>	<p><i>contributions from a person's income, savings or other assets but must leave the person with up to £144 per week available income</i></p> <p>No change to current policy.</p> <p>3) <i>The council is permitted to accept other forms of security</i></p> <p>No negative impact could be identified.</p> <p>4) <i>The council is permitted to charge compound interest on any amount deferred from the commencement of the agreement until the debt is repaid</i></p> <p>The introduction of a compound interest charge may deter some residents from applying for a deferred payment agreement.</p>	<p>Joint Strategic Needs Assessment</p> <ul style="list-style-type: none"> • Data shows that Surrey has a higher proportion of people over eighty five years old and estimates that this population is set to double by 2033. This will lead to a greater demand on council services and a higher number of people who are able to fund their own care seeking advice and support. • In 2012 the estimated number of carers in Surrey was 106,700 or 10% of the population. An estimated 23,000 of these are thought to be over the age of 65. • There are an estimated 38,952 people over 65 in Surrey who are unable to manage at least one physical activity on their own. This includes going out of doors and walking down the road, getting up and down stairs, getting around the house, going to the toilet and getting in and out of bed. This number is predicted to rise to 46,883 in 2020.

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
	<p>sustainable or increased for vulnerable groups with the protected characteristics.</p> <p>5) <i>The council is permitted to charge an administration charge to include any reasonable costs incurred by the council in relation the deferred payment agreement</i></p> <p>Charging an administrative fee will enable the council to cover the costs of setting up deferred payment agreements, so money does not have to be drawn from other support for residents with protected characteristics.</p>	<p>5) <i>The council is permitted to charge an administration charge to include any reasonable costs incurred by the council in relation the deferred payment agreement</i></p> <p>An administration charge may deter some residents from applying for a deferred payment agreement. The council already makes a charge to cover the legal cost of placing a charge on a property.</p>	
Disability	Same as above	Same as above	Same as above
Gender reassignment	No impact	No impact	No impact
Pregnancy and maternity	No impact	No impact	No impact
Race	No impact	No impact	No impact
Religion and belief	No impact	No impact	No impact
Sex	No impact	No impact	No impact

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
Sexual orientation	No impact	No impact	No impact
Marriage and civil partnerships	No impact	No impact	No impact
Carers	Same as above	Same as above	Same as above

7b. Impact of the proposals on staff with protected characteristics

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
Age	These proposals do not impact on staff, unless they are in receipt of services in which case see above.	These proposals do not impact on staff, unless they are in receipt of services in which case see above.	These proposals do not impact on staff, unless they are in receipt of services in which case see above.
Disability	As above	As above	As above
Gender reassignment	As above	As above	As above
Pregnancy and maternity	As above	As above	As above
Race	As above	As above	As above

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
Religion and belief	As above	As above	As above
Sex	As above	As above	As above
Sexual orientation	As above	As above	As above
Marriage and civil partnerships	As above	As above	As above
Carers	As above	As above	As above

8. Amendments to the proposals

Change	Reason for change
N/A	

9. Action plan

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
Residents who fund their own care and are planning to move into residential or supported living accommodation may benefit from the greater flexibility and choice offered by a deferred payment agreement.	<p>Ensure people who fund their own care are aware of deferred payments by:</p> <ul style="list-style-type: none"> Updating our information and advice materials Ensuring staff are suitably trained and able to advise residents 	April 2015	Toni Carney
Residents may be deterred from applying for a deferred payment because of the administration charge and compound interest charge.	<p>The administration fee will be set at a reasonable level and will only cover the costs incurred by the council.</p> <p>Ensure people who fund their own care are aware of the benefits and potential costs of deferred payments by:</p> <ul style="list-style-type: none"> Updating our information and advice materials Ensuring staff are suitably trained and able to advise residents 	April 2015	Toni Carney
	Take up of deferred payments under the new policy will be monitored. There will be a further opportunity to review the policy during the implementation of the 2016 funding reforms.	April 2016	Toni Carney

10. Potential negative impacts that cannot be mitigated

Potential negative impact	Protected characteristic(s) that could be affected
N/A	

11. Summary of key impacts and actions

Information and engagement underpinning equalities analysis	7 week public consultation from December 2014 to January 2015, including publication of proposals online and circulation through networks and newsletters.
Key impacts (positive and/or negative) on people with protected characteristics	<p>Residents who fund their own care and are planning to move into residential or supported living accommodation may benefit from the greater flexibility and choice offered by a deferred payment agreement.</p> <p>Residents may be deterred from applying for a deferred payment because of the administration charge and compound interest charge.</p>
Changes you have made to the proposal as a result of the EIA	None
Key mitigating actions planned to address any outstanding negative impacts	<p>Update our information and advice materials and ensure staff are suitably trained and able to advise residents on the revised deferred payments scheme</p> <p>Take up of deferred payments under the new policy will be monitored. There will be a further opportunity to review the policy during the implementation of the 2016 funding reforms.</p>
Potential negative impacts that cannot be mitigated	None

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SURREY COUNTY COUNCIL**CABINET****DATE: 24 FEBRUARY 2015****REPORT OF: MS DENISE LE GAL, CABINET MEMBER FOR BUSINESS SERVICES****LEAD OFFICER: JULIE FISHER, STRATEGIC DIRECTOR FOR BUSINESS SERVICES****SUBJECT: SURREY COUNTY COUNCIL AND EAST SUSSEX COUNTY COUNCIL PARTNERSHIP**

10

SUMMARY OF ISSUE:

The Council set out its long term strategy, in November 2011, to work in partnership to build resilience, deliver efficiencies and strengthen its service provision for the residents of Surrey. Working in partnership, the Council will take advantage of economies of scale to drive down fixed costs, will build resilience and strengthen skills and knowledge. The Council's business support services have developed effective collaboration with East Sussex County Council through its shared procurement team and transactional service provision in operation since April 2013.

Surrey County Council and East Sussex County Council propose to build upon the success to date and deliver significant and transformative change by working in partnership to provide a comprehensive set of business services to both authorities, operating as one function under the management of a Joint Committee. The proposed partnership will deliver resilient and sustainable services whilst providing savings to our authorities. The bringing together of services from Surrey County Council and East Sussex County Council will create sufficient scale to allow the recruitment and retention of the best staff, drive shared efficiencies and invest in new technology that might otherwise be prohibitively expensive for each organisation alone.

The partnership is expected to develop and grow over time, attracting further public sector partners (as members of a Joint Committee) and from the pursuit of opportunities to enhance income, undertaken for public sector clients on a contractual basis or by means of specific delegation of function.

The working title for the partnership is South East Business Services; there is activity underway to consider an appropriate brand for the partnership for the public sector market. The partnership will incorporate all functions currently provided by Surrey County Council's Business Services Directorate (Human Resources, Shared Services, Property Services, Procurement and IMT) together with Finance and Legal Services.

The Cabinet is requested to consider the proposal, supported by the business case appended to this report as Annex 1, to create this transformative public service partnership with East Sussex County Council.

RECOMMENDATIONS:

The Cabinet is recommended to:

1. Approve the proposal to create a new business services partnership arrangement with East Sussex County Council with effect from 15 April 2015 and pursuant to that arrangement to place those of its staff employed in the delivery of those functions at the disposal of East Sussex County Council.
2. Agree that the functions of the Council, which are within the remit of the services in scope shall be discharged by a newly constituted Joint Committee, to be established with East Sussex County Council with effect from 15th April 2015.
3. Agree that the Joint Committee will comprise up to three Cabinet Members from Surrey County Council and up to three Members from East Sussex County Council.
4. Delegate the responsibility for agreeing the detail of an Inter Authority Agreement with East Sussex County Council, and other related issues including establishing the Standing Orders of the Joint Committee, to the Leader and the Cabinet Member for Business Services, in consultation with the Chief Executive, the Strategic Director for Business Services, the Director of Finance and the Director of Legal and Democratic Services.
5. Request that the Director of Legal and Democratic Services prepares amendments to the Scheme of Delegation and to the Constitution to reflect the changes arising from this report and the Inter-Authority Agreement, once it is concluded, and submits them for approval by the Leader.

REASON FOR RECOMMENDATIONS:

1. The proposed transformative public service partnership will build upon the strength of the existing arrangements, delivering resilient and affordable services to both Surrey County Council and East Sussex County Council. The partnership will deliver significant savings by taking advantage of economies of scale, streamlining processes and reducing duplication. Investment required for transformative change and continuous improvement will become a more affordable proposition than if undertaken by one council alone. In the longer term, the partnership will benefit from growth, delivering further economies of scale for the benefit of each council and their residents.
2. The recommendations satisfy the legal requirements to enable the formation of a Joint Committee, appoint Members to it and to enable staff to be shared with East Sussex County Council. East Sussex County Council will pass similar resolutions and taken together these form the foundations of the governance arrangements for the partnership.

DETAILS:

Background

1. The Strategy to develop partnerships as key to delivering benefits to residents, ensuring resilience and achieving efficiencies was endorsed by Cabinet in November 2011. The report “Time for Leadership, Leading the Change Agenda” set out the strategy, benefits and framework for working in partnership and collaboration. The strategy articulated the benefits for sharing service provision, not just in terms of delivering economies of scale and driving down costs but also in terms of growing resilience and internal skills and knowledge.
2. In December 2012 the Cabinet approved that Surrey County Council (SCC) entered into a partnership agreement to provide transactional support services and IT hosting services on behalf of East Sussex county Council (ESCC). The services, including accounts payable, accounts receivable, payroll and pensions administration, commenced on 1 April 2013 under a partnership collaborative agreement. At the same time, the two councils agreed to bring together their procurement functions under one joint head of service.
3. The strategy report to Cabinet in March 2013 “Strengthening the Council’s Approach to Innovation: Models of Delivery” reiterated the earlier strategy document by stating that the consideration of different delivery models would play an important role in the delivery of good quality public services and value for money for residents.
4. The existing partnership arrangement with East Sussex has facilitated, as indicated in the report to the Cabinet in 2012, further exploration of other services which might be undertaken using a collaborative approach. The partnership successfully bid for funding from the government’s Transformation Challenge Award to support the development of a more comprehensive shared services partnership. The award, together with the development of the relationship at a strategic level has enabled the parties to reach agreement on the proposal outlined in this report to the Cabinet.

Business Case Proposal

5. SCC and ESCC propose to create a joint public-sector partnership, to deliver business & support services to both authorities. The partnership will incorporate some functions currently undertaken within SCC’s Business Services and Chief Executive’s departments; Human Resources, Property Services, Information Management Technology, Procurement, Finance and Legal Services.
6. The proposed transformative arrangement will deliver affordable services to each council and deliver benefits to both parties. Significant savings will be achieved from integration, from the adoption of common practices & technology and economies of scale.
7. The proposal is made following the conclusion of an options analysis and a jointly prepared business case. The business case, appended as Annex 1 to

this report, provides further detail and identifies the vision and priorities that the partnership is being developed to address:

- The creation of a successful, resilient and innovative organisation – which is customer led and responsive to the needs of each council.
- Deliver value for money and reduce costs by sharing resources, including technology and management roles.
- Eliminate duplication by sharing expertise and best practices and adopting common processes & procedures.
- Provide a platform to build upon the success of each party in securing additional sources of income by providing services to other public sector bodies, and
- Potentially, should another Local Authority wish to join the partnership, secure further benefits for the public sector and the partnership from the enhanced economies of scale.

Governance

8. Following the completion of the options analysis, and the recommendation to pursue a public sector partnership for the delivery of business and support services; the proposed governance structure is a Joint Committee arrangement. As all the functions within the identified scope of the proposal are executive functions, each council's Cabinet may agree this approach and delegate responsibility to the Joint Committee to carry-out the agreed functions. The joint committee will comprise members of the Cabinets of SCC and ESCC and Cabinet will appoint SCC members of the joint committee.
9. The Joint Committee's authority will be to oversee the discharge of delegated professional, transactional and support services in accordance with each council's policy framework and any other plans and strategies approved by the respective Cabinets. The Joint Committee will operate within the powers delegated to it, whilst the parent Councils and their Cabinets will continue to discharge those functions reserved to them by law, or by their respective Leaders. For example, whilst the Joint Committee will have oversight of the Council's facilities management arrangements, decisions relating to the acquisition, retention and disposal of properties within the Council's estate will remain a matter for SCC and ESCC's Cabinets. Similarly whilst the Joint Committee will have oversight of the Finance function, SCC's (and ESCC's) Cabinet and executive functions will continue to consider its own Medium Term Financial Plans and associated financial strategies, such as the Treasury Management Strategy, as now.
10. It is also envisaged that the Joint Committee will operate within a budget delegated to it by each council.
11. The functions delivered to each council through the Joint Committee may continue to be scrutinised by council members through existing scrutiny arrangements.

CONSULTATION:

12. Consultation has taken place between the Cabinet Portfolio members, the Chief Executives and the leadership teams of each council. A number of briefing sessions have been delivered to staff in each council and engagement activities have taken place between the senior managers of each council. The Council's unions have been engaged in the process.

RISK MANAGEMENT AND IMPLICATIONS:

13. The Council anticipates that the arrangements will remain in place on an indefinite basis. There is a risk therefore that during this time there may be significant changes to each council which impacts upon the services that are required to be delivered by the Joint Committee. The principles underpinning the governance and financial arrangements recognise that this may be the case. The Joint Committee will provide an effective governance structure to ensure that the joint service continues to meet the needs of both partners and that the key broad principles of transparency and equity continue to apply. The governance and financial arrangements for the partnership will be developed further and articulated in a report to the Cabinet in July 2015, alongside a more detailed business plan for the partnership.
14. Further risks and associated mitigating actions are explained in the Business Case document appended to this report.

Financial and Value for Money Implications

15. The Business Case appended to this report demonstrates that the proposed partnership arrangement will deliver cost savings to the two councils in excess of the savings achievable in isolation. Savings will be delivered from integration, the sharing of best practice, the adoption of common processes, economies of scale and the sharing of resources including technology and management. Based upon industry benchmarks, the estimated gross savings to the partnership will be between £6m and £8m per annum by the end of a four year implementation period.
16. Achievement of savings of this scale will be dependent upon investment in technology – both in terms of the technology required in order that the partners can work together in a seamless manner and technology improvements to deliver step-change and continual improvement. Some of this investment may incorporate technology improvements that would have been undertaken regardless of the partnership – taking these forward under the partnership and sharing the expense will further enhance value for money for the councils. Additional resources will be required to manage the implementation of the partnership, support organisational change and to deliver the technology required. Whilst mitigation will be put in place, there may be redundancy costs associated with the organisational changes required to deliver the target savings. Taking all the above into consideration, the investment required is likely to be between £6m and £10m.
17. As noted in the Business Case, a further report will be provided to the Cabinet in July 2015 once a more detailed business plan for the partnership has been developed. The investment required will be further outlined at this stage.

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18. The proposal to establish the partnership and create the governance arrangements under a Joint Committee structure is not however dependent upon this investment - although the savings achievable from the partnership will inevitably be more modest without such investment.
 19. The partners have agreed key principles in relation to the financial arrangements which are described in the Business Case appended to this report. In summary, the approach to the sharing of investment and cost apportionment between the councils will be determined upon the basis of a balance between risk and reward and recognising the proportionate size of each partner and existing service provision. The activities of the partnership will be responsive to each council's strategies and priorities, and to structural changes including those driven by legislative requirements. Therefore the financial arrangements will recognise that the sharing of costs, investment and benefits will be subject to similar considerations and will adjust where appropriate in line with demand changes over time.
 20. The methodology adopted to determine the appropriate apportionment of costs will be developed further and reported as part of the more detailed business plan for the partnership. In principle however, both parties recognise that this methodology will need to be fair and transparent, take into account changes in demand and will require the development of management information to support the mechanism.

Section 151 Officer Commentary

21. The Section 151 Officer confirms that the proposed outline business case and financial implications have been agreed working in partnership with the Section 151 Officer of East Sussex County Council. The partners have agreed the broad financial and governance principles and further consideration is required to be given to these arrangements, which will be reported in a further report to the Cabinet.
22. Delivery of the savings in the range identified in the Business Case will require significant investment. The partnership will provide a more detailed business plan for consideration by the Cabinet in July 2015 alongside the review of the council-wide MTFP (2015 to 2020).

Legal Implications – Monitoring Officer

23. The Cabinet has a range of powers enabling it to agree joint arrangements with East Sussex's Cabinet for the discharge of functions. These arrangements can include the establishment of a Joint Committee. The Joint Committee will need to be made up of members of the Cabinet of each Council. As the Committee is not a separate legal entity it cannot have its own workforce and staff will remain employed by one of the parent councils. Cabinet has therefore been asked confirm that it is placing its officers at the disposal of ESCC and a mutual delegation will be sought from ESCC.
24. It is advisable and usual practice for an Inter-Authority Agreement to be entered into between the parties to document the arrangements. This will set out the various rights and responsibilities of the parties and the precise nature of the joint working relationship. In this case it is envisaged that the

agreement will continue indefinitely, but provision will be made for termination in exceptional circumstances.

Equalities and Diversity

25. There are no identified equalities implications from the creation of the proposed partnership and Joint Committee. There may however, be equality implications of decisions that the Joint Committee may take in the future and therefore an Equalities Impact Assessment will be developed alongside the business plan to be considered by the Cabinet in July 2015, and will be updated appropriately for consideration by the Joint Committee as more detailed organisational changes are proposed and implemented.

WHAT HAPPENS NEXT:

26. Upon approval from the Cabinet, the following key actions will commence;
- Officers will develop the Inter Authority Agreement, including the detailed governance arrangements, the delegated authority and standing orders of the Joint Committee, in partnership with East Sussex and for the approval of the Leader and the Cabinet Member for Business Services, in consultation with the Chief Executive, the Strategic Director for Business Services, the Director of Finance and the Director of Legal and Democratic Services.
 - Officers will develop the more detailed business plan for the partnership, including confirmation of the investment required, for consideration by Cabinet in July 2015.

Contact Officer:

Julie Fisher, Strategic Director for Business Services

Consulted:

Surrey County Council: Cabinet Members, Chief Executive, Senior Leaders and staff.

East Sussex County Council: Cabinet Members, Chief Executive, Senior Leaders and staff.

Annexes:

Annex 1: South East Business Services Business Case

Sources/background papers:

- Cabinet Report November 2011: Time for Leadership, Time for Change
 - Cabinet Report July 2012 – Procurement Review and Partnership between Surrey County Council and East Sussex County Council.
 - Cabinet Report December 2012– Surrey County Council and East Sussex County Council Partnership
 - Cabinet Report March 2013 – Strengthening the Council’s Approach to Innovation: Models of Delivery
 - Cabinet Report February 2014- Public Service Transformation.
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South East Business Services Business Case

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1. Executive Summary

East Sussex and Surrey County Council aspire to deliver an ambitious step change in our business services and believe that we are uniquely positioned to be able to do this.

Our ambition is to create efficient, modern, agile and digitally enabled business services that will support our organisations and partner organisations through an unprecedented period of change and financial challenge in the public sector. We wish to build upon our successful partnership in procurement and shared services to create a fully integrated business services organisation called “South East Business Services” (SEBS) from April 2015.

Customer service and delivering public value will be at the core of what we do. Our public service values and ability to innovate and design services that are focused on improving the performance of our customers will set us apart from other support service organisations in both the public and private sectors. Through bringing together Surrey and East Sussex Business Services we will create sufficient scale that will allow us to recruit and retain the best staff, drive shared efficiencies and invest in new technology that might otherwise be prohibitively expensive for our organisations alone.

Our aim is to become the provider of choice for other public sector bodies and we expect the partnership to grow beyond the two county councils in the early stages of its development. We are actively engaged with other potential partners to that end. Business growth will in turn give us increased commercial leverage and will increase our volume of activity enabling SEBS to drive down the costs of service delivery, whilst increasing sustainability and resilience.

Savings achievable from the partnership are estimated to range between 10% and 15% of the gross salary spend based upon industry benchmarks. This would result in savings of £6m to £8m per annum by the end of the 4th year. Investment in technology will be required to achieve the savings and a project of this magnitude will incur significant implementation costs – these are expected to be from £6m to £10m.

We also intend to adopt a similar integration approach to the management of the legal services provided by the two councils and will do so under the same governance arrangements set out in this business case.

2. Purpose

- 2.1. This document sets out the strategic business case for East Sussex and Surrey County Councils to work in partnership to develop “South East Business Services”, and sets out the options and recommendations to realise the ambitions and vision of the founding partners.
- 2.2. From here on in, we will refer to South East Business Services as ‘SEBS’. When the document refers to ‘we’ this should be read in the context of East Sussex and Surrey County Council working in partnership.

3. Background information

- 3.1. East Sussex and Surrey County Councils are both forward thinking and innovative organisations with a relentless drive to improve efficiency and deliver good quality, affordable services for our residents and businesses. Both councils have a strong

track record of delivering through partnerships and have already developed an effective working relationship through sharing services.

- 3.2. The Business Services departments of both East Sussex and Surrey County Council provide a range of professional, advisory, transactional and operational services. We have a wide ranging remit that supports residents, elected councillors, and public-facing services, including schools and the fire services. The Business Services departments manage large operational budgets on behalf of each council, with a combined net revenue budget of £106m per annum.
- 3.3. East Sussex and Surrey County Councils have an established history of partnership working. In April 2013, we established a partnership for procurement. The joint procurement team use a best practice category management approach to procurement. Common technology solutions and processes have been adopted for e-tendering, e-contract management, project benefits tracking and document sharing, and these have enabled a well-founded programme of work to be delivered that is aligned with the councils' budget plans. The team is led across both authorities by a shared Senior Management Team under a shared lead officer, whose appointment was made jointly.
- 3.4. Also, in April 2013, Surrey County Council and East Sussex County Council entered into an arrangement which brought together transactional services from both organisations, including accounts payable, accounts receivable, payroll, expenses and pensions administration, along with the hosting of our core financial and HR systems (SAP), under the discrete brand of South East Shared Services (SESS). These transactional services had formerly been outsourced by East Sussex County Council to a private company. This project has led to a collaborative relationship between our Councils, with senior managers and operational managers working closely together to ensure successful and valued service to customers. Within the proposal of this Business Case, SESS is integrated within SEBS and becomes an operational service.
- 3.5. On 15 September 2014, East Sussex and Surrey County Council in partnership communicated their ambition to create SEBS; a shared business advisory, professional and transactional service supported through a shared business model.
- 3.6. We believe that SEBS will build on our existing relationship to deepen trust and co-operation between the organisations. The effect of this will be a rigorous evaluation of processes in both Councils, bringing in best practice from each other's best performing services, to create modern, resilient, agile and cost effective business services.
- 3.7. In 2013, the partnership successfully bid for funding from the government's Transformation Challenge Award fund to support the development of the shared services partnership and its wider public service partnership with the 'blue light' services (police and fire and rescue services). The £750,000 grant has helped to fund the cost of the work of the programme to date, including the work to assess the level of technology investment required to support the integrated service model, the communications and engagement process with our staff, the process design and improvement work in our transactional services and our engagement with wider partners.

4. Vision

- 4.1. Our vision is to build a strong partnership of local authorities with values and principles aligned to the SEBS partnership. We will create a single organisation (SEBS) that will provide transactional and professional business services to their own authorities, the wider public sector and beyond – creating public value for residents.
- 4.2. Over the next four years, we will map out, target, define and consolidate a range of business services, ensuring that the emerging service framework will enable and fully support the SEBS business vision and strategy and begin to deliver significant improvements within the first year of the Partnership.
- 4.3. The services provided by SEBS will initially include transactional services, Finance, Human Resources, IT, Property and Procurement services. These services are illustrated in Appendix 1. The scope of SEBS will not be limited to delivering these core business services functions and may integrate the support services of other founding partners which are not currently carried out by East Sussex and Surrey County Council, for example Revenues and Benefits. Our respective Legal Services teams are working to develop a similar model to deliver professional legal support and with the introduction of new partners, we anticipate that other business services will be integrated into SEBS.
- 4.4. Innovation and continuous improvement will drive process simplification along with targeted systems automation. We also plan to evaluate and adopt, wherever beneficial, new and emerging technologies that will provide and support a modern agile approach to service management and delivery. This approach will further ensure that we can meet the financial challenges we face in the most resilient manner, by sharing professional and technical expertise. We will ensure that our new shared services are made accessible and ready to be offered to additional public service partners and customers as quickly as possible. This will offer additional economies of scale to further drive down the overall costs of service delivery. We also believe that the shift in focus to developing a compelling third-party service offer will also raise standards and quality of delivery across all participating partner organisations, increasing sustainability and resilience overall.
- 4.5. The development and evolution of SEBS will therefore take place in a series of structured and well planned stages that ensures service delivery for partner organisations is sustained. Key decisions on change will be taken by the partnership and through the partnership. This will enable the greatest efficiency gains to be delivered for customers, and ensures that organisational sovereignty is respected.
- 4.6. We intend to understand, and deploy where appropriate, best practice from all partners and the broader public and private sectors, in order to build on and improve service quality and provide customer excellence. In developing this business case we have undertaken research around the models in place in other shared services partnerships in the public sector. In particular, we have the benefit

of the learning and support that the LGSS and Onesource¹ have provided in sharing their approach to partnership.

- 4.7. While we expect SEBS to become a compelling alternative to private sector organisations, we also recognise that these service delivery changes must be undertaken and implemented without losing sight of our core mission, purpose and identity as local authorities. On that basis, we believe that SEBS will lead East Sussex County Council and Surrey County Council business services functions into a fully integrated operating model that will in turn significantly increase ongoing and long term public value for the council taxpayers and residents of both Surrey and East Sussex.
- 4.8. We believe that the creation of SEBS is the best option for our authorities to improve public value for our residents and businesses, and to ensure that our services to them are supported by an efficient and effective business service. SEBS will offer us the most flexible, affordable and adaptable model for change, ensuring that the arrangements support the transformation agenda of each council. It also offers us the best opportunity to sustain employment and enhance professional development for our staff. We expect SEBS to become a highly innovative environment that will attract and retain talented professionals who will share our aspirations to deliver high quality public services using a next-generation approach.
- 4.9. We recognise there are a number of operating models and design principles that could be adopted in the creation of SEBS. The vision of SEBS is not simply about joining two existing Business Services departments to create one joint internal department. It is about being creative and innovative so that, as well as achieving the efficiency savings needed for both organisations, it also creates an enterprise that can act as a catalyst to support the transformation of our wider organisations and the services provided to residents. It also supports our ambition for future growth, to include additional partners.
- 4.10. SEBS will consider a wide range of design models to make the best business decision for each service area and to develop a model that will provide the basis for new partners to join. In particular, we will design our new service model for SEBS to reflect how we can: add value to our customers; enhance the use of new digital technologies to improve customer service and increase efficiencies; develop the capacity to grow by bringing new partners on board; ensure we have the capabilities and capacity to continually innovate our service offer and business processes; reflect the needs of our customers to remain close to their businesses, while generating maximum economies through co-location in those services which are transactional and volume based. We will create an innovative service offer that others will want to join and which adds value to our customers and generates public value for our residents.

¹ OneSource is a shared service arrangement between East London boroughs, Havering and Newham London Borough Councils. It shares support services including HR, ICT, finance, benefits, council tax and business rates. It was set up in 2013. Local Government Shared Services (LGSS) is a partnership between Northamptonshire and Cambridgeshire County Councils to provide support services back to the founding authorities. It was set up in 2010. Both arrangements operate under a Joint Committee governance structure.

5. Partnership Creation and Delivery Challenges

- 5.1. The development of South East Business Services is an ambitious programme of change that will bring together two large business services functions to create a new integrated service with a common culture, based on public service values underpinned by efficient, modern, agile and digitally enabled business practices and thinking.
- 5.2. It will be a challenging programme of change that recognises the continued need to make significant financial savings whilst at the same time:
 - Investing in modern systems and working practices
 - Rethinking the business from a digital perspective
 - Maintaining our strong partnership ethos, building on the relationships we have developed and creating greater strength in our partnering capabilities
 - Retaining and developing our talented people and creating a profile as an employer of choice
- 5.3. Our focus on outcomes will at times test the strength of the partnership as we challenge how we work, the systems we use and the processes and policies we adopt in order to create the greatest opportunity for seamless and integrated business service delivery that best meets the requirements of our councils and partners.
- 5.4. We need to be open to new learning and recognise that by adopting the best parts of the Partners in the service we will be stronger and more resilient. We need to meet the challenge of behaving like a partnership and making speedy and decisive decisions like a single entity.
- 5.5. We have had experience of working together in business services since 2013 and this has given us the foundation to have confidence that we can meet the challenges of partnership working and enhancing the quality of the business services of our Councils.
- 5.6. We need to maximise the potential from this experience to date in order to continue to develop our services in a market in which we anticipate will become more competitive and diverse.

6. Options appraisal – identification and recommendation

6.1. Overview of options

- 6.1.1. A range of options has been considered by the SEBS Programme Board (see Appendix 2 for structure and responsibilities of this Board) for the form which the partnership could take. In doing so, the Board has considered those options currently operating for a range of services in other local authorities in England and Wales, as well as the wider public sector.
- 6.1.2. In considering the choice of delivery model for the partnership, the Programme Board was mindful of the wider ambitions of the partners to become the partners of choice for the wider public sector, the potential impact on the 1,400 full and part time workers currently employed by the two Counties Business Service Departments and the desire to ensure that the delivery vehicle retains a culture of public service delivery. A culture of ‘for the public sector, by the public sector’ and the need for it to continue to feel like an integral part of the partner councils, and not something separate or remote, was seen as a key factor in determining the optimum delivery model. Following consideration of all possible vehicles, the options shortlisted by the SEBS Programme Board are:
- 6.1.2.1. Continue to provide the range of services as currently, through the separate management of the two councils (Do Nothing);
 - 6.1.2.2. Establish a Joint Committee of members from the partner councils to oversee delivery of the business services using powers delegated by the partner authorities;
 - 6.1.2.3. Deliver the range of “business services” through a company set up for the purpose and owned by the partners;
 - 6.1.2.4. Contract with a private sector partner to deliver the range of services currently managed by within the Business Service departments of the councils (Outsourcing); and
 - 6.1.2.5. Join an existing shared service partnership.
- 6.1.3. Key considerations in assessing the delivery models were; alignment of the end-state with the vision as described in Section 4, alignment with overall vision (described above), cost and quality, strength of governance arrangements; ability to meet future challenges and adapt to changes in demand from business service users; ability to provide services to other bodies; speed of delivering benefits; and impact on each council’s pension funds.

6.2. Options Identification

6.2.1. Option 1 - maintain current arrangements

- 6.2.1.1. This option would retain the current approach to the delivery of the services managed within the Business Services departments of the councils, with separate line management of the individual service functions. Some tactical sharing of services would continue, as with the existing sharing of a Head of Procurement, but these would be pursued on an individual case-by-case basis as the opportunities arise.
- 6.2.1.2. The ability to make efficiencies through economies of scale and to share learning and practice would be very limited. There would also be little scope to increase resilience or provide a wide range of services to other bodies.
- 6.2.1.3. This option is not consistent with the overall vision, and on its own would not enable the councils to respond to these challenges in the most ambitious, innovative and productive way. The relationship between the councils has matured and developed and this option would not exploit the greater potential the councils have, based on what has been achieved to date.

6.2.2. Option 2 - Joint Committee

- 6.2.2.1. This option would involve the establishment of a Joint Committee of Members from the partner authorities with formal powers for strategic management of the range of services delegated to it.
- 6.2.2.2. Joint Committees are a well established vehicle for partnership working across the local government sector for the management of a range of different services, and are a robust governance model where two or more local authorities come together to share services. They have the assurance of democratic control and accountability by the partner authorities with Member direction at the heart of the partnership.
- 6.2.2.3. A joint committee can have its own identity and branding but it is not a legal entity separate from its constituent authorities. It cannot enter into a contract, own land or employ staff in its own right, so one or more of the authorities may need to take a "lead authority" role to undertake these activities under the control of and on behalf of the joint committee. This can make cultural change slower, but has the benefit of eliminating the need to TUPE staff to a new entity.
- 6.2.2.4. The use of a joint committee would align with the vision of the founding partners to work in partnership and provide services across the public sector and the objectives of the partnership. The model is flexible and can easily be expanded by admitting other local authorities to the partnership.

- 6.2.2.5. Joint committees are able to provide services to a range of other local authorities and public bodies but cannot trade with the private sector for profit, although establishing a separate company within the partnership to trade would resolve this issue.
- 6.2.2.6. This option would not be complex or costly to establish and it enables flexibility in terms of the phasing of the implementation, and also service delivery. This model would be sufficiently flexible to cope with changes in demand from legislative change and from business service users, and so would not inhibit the ability of those users to make the structural changes or adaptations they consider necessary to provide their frontline services.
- 6.2.2.7. Control would continue to rest with the partner authorities who could dictate the pace and scope, allowing the partnership to establish itself and grow. A joint committee would also enable the partners to retain the flexibility to contract with other private or public bodies and charge for particular services should that be considered advantageous.

6.2.3. Option 3 - Set up a separate company

- 6.2.3.1. This option would see the creation of a company wholly owned by the partner councils. The benefits in such an approach include the ability to create a separate 'corporate' identity around the delivery of business services. This provides the potential benefit of a specific focus on the range of services in scope and a platform for creating a new commercial culture associated with service delivery, but at the same time could lead to a sense of being remote from the partner organisations.
- 6.2.3.2. The new company would be a legal entity in its own right, separate and distinct from its owning authorities, with its own branding and identity. It could own property and enter into contracts. The directors of the company would be duty bound to act solely in the interests of the company which could lead to a divergence of ethos from the public sector it is supporting.
- 6.2.3.3. This is a recognised model and there are some good examples of wholly owned public sector companies which have been established to trade with their owning public authorities. A company would have strong governance arrangements in place, and would be governed by its articles of association and a shareholders' agreement which would be determined by the councils. A Board of Directors would run the company and the participating authorities could retain the right to appoint to it. If appropriate the Board could include independent non-executive board members. Arrangements would have to be put in place to safeguard against conflicts of interest that may arise in relation to Local Authority Members or officers acting as Directors of the Company.

- 6.2.3.4. The ability to participate in the model could be extended to local authorities and other public sector bodies, who could become shareholders of the company in future, if they wished to join the Partnership.
- 6.2.3.5. The award of a contract to the company by the controlling authorities would not trigger the EU/UK procurement rules where more than 80% of the activities carried out by the company were with the controlling authorities. This rule could, however, inhibit the ability to provide services to other public bodies. Should the level of activity exceed the threshold, the company would need to compete for the work that it provides to its parent councils. In turn this would increase bureaucracy and cost to partner councils.
- 6.2.3.6. In order to commence operation under this model, the partner authorities would need to enter into contracts with the company to purchase services from it and staff would subsequently be TUPEd over to become employees of the company. This would increase the implementation time required for the new arrangements and may, depending upon the arrangements decided, have a detrimental impact on each authority's pension fund. The company would also be required to comply with company law, prepare its own statutory accounts and have these audited in compliance with the Companies Acts. It would be liable to corporation tax on any profits generated.
- 6.2.3.7. The partner authorities would have to be mindful of State Aid rules and competition law in relation to the assistance given to a company. Support given to the company, such as access to services and accommodation would need to be properly recharged and so require further contractual arrangements. Loans and other funding would need to be on a basis on which a prudent investor would likely invest in such a company.

6.2.4. Option 4 - Contract with a private sector partner

- 6.2.4.1. This option would see processes and job functions that are currently carried out by the Business Services departments contracted out to outside suppliers.
- 6.2.4.2. External contracting for the full range of services currently managed by the two Business Service departments is not currently considered as an optimal solution for the future delivery of support services for the partner councils. This approach does not align with the vision of the partners to retain public value within the public sector, and would limit the ambition of the partners to generate further efficiencies through the expansion of the partnership to other public sector partners.

6.2.4.3. This option would take longer to implement, requiring the packaging of the services, a competitive tendering process, evaluation and then implementation, and it is anticipated that this process would take at least 12 months. This option would require the transfer of staff to the private sector contractor and could, depending upon the arrangements, have consequences for the sustainability of the authority's pension funds. Although once implemented, early savings could be achieved through outsourcing, it is considered that this type of arrangement may restrict the ability to deliver further efficiencies. This is particularly the case if the economic environment changes significantly again in the future, or the approach to the delivery of other services within the constituent authorities undergoes other structural changes. Entering into a contract with a for profit organisation for such a range of services is likely to lock the councils into medium to long term financial commitments and so is less flexible than some of the other options. Changes in scope can be expensive and it would limit the ability of the service users to make changes where they impact on the contract.

6.2.4.4. While the wholesale outsourcing of these services is not considered as the optimal solution at this stage, the partnership will retain the flexibility to contract for services within its overall scope, thus ensuring maximum flexibility in service delivery; the ability to secure greater value in external contracting by taking a partnership approach and thus ensuring greater economies of scale; and securing external skills capability and capacity where these are best delivered through external contracting.

6.2.5. Option 5 – Join another shared service

6.2.5.1. This option would involve the councils joining an existing, established, shared services partnership. On the assumption that we entered on equal terms with existing partners, the benefits as regards governance arrangements would be similar to those of establishing our own joint committee. Although there would be potential benefits of speed in set-up, it is considered that these would be marginal, as there would be significant challenges in securing cultural change with staff buy in.

6.2.5.2. We have investigated existing shared service partnerships and have been grateful for the time and learning that those partnerships have shared with us. We believe that there are significant opportunities for the future sharing of service delivery and wider partnership with other shared service partnerships and would wish to explore those options with them in the future.

6.2.5.3. We therefore see the collaboration with established shared services partnerships as complementary to the establishment of our own partnership and believe that we can achieve the best of both worlds through establishing a body that can become the partner of choice in the South East, while collaborating with and learning from other shared service partners to the mutual benefit of all partners.

6.3. Recommended option for delivery

- 6.3.1. On the basis of the evaluation process, we recommend Option 2 and that our respective Cabinets establish a Joint Committee in order to support the integration of business services across the partner organisations.
- 6.3.2. This approach would not require a TUPE transfer of staff, would enable the implementation of the partnership in a stable and controlled way, minimising risk to service users; maintain flexibility to react to the needs of service users; have strong governance arrangements in place; and have direct Member oversight. It would also enable the partners to pursue their vision of developing the ability to provide services to other local authorities and public bodies.

7. Joint Committee

- 7.1. All of the shared professional and business service functions identified in this report are executive functions, enabling the authorities' Cabinets to agree joint arrangements to discharge those functions through the establishment of a Joint Committee.
- 7.2. Each Council would empower the Joint Committee by delegating responsibility for discharging the relevant functions to it and by financing it through an agreed budget. Regulations permit the relevant Cabinets to then determine the membership of the Committee. This will need to comprise Members of the Cabinet of each council.
- 7.3. The Joint Committee's authority would be limited to the professional and transactional business services delegated to it and strategically significant powers would be retained by the parent authority. So for example, whilst the Joint Committee would have oversight of the councils' facilities management arrangements, decisions relating to the acquisition, retention and disposal of properties within the estate would be a matter for the relevant Cabinet. Similarly, whilst the Joint Committee will have oversight of the Finance function, each Cabinet will continue to consider its own Medium Term Financial Plans and associated financial strategies as now.
- 7.4. The Business Service functions delivered to each council through the Joint Committee will be scrutinised by its Members through existing scrutiny arrangements.
- 7.5. A Joint Committee is not a separate legal entity. Officers will therefore remain employed and assets will be owned, by a parent authority. Any contract with a third party would have to be entered into by one of the parent authorities.
- 7.6. We have acknowledged that this venture is underpinned by mutual trust and cooperation, consequently an overriding principle is that the authorities will share the costs, expenses and savings involved in sharing of services fairly, transparently and on an agreed share basis. It is however advisable and usual practice for a specific agreement to be drawn up to underpin the arrangements. This would include the various rights and responsibilities of the parties and the precise nature of the joint

working relationship, including how any disagreements would be resolved. It is envisaged that the agreement will commit the parties on an indefinite basis however there will need to be provisions within the arrangement for a party to terminate due to exceptional circumstances. The principles underpinning the governance and financial arrangements in relation to both entry and exit from the partnership will be further developed and reported to each council's Cabinet in a more detailed Business Plan for the partnership in July 2015.

8. Financial benefits and implementation costs

- 8.1. Both Surrey County Council and East Sussex County Council, as with other public sector bodies, are faced with delivering services to the public in the context of reduced funding and increasing demands for core services. SEBS will deliver benefits to both councils by combining resources to deliver economies of scale and build resilience. Staffing spend can be reduced by removing duplication, streamlining management structures and from improving processes. By working together, investment in technology to deliver step-change and continual improvement becomes a more affordable and compelling proposition than if one party were to undertake the investment alone.

Saving per annum by Year 4	£6m to £8m
Investment and Implementation costs (one-off)	£6m to £10m

- 8.2. We expect the partnership will grow over time, with this taking place in two ways:

8.2.1. Another Local Authority may wish to join the partnership and form part of the Joint Committee. This will deliver further economies of scale and financial savings to the parties involved; and

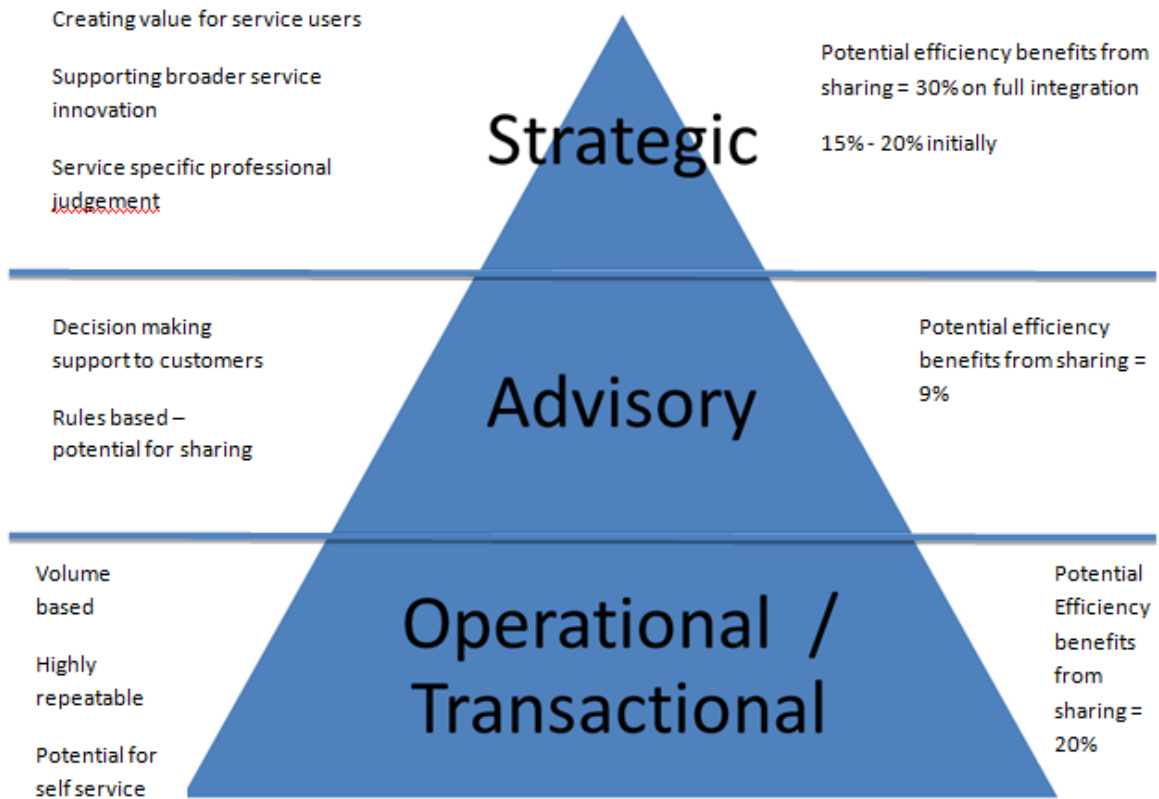
8.2.2. The partnership will additionally pursue opportunities to enhance income, by providing services to other public sector clients on a contractual basis or by means of specific delegation of function.

- 8.3. A number of Local Authorities have entered into shared services arrangements with like-minded partners, to deliver savings and enhance value for money. Some of these arrangements are described in research undertaken by the Local Government Association and the Chartered Institute of Public Finance and Accountancy (CIPFA)². Figure 1 below illustrates this approach. These research documents have provided a valuable starting point and benchmarks for consideration of the achievable benefits from the proposed partnership. Senior managers of the two councils have also undertaken a site visit to LGSS, a similarly sized partnership created by Cambridgeshire County Council and Northamptonshire County Council.

- 8.4. We have considered this research and recognised that both authorities (East Sussex County Council and Surrey County Council) have, on an individual basis, already delivered significant savings to their councils in recent years from

² LGA "Services Shared: Services Spared?" 2012 & CIPFA "Sharing the Gain-Collaborating for Cost Effectiveness" 2010

centralisation, streamlining of processes and investment in technology. We can however, achieve further savings together as a partnership. These savings are achievable from the benefits of scale, from adopting and sharing best practice, the removal of duplication and streamlining of management. This collaborative approach will ensure the requirement to deliver savings and affordable back-office services does not compromise quality and the ability to support the transformational agenda of the participating councils.



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Fig 1. Based on the strategic, Advisory and operational split in the target operating model and research by CIPFA's Shared Service Architects on the benefits derived from sharing services in a shared services partnership between two or more organisations.

- 8.5. The partnership will be the mechanism to deliver and potentially exceed the existing target savings included within the Medium Term Financial Plans of both councils in the activities that will be managed by the Joint Committee. We estimate that the savings achievable from the proposed partnership will be between 10% to 15% net of the relevant operational budget of the Joint Committee over a four year period. In terms of the partnership staffing spend, this means gross savings of between £6m and £8m per annum by the end of the four year period. As some staff costs are recharged to the capital budgets and pension fund of each authority or supported by income, the savings attributable to the revenue budgets of the two authorities will be between £5m to £7.5m per annum.
- 8.6. Achieving savings of this scale will require investment. Delivery of the savings will be dependent upon the use of common technology and processes and seamless connectivity between the councils. In particular, there will be a requirement to

undertake significant investment in our back-office support systems which provide the functionality to deliver general ledger and transactional capability for Finance, Human Resources and Procurement/purchasing activities.

- 8.7. Additional resources will be required to manage the programme, support organisational change and the costs of change, develop new ways of working and to deliver the technology improvements required. We estimate that the total implementation costs, will be between £6m to £10m.
- 8.8. This investment, however, includes technology improvements that would have been undertaken regardless of the partnership. The adoption of more intuitive user driven digital applications requiring minimal intervention and available on mobile devices, such as employee expenses processes, and the adoption of dashboard style management information to give two examples, will deliver wider organisational business benefits for each council impacting upon the whole budget and not just that of business services activities.
- 8.9. The proposal to establish the SEBS partnership is not dependent on this investment. The partnership will be able to create a greater benefit from a range of investments that would need to be considered by partners in response to meeting savings and efficiency challenges. In addition, investment made through SEBS as the delivery vehicle would be lower than if partners made these investments independent of each other.
- 8.10. Further work is required to identify appropriate solutions and to refine these estimates. Therefore, a more comprehensive Business Plan, confirming the savings achievable and the investment required will be provided for each Cabinet's consideration by July 2015. In the interim, the additional resources required to develop the programme, including the work completed to date, have been funded from the Transformation Award grant of £750,000 secured by the partnership in 2013.

Financial arrangements

8.11. Principles

- 8.11.1. The financial arrangements of the partnership, such as decisions required in relation to the sharing of investment and cost apportionment, will be determined upon the basis of balance between risk and reward, and the proportionate size of each founding partner. The activities of the partnership will be responsive to each council's strategies and priorities, and to structural changes, including those driven by legislative change. Therefore, the financial arrangements will recognise that the sharing of costs will be subject to similar considerations.
- 8.11.2. Professional, advisory, transactional and operational services undertake a number of activities on behalf of each council, including the management of non-staffing costs on behalf of the whole organisation. For example, the Property Service of each council manages the budget set aside to pay for rents, rates, utilities and other associated running costs for all council buildings. Decisions in relation to these property assets, for example a decision to relocate a library, will continue to be taken by each council's

respective Cabinet or Executive function and therefore will not form part of the decision-making delegated to the Joint Committee. It will be the case, therefore, that the Joint Committee will be responsible for two types of budgets: budgets that are managed on behalf of each council on an individual basis; and budgets related to the delivery of joint activities for which the Joint Committee will be fully accountable.

- 8.11.3. We will distinguish between these two responsibilities by using the term “Operational Budget”. The Operational Budget of the partnership will be the amount agreed by each authority as being the appropriate budget to deliver the agreed delegated functions of the Joint Committee.
- 8.11.4. Expenditure related to activities and decision-making that are not delegated to the Joint Committee, but retained for decision-making by each council and / or its Cabinet on an individual basis, will not form part of the operational budget of the partnership but may be managed on their behalf. Officers working within the partnership will continue to advise Members and Chief Officers on these matters, including appropriate budget implications for inclusion within each council’s medium term planning process.
- 8.11.5. The Joint Committee will prepare and update the Operational Budget requirement on an annual basis, and seek approval from each council as part of the medium term planning process of each council. The Joint Committee will recommend the appropriate budget contribution from each council, taking into account, where relevant, any material changes in activity. The proportionate contribution from each partner may therefore change over time in accordance with changes in priorities or in light of structural changes within each council.
- 8.11.6. Once approved by each council, the Joint Committee will be accountable for the delivering the delegated functions in accordance with the agreed operational budget.
- 8.11.7. The methodology adopted to determine the appropriate apportionment of costs will be developed further and reported as part of the more detailed business plan for the partnership. In principle however, both parties recognise that this methodology will need to be fair and transparent, take into account changes in demand and will require the development of management information to support the mechanism.
- 8.11.8. The cost of investment and implementation will be shared in accordance with the cost-sharing methodology, and therefore in accordance with the savings attributable from the investment. We recognise that there may be exceptions to this principle, particularly if one party has already invested in technology which has delivered benefits and therefore savings have been recognised already in appropriate budgets.
- 8.11.9. The broad principles underpinning the financial arrangements have been agreed by the partners; a proportionate balance between risk and reward and a transparent approach to the sharing of costs and investment required. These principles will additionally apply to other founding partners. Where services are provided to other public sector clients on a contractual basis or by means of specific delegation of functions, then the resulting net income, after having taken account of the cost of delivery, will be shared in

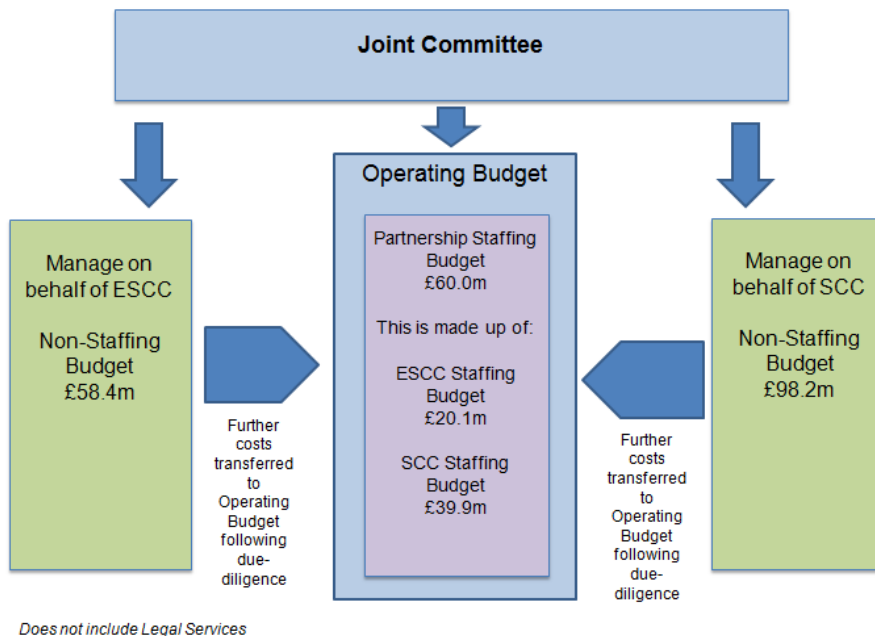
accordance with these broad principles. The broad principles will be further developed in the more detailed governance arrangements in the business plan report. Further details will also be provided regarding the more practical arrangements and implications of the partnership, including the frequency of financial monitoring reporting to each council and treatment of in-year variances and so forth.

8.12. Financial implications

8.12.1. The Joint Committee will be accountable for the agreed Operating Budget that accords with the delegated functions. Officers have completed preliminary baseline analysis, using 2014/15 budgets, to determine this operating budget and those costs and budgets that are not delegated, but which will be managed on behalf of each council.

8.12.2. We have determined that there are some differences in activity between the parties and where this is the case, we have recognised that whilst these activities will form part of the partnership, they have not been included within the baseline for estimating potential savings as the activities are not shared.

8.12.3. At this stage, we have primarily focused our baseline analysis on staffing costs and can be reasonably confident with the analysis completed to date on staffing budgets and spend, and therefore the budget that will be delegated to the Joint Committee. Further analysis is required to differentiate between the two types of budget however, particularly in relation to non-staffing costs.



8.12.4. All analysis completed to date is subject to a period of further due-diligence prior to the completion of the detailed business plan in July 2015. Further work is also needed to develop a more detailed cost analysis of legal services, which will be incorporated into the Operating Budget. At this stage the 2015/16 base budget will be used.

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8.12.5. The provisional Operating Budget of the Joint Committee based upon the 2014/15 baseline staffing budgets of East Sussex County Council and Surrey County Council, prior to the completion of due-diligence and the detailed business plan, will therefore be £60.0m. This provisional budget includes a small number of activities that are undertaken by one council only, and adjusting for this creates a budget in relation to joint shared activities of £56.7m per annum. This results in an indicative initial cost, investment and benefit sharing proportion of 66% Surrey County Council and 34% East Sussex County Council. As noted, there may be exceptions to this in relation to specific investment proposals and these proportions will change over time as a result of changes in demand, including those created by structural change in each council.

9. Equality implications

9.1. At this point there are no identified equality implications in terms of setting up the Joint Committee. There may, however, be equality implications around the decisions that the Joint Committee may take in the future. We recognise that there will need to be a Pay and Workforce Strategy to underpin the proposed arrangements, which will also consider potential issues around pay differentials between the founding partners. A full Equality Impact Assessment on the SEBS Programme will be undertaken for July 2015. Equality and Diversity principles will be fed into the design of SEBS based on the evidence that we have.

10. Risk Assessment

- 10.1. The council's anticipate that the arrangements will remain in place on an indefinite basis. There is a risk therefore that during this time there may be significant changes to each council which impacts upon the services that are required to be delivered by the Joint Committee. The principles underpinning the governance and financial arrangements recognise that this may be the case. The Joint Committee will provide an effective governance structure to ensure that the joint service continues to meet the needs of both partners and that the key broad principles of transparency and equity continue to apply.
- 10.2. Establishing the partnership and implementing the organisational, process and technology changes required to deliver the target savings may impact on the provision of services to each council – both in terms of supporting “Business as Usual” activities and providing strategic advisory support for wider transformational change within each council. The partnership will, as part of the more detailed business plan, articulate the additional implementation and programme management resources required to mitigate against this and will work with each council to develop a high-level timetable of change to minimise any adverse impact.
- 10.3. There is a risk that the partnership does not deliver the full extent of the savings articulated in this business case. The transformational change proposed by the partnership will require significant investment which will require that the partners commit to a long-term relationship. Whilst there will be some quick wins, the majority of the savings rely upon a programme of investment and change that will deliver a net benefit over a longer term. The investment will only be proposed upon

the basis of a robust business case which articulates the resources required and realistic timeframes for delivery.

- 10.4. The ambition to extend the arrangement to other founding partners may have an adverse impact upon the pace of change and on the delivery of services. The partnership recognises that the first year of operation will be a “start-up” phase and that careful consideration will need to be given to growth. The Joint Committee will not have the authority to amend the agreement to take on new partners without recourse to each council’s Cabinet. This will help to ensure that the business case for a new partner is comprehensive and takes into account any negative impact on agreed savings targets and service delivery.
- 10.5. The organisational, process and technology changes required, together with fears in relation to a reduction in jobs, as duplication is removed and changes to management are made, may have an adverse impact on staff. Staff may feel a reduced resilience to change leading to capacity issues, low morale and increased turnover. The partnership will ensure that communication, consultation and engagement remain a priority for the programme. Staff will be involved in developing the organisational design which will help to emphasise that the partnership will lead to enhanced opportunities for staff and a strengthening of internal skills.

Appendix 1

Delegated Functions - Scope of Functions included in South East Business Services

Surrey County Council	East Sussex County Council
<p>Property Services:</p> <ul style="list-style-type: none"> • Facilities Management • Maintenance - helpdesk • Maintenance - contract management • Maintenance - delivery • Asset Strategy / Relationship Management • Estate Management • Energy Management • Project Delivery / Project Management • Other contract management • Data Management, Administration • Asset Planning / Investment Commercial • Performance - including financial management. 	<p>Property Services:</p> <ul style="list-style-type: none"> • Facilities Management • Maintenance - helpdesk • Maintenance - delivery • Asset Strategy / Relationship Management • Estate Management • Energy Management • Project Delivery / Project Management • Other contract management incl. Services to schools • Data Management, Administration
<p>IMT:</p> <ul style="list-style-type: none"> • SAP Support / Development • IT Helpdesk • Desktop / Infrastructure Support • Data Centre Management • Network Contract Management / Support • Application Development and Support • Project delivery / management 	<p>ICT:</p> <ul style="list-style-type: none"> • SAP Support / Development • IT Helpdesk • Desktop / Infrastructure Support • Data Centre Management • Network Contract Management / Support • Application Development and Support • Project delivery / management • Print services • ICT Services to schools
<p>Human Resources:</p> <ul style="list-style-type: none"> • Training Delivery & Support • Organisational / Workforce Development • Case Management / Relationship Management • Policy & Reward 	<p>Personnel and Training:</p> <ul style="list-style-type: none"> • Occupational Health • Training Delivery & Support • Organisational / Workforce Development • Case Management / Relationship Management • Recruitment • Personnel Support Unit

Surrey County Council	East Sussex County Council
<p>Finance:</p> <ul style="list-style-type: none"> • Treasury Management • Pension Fund Management • Financial Accounting • Service Support Teams / Management accounting • Schools Support Services • Project Support • VAT • Financial Strategy & Funding • Insurance 	<p>Finance:</p> <ul style="list-style-type: none"> • Treasury Management • Pension Fund Management • Financial Accounting • Service Support Teams / Management accounting • Schools Support Services • Project Support • VAT • Financial Strategy & Funding • Insurance • Internal Audit • Accounts Payable • Accounts Receivable • Purchase Order Processing
<p>Procurement:</p> <ul style="list-style-type: none"> • Category Management: Adult Social Care • Category Management: Children's Services • Category Management: Other Services (including Corporate, Property, Highways and Environment) • Commercial Insight Analysts / Performance & Programme Office • Supplier Relationship Management • Procurement Improvement 	<p>Procurement:</p> <ul style="list-style-type: none"> • Category Management: Children's Services • Category Management: Other Services (including Corporate, Property, Highways and Environment) • SAP P2P Workstream owner • Projects, systems & process development
<p>Transactional Services – currently known as SE Shared Service</p> <ul style="list-style-type: none"> • Pension Administration • Payroll • Employee Services • OM / Workforce Information • Recruitment Administration • Training Administration • Accounts Payable • Accounts Receivable & Income collection • Purchasing • Helpdesk Projects / Process / Programme Management 	

Surrey County Council	East Sussex County Council
Legal services	Legal services

Appendix 2

Roles and Responsibilities: Programme Governance of the SEBS Programme

Programme Board

Chair: Julie Fisher and Kevin Foster

Members: Ann Charlton (monitoring officer SCC)

Philip Baker (monitoring officer ESCC)

Senior customer: Ian Boast (SCC)

Senior customer: Fiona Wright (ESCC)

Direct reports: Tony Summers

Board functions: The SEBS Programme board is responsible for delivering the vision and the objectives of the partnership. It will be chaired by the Programme Directors, who will be responsible for ensuring that the programme is adequately resourced and managed and that regular reporting to the Partnership Oversight Board and to the Chief Executives. The Programme Manager will report progress to the board and will highlight any concerns in terms of progress or resources against the timeline.

Regularity of meeting: Once a month

SURREY COUNTY COUNCIL

CABINET

DATE: 24 FEBRUARY 2015

REPORT OF: MR DAVID HODGE, LEADER OF THE COUNCIL

LEAD OFFICER: SHEILA LITTLE, DIRECTOR OF FINANCE

SUBJECT: FINANCE AND BUDGET MONITORING REPORT FOR JANUARY 2015



SUMMARY OF ISSUE:

The council takes a multiyear approach to its budget planning and monitoring, recognising that the two are inextricably linked. This report presents the council's financial position at the end of January 2015 (tenth month).

The details of this financial position are covered in the Annexes to this report.

RECOMMENDATIONS:

Recommendations to follow.

REASON FOR RECOMMENDATIONS:

This report is presented to comply with the agreed policy of providing a monthly budget monitoring report to Cabinet for approval and action as necessary.

DETAILS:

1. The Council's 2014/15 financial year commenced on 1 April 2014. This report includes the budget monitoring report for the tenth period of the financial year.
2. The Council has a risk based approach to budget monitoring across all services. This approach is to ensure we focus resources on monitoring those higher risk budgets due to their value, volatility or reputational impact.
3. There is a set of criteria to evaluate all budgets into high, medium and low risk. The criteria cover:
 - the size of a particular budget within the overall Council's budget hierarchy (the range is under £2m to over £10m);
 - budget complexity relates to the type of activities and data being monitored (the criterion is about the percentage of the budget spent on staffing or fixed contracts - the greater the percentage the lower the complexity);
 - volatility is the relative rate at which either actual spend or projected spend move up and down (volatility risk is considered high if either the current year's projected variance exceeds the previous year's outturn variance, or the projected variance has been greater than 10% on four or more occasions during this year)

- political sensitivity is about understanding how politically important the budget is and whether it has an impact on the Council's reputation locally or nationally (the greater the sensitivity the higher the risk).
4. High risk areas report monthly, whereas low risk services areas report on an exception basis. This will be if the year to date budget and actual spend vary by more than 10%, or £50,000, whichever is lower.
 5. The annex to this report sets out the Council's revenue budget forecast year end outturn as at the end of January 2015. 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.
 6. The report provides explanations for significant variations from the budget, with a focus on staffing and efficiency targets. As a guide, a forecast year end variance of greater than £1m is material and requires a commentary. For some services £1m may be too large or not reflect the service's political significance, so any variance over 2.5% may also be material.

Consultation:

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

Risk management and implications:

8. 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

9. The report considers financial and value for money implications throughout and future budget monitoring reports will continue this focus. The Council continues to have a strong focus on its key objective of providing excellent value for money.

Section 151 Officer commentary

10. The Section 151 Officer confirms that the financial information presented in this report is consistent with the council's general accounting ledger and that forecasts have been based on reasonable assumptions, taking into account all material, financial and business issues and risks.

Legal implications – Monitoring Officer

11. There are no legal issues and risks.

Equalities and Diversity

12. 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

13. The County Council attaches great importance to being environmentally aware and wishes to show leadership in cutting carbon emissions and tackling climate change.
14. 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:

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

Contact Officer:

Sheila Little, Director of Finance
020 8541 7012

Consulted:

Cabinet / Corporate Leadership Team

Annexes:

Annex 1 – the revenue and capital budget monitoring to the end of January 2015 and year end forecasts (to follow).

Sources/background papers:

None

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SURREY COUNTY COUNCIL**CABINET****DATE: 24 FEBRUARY 2015****REPORT OF: MS DENISE LE GAL, CABINET MEMBER FOR BUSINESS SERVICES****LEAD OFFICER: SHEILA LITTLE, DIRECTOR OF FINANCE****SUBJECT: LEADERSHIP RISK REGISTER****SUMMARY OF ISSUE:**

The Leadership risk register is presented to Cabinet each quarter and this report presents the Leadership risk register as at 31 January 2015.

RECOMMENDATIONS:

It is recommended that the Cabinet note the content of the Leadership risk register (Annex 1) and endorse the control actions put in place by the Statutory Responsibilities Network.

REASON FOR RECOMMENDATIONS:

To enable the Cabinet to keep the Council's strategic risks under review and to ensure that appropriate action is being taken to mitigate risks to a tolerable level in the most effective way.

DETAILS:

1. The Leadership risk register (Annex 1) is owned by the Chief Executive and shows the council's key strategic risks. The register is reviewed by the Strategic Risk Forum¹ (chaired by the Director of Finance) and the Statutory Responsibilities Network² on a monthly basis.
2. The role of the Cabinet is to assure itself that the council's key risks are identified on the risk register and that appropriate actions are being taken to effectively mitigate the risks to a tolerable level.
3. Since it was last presented to the Cabinet in November 2014, the Leadership risk register has been reviewed by the Audit and Governance Committee, the Strategic Risk Forum, the Statutory Responsibilities Network and the Directors reporting to the Chief Executive.

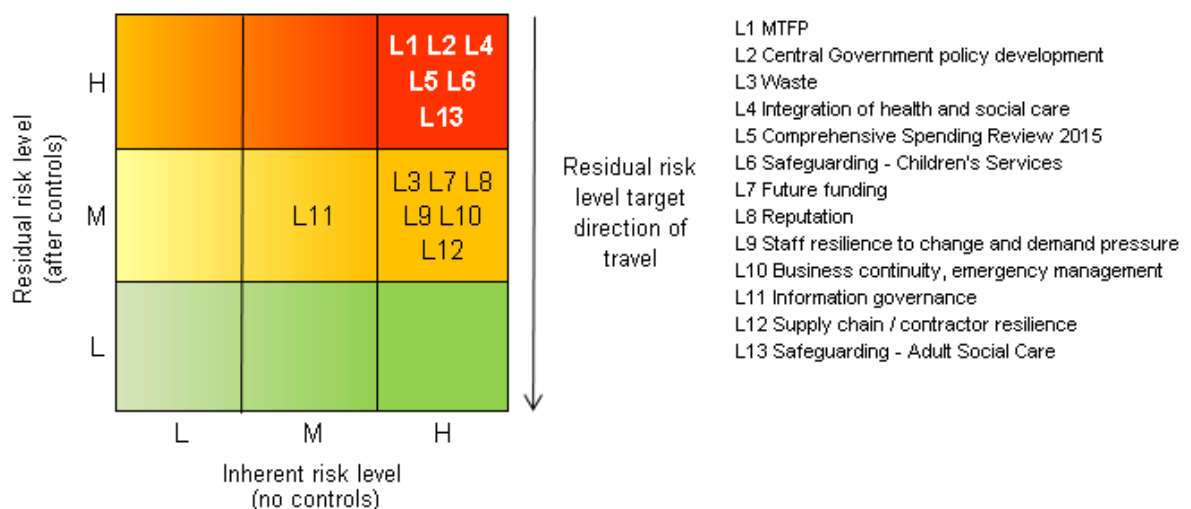
¹ Strategic Risk Forum membership – Director of Finance (Chair), strategic risk leads, Chief Internal Auditor, Head of Emergency Management, Risk and Governance Manager.

² Statutory Responsibilities Network membership – Chief Executive (Chair), statutory officers for Social Care, Education, Fire, Public Health, Director of Finance, Director of Legal and Democratic Services, Chief Internal Auditor, Head of Human Resources.

4. The reviews have resulted in a number of changes to the risk register:
 - The residual risk level for the Waste risk (L3) has been reduced to medium;
 - The Safeguarding risk has been split into Safeguarding – Children’s Services (L6) and Safeguarding – Adult Social Care (L13). The residual risk levels have been increased to high;
 - Wording changes have been made to the ‘processes in place’ and ‘controls’ for risks L1, L2, L3, L4, L5, L6, L9 and L12;
 - Risk owners have been reviewed and updated (see paragraph 7 below).

Residual risk level

5. The Leadership risk register includes both the inherent and residual risk levels for each risk. Inherent risk is the level of risk before any control activities are applied. The residual risk level takes into account the controls that are already in place, detailed on the risk register as both ‘processes in place’ and ‘controls.’
6. There are 13 risks on the Leadership risk register, of which 12 have a high inherent risk level, as illustrated in the table below. Despite mitigating actions, seven of these risks have a medium residual risk level (L3,L7,L8,L9,L10,L11, L12) and six have a high residual risk level (L1,L2,L4,L5,L6,L13): showing the significant level of risk that the Council is facing despite the processes and controls being put in place to manage the risks.



Risk Owners

7. To ensure clarity of control, a single lead risk owner is now identified against each risk on the Leadership risk register and they have the lead responsibility for driving the mitigating actions and ensuring the risk is regularly reviewed and updated as appropriate. Specific mitigating actions are delegated by the risk owner to relevant officers who are then responsible for the implementation of those actions and providing updates to the risk owner.

CONSULTATION:

8. The Leadership risk register has been reviewed by a number of officer groups as detailed in paragraph 3. The Audit and Governance Committee reviewed the Leadership risk register on 16 February 2015.

RISK MANAGEMENT AND IMPLICATIONS:

9. Effective management of risks and financial controls supports the council to meet its objectives and enable value for money.

Financial and Value for Money Implications

10. There are no direct financial implications relating to the Leadership risk register.

Section 151 Officer Commentary

11. The Section 151 Officer is well sighted of current and emerging risks through being chair of the Strategic Risk Forum, a member of the Statutory Responsibilities Network and a direct report to the Chief Executive Officer. Her attendance at key strategic meetings provides further insight and ensures an integrated risk approach.

Legal Implications – Monitoring Officer

12. There are no direct legal implications relating to the Leadership risk register.

Equalities and Diversity

13. There are no direct equalities implications but any actions taken need to be consistent with the council's policies and procedures.

WHAT HAPPENS NEXT:

14. The Leadership risk register will be presented to the Cabinet on a quarterly basis.

Contact Officer:

Cath Edwards, Risk and Governance Manager
Tel: 020 8541 9193

Consulted:

Strategic Risk Forum, Statutory Responsibilities Network, Chief Executive and direct reports, Audit and Governance Committee, Cabinet

Annexes:

Annex 1 – Leadership risk register

Sources/background papers:

None

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Leadership risk register as at 31 January 2015 (covers rolling 12 months)

Owner: David McNulty

Ref	Dir. RRef.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
L1	ASC2, 29 BUS01 CAC2 CSF4, EAI1, 3 FR72, 85	<p>Medium Term Financial Plan (MTFP) 2015-20</p> <p>Failure to achieve the MTFP, which could be as a result of:</p> <ul style="list-style-type: none"> not achieving savings additional service demand and/or over optimistic funding levels. <p>As a consequence, lowers the council's financial resilience and could lead to adverse long term consequences for services if Members fail to take necessary decisions.</p>	High	<ul style="list-style-type: none"> Monthly reporting to Continuous Improvement and Productivity Network and Cabinet on the forecast outturn position is clear about the impacts on future years and enables prompt management action (that will be discussed informally with Cabinet) Budget Support meetings (Chief Executive and Director of Finance) continue to review and challenge the robustness of MTFP delivery plans and report back to Cabinet as necessary Clear management action reported promptly detailing alternative savings / income if original plans become non deliverable or funding levels alter in year Monthly formal budget reports focus on funding levels comparing actual spend to forecasts Budget planning discussions with Cabinet and Select Committees Formal review of MTFP (2015-20) planned for summer 2015 once the new Government is formed. 	<ul style="list-style-type: none"> Prompt management action taken by Strategic Directors / Leadership Teams to identify correcting actions. (Evidenced by robust action plans) Members (Council, Cabinet, Select Committee) make the necessary decisions to implement action plans in a timely manner 	Director of Finance	High
L6	CSF2,3	<p>Safeguarding – Children's Services</p> <p>Avoidable failure in Children's Services, through action or inaction, including child sexual exploitation, leads to serious harm, death or a major impact on individual well being.</p>	High	<ul style="list-style-type: none"> Working within the frameworks established by the Children's Safeguarding Board ensures the council's policies and procedures are up to date and based on good practice. ASC and CSF are working as key stakeholders in the further development of the Multi-Agency Safeguarding Hub at Guildford Police Station. 	<ul style="list-style-type: none"> Timely interventions by well recruited, trained, supervised and managed professionals ensures appropriate actions are taken to safeguard and promote the well being of children in Surrey. Robust quality assurance and 	Strategic Director for Children's Schools and Families	High

Key to references:

ASC = Adult Social Care

BUS = Business Services

CAC = Customers and Communities

CEO = Chief Executive's Office

CSF = Children, Schools and Families

EAI = Environment and Infrastructure

FR = Fire and Rescue

Leadership risk register as at 31 January 2015 (covers rolling 12 months)

Owner: David McNulty

Ref	Dir. RRef.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
L1					<p>management systems in place to identify and implement any key areas of learning so safeguarding practice can be improved.</p> <ul style="list-style-type: none"> - The Children's Safeguarding board (chaired by an independent person) comprises senior managers from the County Council and other agencies facilitating prompt decision making and ensuring best practice. 		
	ASC31, 32	<p>Safeguarding – Adult Social Care Avoidable failure in Adult Social Care, through action or inaction, leads to serious harm, death or a major impact on individual wellbeing.</p>	High	<ul style="list-style-type: none"> • Working within the framework established by the Surrey Safeguarding Adults Board ensures that the council's policies and procedures are up to date and based on good practice. • A revised safeguarding structure is being put in place following a Peer Review. • Implications of the Care Act 2014 are being consulted on. • Adult Social Care and Children, Schools and Families are working as key stakeholders in the further development of the Multi Agency Safeguarding Hub at Guildford Police Station. • Close involvement by Associate Cabinet Member for Adult Social Care in safeguarding functions. 	<ul style="list-style-type: none"> - Continue to work with the Independent Chair of the Surrey Safeguarding Adults Board to ensure feedback and recommendations from case reviews are used to inform learning and social work practice. - Agree and imbed agreed changes resulting from Care Act 2014 consultation. - Recruitment to vacancies in area safeguarding and Multi Agency Safeguarding Hub roles February 2015. 	Strategic Director for Adult Social Care	High
L2	ASC24,	Central Government policy	High	<ul style="list-style-type: none"> • Effective horizon scanning to ensure 	<ul style="list-style-type: none"> - Working in partnership with 	Strategic	High

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Key to references:
 ASC = Adult Social Care
 BUS = Business Services
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 CSF = Children, Schools and Families
 EAI = Environment and Infrastructure

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Leadership risk register as at 31 January 2015 (covers rolling 12 months)

Ref	Dir. RRef.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
Page 279	29	development Central Government policy changes, in particular the Care Act, may put additional pressure on demand for all public services leading to an erosion of financial resilience and ability to deliver statutory and essential services.		<p>thorough understanding of intended policy changes</p> <ul style="list-style-type: none"> Implementation of a welfare reform programme including districts and boroughs covering: <ul style="list-style-type: none"> Advice and information Financial resilience Emergency assistance Localisation of council tax support Housing and homelessness Employment training and support Taking opportunities to influence central Government policy development e.g. via the Local Government Association. The Welfare Reform Task Group is monitoring the implementation of its recommendations, which are intended to manage the implementation of reforms on Surrey Residents. The Task Group reports regularly to the Council Overview & Scrutiny Committee. 	<p>other statutory partners (e.g. Clinical Commissioning Groups CCG's) to maximise opportunities for communities</p> <ul style="list-style-type: none"> Members take the opportunities and make the necessary decisions to influence central Government Care Act Implementation Board in place and project programme set up to support ongoing discussion with partners. Through Association of Directors of Adult Social Services (ADASS), SCC leading best practice model in relation to financial management and working closely with Department of Health in the development of regulations that underpin the Care Act. 	Director for Adult Social Care	
	L4	ASC9 CEO13	Integration of health and social care Failure in partnership working reduces our ability to: <ul style="list-style-type: none"> co-ordinate/integrate health and social care services; improve health outcomes; and develop a financially sustainable model. 	High	<p>Governance arrangements:</p> <ul style="list-style-type: none"> robust partnership governance arrangements are in place through the Better Care Board, Public Sector Transformation programme and Surrey's Health and Wellbeing Board regular monitoring of progress and risks against key H&SC integration workstreams and agreed financial governance framework (including the Better Care Fund) 	<ul style="list-style-type: none"> National approval of Surrey's Better Care Fund plan (which includes agreed financial plans, metrics to measure progress and risk sharing arrangements). Progress discussions with Clinical Commissioning Groups in Surrey about plans 	Assistant Chief Executive

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Leadership risk register as at 31 January 2015 (covers rolling 12 months)

Owner: David McNulty

Ref	Dir. RRef.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)	
Page 280				<ul style="list-style-type: none"> prioritisation of resources and clear senior leadership across Council directorates to support the development of H&SC workstreams. continued focus on building and maintaining strong relationship with partners through regular formal and informal dialogue Surrey Better Care Fund plan now approved by Surrey's Health & Well-Being Board and has been submitted to Department of Health for approval. . Formal pooling agreements (section 75 agreements) being developed for the operation of the Better Care Fund, for approval by the County and each CCG ahead of the start date from April 2015. 	<ul style="list-style-type: none"> for integration beyond the Better Care Fund. Inclusion of key partners in local whole systems planning. Members continue to endorse approaches to integration across the County (and formally approve Sec 75 agreements for BCF). 			
	L5	BUS02	<p>Comprehensive Spending Review (CSR) 2015 Risk that CSR 2015:</p> <ul style="list-style-type: none"> reduces further the total public sector funding available, and introduces a revised distribution mechanism which lowers the councils financial resilience. 	High	<ul style="list-style-type: none"> Contribution to Local Government Commission to review LG Funding and development of scenarios for budget planning process is ongoing and will continue throughout 2015. Officers (Finance and Policy in particular) to sustain pro-active horizon scanning for insight into potential funding change. 	<ul style="list-style-type: none"> Cabinet fully consider the implications of CSR in budget planning and agree an MTFP that reflects likely impacts. 	Director of Finance	High
	L3	EAI2	<p>Waste Failure to deliver the key elements of the waste strategy leads to negative financial and reputational impact.</p>	High	<ul style="list-style-type: none"> Implementation monitored by the Waste Programme Delivery Board with strategic overview provided by the Strategic Waste Board All major decisions are reported to Cabinet on a regular basis 	<ul style="list-style-type: none"> Strong resourcing and project management regime in place to ensure prompt resolution of any issues that may hinder progress. Collaborative work with 	Director of Environment and Infrastructure	Medium

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Page 281				<ul style="list-style-type: none"> Cabinet paper in November outlined a strategy to work towards a single waste authority. Joint strategic partnership reinforces collaboration and will, if successful, strengthen the ability to deliver the key elements of the waste strategy Support from external strategic advisors assists senior officers in management and mitigation of key technical, financial and legal risks. Senior officers working closely with Government departments. 	<p>Districts and Boroughs is delivered through the Surrey Waste Partnership with close involvement of all Surrey Chief Executives</p> <ul style="list-style-type: none"> The Waste Programme Delivery Board comprises senior managers from the service together with Procurement and Finance and is chaired by the Assistant Director Environment facilitating prompt decision making. 		
	L72	ASC2 BUS07, 11,12 CSF4 EAI1	<p>Future Funding</p> <p>The council is highly dependent on Council Tax for funding, and the ability to increase that in real terms is constrained (by current Government policy). This could lead to a reduction in the council's financial resilience with the consequence that funding for key services will be seriously eroded.</p>	High	<ul style="list-style-type: none"> Structured approach to ensuring Government understands the council's Council Tax strategy and high dependence Targeted focus with Government to secure a greater share of funding for specific demand led pressures (in particular School Basic Need) Continued horizon scanning of the financial implications of existing and future Government policy changes Development of alternative / new sources of funding (e.g. bidding for grants) Review how systems and processes can lead to greater efficiencies. <p>Notwithstanding actions above, there is a significant risk of Central Government policy changes /austerity measures impacting on the council's long term financial resilience.</p>	<ul style="list-style-type: none"> Members make decisions to reduce spending and or generate alternative sources of funding, where necessary, in a timely manner. Officers unable to recommend MTFP unless a credible sustainable budget is proposed. 	Director of Finance

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Leadership risk register as at 31 January 2015 (covers rolling 12 months)

Owner: David McNulty

Ref	Dir. RRef.	Description of the risk	Inherent risk level (no controls)	Processes in place (ie the 'how' risks are being mitigated)	Controls (i.e. decisions needed)	Lead risk owner	Residual risk level (after existing controls)
L8	ASC31, 32,34 BUS01 CSF3,4 CEO7 EAI2,14	Reputation A significant failure to deliver within the organisation (caused by an event or individual), could lead to a loss of trust and confidence in the organisation by external stakeholders (e.g. residents, Government, Partners) or internal staff, affecting our ability to deliver services effectively and harming our freedoms and flexibilities from Government controls.	High	<ul style="list-style-type: none"> Processes in place that minimise the likelihood of organisational failure include: <ul style="list-style-type: none"> - Active learning by senior leaders from experiences / incidents outside the council inform continual improvement within the council - Strong corporate values - Robust Governance framework (including codes of conduct, health & safety policies, complaints tracking). 	<ul style="list-style-type: none"> - Regular monitoring of effectiveness of processes is in place and improvements continually made as a result of learning. 	Chief Executive Officer	Medium
L9	ASC9, BUS06 CEO8	Staff resilience to change and demand pressure Low morale leading to loss in productivity, increased sickness and staff turnover.	High	<ul style="list-style-type: none"> Communication, consultation and engagement is a priority for the council with an emphasis placed on thoroughly addressing the concerns of staff and their representatives Currently eight training courses available that address various aspects of change. Trained coaches who are available in all services to support staff. High Performance Development Programme being offered across the organisation to support leaders to develop their own and the organisations behaviours. Comprehensive range of surveys and focus groups provide a measure of the staff satisfaction with the council and its management of change. The smarter working framework and flexible working policy are in place to support 	<ul style="list-style-type: none"> - Decision by members on pay and reward system taken in timely manner and combine with staff and union consultation. - Communications engagement plan to promote the benefits of working for Surrey and help to support engagement across the organisation to be delivered. 	Strategic Director Business Services	Medium

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				<p>managers and their teams to work differently.</p> <ul style="list-style-type: none"> Promotion of support mechanisms for staff (eg. employee assistance). Staff are encouraged to get involved in finding innovative solutions to redesign services. Better Place to Work outcomes are implemented Training of managers in effective engagement of their staff to roll out over 2015. 			
L11	CEO3 EAI4,5 FR06	<p>Business Continuity, Emergency Planning</p> <p>Failure to respond effectively to a known event or major incident results in an inability to deliver key services.</p>	High	<ul style="list-style-type: none"> The Council Risk and Resilience Forum reviews, moderates, implements and tests operational plans. Close working between key services and the Emergency Management Team to update plans and share learning Continued consultation with Unions and regular communication to staff. External risks are assessed through the Local Resilience Forum. Combined Environment & Infrastructure and Communities Select Committees Task Group agreed to identify improvement and best practices during the recent flooding. 	- Business Continuity Plans are in place and signed off (by Local Resilience Board) in timely manner	Assistant Chief Executive	Medium
L11	ASC12, 30, 33 BUS13 CEO7 CSF5	<p>Information Governance</p> <p>Loss of protected data by the council leads to financial penalties, safeguarding issues and erosion of public trust.</p>	Medium	<ul style="list-style-type: none"> Encrypted laptops – 100% coverage for our 5,500 Laptop estate Secure environment through the Egress encrypted email system Internal Audit Management Action Plans in 	<p>Information governance controls work effectively overseen by IG and Caldecott boards and audited annually</p> <p>Cabinet have reviewed IT</p>	Strategic Director Business Services	Medium

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Leadership risk register as at 31 January 2015 (covers rolling 12 months)

Owner: David McNulty

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L12	ASC21 BUS10	Supply chain / contractor resilience Supply chain failure, lack of business continuity arrangements in place leading to increased costs, time delays	High	<p>place that are monitored by Audit & Governance Committee and Select Committees</p> <ul style="list-style-type: none"> Twice-yearly communications campaign linked to known peaks for breaches, and a refreshed and re-launched information security e-learning package. SCC has received GCSx accreditation certificate introduction of the Information Governance Board and the launch of the data classification project, both of which commenced in the first quarter of 2014/15, and will help to manage this risk. continuation of training for staff to improve awareness and ensure adherence to procedures Implement learning from feedback where breaches occur. Directorates and Digital Delivery Team to engage with partners to deliver a platform that will enable appropriate sharing of information between agencies. <p>Despite the actions above, there is a continued risk of human error that is out of the council's control.</p>	security policy and as result the security policy, Code of conduct and social media policies are being updated to reflect changes agreed	Strategic Director Business Services	Medium
				<ul style="list-style-type: none"> Supplier selection policy decision made to include financial resilience and business continuity arrangements Needs strong support from 			

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		or reputational damage and failure to promote service delivery.		<ul style="list-style-type: none"> Regular supplier intelligence reporting in place to track industry and supplier news. Risk management training provided to contract managers to enable a consistent approach. Mitigating actions are less effective for small/medium suppliers due to reduced business continuity. 	ELT (Extended Leadership Team) to ensure contract resilience and business continuity is in place and regularly up-dated		

Movement of risks

Ref	Risk	Date added	Current inherent risk level	Current residual risk level	Movement in residual risk level	
L1	Medium Term Financial Plan	Aug 12	High	High	-	-
L2	Central Government policy development	Feb 13	High	High	-	-
L3	Waste	May 10	High	Medium	Jan 15	↓
L4	Integration of health & social care	June 13	High	High	-	-
L5	Comprehensive Spending Review 2015	Sep 14	High	High	-	-
L6	Safeguarding – Children’s Services	May 10	High	High	Jan 15	↑
L7	Future funding	Aug 12	High	Medium	-	-
L8	Reputation	Oct 14	High	Medium	-	-
L9	Staff resilience to change and demand pressures	May 10	High	Medium	Jan 12	↓
L10	Business Continuity, Emergency Planning	May 10	High	Medium	Aug 12	↓
L11	Information governance	Dec 10	Medium	Medium	Oct 14	↓
L12	Supply chain / contractor resilience	Jan 14	High	Medium	-	-
L13	Safeguarding – Adult Social Care	May 10	High	High	Jan 15	↑

Risks removed from the register

Risk	Date added	Date removed
IT risk	May 10	Oct 14
<i>Resource Allocation System in adults personalisation</i>	<i>May 10</i>	<i>Aug 12</i>
<i>Integrated Childrens System</i>	<i>May 10</i>	<i>Feb 11</i>
<i>NHS reorganisation</i>	<i>Sep 10</i>	<i>May 13</i>
<i>2012 project management</i>	<i>Sep 10</i>	<i>Aug 12</i>
<i>LLDD budget transfer</i>	<i>May 11</i>	<i>Mar 12</i>
<i>2012 command, control, coordination and communication</i>	<i>Dec 11</i>	<i>Sep 12</i>

Leadership level risk assessment criteria

Due to their significance, the risks on the Leadership risk register are assessed on their residual risk level ie. the level of risk after existing controls have been taken into account, by high, medium or low.

Risk level	Financial impact	Reputational impact	Performance impact	Likelihood
	<i>(% of council budget)</i>	<i>(Stakeholder interest)</i>	<i>(Impact on priorities)</i>	
Low	< 1%	Loss of confidence and trust in the council felt by a small group or within a small geographical area	Minor impact or disruption to the achievement of one or more strategic / directorate priorities	Remote / low probability
Medium	1 – 10%	A sustained general loss of confidence and trust in the council within the local community	Moderate impact or disruption to the achievement of one or more strategic / directorate priorities	Possible / medium probability
High	10 – 20%	A major loss of confidence and trust in the council within the local community and wider with national interest	Major impact or disruption to the achievement of one or more strategic / directorate priorities	Almost certain / highly probable

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SURREY COUNTY COUNCIL**CABINET****DATE: 24 FEBRUARY 2015****REPORT OF: MS DENISE LE GAL, CABINET MEMBER FOR BUSINESS SERVICES****LEAD OFFICER: SHEILA LITTLE, DIRECTOR OF FINANCE****SUBJECT: AWARD OF CONTRACT FOR THE PROVISION OF INSURANCE SERVICES – EXCLUDING BROKER SERVICES****SUMMARY OF ISSUE:**

This report seeks approval to award contracts for the provision of Insurance Services excluding Broker Services for the benefit of the Council to commence on 1 April 2015 as detailed in the recommendations as the current arrangements expire on 31 March 2015.

The report provides details of the procurement process, including the results of the evaluation process and, in conjunction with the Part 2 report, demonstrates why the recommended contract awards deliver best value for money.

Due to the commercial sensitivity involved in the contract awards process the financial details of the potential suppliers have been circulated as a Part 2 report.

RECOMMENDATIONS:

It is recommended that:

1. The contracts are awarded to the suppliers in the following lots:
 - Lot 1 Property – Zurich Municipal,
 - Lot 2 Fidelity Guarantee – QBE Insurance (via Risk Management Partners),
 - Lot 3 Commercial Properties – Zurich Municipal,
 - Lot 4 Casualty – QBE Insurance (via Risk Management Partners),
 - Lot 5 Motor Fleet – Travelers,
 - Lot 6 Group Personal Accident and Travel – AIG (via Risk Management Partners),
 - Lot 7 Terrorism - Pool Reinsurance
2. The contracts are to be awarded for three years with an option to extend for two further years for all lots.

REASON FOR RECOMMENDATIONS:

A full tender process, in compliance with the requirements of Public Contracts Regulations 2006 and the Council's Procurement Standing Orders has been completed. The recommendations provide best value for money for insurance cover in association with the lots as listed for the Council following a thorough evaluation process.

<u>DETAILS:</u>

Background

1. The contracts awarded support the Council's ability to continue to provide insurance cover for the Council. This is split into various policies held with different suppliers. The insurance premiums are reviewed annually to advise insurance charges for the following year. The current arrangements expire on 31 March 2015.
2. In order to provide expert procurement broker services within the highly specialist insurance market, the Council engaged the services of Jardine Lloyd Thompson Limited (JLT) to review existing policies and provide an insurance policy procurement service going forward. The nature of an insurance tender is highly specialised as it requires evaluating policy wording against price, and the adequacy of policy coverage for the known risks that the Council faces in its varied services.
3. A collaborative tender with other councils was considered but rejected. This is due to the claims history being specific to each authority or organisation and therefore premiums charged would relate to the highest claims record. A joint tender would therefore be of no benefit to the Council.

Procurement Strategy and Options

4. A full tender process, compliant with the Public Contracts Regulations 2006 and the Council's Procurement Standing Orders, has been carried out using the Council e-Procurement systems following the receipt of authority from Procurement Review Group (PRG) on 16 December 2014. This included advertising the contract opportunity in the Official Journal of the European Union (OJEU) on 10 November 2014.
5. Several procurement options were considered when completing the Strategic Procurement Plan (SPP) prior to commencing the procurement activity. These included the following options:
 - a) not putting insurance policies in place and self insure;
 - b) extending the current contracts and accepting increased premiums;
 - c) going out to tender for new policies.
6. After a full and detailed options analysis, the tender process described in paragraph 5(c) was chosen. The option was selected because, the option as described in 5(a) presented a high risk approach with Council funds tied up in an account for self insuring purposes and a better rate of return could be obtained by investing the money elsewhere. Option 5(b) would not have been affordable for the Council with the lack of competition possibly leading to external supplier challenge.

7. A joint procurement and project team was set up to include representatives from Insurance Services, Financial Services, JLT and Procurement.
8. All suppliers who expressed an interest in the tender were invited to tender for all lots as listed in the recommendations.

Use of e-Tendering and market management activities

9. In order to open the tender process to a wider range of suppliers than have previously been involved, the Council's electronic tendering platform was used.
10. Use of the electronic platform represents a major change from previous paper based processes and introduced a competitive process that was open and transparent to all involved.

Key Implications

11. By awarding a contract to the suppliers as recommended for each lot for the provision of Insurance Services to commence on 1 April 2015, the Council will be meeting its obligations to provide insurance cover for the Council and ensuring best value for money for this service.
12. The Council, as part of the tender documentation, made available 10 years of claims history to the suppliers who expressed an interest in tendering for the services. This has had a positive effect on market pricing of premiums to reduce costs and deliver cashable savings of £290,000 in Year 1 against the baseline cost for insurance services.
13. There will be a two week mobilisation period.
14. Performance will be monitored through ongoing review of the policy cover and the claims service provided by each supplier in addition to supplier achievement of added value and innovation proposals put forward as part of the tender submissions.
15. The management responsibility for the contracts lies with the insurance services group manager for Finance, Business Services. The contracts will be managed in line with the policies as tendered as part of the winning submissions to which the Council is expected to sign up in order to receive the cover provided. The policy prices will be fixed for the first year and then reviewed on an annual basis based on the individual insurance policies and claims history for the previous year.

Competitive Tendering Process

16. The contracts have been tendered following a competitive tendering exercise. It was decided that the open process was appropriate as there are a limited number of suppliers in this specialist market.
17. All suppliers expressing an interest in the advertised tender opportunity were invited to tender for the contract and were given 54 days to complete and submit their tender. A total of five tender responses were received.
18. These tender submissions were initially evaluated against financial selection criteria and then scored against the quality and commercial criteria and weightings as shown below.

Lot	Price	Policy Cover	Claims Service	Added Value and Innovation
1 – Property, 3 – Commercial Properties	45%	25%	5%	25%
2 – Fidelity Guarantee, 4 – Casualty, 5 – Motor Fleet, 7 - Terrorism	55%	20%	5%	20%
6 – Group Personal Accident and Travel	55%	20%	10%	15%

CONSULTATION:

19. Key stakeholders have been consulted at all stages of the commissioning and procurement process including Procurement, Legal Services, JLT, Insurance and Business Services and Finance.

RISK MANAGEMENT AND IMPLICATIONS:

20. Risks were appropriately identified and have been satisfactorily mitigated.
21. The policies include termination provisions to allow the Council to terminate the policies should priorities change.
22. All suppliers successfully completed satisfactory financial checks.

Category	Risk Description	Mitigation Activity
Financial	There is only price certainty for the first year of the contracts	Claims increases will be managed by an in-house claim handling team
	Insurers not financially stable leading to collapse of organisation and no insurance cover for Council	Undertake annual checks on insurers awarded contracts
	The excesses for different insurances are not set at the right level	The Council has the option to self insure, it has an in-house claim handling team and has employed JLT as consultants to provide expert advice on the market and for the procurement exercise.

Financial and Value for Money Implications

23. Full details of the contracts values and financial implications are set out in the Part 2 report.
24. The procurement activity and full claims records provided have both delivered a solution within budget and likely procurement savings to the value of £290,000 for the first year of the contract.
25. Despite the lower cost of the premiums it should be noted that any rise in claims may increase annual spend for the Council. In addition spend may increase as the excess limit has been raised on some policies, therefore the Council may self insure more claims.

Section 151 Officer Commentary

26. The Section 151 Officer confirms that the cost of the recommended insurance services is provided for in the current MTFP for 2015/16. The estimated saving of £290,000 will be reviewed on an annual basis.

Legal Implications – Monitoring Officer

27. The Council has a Best Value Duty to ensure it 'makes arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness'. It also has a fiduciary duty to be prudent in its use of resources for the interest of the residents. The Council is purchasing insurance for its assets to safeguard against 'insurable' losses.
28. As previously mentioned in the report the Council has utilised a consultant, JLT to undertake the tender exercise and ensure the Council is compliant with the Public Contracts Regulations 2006. The Council has also followed the Constitution's Procurement Standing Orders.
29. There are no other immediate legal implications arising from this report.

Equalities and Diversity

30. The need for an Equality Impact Assessment (EIA) was considered, however, a conclusion was reached that as there were no implications for any public sector equalities duties due to the nature of the services being procured, an EIA was not required. Despite this, the preferred supplier will be required to comply with the Equalities Act 2010 and any relevant codes issued by the Equality and Humans Rights Commission.

WHAT HAPPENS NEXT:

32. The timetable for implementation is as follows:

Action	Date
Cabinet decision to award	24 February 2015
Cabinet call in period	25 February to 4 March 2015
'Alcatel' Standstill Period	5 March to 16 March 2015
Contract Signature	March 2015
Contract Commencement Date	April 2015

33. The Council has an obligation to allow unsuccessful suppliers the opportunity to challenge the proposed contract awards. This period is referred to as the 'Alcatel' standstill period.

Contact Officer:

Sara Walton, Category Specialist – Procurement and Commissioning, Business Services,
Tel: 020 8541 7750

Consulted:

Surrey Insurance and Business Services
Surrey Procurement and Commissioning
Surrey Legal and Finance Department
JLT

Annexes:

None - Part 2 report with financial details attached to agenda as item 17.

SURREY COUNTY COUNCIL

CABINET

DATE: 24 FEBRUARY 2015

REPORT OF: N/A

LEAD OFFICER: ANN CHARLTON, DIRECTOR OF LEGAL AND DEMOCRATIC SERVICES

SUBJECT: LEADER/DEPUTY LEADER/CABINET MEMBER DECISIONS TAKEN SINCE THE LAST CABINET MEETING

**SUMMARY OF ISSUE:**

To note the delegated decisions taken by Cabinet Members since the last meeting of the Cabinet.

RECOMMENDATIONS:

It is recommended that the Cabinet note the decisions taken by Cabinet Members since the last meeting as set out in Annex 1.

REASON FOR RECOMMENDATIONS:

To inform the Cabinet of decisions taken by Cabinet 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 since the last Cabinet 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 meetings (available on the Council's website)

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CABINET MEMBER DECISIONS

JANUARY 2015

(i) ICELANDIC BANK DEPOSIT: GLITNIR

Details of decision

1. That the Local Government Association and its legal representatives be authorised to include the Council's remaining deposit in Glitnir Bank in a Central Bank of Iceland currency auction.
2. That authority be delegated to the Director of Finance, in consultation with the Leader or the Cabinet Member for Business Services and the Monitoring Officer, to submit final papers in respect of the auction and to determine the relevant exchange rate to be included in the offer.

Reasons for decision

Given the capital controls in Iceland, the future exchange risks pertaining to the Council's remaining deposit in Iceland, as well as the continuing underlying uncertainty that exists with regard to repatriation of the final amount, the Council needs to fully consider the available offers by interested third parties to buy out its claim in Glitnir. Participation in this auction, assisted by the LGA, would enable final closure of the Glitnir claim.

(Decision of Leader of the Council – 29 January 2015)

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