

# Cabinet



**Date & time**  
Tuesday, 18  
December 2018  
at 2.00 pm

**Place**  
Ashcombe Suite,  
County Hall,  
Kingston upon  
Thames, Surrey KT1  
2DN

**Contact**  
Vicky Hibbert or Angela  
Guest  
Room 122, County Hall  
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**Chief Executive**  
Joanna Killian



**We're on Twitter:**  
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**Cabinet Members:** Mr David Hodge CBE, Mr John Furey, Mrs Clare Curran, Mr Mel Few, Mr Mike Goodman, Mr Colin Kemp, Mrs Mary Lewis, Ms Charlotte Morley, Mr Tim Oliver and Ms Denise Turner-Stewart

**Deputy Cabinet Members:** Miss Alison Griffiths, Mr Jeff Harris and Mr Cameron McIntosh

**NOTE: New Cabinet Members, Deputy Cabinet Members and portfolios will be confirmed at full Council 11 December 2018. An update will be circulated following the Council meeting.**

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**This meeting will be held in public. If you would like to attend and you have any special requirements, please contact Vicky Hibbert or Angela Guest on 020 8541 9229 or 020 8541 9075.**

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

## **1 APOLOGIES FOR ABSENCE**

## **2 MINUTES OF PREVIOUS MEETING: 27 NOVEMBER 2018**

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

## **3 DECLARATIONS OF INTEREST**

All Members present are required to declare, at this point in the meeting or as soon as possible thereafter

- (i) Any disclosable pecuniary interests and / or
- (ii) Other interests arising under the Code of Conduct in respect of any item(s) of business being considered at this meeting

### **NOTES:**

- Members are reminded that they must not participate in any item where they have a disclosable pecuniary interest
- As well as an interest of the Member, this includes any interest, of which the Member is aware, that relates to the Member's spouse or civil partner (or any person with whom the Member is living as a spouse or civil partner)
- Members with a significant personal interest may participate in the discussion and vote on that matter unless that interest could be reasonably regarded as prejudicial.

## **4 PROCEDURAL MATTERS**

### **a Members' Questions**

The deadline for Member's questions is 12pm four working days before the meeting - 12 December 2012.

### **b Public Questions**

The deadline for public questions is seven days before the meeting - 11 December 2018.

### **c Petitions**

The deadline for petitions was 14 days before the meeting, and no petitions have been received.

### **d 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 SCRUTINY BOARDS, TASK GROUPS, LOCAL COMMITTEES AND OTHER COMMITTEES OF THE COUNCIL**

None had been received up to the date of publishing.

**6 LEADER / DEPUTY LEADER / CABINET MEMBER DECISIONS/ INVESTMENT BOARD TAKEN SINCE THE LAST CABINET MEETING**

(Pages 1 - 4)

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

**CORPORATE VISION OUTCOME: 1. PEOPLE**

**7 CHILDREN'S IMPROVEMENT PLAN**

(Pages 5 - 42)

Following the re-inspection of children's services earlier this year, a new Children's Improvement Plan has been developed outlining the work we are, and will be, undertaking over the coming months and years. The plan has been developed by a multi-agency group of practitioners and leaders, and focusses on the recommended improvements reported by Ofsted in May 2018.

*[The decisions on this item can be called in by the Children & Education Select Committee]*

**8 COMMISSIONING OF PERSONAL SUPPORT SERVICES FOR CHILDREN, YOUNG PEOPLE AND THEIR FAMILIES**

(Pages 43 - 84)

Surrey County Council has a statutory duty to support disabled children, young people and their families with short breaks. Personal support services are part of the overall short breaks offer, providing care and support within and also outside the home, helping children and young people to access and be included in social and leisure activities in their local communities.

This paper sets out how the Council intends to ensure that the Personal Support Offer responds to need, provides sufficient choice for families across Surrey, and is cost-effective, through the setup of a Light Touch Dynamic Purchasing System (DPS) from April 2019. This has been co-designed and co-commissioned with Family Voice Surrey.

N.B. There is a Part 2 Annex at Item 18.

*[The decisions on this item can be called in by the Children & Education Select Committee]*

**9 APPROVAL TO AWARD A CONTRACT FOR THE PROVISION OF YOUNG PEOPLE SUBSTANCE MISUSE SERVICE**

(Pages 85 - 126)

This report sets out recommendations arising from work on options for the provision of Surrey's Young People's Substance Misuse Service and outlines a competitive tender process which was carried out in order to select a supplier to deliver the service.

N.B. There is a Part 2 Annex at Item 19.

*[The decisions on this item can be called in by the Health Integration & Commissioning Select Committee]*

## **CORPORATE VISION OUTCOME: 2. PLACE**

**10 PREPARATION OF THE NEW SURREY WASTE LOCAL PLAN: SUBMISSION PLAN** (Pages 127 - 322)

Surrey County Council is the Waste Planning Authority and is responsible for setting planning policy that is used in making decisions on planning applications for waste management facilities in Surrey. The current Surrey Waste Plan includes such policies (with allocations of land suitable for waste management) and was adopted in 2008 and is now being replaced by a new plan.

*[The decisions on this item can be called in by the Environment Select Committee]*

**11 UPDATED HIGHWAY ASSET MANAGEMENT STRATEGY AND POLICIES** (Pages 323 - 390)

A new Code of Practice (referred to as the 'Code' in this document) for Highway Maintenance, Well Managed Highway Infrastructure, was released in October 2016 giving Local Authorities until October 2018 to adopt the code taking a risk based approach. While we are satisfied that our policies align with the recommended risk-based approach, this report is brought to Cabinet to make some updated to existing policy documents that were identified as being beneficial during the review. This policy will update and improve our existing policies.

These policy changes are brought along with the updated Asset Strategy, which has been reviewed and updated 2 years after it was published in 2016 as recommended by the "Highway Infrastructure Asset Management Guidance" (HIAMG) document.

*[The decisions on this item can be called in by the Highways & Growth Select Committee]*

## **CORPORATE VISION OUTCOME: 3. COUNCIL**

**12 WATER AND WASTE WATER SERVICES** (Pages 391 - 396)

This report sets out recommendations arising from work on options for the provision of water and waste water services and outlines a competitive tender procurement process in order to select a supplier to deliver the service.

N.B. There is a Part 2 Annex at Item 20.

*[The decisions on this item can be called in by the Environment Select Committee]*

- 13 FEES AND CHARGES POLICY** (Pages 397 - 412)
- The proposed fees & charges policy is an essential element of the Council's transformation programme and provides guidance on the setting of new charges and the policy context within which existing charges are to be reviewed. It confirms the Council's approach to cost recovery and income generation and the governance processes that are to be followed to gain approval for discretionary services that are to be provided at a subsidy, i.e. at a cost to the general tax payer.
- [The decisions on this item can be called in by the Corporate Overview Select Committee]*
- 14 LOCAL GOVERNMENT OMBUDSMAN REPORT** (Pages 413 - 428)
- This report concerns the findings of the Local Government and Social Care Ombudsman (the Ombudsman) in response to a complaint concerning the service provided to a Surrey family.
- 15 MONTHLY BUDGET MONITORING REPORT** (Pages 429 - 464)
- This report presents the Council's financial position for 2018/19 as at 31 October 2018 for both revenue and capital budgets. It also includes quarter end positions for the balance sheet, reserves, debt and treasury management.
- [The decisions on this item can be called in by the Corporate Overview Select Committee]*
- 16 AWARD OF FRAMEWORK AGREEMENTS AND CALL OFF CONTRACTS FOR THE PROVISION OF LEGAL SERVICES** (Pages 465 - 472)
- Surrey County Council's legal services department forms part of Orbis Public Law (OPL) which also incorporates the legal services of Brighton and Hove City Council, East Sussex County Council and West Sussex County Council. OPL has a vision to create a single, resilient, sustainable, cost effective legal service to the OPL authorities and the wider public sector where appropriate/feasible.
- The other OPL authorities are currently using different arrangements to access external legal advice and support. In order to help achieve the vision, a single tender process has been undertaken that standardises and incorporates all OPL's external legal services requirements.
- 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 framework and call off contract awards deliver best value for money.
- N.B. There is a Part 2 Annex at Item 21
- [The decisions on this item can be called in by the Corporate Overview Select Committee]*

**17 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**

**18 COMMISSIONING OF PERSONAL SUPPORT SERVICES FOR CHILDREN, YOUNG PEOPLE AND THEIR FAMILIES** (Pages 473 - 476)

This Part 2 report contains information which is exempt from Access to Information requirements by virtue of paragraph 3 – Information relating to the financial or business affairs of any particular person (including commercially sensitive information to the bidding companies).

*[The decisions on this item can be called in by the Children & Education Select Committee]*

**19 APPROVAL TO AWARD A CONTRACT FOR THE PROVISION OF YOUNG PEOPLE SUBSTANCE MISUSE SERVICE** (Pages 477 - 480)

This Part 2 report contains information which is exempt from Access to Information requirements by virtue of paragraph 3 – Information relating to the financial or business affairs of any particular person (including commercially sensitive information to the bidding companies).

*[The decisions on this item can be called in by the Health Integration & Commissioning Select Committee]*

**20 WATER AND WASTE WATER SERVICES** (Pages 481 - 488)

This Part 2 report contains information which is exempt from Access to Information requirements by virtue of paragraph 3 – Information relating to the financial or business affairs of any particular person (including commercially sensitive information to the bidding companies).

*[The decisions on this item can be called in by the Environment Select Committee]*

**21 AWARD OF FRAMEWORK AGREEMENTS AND CALL OFF CONTRACTS FOR THE PROVISION OF LEGAL SERVICES** (Pages 489 - 496)

This Part 2 report contains information which is exempt from Access to Information requirements by virtue of paragraph 3 – Information relating to the financial or business affairs of any particular person (including commercially sensitive information to the bidding companies).

*[The decisions on this item can be called in by the Corporate Overview Select Committee]*

**22 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.

**Joanna Killian**  
**Chief Executive**  
Monday, 10 December 2018

## 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

Those attending for the purpose of reporting on the meeting may use social media or mobile devices in silent mode to send electronic messages about the progress of the public parts of the meeting. To support this, County Hall has wifi available for visitors – please ask at reception for details.

Anyone is permitted to film, record or take photographs at council meetings. Please liaise with the council officer listed in the agenda prior to the start of the meeting so that those attending the meeting can be made aware of any filming taking place.

Use of mobile devices, including for the purpose of recording or filming a meeting, is subject to no interruptions, distractions or interference being caused to the PA or Induction Loop systems, or any general disturbance to proceedings. The Chairman may ask for mobile devices to be switched off in these circumstances.

It is requested that if you are not using your mobile device for any of the activities outlined above, it be switched off or placed in silent mode during the meeting to prevent interruptions and interference with PA and Induction Loop systems.

*Thank you for your co-operation*

**SURREY COUNTY COUNCIL****CABINET****DATE: 18 DECEMBER 2018****REPORT OF: N/A****LEAD OFFICER: JOANNA KILLIAN, CHIEF EXECUTIVE****SUBJECT: LEADER/DEPUTY LEADER/CABINET MEMBER DECISIONS/  
INVESTMENT BOARD DECISIONS TAKEN SINCE THE LAST  
CABINET MEETING****COMMUNITY COUNCIL  
VISION  
OUTCOME:****SUMMARY OF ISSUE:**

To note the delegated decisions taken since the last meeting of the Cabinet.

**RECOMMENDATIONS:**

It is recommended that the Cabinet note the decisions taken by Cabinet Members / Investment Board since the last meeting as set out in Annex 1.

**REASON FOR RECOMMENDATIONS:**

To inform the Cabinet of decisions taken by Cabinet Members / Investment Board 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. The Leader has also delegated authority to the Investment Board to approve property investment acquisitions, property investment management expenditure, property investment disposals and the provision of finance to its wholly owned property company, Halsey Garton Property Ltd.
3. Delegated decisions are scheduled to be taken on a monthly basis and will be reported to the next available Cabinet meeting for information.
4. **Annex 1** lists the details of decisions taken by Cabinet Members since the last Cabinet meeting.

**Contact Officer:**

Angela Guest, Democratic Services Officer, Tel: 020 8541 9075

**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)

**CABINET MEMBER DECISIONS**  
**December 2018**

**CABINET MEMBER FOR ENVIRONMENT AND TRANSPORT**

**SURREY COUNTY COUNCIL DEVELOPER CONTRIBUTION GUIDE**

**(i) Details of decision**

It was resolved that:

1. The Developer Contribution Guide be adopted.
2. That authority be delegated to the planning Group Manager to agree any further updates to the Guide to capture any subsequent Government legislative changes, updated technical information or additional categories of obligation requests.

**(ii) Reasons for decision**

It is common practice for County Council's to produce such guidance to provide transparency, assist in securing developer contributions for viral infrastructure, to encourage more efficient working and to support local planning authorities in infrastructure planning.

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**SURREY COUNTY COUNCIL****CABINET****DATE: TUESDAY 18 DECEMBER 2018****LEAD OFFICER: DAVE HILL, EXECUTIVE DIRECTOR FOR CHILDREN, FAMILIES & LEARNING****COMMUNITY VISION OUTCOME: PEOPLE****SUBJECT: CHILDREN'S IMPROVEMENT PLAN****SUMMARY OF ISSUE:**

Children's services in Surrey have been judged by Ofsted to be in a critical state. As a result the government appointed a Children's Commissioner to make a judgement about whether children's services should continue to be retained by Surrey. The Commissioner Trevor Doughty submitted his report to the Secretary of State (attached as: *item 07 - 2018.09 Report of the Non-Executive Commissioner for Children's Services in Surrey Annex 1*) who published the report and 'Directions' letter (attached as: *item 07 - 2018.10 Statutory Direction to Surrey County Council Annex 2*) to Surrey County Council on 31 October 2018.

The Commissioner's report concluded that Surrey has a credible plan in place and that "the Council now recognises and accepts the depth and complex nature of the issues it faces in children's social care", but he will review the position again in April and September 2019, to ensure that progress and momentum are being maintained.

The issues and problems are deep rooted, long standing and have led to a position whereby children are not being adequately protected and kept safe. This cannot continue and far reaching plans have been formulated to redesign the services from top to bottom. Alongside the redesign there is a restructuring in progress and a new model of working; nothing short of a complete culture change will enable the services to meet the needs of Surrey's children and families.

Ofsted will make two day monitoring visits to Surrey every three months to monitor progress. It is likely that a journey to good services will take two to three years. There is a newly formed improvement board - The Ofsted Priority Action Board, which is being independently chaired by John Coughlin - the Chief Executive of Hampshire County Council. Partners are strongly supporting the improvement journey and the Surrey Children's Safeguarding Board has just appointed a very experienced and permanent independent chair.

There is a new management team in place, including Joanna Killian and Dave Hill and new permanent appointments to the children's leadership team. The Commissioner noted that Surrey "has appointed a sector leader as the Director of Children's Services (DCS) and a Chief Executive who understands the challenge and how to support her DCS and what to look for". The prospects for the service are positive, but will only be achieved if the whole Council continues to support the improvement journey.

## RECOMMENDATIONS

It is recommended that:

1. Cabinet acknowledges the significant improvement required across children's services in Surrey and fully supports the delivery of improvement work wherever it is needed.
2. Cabinet notes the development of the Children's Improvement Plan, (attached as: *item 07 - Children's Improvement Plan (Strategic) Sep 2018 v4 Annex 3*) in response to the 2018 inspection of children's services and endorses the governance arrangements that have been put in place to oversee its delivery.
3. Cabinet reviews progress made on the delivery of the Children's Improvement Plan in approximately 4-6 months. The Commissioner will be visiting Surrey and reviewing progress in April 2019 – an update to Cabinet will follow this visit and publication of the Commissioner's report to the Secretary of State.
4. Children's Services performance data to be shared with the Children and Education Select Committee as described in paragraph 19.

## REASON FOR RECOMMENDATIONS:

The Children's Improvement Plan outlines the work we need to do in key operational areas that are reviewed during statutory inspections from Ofsted. Improving our practice in these areas is essential to ensure we are meeting the needs of children and families in Surrey with the right services being provided in the right way and at the right time.

The Department for Education (DfE) appointed Children's Commissioner will be reviewing progress and reporting to the Secretary of State in April 2019.

## DETAILS:

### Commissioner for Children's Services

1. Following the appointment of Trevor Doughty (DCS, Cornwall County Council) as the Children's Commissioner for Surrey, a series of visits to Surrey children's services and a review of our capacity and capability to improve was carried out by Trevor and his team. This review took place between July-September 2018 and included six two-day visits. Discussions were held with over 170 council staff, 60 representatives and practitioners from partner agencies and several young people, parents & carers. Over 50 cases were audited and the Commissioner's team reviewed written documentation (including plans related to Family Resilience and the transformation programmes) and performance information.
2. The report (attached as: *item 07 - 2018.09 Report of the Non-Executive Commissioner for Children's Services in Surrey Annex 1*) highlights that there are aspects of practice that are still not yet compliant with Working Together to Safeguard Children (DfE, July 2018) but that we recognise that the system is not yet safe and are allocating significant resources to the task.

3. While the Minister has agreed with Trevor Doughty's recommendation that control of children's services in Surrey should remain with the council (pending checks of progress at six and 12 months), it is critical that we rapidly improve services and address the specific recommendations from Trevor's report. These are:
  - Engage staff and partners in the vision and ensure they actively participate in the improvement of the overall children's system in Surrey
  - Encourage the involvement of children and young people in the design and delivery of services
  - Prioritise reform of the MASH
  - Urgently address compliance issues and shortfalls in safe practice
  - Review and configure the Early Help Offer
  - Bring home children in care and care leavers placed outside Surrey
  - Consider a single improvement partner
  - Embed a unified theoretical model for Children's Social Care
  - Continue urgent action around reducing agency staff and improving social worker employment and retention
  - Establish widely understood milestones for the improvement journey with full commitment from Surrey County Council, partner organisations and the wider system

### **Ofsted Monitoring**

4. Ofsted carried out their first two-day monitoring visit of our children's services on 11 and 12 September 2018. This visit focussed on Child in Need and Child Protection with the inspectors meeting practitioners and reviewing cases at Quadrant Court (NW) and Consort House (SE).
5. The Inspector's findings (attached as: *item 07 - Ofsted Monitoring Visit Letter 04.10.18 Annex 4*) were published on 4 October 2018. The findings from the inspectors did not present any surprises and matched our own self-assessment of where we are and where we need to be. Whilst we have pockets of good work, there are areas that need rapid improvement.
6. The inspection highlighted that we continue to remove too many children from child protection plans before there is substantial evidence that risks have reduced or circumstances improved resulting in many children and families being placed on a plan for subsequent episodes. This trend of cyclical 'start again' social work is compounded by a complex service structure, requiring numerous handover points and changes of social worker as children travel through the statutory social work system.
7. The inspection also found that many social workers, frontline managers, child protection conference chairs and partner agencies have insufficient knowledge and understanding of the impact of cumulative neglect, exposure to domestic abuse and other adult difficulties on children. This is an area of practice that should be significantly improved through the introduction of Family Safeguarding hubs bringing together multi-disciplinary teams with expertise from Adults' services.

8. Some positive improvements were also found during the visit with the inspectors noting that a new, highly experienced senior management team, formed since the March 2018 full inspection, understands the scale of poor practice and outcomes for these highly vulnerable children. A systemic review of the practice system and service structure is in progress and Ofsted recognised that measures to achieve wide scale practice improvements will take time to implement.
9. The next Monitoring Visit will take place 23-24 January 2019 and will be focussed on Looked After Children. We will continue listening to many people to make sure that we make progress, including Ofsted as their findings serve as good markers in our journey. However this will be our journey to outstanding services for Surrey's children and families because they deserve nothing less.

### **Ofsted Priority Action Board**

10. The Ofsted Priority Action Board (OPAB), responsible for overseeing the delivery of the Children's Improvement Plan, met for the first time on 19 September 2018 with the new, reduced membership from Surrey County Council and partner agencies and with the new independent chair of the board.
11. The purpose of OPAB is: To ensure that improvements are delivered across all agencies that support & deliver services for children in Surrey that address the concerns and recommendations from the 2018 Ofsted inspection. To ensure improvements are sufficiently embedded across Surrey County Council and partner agencies that the improvement activity is fully embedded in our day-to-day practice and can be monitored and scrutinised by existing scrutiny and oversight groups. These groups include the Surrey Safeguarding Children's Board (SSCB), the Health & Wellbeing Board, Corporate Parenting Board (CPB) and the Children & Young People's Partnership Board (CYPPB). OPAB will continue to operate until at least July 2019, at which point the status of the Improvement Plan and the need for the board will be reviewed.
12. The collective roles and responsibilities of the board are as follows:
  - To advise, support and challenge the County Council and its partners to secure sustainable improvements and high level performance in children's services following the Ofsted Inspection
  - To ensure that all recommendations set out in the Ofsted 2018 Re-inspection report and subsequent Monitoring Visit reports are successfully implemented by the County Council and its partners
  - To develop and agree the Improvement Plan and regularly monitor, review and update progress
  - To ensure that children, young people, families and frontline staff inform the development of improvement actions and are able to assess the progress made in delivering these
  - To give assurance that a culture of improvement is embedded across all agencies and that within this there is an understanding and recognition of good social work practice
  - To work alongside existing strategic governance and accountability frameworks including the Surrey Safeguarding Children Board, the Health and Wellbeing Board, the Children and Young People's Partnership Board, the Corporate Parenting Board and relevant scrutiny groups

## Improvement Plan and Delivery Group

13. A new Children's Improvement Plan has been developed outlining the work we are, and will be, undertaking over the coming months and years. The plan has been developed by a multi-agency group of practitioners and leaders, and focusses on the recommended improvements reported by Ofsted in May 2018.
14. A cross-partnership 'Improvement Plan Delivery Group' responsible for planning, delivering and evidencing the full Improvement Plan and the activities within, was established in October 2018 and will continue to operate until the Improvement Plan has been fully delivered. This group includes representatives from the Council, Surrey Police, NHS (and health providers), three to four, third sector organisations and Surrey schools.
15. The Delivery Group will ensure that the work is carried out, will pull together resources from across the partnership as required to deliver the work, will report on progress to the Ofsted Priority Action Board (including evidencing when an action is completed) and will highlight issues or risks for escalation to the board.
16. The Children's Improvement Plan is attached to this paper (*Annex 3*) and outlines the key activity grouped into five themes:
  - Theme 1: Strategic Leadership and Governance
  - Theme 2: Quality of Practice & Planning
  - Theme 3: Identifying Needs – Providing the Right Help at the Right Time by the Right People
  - Theme 4: Practice Leadership
  - Theme 5: Participation, Engagement & Co-Production

<b>CONSULTATION:</b>
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17. The Surrey Children's Improvement Plan has been developed between officers from the Children, Families & Learning directorate, representatives from Surrey Police, Surrey School Phase Councils (Primary, Secondary and Special), health services including the Clinical Commissioning Groups, and providers and colleagues from the third sector.
18. The Ofsted Priority Action Board - formed in July 2018 as a replacement for the Children's Improvement Board - is accountable for the successful delivery of the plan. The Improvement Plan (attached in Annex 1) was approved by the board at the meeting on 19 September 2018.
19. The Improvement Plan and children's services performance information was scrutinised by the Children & Education Select Committee on Friday 16 November 2018 (ITEM 6). The recommendations from this item were:
  - That the key performance indicators showing required improvement in Children's Services are supplied by the Cabinet Member for Children, and will continue to be regularly reviewed each month and assessed against national performance and quarterly regional benchmarking to assess Surrey in the national and regional context, and:

- That the Chairman and Vice-Chairman of the Committee receive this monthly update, with the Cabinet Member for Children, to consider the detailed performance indicators used.
- That the Committee receive a quarterly update of key performance measures, and also highlights areas of sustained downwards trend with a narrative of the service's response to this.

#### **RISK MANAGEMENT AND IMPLICATIONS:**

20. The following key risks associated with change have been identified, along with mitigation activities:

<b>Risk Description</b>	<b>Mitigation Activity</b>
<b>Wider stakeholder groups involved in the provision of children's services and related support for vulnerable children and their families are not engaged or committed to working collaboratively to ensure the successful delivery of the Surrey Children's Improvement Plan.</b>	Partnership representation is vital and this view is supported by the recommendations following Ofsted's 2018 inspection of children's services. A cross-partnership 'Improvement Plan Delivery Group' has been established. This group reports regularly to the Ofsted Priority Action Board on progress. Robust terms of reference have been agreed and all partners are held to account by the board's Independent Chair.
<b>The quantity of change happening across the children's services operation leads to reduced performance across the service.</b>	The Improvement Plan Delivery Group is working closely with the Family Resilience Programme Team to ensure the Improvement Plan activity is sequenced to minimise negative impact on frontline services. Performance across the services continues to be monitored by staff and management with clearly defined escalation pathways in place enabling the service to escalate issues for consideration without delay.

#### **Financial and Value for Money Implications:**

21. There are no direct financial implications relating to the Surrey Children's Improvement Plan. All improvement work is being delivered using existing resources and revenue budgets where required.

#### **Section 151 Officer Commentary:**

22. The Children's improvement plan proposed in this report is being funded within existing Budget envelope 2018-19 and proposed Medium Term Financial Plan for 2019-2024. There are therefore no additional financial implications to consider.

### **Legal Implications – Monitoring Officer:**

23. Following the assessment by Ofsted of Surrey Children’s Services as inadequate, the appointment of the Children’s Commissioner and his recommendation following review that Surrey Children’s Service should be allowed a further 12 months to demonstrate it can make the required improvements, this report has been prepared to inform Cabinet of the detailed Improvement Plan.
24. The Plan is provided for information and does not require any decision save for endorsement of the governance arrangements that have been put in place to oversee its delivery. In his report to the Secretary of State the Commissioner has highlighted the importance of the Ofsted Priority Action Board and of the role of Members in the delivery of the Plan.

### **Equalities and Diversity:**

25. There are no direct equalities implications arising from this report but any actions taken need to be consistent with the council’s policies and procedures.

### **Corporate Parenting / Looked After Children Implications:**

26. The re-inspection of children’s services by Ofsted in February/March 2018 rated the ‘children looked after and achieving permanence’ service as *Requires Improvement*. 5 (of the 18) recommendations from the inspectors specifically relate to services for looked after children; several actions in the Children’s Improvement Plan will address these issues.

### **Safeguarding Responsibilities for Vulnerable Children and Adults Implications:**

27. The Children’s Improvement Plan outlines the work required to address all recommendations from Ofsted following the re-inspection of children’s services. Up to 10 of the recommendations describe work required to address failings in our practice to safeguard vulnerable children.

### **WHAT HAPPENS NEXT:**

28. The Improvement Plan Delivery Group, overseen by the Ofsted Priority Action Board, will continue to deliver the work outlined in the Children’s Improvement Plan. The board meets every eight weeks and will scrutinise the completion of the work, resolving issues and allocating resources as required.
29. The Children & Education Select Committee will continue to scrutinise the relevant performance information as per the recommendations in paragraph 19.

### **Annexes - Attached with document**

- Annex 1 - 2018.09 Report of the Non-Executive Commissioner for Children’s Services in Surrey
- Annex 2 - 2018.10 Statutory Direction to Surrey County Council
- Annex 3 - Children's Improvement Plan (Strategic) Sep 2018 v4
- Annex 4 - item 07 - Ofsted Monitoring Visit Letter 04.10.18

**Sources/background papers:** None



# **Report of the Non- Executive Commissioner for Children's Services in Surrey**

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Commissioner for Surrey County Council  
September 2018**

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# 1. Introduction

1.1. This is the report of the non-executive commissioner for Surrey County Council's children's services, who was appointed following the Ofsted inspection carried out under the Single Inspection Framework between 26 February and 22 March 2018. The Ofsted report was published on 16 May 2018<sup>1</sup>. Ofsted rated Surrey's children's services 'Inadequate'. Following consideration of the report, the Secretary of State concluded that the Council is failing to perform to an adequate standard for some or all of the functions to which Section 497a of the Education Act 1996 is applied by Section 50 of the Children Act 2004 (children's social care functions). I was appointed Commissioner for Children's services in Surrey on 25 June 2018. The Statutory Direction and Terms of Reference are published on gov.uk<sup>2</sup>. My primary focus as the Commissioner is the 'presumption test', that is "In cases of persistent or systemic failure, children's social care services will be removed from local authority control for a period of time in order to bring about sustainable improvement unless there are compelling reasons not to do so".

1.2. The aims of my review include:

- giving the Council the opportunity to provide evidence that it is taking decisive action since the Ofsted inspection and is no longer failing to perform to an adequate standard in the delivery of its children's social care functions;
- assessing the Council's capacity and capability to improve itself – within a reasonable timeframe – and to sustain improvement long-term; and
- advising the Minister on whether an alternative delivery and governance arrangement for children's social care, outside of the operational control of the Council, for a period of time, is required to bring about lasting improvement.

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<sup>1</sup> Ofsted (May 2018) 'Surrey County Council: Reinspection of services for children in need of help and protection, children looked after and care leavers', <https://files.api.ofsted.gov.uk/v1/file/50004443>

<sup>2</sup>DfE (June 2018) 'Statutory Direction issued to Surrey County Council', [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/719611/2018.06\\_Statutory\\_Direction\\_to\\_Surrey-Council.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/719611/2018.06_Statutory_Direction_to_Surrey-Council.pdf)

## 2. Executive summary and recommendations

2.1. The Ofsted inspection of Surrey County Council's children's social care services conducted in March 2018 identified serious failings in the overall effectiveness of its performance in helping and protecting children. The report also highlighted the failure of Surrey County Council over several years to establish and deliver an effective programme of improvement to rectify the shortfalls identified in successive inspections. There is evidence, then, that until recently the Council has not fully recognised the extent of its failure and the impact of this on the most vulnerable children and young people living in Surrey. There has been a persistent failure in the leadership of its children's social care services and a failure by the Council to appoint a leadership team with the capacity and capability to effectively improve its children's services.

2.2. However, there is clear evidence that the political leadership of the Council has now accepted the need for change. This is illustrated by the Council's success in attracting and appointing a Director of Children's Services (DCS) with a proven track record in bringing about significant improvements in children's services and a Chief Executive who fully recognises the challenge of the task ahead and the pre-requisite of full corporate support to eventual success. There is, of course, a danger of over-reliance on these two individuals, when the contribution of other system leaders is critical, although that is inevitable at this stage on the improvement journey.

2.3. There are aspects of practice that are still not yet compliant with Working Together to Safeguard Children<sup>3</sup> and the DCS recognises that the system is not yet safe. This requires urgent attention by his practice leaders. He has been concentrating on structure and strategy and building a leadership team that he can have confidence and trust in to make the right changes for children and families. There are several experienced individuals working in the new team. He is introducing best practice from around the country and there are several examples already of such innovation. However, there has not been time yet to establish a coherent model of social work. He recognises that more needs to be done to engage staff and partners in his vision and the process of change. The leadership team are aware of this and this needs to be the next step. The 'Ofsted Priority Action Board' has been established under the independent chairmanship of John Coughlan, an experienced Commissioner, with a particular aim of engaging partners in the improvement journey. There is also more work to be done to enable Members to hold the leadership team to account effectively for the performance of its children's services, including how to measure progress on the improvement journey.

2.4. It is too early to make a secure judgement about whether the steps that have and are being taken will bring about sustainable improvement in the effectiveness of

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<sup>3</sup> DfE (July 2018) 'Working Together to Safeguard Children', [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/729914/Working\\_Together\\_to\\_Safeguard\\_Children-2018.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/729914/Working_Together_to_Safeguard_Children-2018.pdf)

children's social care services in Surrey. The Council now recognises and accepts the depth and complex nature of the issues it faces in children's social care. It has appointed a sector leader as the DCS and a Chief Executive who understands the challenge and how to support her DCS and what to look for. However, it is too early to expect the improvements required to rectify the deep and long-standing problems identified by Ofsted and confirmed by my review. Given the clear intention of the Council and significant resources allocated to the task, at this early stage I do not believe that taking the Service out of the control of the Council will accelerate progress, rather that it could serve as a distraction to the considerable efforts of the DCS to make the necessary improvements. It is for these reasons, I recommend that the Minister allow the Council a further 12 months to demonstrate that the action plan it has put in place is working. It is particularly important that there is continuity in an ongoing dialogue to monitor improvement in addition to the monitoring visits by Ofsted. I would, therefore, also recommend that Commissioner oversight should continue with further reviews and assessment of progress against the findings of this first review in around 6 and 12 months. In my view, this would strike a proper balance between concern arising from the previous 'false starts' and an acknowledgement of the recent but palpable change in the attitude and approach by the Council to bring about sustainable improvement.

## 3. Methodology

3.1. My approach, agreed with Surrey County Council and the Department for Education (DfE) at the set up meeting on 12 July 2018, has been to use experienced leaders and managers and practitioners from Cornwall Council to assist me in a deep analysis of the current quality and impact of practice in helping and protecting children, the impact of the changes made so far, and what needs to happen. I interviewed senior Members of the Council and senior officers of the Council and partner organisations. I also spoke to John Coughlan, the independent Chair of Surrey's 'Ofsted Priority Action Board'.

3.2. I was assisted in my review by on-site visits undertaken by six senior social work managers, three other senior managers (psychology, commissioning and business support), six middle managers and two practitioners. The team included the Principal Child and Family Social Worker and specialists in the operation of the front door, early help, children in need, court work, children in care, care leavers, workforce development, partnership working, commissioning and business support (systems and reporting).

3.3. The review was undertaken through six two-day visits (Woking, Leatherhead and Redhill) and discussions with over 170 staff both individually and in groups from the four "quadrants" that form the Surrey operational delivery model. The team met over 60 representatives and practitioners from partner agencies including schools, voluntary organisations, the police and health agencies. Some young people and parent/carers were seen. Referrals and contacts were tracked. Over 50 recent cases were audited, including supervision records. Written documentation including performance data was studied.

3.4. The review team was led by Jack Cordery, Service Director for Children and Family Services, who contributed to the work of the Social Work Reform Group and the Munro Review of Child Protection. He was a member of the Children and Family Faculty of the College of Social Work and a senior sector representative on the development of the Ofsted Single Inspection Framework.

3.5. I provided initial feedback to the Lead Member for Children and Families, the DCS, his leadership team and the representative of the DfE on 5 September 2018. The discussion was open, appropriately challenging and constructive. The DCS and his leadership team that were present accepted the findings, which reflected their own analysis.

3.6. My team and I were made very welcome by officers and every assistance was given to enable the review team to gain a good understanding of the issues facing the Council and how the changes put in place are bringing about improvements. It was particularly helpful that the DCS actively encouraged staff and partners to be as open as possible in discussions with the review team. This has been crucial in forming an accurate appraisal as the basis of my recommendation.

## 4. Context

4.1. The serious underperformance in children's social care services in Surrey are widespread and long-standing. There was a variety of views among senior managers, partners and members but all agreed that the issues have not been properly resolved or effectively addressed for at least 10 years and quite possibly for many years prior to that. There have been several 'false dawns'. This has been coupled with an unwillingness or inability by the Council to accept the findings of inspections, understand its own performance data and acknowledge the risks to children of failing to provide effective services in line with raised standards. This denial was seen as the main barrier to change and improvement.

4.2. The Corporate Leadership Team until recently have not recognised or delivered the kind of specialist leadership that is required at the DCS level. Previous improvement initiatives, though well intentioned, appear to have lacked the necessary expertise and insight to prioritise the things that deliver improved services to children and young people and their families in Surrey. A telling quote from a long-serving member of staff is, "We've restructured so often and changed so little". This member of staff succinctly sums up the previous attempts to improve the effectiveness of Surrey's children's services. However, another telling quote from another long-serving member of staff is, "This time it feels different."

4.3. The Chief Executive was appointed on 5 March 2018 and the DCS was appointed on 30 April 2018 following the latest Ofsted inspection. These senior appointments are of fundamental importance to my recommendation because they demonstrate two significant differences in the response of Surrey County Council to previous failures in Ofsted inspections. Firstly, I have found consistent acceptance from both senior members and senior managers of the fundamental change they need to bring about in children's services in order to raise them from a rating of Inadequate. Secondly, a specialist DCS with a proven track record in delivering improvement and a positive reputation in the sector has been recruited to lead the improvement journey.

## 5. People and Leadership

5.1. The DCS recognises the depth of the challenge and has taken significant immediate action. This includes introducing a new quality and audit system overseen by external auditors; the 'no wrong door' approach pioneered by North Yorkshire; the 'family safeguarding' model introduced by Hertfordshire; a fundamental review of early help; and an analysis of the front-door by Essex. These are appropriate initiatives and have, of necessity, been coupled with an extensive change in the senior leadership team, the engagement of interim managers, the implementation of a new structure, and recruitment to the structure. The new and emerging senior management team is negotiating the difficult balance required between taking immediate action to 'fix' unsafe elements of the system and embedding longer-term cultural change. The DCS is fully aware of the risk of bringing in too many new ideas at once through engaging external help. However, given that Surrey has been reluctant in the past to look outside the authority for assistance, the learning culture he is seeking to develop is an appropriate and important approach. It will be important to follow on from this positive start quickly, with change processes that engage staff and make them the most important part of the improvement journey. Staff and partners told the review team that they do not yet feel involved in the analysis and solutions and are not yet clear about the way ahead and what is expected of them. This is a priority for the leadership team and an important success measure. Measures for progress are being developed but not yet understood by staff at this early stage in the improvement journey.

5.2. Despite the significant resource issues facing children's services nationally, the Council appears determined to fully resource the improvement journey. This will require continued commitment from members and the corporate leadership team. The findings of the Ofsted report in 2018 are widely accepted. Staff and partners showed enthusiasm in wanting to contribute to improvement. The service has many committed and skilled staff and the review team found some evidence of good practice and innovation. Staff morale appears strong and staff generally said they feel optimistic about the future. Much of this optimism is because of confidence in the reputations of the new DCS and Chief Executive. The changes at the senior level in children's services are accompanied by changes in senior management across the Council and this is welcomed by staff. There is an openness and willingness to learn from best practice elsewhere.

## 6. Service Effectiveness

### Front-Door – the ‘MASH’ (Multi-Agency Safeguarding Hub)

6.1. The front-door is not fit-for-purpose or compliant with Working Together to Safeguard Children. The review team studied the May 2018 performance compendium data and a concern is the volume of contacts that do not go onto intervention for children and families. This is an area that warrants further exploration. The MASH is based in a police station. The head of the MASH is a retired police officer and 60% of all contacts received in the MASH are from the Police. There is an undue reliance on child protection strategy discussions, which are not always undertaken in a timely way, involving the right people. The assessment teams have rooms booked Mondays, Wednesdays and Fridays each week to hold strategy meetings – but the conversion from s47 enquiries to initial child protection conferences is less than 40%. Observations confirmed that the current practice is police-led, risk averse and disproportionate to the nature of referrals. This risks a lack of prioritisation and overwhelms the social work teams.

6.2. The service manager in the MASH is a social worker, but there is a disconnect between the strategic lead and the operational development that I feel causes the social workers to feel overwhelmed, not confident, valued or listened to. There is no consistency in decisions on thresholds as they are decided by too many managers. The service manager has a clear understanding of the areas for improvement in the MASH but until recently has been unable to make changes due to a disconnection with senior management and the fact that partner agencies are not fully sharing the responsibility to safeguard children beyond the MASH. This problem is amplified by a poor understanding of thresholds.

6.3. There is no whole-system approach or unified model of social work though this is now in development and recognised as a priority. A high re-referral rate (28%) indicates that the system is not working and is still unsafe. Contacts and referrals being made, including those at a universal level, leave the MASH overwhelmed and unable to prioritise the focus on safeguarding and making decisions within timescale to be compliant with Working Together to Safeguard Children. The culture observed by the review team was one of being risk averse, assessments being completed in a transactional way, limited purposeful work being undertaken with families and then cases being closed resulting in high re-referrals.

### Early Help

6.4. There has until recently been no clear strategic vision for early help. The services are fragmented and operate in silos across the two-tier Council model. Partners are confused about the early help offer and early help does not have the necessary high profile across the system. Staff and partners reported a lack of communication and inconsistencies. There is a significant early help budget to support many staff, buildings

and managers but there are too many panels, boards and meetings without an overarching strategy and direction. There is little evidence of impact.

## **Help and Protection**

6.5. The lack of coherence and consistency in the delivery of early help is reflected in help and protection. Repeat referrals, assessments and interventions are commonplace with a lack of purposeful intervention and focus on impacts and outcomes. Social work was seen to be skewed by the police agenda and decision-making was too disbursed and variable. In too many cases, decisions were being made without sufficient information or contributions by partners. The system required too numerous changes in worker.

## **Children in Care**

6.6. The Council has 50% of its children in care and care leavers placed out of county. As these children are not living in local communities, the experience of the child in care or care leaver is often “rootless”. Providing good support to children in these placements and improving children’s outcomes is a complicated process. The placements are costly. Fundamental practice like undertaking initial health assessments and personal education plans are significant problems. The health assessment of children looked after has been an unresolved practice issue for several years, showing that the challenges faced by the Council are systemic, involving the wider partnership and not just the Council’s services.

6.7. The Council is aware of its long-standing difficulties in delivering good enough corporate parenting and acknowledges it is not getting good enough outcomes for the children in its care. Children are being seen and plans undertaken but this appears to be a primary focus and seen as an end in itself rather than being purposeful in developing a positive relationship and focussed on improving outcomes. Workers at many levels are aware of the problems and it will take some time to progress to a good level. There is recognition that the approach taken in the past needs to change and that staff and partners must work together with the new senior management team on the basis of a clear methodology and approach to supporting children in care, such as recovery plans.

## **Quality Assurance and Performance Management**

6.8. For many years and until recently, there has been a lack of clear and consistent leadership and direction, compounded by a fragmented silo-based structure. In these circumstances, a quality and performance management system cannot function effectively and this has been the case in Surrey. There are some enthusiastic and motivated individuals within the data team, who were able to identify issues and challenge but felt that under previous management and leadership they had not been able to bring about the changes required. A performance management data set has been implemented and made available but there are significant issues with compliance, understanding, and data quality. System management is fragmented and governance in

terms of system change has not worked well. There has not been best use of functionality within the system nor until recently a full review of the system since its implementation in 2010. An area of concern is that the system based records for social care and early help are in different modules of the Liquid Logic system and it does not appear to be possible to see all information about a child necessary to make safe decisions, without accessing both models separately. The DCS and new leadership team are fully aware of the fundamental importance of these issues and a new 'Design Authority' has been recently introduced. It is too early to comment on its effectiveness in improving the quality of data and its use to monitor progress on Surrey's improvement journey.

## 7. Summary

7.1. An effective children's social care system that can deliver positive outcomes for children requires an underlying theoretical model supported by evidence-based practice. This needs to be underpinned by practice quality standards and an operating model that supports those standards. Social workers and other staff need this as the basis of understanding what good looks like and to know what is expected of them. They need to participate in setting the standards. Only when these are in place can a quality assurance and performance management system be effective. The nationally accepted work of Eileen Munro and Moria Gibb in raising the status and expertise of social workers through rigorous professional development and reflective supervision are the reference points to why this is essential to bringing about sustainable improvements in children's social care.

7.2. For many years, there has been no coherent children's social care approach or model in Surrey to support best practice. Until this fundamental issue has been fully addressed, the inevitable consequences will continue. These include some caseloads being too high; social work teams feeling overwhelmed; a high turnover of staff, vacancies; and over reliance on agency staff. The new DCS and senior team are fully aware of these critical issues and the unifying model is under development but in the early stages of implementation and therefore, has yet to be understood by frontline practitioners. My review has come too soon in the process to comment on the way these changes are being implemented or their effectiveness. My review has led me to conclude, however, that there is now a DCS and team in place who know what needs to be done and have embarked on that improvement journey.

## 8. Recommendations

### To the Minister

1. No alternative delivery model at this early stage
2. Maintain ongoing dialogue and oversight of progress by a Commissioner
3. Further Commissioner reviews at 6 and 12 months

### To Surrey County Council

1. Engage staff and partners in the vision and ensure they actively participate in the improvement of the overall children's system in Surrey
2. Encourage the involvement of children and young people in the design and delivery of services
3. Prioritise reform of the MASH
4. Urgently address compliance issues and shortfalls in safe practice
5. Review and configure the early help offer
6. Bring home children in care and care leavers placed outside Surrey
7. Consider a single improvement partner
8. Embed a unified theoretical model for children's social care
9. Continue urgent action around reducing agency staff and improving social worker employment and retention
10. Establish widely understood milestones for the improvement journey with full commitment from Surrey County Council, partner organisations and the wider system

Trevor Doughty

Commissioner for Surrey's Children's Services

19 September 2018

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**STATUTORY DIRECTION TO SURREY COUNTY COUNCIL IN RELATION TO CHILDREN'S SERVICES UNDER SECTION 497A(4B) OF THE EDUCATION ACT 1996**

WHEREAS:

1. The Secretary of State for Education ("the Secretary of State") has noted in respect of Surrey County Council ("the Council") that performance of children's social care services is 'inadequate' as detailed in Ofsted's report of its inspection carried out between 28 February 2018 and 22 March 2018 ("The 2018 Ofsted report").
2. The Council's failure led the Secretary of State to issue a Direction on 27 June 2018 ("the first direction"), requiring the Council to take a number of steps to improve the quality of services, including to cooperate with a Commissioner for Children's Services in Surrey ("The Commissioner").
3. The Secretary of State has carefully considered:
  - a. The 2018 Ofsted report, which found that children's services were 'inadequate' overall. The judgements for children who need help and protection and for leadership, management and governance were 'inadequate'. The judgement for children looked after and achieving permanence was 'requires improvement'. The sub judgement for adoption performance was 'good' and the experiences and progress of care leavers was 'requires improvement'; and
  - b. The Commissioner's report of 21 September 2018, which concluded that there were compelling reasons why the Council should retain control of its children's services for a period of twelve months, pending two reviews of improvement progress.
4. The Secretary of State is therefore satisfied that the Council is still failing to perform to an adequate standard some or all of the functions to which section 497A of the Education Act 1996 ("the 1996 Act") is applied by section 50 of the Children Act 2004 ("children's social care functions"), namely:
  - a. social services functions, as defined in the Local Authority Social Services Act 1970, so far as those functions relate to children;
  - b. the functions conferred on the Council under sections 23C to 24D of the Children Act 1989 (so far as not falling within paragraph a. above); and
  - c. the functions conferred on the Council under sections 10, 12, 12C, 12D and 17A of the Children Act 2004.
5. The Secretary of State has appointed Trevor Doughty as Commissioner for Children's Services in Surrey ("the Commissioner") in accordance with, and for the purposes of, the terms of reference ("the Terms of Reference") set out in the Annex to this direction.
6. The Secretary of State, having considered representations made by the Council, considers it expedient, in accordance with his powers under section 497A(4B) of the Education Act 1996, to direct the Council as set out below in

order to ensure that all of the Council's children's social care functions are performed to an adequate standard.

7. NOW THEREFORE:

8. Pursuant to his powers under section 497A(4B) of the Education Act 1996 Act, the Secretary of State directs the Council as follows:

- a. To comply with any instructions of the Secretary of State or the Commissioner in relation to the improvement of the Council's exercise of its children's social care functions and provide such assistance as either the Secretary of State or the Commissioner may require;
- b. To co-operate with the Commissioner, including on request allowing the Commissioner at all reasonable times access to:
  - i. any premises of the Council;
  - ii. any document of, or relating to, the Council; and
  - iii. any employee or member of the Council,

which appear to him to be necessary for achieving the purposes of, and carrying out the responsibilities set out in the Terms of Reference;

- c. To provide the Commissioner with such amenities, services and administrative support as he may reasonably require from time to time for the carrying out of his responsibilities in accordance with the Terms of Reference, including:
    - i. providing officers' time or support; and
    - ii. providing office space, meeting rooms or computer facilities; and
9. To co-operate with the Commissioner in his assessments of the pace, progress and sustainability of improvements in April 2019 and October 2019.
10. In consequence of this direction, the Secretary of State revokes the first direction.
11. This direction will remain in force until it is revoked by the Secretary of State.

Signed on behalf of the Secretary of State for Education



SUZANNE LUNN  
A Senior Civil Servant in the Department for Education

Dated: 31 October 2018

**Non-Executive Commissioner for Children's Services****Surrey County Council****Terms of Reference**

There is a presumption in cases of persistent or systemic failure that children's social care services will be removed from local authority control, for a period of time, in order to bring about sustainable improvement, unless there are compelling reasons not to do so.

In line with the recommendations set out in the Ofsted report of children's social care published 16 May 2018 and the Commissioner's report of 21 September 2018, the Commissioner is expected to take the following steps.

1. To monitor the Council's progress towards improvement, meeting with the Council at least monthly and issuing any necessary instructions to the Council for the purpose of securing immediate improvement in the delivery of children's social care;
2. To carry out an interim review in April 2019 and final review in October 2019 of the council's progress, making judgements on whether the pace and quality of progress have been sufficient, and whether the Council's has capacity and capability to sustain improvements made.
3. To make a recommendation to the Parliamentary Under Secretary of State as to confirm whether evidence is sufficiently strong to suggest that the Council should continue to retain operational control of children's social care services, or whether alternative arrangements are needed, and, if so, to recommend the form those arrangements should take, taking account of local circumstances and the views of the Council and key partners.
4. To report to the Parliamentary Under Secretary of State in April 2019 and October 2019.

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# SURREY CHILDREN'S IMPROVEMENT PLAN

Strategic Improvement Plan

**SEPTEMBER 2018**

No.	Theme	Improvement outcome	Strategic Actions (for Improvement Board)	Ofsted Recs
<b>STRATEGIC LEADERSHIP &amp; GOVERNANCE</b>				
1.1	Strategic Leadership & Governance	All Chief Officers, Councillors and senior leaders throughout the partnership will commit to a vision and culture that places children and young people at the heart of all that we do.	An overall vision statement along with the key outcomes will be developed with the partnership and agreed by Chief Officers, Councillors and Senior Leaders.	<a href="#">1 &amp; 2</a>
1.2	Strategic Leadership & Governance	All Chief Officers, Councillors and senior leaders in the partnership understand the improvement plan, their accountability within the plan and drive improvement with pace.	An accountable lead will be assigned to each strategic action within the Children's Improvement Plan. Lead roles will include senior leaders from across the partnership. All accountable leads will be responsible for providing sufficient resources from their respective agencies to ensure the plan is deliverable.	<a href="#">1 &amp; 3</a>
Page 1.3 32	Strategic Leadership & Governance	Chief Officers, Councillors and senior leaders in the partnership, in their delivery of the improvement plan are informed by the direct views of children, families and front line staff.	Pathways for engaging with children and their families will be refreshed and communicated to all senior leaders.	<a href="#">2</a>
			A clear communication and staff engagement strategy will be developed. The strategy will be cross-partnership and account for the different needs for each agency.	
1.4	Strategic Leadership & Governance	Chief Officers, Councillors and senior leaders in the partnership have understanding and grip of the quality of safeguarding practice within their respective services and are assured that their service provides and responds to challenge.	The leadership process for reviewing performance and quality at the most senior level will be reviewed by each individual agency.	<a href="#">1, 4, 6 &amp; 7</a>
			Senior leaders across the partnership will agree the key indicators across agencies that describe the performance of the partnership in safeguarding children.	
			The partnership at the most senior level will meet regularly to provide challenge and resolve issues that adversely affect children.	

1.5	Strategic Leadership & Governance	The structural and governance arrangements are clear, demonstrate accountability and support effective delivery of improved outcomes for children and their families.	The terms of reference will be reviewed (and updated if required) for the Surrey Safeguarding Children's Board, Corporate Parenting board, Health and Wellbeing Board, Community Safety and other groups/boards with oversight/scrutiny/decision-making responsibilities affecting the outcomes of children.	<a href="#">1, 13 &amp; 17</a>
<b>QUALITY OF PRACTICE &amp; PLANNING</b>				
2.1	Quality of Practice & Planning	Joint commissioning arrangements to support the effective delivery of services to children and their families are clear, robust and based upon evidenced need	All services jointly commissioned across the partnership will be reviewed and communicated to senior leaders to ensure they are meeting the needs of children and families. Senior leaders will ensure monitoring mechanisms are in place to oversee the effectiveness of jointly commissioned services so that commissioning and contractual decisions are evidence-based and inform pro-active decision making.	<a href="#">1</a>
Page 33 2.2	Quality of Practice & Planning	Protocols to meet statutory guidance to keep children safe are current, disseminated, understood and implemented across the partnership.	Joint Surrey protocol is reviewed and disseminated and compliance with statutory guidance and protocols is proactively monitored by senior leaders across the partnership (for example: The Joint Surrey Protocol for the Provision of Local Authority Accommodation)	<a href="#">1, 6, 9, 10, 11, 12, 14 &amp; 16</a>
<b>CHILDREN'S NEEDS ARE IDENTIFIED AND THEY ARE OFFERED THE RIGHT HELP BY THE RIGHT PEOPLE AT THE RIGHT TIME</b>				
3.1	Children's needs are identified and they are offered the right help by the right people at the right time	Partners and their workforce understand the levels of need and their role in improving outcomes for children and their families at all levels of need.	All partners will ensure they have sufficient suitably qualified staff to implement the lead professional role within their agencies. The partnership will offer and deliver training about levels of need, lead professional and early help assessment and planning to staff. Partners will quality assure the impact of the training and resourcing arrangements to ensure that children are effectively safeguarded through timely and appropriate referrals to statutory services	<a href="#">1 &amp; 3</a>  <a href="#">7</a>



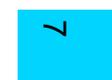
**PRACTICE LEADERSHIP**

4.1	Practice Leadership	The lead professional role and its responsibilities is understood and delivered across the partnership.	Senior leaders engage universal partners' services such as schools and health to undertake lead professional roles and to form multi-disciplined teams around the child when difficulties emerge.	<a href="#">3</a>
			Improve the quality of management oversight across all services and specifically ensure that the family history, impact of any previous interventions and any delays are always considered and addressed by the lead professional.	
4.2	Practice Leadership	All services working with children in Surrey have management processes that quality assure assessment and decision making at all levels of need	All partner agencies ensure front line managers are trained in how to evaluate the quality of assessment (whether for Early Help or Statutory) and the requisite elements of understanding the meaning of family history and the impact of previous interventions on the child's life.	<a href="#">4, 5 &amp; 6</a>
4.3	Practice Leadership	All requests for services at a different level of need are supported by evidence of an assessment and plan.	All partners demonstrate that managers are held to account for the quality of their oversight and decision making through their organisation performance management systems.	<a href="#">3, 4, 5, 8 &amp; 10</a>
			All senior leader regularly sample and report upon the quality of management oversight and decision making and use the learning to inform corrective actions within each agency.	
4.4	Practice Leadership	Caseloads are manageable and allow time for front line workers to regularly meet with children and young people and complete all necessary work.	Review capacity in frontline and support services across all partner agencies. Senior leaders will be accountable for ensuring they have the suitable capacity, or a plan for realignment of resources to meet both current and emerging demand.	<a href="#">17 &amp; 18</a>

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**PARTICIPATION, ENGAGEMENT & CO-PRODUCTION**

5.1	Participation, Engagement & Co-Production	Partnership decisions to improve outcomes for children are informed by consultation with children and their families	Existing activity and potential opportunities for consultation & engagement with children and families will be reviewed and documented to ensure senior leaders across the partnership utilise this service-user information when making practice decisions.	<a href="#">2, 15 &amp; 16</a>
			Establish a children and families reference group to work with senior leaders across the partnership	
5.2	Participation, Engagement & Co-Production	Service Leaders will understand the impact of service delivery on children and their families. We will see increased satisfaction from service users.	Establish reporting mechanisms for sharing the voice of children, families and carers with senior leaders across the partnership ensuring the information describes the impact of service delivery from each agency and the satisfaction of service users.	
Page 35 5.3	Participation, Engagement & Co-Production	Children and their families' influence on shaping services is tangible and understood by all	Establish a communication plan that informs children and their families of the impact of their engagement with decision makers.	<a href="#">2</a>
			All published documents clearly reference the contribution of children and their families.	



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4 October 2018

Mr David Hill  
Director of Children's Services  
Surrey County Council  
County Hall  
Kingston Upon Thames  
KT1 2DN

Dear David

### **Monitoring visit of Surrey local authority children's services**

This letter summarises the findings of the monitoring visit to Surrey children's services on 11 and 12 September 2018. The visit was the first monitoring visit since the local authority was judged inadequate in May 2018. The inspectors were Nick Stacey, Her Majesty's Inspector, and Steve Lowe, Her Majesty's Inspector Designate.

The local authority is not yet making sufficient progress in improving services for its children and young people in the areas addressed during the visit.

### **Areas covered by the visit**

During this initial visit, inspectors reviewed the progress made for children who are the subjects of child in need and child protection plans. Inspectors evaluated the quality of decision-making for starting and ending plans. Close attention was paid to the quality and impact of plans in informing purposeful and timely work to reduce safeguarding concerns and improve children's circumstances. Relevant recommendations of the recent inspection informed the visit's focus.

A range of evidence was considered during the visit, including electronic case records, supervision notes and discussions with social workers, family support workers and child protection conference chairs. Information provided by managers was considered, alongside the views of senior managers.

### **Overview**

Too many children continue to be removed from child protection plans before there is substantial evidence that the risks they are facing have reduced or their circumstances have improved. This results in many children and families being placed on a plan for subsequent episodes. Some very young children have been the subject of repeated child protection and child in need plans. This trend of cyclical 'start again' social work is compounded by a complex service structure, requiring

numerous handover points and changes of social worker as children travel through the statutory social work system.

Many social workers, frontline managers, child protection conference chairs and partner agencies have insufficient knowledge and understanding of the impact of cumulative neglect, exposure to domestic abuse and other adult difficulties on children. Typically, if small improvements are achieved and the frequency of incident reports declines, children are 'stepped down' from plans too quickly, and 'stepped up' again when concerns resurface.

A new, highly experienced senior management team, formed since the inspection, understands the scale of poor practice and outcomes for these highly vulnerable children. A systemic review of the practice system and service structure is in progress. It is rightly recognised that measures to achieve wide scale practice improvements will take time to implement, and senior leaders advised inspectors that the standard of interventions and outcomes for children considered during the visit was unlikely to have significantly changed since the inspection.

### **Findings and evaluation of progress**

Based on the evidence gathered during the visit, some limited, very recent, areas of stronger practice were identified, including an emerging increased understanding of the damaging effects on children experiencing neglect and domestic abuse. Some sensitive and thoughtful work was seen with older children affected by exploitation in their local communities. Morale in the two area offices visited was positive and nearly all social workers seen were permanent employees who are committed to remain working in Surrey. Social workers are both aware of and enthused by the proposed practice improvements and they welcome the planned introduction of a 'family resilience' model. This model is planned to be delivered in conjunction with streamlined service structures, in order to reduce changes of social worker, and smaller caseloads, in order to enable evidence-based direct work with children and their adult carers in smaller teams.

Case supervision is regularly provided to social workers by their immediate line managers, and most social workers value the support and guidance provided. Urgent child protection concerns are identified and addressed quickly, and no children were identified as being at immediate risk of serious and imminent harm during the visit. Close attention to regularly reviewing and 'rescaling' the risks and needs facing children on statutory plans was evident. The use and effectiveness of a well-established practice model used by case supervisors is inconsistent. Where concerns about children's exposure to neglect, domestic abuse and other damaging adult habits and behaviours are longstanding and chronic, there is a lack of urgency in increasing the pace of interventions, including by escalating the case to legal planning meetings. A pattern of the same actions from one supervision session to the next was apparent in many cases seen. Little guidance is provided for social workers by their supervisors on how to approach and carry out direct work with children, particularly when they live in larger families where their brothers and sisters are present on home visits, often in busy, chaotic households. Managers do

not attend child in need review meetings and this is a missed opportunity for them to assess the impact and progress of work for children.

In a minority of cases seen during the visit, managers had taken considered decisions to hold a legal planning meeting to evaluate whether to introduce public law outline (PLO) pre-proceedings work, or to enter proceedings immediately based on careful reviews of the accumulating evidence of continuing harm and neglect to children. However, this is the exception rather than established practice. In other cases, the PLO or care proceedings were only instigated when a critical event or notification triggered this level of response for children.

In too many cases, the impact on children of very poor school attendance over long periods is not fully recognised. Inspectors also saw cases where poor, unpredictable care and routines at home, global development delay, compounded by poor parenting, and failure by parents to ensure that their children attend vital medical appointments were not consistently understood. When a parent engages with a service, such as substance misuse treatment or a domestic abuse awareness programme, this is often regarded as significant progress rather than encouraging evidence of early engagement. Similarly, when children's attendance at school marginally improves, and the number of police incident reports concerning domestic abuse reduces, these small measures of early progress can result in children being prematurely removed from plans.

Increasing recognition of the need to undertake risk assessments on absent or avoidant male partners and fathers who are abusive and violent was seen, but this is not consistently evident. This commonly results in women bearing the primary responsibility for safety plans for their children when they are often the subjects of emotional control and coercion and face risks of further physical assault. Not enough effort is made to engage men, particularly those who have not been convicted, in perpetrator programmes or to consider their offending histories with the police and probation services, in order to inform risk assessments of their potential to further harm children.

Few examples were seen of dynamic, purposeful inter-agency work. Strategy meetings are rarely attended by agencies other than the police and social care. When a school or health visitor is the source of a possible child protection concern requiring a strategy meeting, they often do not attend the meeting to inform the initial risk assessment and investigation plan. Review meetings for child in need plans are regularly held, but they are not routinely attended by all the involved agencies to provide a full, rounded evaluation of progress, measured against the main objectives of the plan. Child protection core groups are better attended, and in some cases are instrumental in developing and adapting the plan as work with the family evolves.

Child protection and child in need plans do not consistently explain what needs to be done, and in what order of priority, with sufficient clarity. The use of a well-established practice model in devising child protection plans can overcomplicate rather than simplify the core plan. The volume of actions and requirements for

parents and social workers are often too onerous and unrealistic. It is unclear why child protection conference chairs continue to remove too many children from plans prematurely before evidence of sustained improvements is apparent. Senior managers are keenly aware of this practice and intend to improve both the standard of child protection conference chairing and plans.

Some children experience delays in being 'stepped up' from lengthy and repeated periods of early help to statutory child in need or protection plans. Thresholds for escalating more serious concerns about children's welfare seen during the visit were appropriate, but some were long overdue. Family group conferences or network meetings are not held soon enough to strengthen informal networks of support. They are typically held when difficulties have become very serious, and entering the PLO pre-proceedings phase is being considered. Data provided by the local authority indicates that the majority of families entering the PLO pre-proceedings stage are managed within the required 12-week period, before either entering care proceedings or diversion from them.

Social workers are thinking more about how to plan and conduct direct work with children. The input of family support workers in helping social workers with direct work with both children and their adult carers is valuable. Highly sensitive, balanced and well-informed work provided by specialist workers was seen with older children experiencing exploitation. This was helping young people to understand the level of risk they were exposing themselves to and helping them to exit from gang control through carefully crafted approaches. Interactive, direct work tools are commonly used with children to understand their experiences and views, but the level of depth and skill demonstrated in using these varies widely. The ability of workers to build continuous, constructive relationships with children and parents is disrupted by frequent team handover points and changes of social worker. This inevitably limits the level of commitment children, families and social workers give to building trusting relationships.

Nearly half of children who are subjects of children in need plans are not visited within the local authority's prescribed timescales. This is likely to be a major contributory factor to drift and delay in improving children's outcomes. The impact of help for many children on these plans for longer periods is questionable. Some plans appear to run out of steam and are closed or stepped down. Alternatively, some children's circumstances deteriorate, and they are escalated to child protection plans.

Senior managers have very recently introduced a new auditing framework and team. Inspectors saw moderated audits, indicating that the audit team has an assured grasp of good practice standards. This is less evident at first line management level. Practice audits were rated less positively by moderators. Inspectors agreed with the moderators' adjustments. The new senior management team have ambitious, credible plans for wholesale and systemic improvement of the standards of social work practice for children. This involves leaders and managers from other local authorities helping design improvements to the multi-agency safeguarding hub, early help provision and a service structure that minimises case handover points and

changes of social worker. A time-limited improvement board was scheduled to have the first meeting shortly after the visit. The director of children's services intends for practice standards and better outcomes for children to be measured and improved within newly developing strategic partnerships and scrutiny arrangements when the improvement board concludes. A new practice model, with a core element of focusing on addressing entrenched adult difficulties, will be introduced alongside smaller teams and social worker caseloads. These changes are at an early stage, and a detailed, phased implementation plan is keenly awaited by social workers.

Morale among social workers is positive. There is a strong cohort of new social workers who have completed their first year in practice in Surrey's social work academy. They highly valued their introductory year and felt well prepared for subsequent practice in the local authority. Nearly all of the social workers seen during the visit were permanent social workers, many of whom were experienced and had worked in the local authority for substantial periods of time. Social workers were very interested in and aware of the improvement plans, and are hopeful that this will enable them to undertake better direct work with highly vulnerable children and their carers

I am copying this letter to the Department for Education.

Yours sincerely

Nick Stacey  
**Her Majesty's Inspector**

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**SURREY COUNTY COUNCIL****CABINET****DATE: 18 DECEMBER 2018****LEAD OFFICER: SHEILA NORRIS, INTERIM DIRECTOR OF COMMISSIONING****COMMUNITY VISION OUTCOME: PEOPLE****SUBJECT: COMMISSIONING OF PERSONAL SUPPORT SERVICES FOR CHILDREN, YOUNG PEOPLE AND THEIR FAMILIES****SUMMARY OF ISSUE:**

Surrey County Council has a statutory duty to support disabled children, young people and their families with short breaks. Personal support services are part of the overall short breaks offer, providing care and support within and also outside the home, helping children and young people to access and be included in social and leisure activities in their local communities.

Children and young people accessing these services often have very complex needs which cannot always be met by providers on the current framework. There is therefore a need to review and refresh the framework so that there is greater range and more effective provision for those needs. Additionally, the current arrangements end on 31 March 2019. There is also a need to improve cost control and value for money through reducing dependency on off-framework spot-purchasing of services for these children and young people, as this will help to address the budget overspend. More robust arrangements are also being introduced to increase use of frameworks and ensure value for money as part of the current Family Resilience Transformation, including a Gateway to Resources team.

This paper sets out how the Council intends to ensure that the Personal Support Offer responds to need, provides sufficient choice for families across Surrey, and is cost-effective, through the setup of a Light Touch Dynamic Purchasing System (DPS) from April 2019. This has been co-designed and co-commissioned with Family Voice Surrey.

**RECOMMENDATION:**

It is recommended that Cabinet approves the setup of a Light Touch Dynamic Purchasing System (DPS) for the commissioning of Personal Support for Children, Young People and their Families. This will enable call-off placements to be made under the Light Touch DPS from 1 April 2019 – 31 March 2022. (If both extension years are used the Light Touch DPS end date will be 31 March 2024.)

## **REASONS FOR RECOMMENDATION:**

The current arrangements end on 31 March 2019 and the Council has statutory duties to provide these services. The Council needs to ensure spend on personal support is compliant with Procurement regulations and address current overspend.

Feedback from professionals and families has indicated that there were limitations to the previous framework in terms of choice, flexibility and overall availability. Therefore a different approach is required. The new specifications will support improved outcomes for children and families.

The Light Touch DPS provides the opportunity to improve choice and flexibility for families through a dynamic list of approved suppliers. Support will be called off through the lifetime of the Light Touch DPS, therefore limiting spot-purchases, and as a result the new approach should offer better value for money.

## **DETAILS:**

### **Background**

1. The Council is committed to improving outcomes for all children and young people, including through our personal support offer. We know that this means improving our services and processes by listening to and working with families.
2. The commissioning of personal support contributes to Surrey's wider strategy to improve outcomes for children and young people with Special Educational Needs and Disabilities (SEND), including the outcomes set out in "Child First: Commissioning Intentions for Children in Surrey 2017-22". This also supports the Council's Community Vision for Surrey in 2030, that everyone (including children and their parent carers) "lives healthy, active and fulfilling lives, and makes good choices about their wellbeing."
3. Personal support services, which are part of the overall short breaks offer, enable children and young people with SEND who are eligible (following a social care assessment) to develop their independence, readiness for adulthood and physical and emotional health, by having new experiences, learning, having fun and meeting their friends. The commissioning of personal support services will be integrated with the overall short breaks offer in future, so that the whole offer can be considered as part of a single commissioning process. This could be achieved from 1 April 2022 if the current short breaks commission were extended by one year, although other options are available.
4. Personal support services can take a number of forms to meet diverse and complex needs, including help with personal care in the home, accessing social and community activities, managing their behaviours and emotions, and help with more complex health needs.
5. Personal support also allows children to remain at home rather than access residential care, and helps families to continue to support children in their home setting, keeping families together and building their resilience.

## Personal Support in Surrey

6. The current Surrey Short Breaks Personal Support Framework commenced on 1 April 2014, ended on 31 March 2018 and was extended to 31 March 2019. Monitoring of the framework indicated that providers on the framework were not always able to meet the needs and requirements of care packages.
7. Spending on personal support services has risen significantly (from £538k in 2016/17 to £918k in 2017/18) although the number of children accessing these services has only increased slightly. The personal support budget is included in the Children with Disabilities non-placement spend, and includes the budget for direct payments, respite placements, personal care, and associated travel. The net budget for this was £4,671k in 2017/18, and the variance at year end was an overspend of £380k. The increased expenditure on personal support in 2017/18 is due largely to a significant level of spot-purchasing of provision from providers who are not on the framework, particularly to address more complex needs.
8. There is therefore a need for greater rigour and consistency in how decisions to provide personal support are made, for improved monitoring and management of provision and budget, and for a greater choice and flexibility in the provision. The establishment of a Light Touch Dynamic Purchasing System (DPS) will enable SCC to maintain a larger and more flexible framework of providers who can more effectively meet needs. Additionally, through the Family Resilience Transformation, improved arrangements are being put in place to support greater use of frameworks and better value for money, including a Gateway to Resources team. These measures, together with new approaches in the service, will address the causes of the budget overspend.
9. There are, additionally, a range of other ways that families can access personal support in Surrey, outlined below. However, it is important to note that only the commissioning of personal support accessed through the framework is within scope.
  - **Surrey Domiciliary Care Service (SDCS):** This in-house SCC service provides personal support services for children with a range of needs. Many of those supported are among the most vulnerable of children receiving domiciliary care. A significant percentage of the team's time is spent supporting complex social care cases.
  - **Crossroads Care Surrey - The home based breaks service:** This is a joint contract held with Adult Social Care and Health, the focus of which is developing an approach to the provision of support to carers. In most cases, carers receive three hours' support on a regular basis, whereas others receive more occasional support on a flexible basis. The service has universal access and there is a long waiting list.
  - **Direct Payments:** Families are also able to use direct payments to organise their own personal support to meet a wide range of needs. These are funded by SCC where there is an identified need following a social care assessment, and as such they form part of the child's care plan. Their use has increased in line with the drive for greater personalisation and choice.

## Need and Demand

10. Our analysis used the 2016/17 numbers and spend as a baseline. Short breaks were accessed by 2,205 Surrey children and young people in 2016/17. Personal

support forms part of the short breaks offer. Our understanding of need is mainly based on our knowledge of those children, young people and families who are accessing our services. There may be more families who may benefit from support or fund support privately. Of those children accessing short breaks, a small number of children access personal support.

11. In 2016/17, 82 children and young people accessed personal support services with a small increase taking this to 87 children in 2017/18. Analysis of data has shown that whilst demand for these services has remained steady, provision was still being accessed on and off the framework. On-framework average spend increased by 1% in 17-18, whereas there was a larger increase in off-framework gross expenditure, largely due to a few more complex cases.

#### 2016/17 and 2017/18 spend

	<b>On/Off framework</b>	<b>Spend</b>	<b>Numbers of children</b>	<b>Ave spend per child</b>
<b>2016/17</b>	On	£260k	59	£4,407
	Off	£278k	23	£12,087
	Grand Total	£538k	82	£6,561
<b>2017/18</b>	On	£187k	42	£4,452
	Off	£731k	45	£16,244
	Grand Total	£918k	87	£10,552

12. Most off-framework spend was to provide personal support to a small number of children with complex needs. This pattern of spend could be explained in part by the complexity of some of the needs that on-framework providers are not able to meet, leading social workers to spot-purchase support with off-framework providers. This is particularly the case for complex health needs where there are existing packages in place with health and we are required to fund the personal support element.
13. Furthermore, these providers have not felt incentivised to join the framework and this has hampered the ability of SCC to respond to the needs of children and families, manage spend and monitor outcomes and quality. The new approach to commissioning these services, with a specific focus on complex needs in lot 3 (see below), will mean we are better-placed to meet these needs through the Light Touch DPS rather than through spot-purchasing of provision.

#### **Legal duties**

14. SCC has a statutory duty (under section 17 of the Children Act 1989) to “safeguard and promote the welfare of children...who are in need; and...to promote the upbringing of such children by their families, by providing a range and level of services appropriate to those children’s needs”, including short breaks and personal support. Cabinet should take SCC’s statutory responsibilities into consideration when reviewing the proposals set out in this report.

## Commissioning Strategy

15. The increase in the number of children with more complex needs is well-understood nationally. Our local needs analysis highlighted a number of complex packages. This has resulted in an increasing number of joint packages of support with health. Therefore, a decision was made to divide the tender into three categories or “lots”, with a new lot developed specifically to support children and young people with more complex health needs as described in the next paragraph.
16. The three lots are described below:
- 1. Personal Support:** This includes but is not limited to children and young people with permanent and substantial disabilities who require support which is personalised to each child. Support will be focused and based on desired outcomes and may include help with personal care in the home or supporting the child to access activities in the community.
  - 2. Managing Behaviour That Challenges:** This includes but is not limited to supporting children and young people with managing their behaviours and emotions, particularly where there are identified behaviours that challenge. This may take place in the child’s home or in supporting the child to access the community. Depending on the assessed need and subsequent risk assessment, two staff members may be required.
  - 3. Complex Needs:** This includes but is not limited to children with more complex health needs which may include gastrostomy care, catheter care, moving and assisting and help with all personal and intimate support needs. This does not include nursing care but might include health care assistance.
17. The following options were considered:
- Option 1 – Tender for a new Light Touch Dynamic Purchasing System**  
A Dynamic Purchasing System is a flexible tool that remains open for new providers to join. This DPS would allow us to develop an approved list of providers who can deliver the required service as demand for the service grows.
- Option 2 – Do nothing/continue as is**  
This was not a suitable option as the framework used to commission Personal Support services externally came to an end in March 2018. A waiver was put in place to allow us to continue purchasing from the framework providers until March 2019, but it would not have been appropriate to continue beyond this point.
- Option 3 – Bring personal support services in-house**  
Using Surrey’s in-house service, Surrey Domiciliary Care, would have required more time, further research, staff training and a large recruitment drive, and the in-house service alone would not have been able to meet demand.
- Option 4 – Collaborate with an Orbis partner**  
Surrey’s Orbis partners have different purchasing arrangements for personal support and as there are key differences in how we commission these services, the main one being that personal support is tendered separately in Surrey from the rest of the Short Breaks offer, whereas other authorities tender for these services together.

18. The route to market chosen was a Light Touch Dynamic Purchasing System (DPS), as we needed a system that allows flexibility and the opportunity for providers to join continuously. As demand for this type of service grows, the number of providers who have joined and are able to provide this service will also grow, meaning demand will constantly be met. This will allow the service to build links with Children with Disabilities teams to better respond to need, and also allow opportunities to engage with providers and encourage service development.
19. The Council ran a full, open tender process from 10 September to 9 October 2018. To develop this approach we worked with the market through hosting two market engagement events (which were well-attended).
20. The benefits which will be generated by the implementation of the new Light Touch DPS and call-off contracts will include the following:
- **More effective provision of quality, needs-based, individualised personal support services for children and young people** which improve their quality of life, enable and encourage greater social interaction and community participation, and promote wellbeing.
  - **Improved choice and flexibility for families, to meet a range of needs through a larger pool of providers:** Information supplied by bidders indicates that we will have good coverage across the county, with at least four of six bidders able to deliver services in each district or borough.
  - **The scope to develop and grow the market for these services,** through ongoing market engagement and opening the Light Touch DPS to new providers at regular intervals. The Light Touch DPS provides the flexibility to both bring in new providers to ensure changing and growing needs are met, and to manage out providers in the event that they do not meet the performance expectations set.
  - **Greater control over pricing and cost management** with fixed prices for the duration of the Light Touch DPS, and a significantly reduced dependency on spot-purchasing, due to the improved provision available, particularly for complex needs.
  - **Social Value benefits over the course of the DPS:** Providers have committed to a range of Social Value benefits including economic, social, environmental and innovative benefits as part of the tender process. Providers have committed to recruiting local staff and volunteers, attending Surrey schools and colleges to promote job opportunities, and providing apprenticeships for Surrey residents.
  - **More effective and systematic monitoring of outcomes** through a more outcomes-based approach as described below.
21. There is a need to ensure that Health and the Council each fund their respective parts of provision. Provision will in future be more clearly linked to need, with organisations held to account for their elements of funding. Work is underway to drive this change. We are looking to build communication and partnership working with health through regular joint meetings, reviewing and developing joint packages of care, sharing data and information about those packages, ensuring clarity as to respective costs and contributions, and ensuring that Health contributions are met.

22. This new commission has given an opportunity to use a more outcomes-based approach. The Short Breaks Outcomes Framework that was co-produced with parent carers for the wider short breaks arrangements has been adapted for this provision and is at Annex 3. Some of the key outcomes identified through this work were:
- Children and young people develop their independence and prepare for adulthood;
  - Children and young people are more emotionally and physically healthy;
  - Parents and carers are more empowered to meet the needs of their children;
  - Parents and carers are able to support their whole family to achieve good outcomes; and
  - Parents and carers are more emotionally and physically healthy.
23. The approach to contract management follows key principles of proportionality depending on provider volume/value of services, collaboration, focus on improving outcomes, and making best use of resources to address gaps. Areas of focus will be performance monitoring, quality assurance and spend monitoring. Information and evidence will be collected and assessed by the short breaks team through quarterly data returns, contract monitoring meetings and annual site visits. These data returns will be reviewed to identify any areas of underperformance, which will be then addressed with the provider through a Performance Action Plan.
24. The outcomes framework sets our expectations for the service impact on children, young people and families. Providers will develop their own approach to evidencing progress against these outcomes (to be agreed with commissioners) guided by key principles that:
- every child is outcomes-measured;
  - at least three outcomes of the framework are used to track progress; and
  - a mix of evidence is used (including consultation with children, young people and families).
25. The tender process was carefully designed to assess providers' experience and expertise in working with children, young people and families and their capacity to respond to their needs. Bidders were asked to:
- evidence their approach to and practice in consulting with and engaging with children, young people and families;
  - review a case study example and describe how they would approach provision of support for that particular child; and
  - consider the five things (from the consultation described below) that children and young people using personal support services have told us are important to them, and show how they would deliver on them.

### **Summary of final proposals for contract award**

26. Having completed both the procurement and engagement processes, this report sets out recommendations for contracts for the provision of personal support

services commencing 1 April 2019. More detail about the proposed contract awards and the bid evaluation process is in Part 2 of this report.

27. We absolutely acknowledge that any changes to services, particularly those that are relied upon as much as personal support, may be unsettling for families affected. We are confident, however, that the proposed awards will provide families with a high-quality personal support offer.
28. Where families are currently using non-framework providers, we aim to maintain the existing arrangements initially, to avoid disruption to children, young people and their families, but looking forward we will identify suitable points for them to transition to providers on the Light Touch DPS, by March 2020 at the very latest (which is 12 months after the commencement of the Light Touch DPS). In some cases their provider may join the Light Touch DPS, removing the need to transition them. There are currently 21 children and young people who will be in scope for transition, assuming that their existing packages continue beyond 1 April 2019.
29. Our assessment is that demand for personal support services will be met effectively through the DPS, because:
  - The providers have indicated that they can provide good coverage across the county: at least three of the six providers can offer support in each of the three lots in every district and borough. (Part 2 provides full details.)
  - For many children, young people and families currently receiving support, existing arrangements will continue, at least in the short term, and we can monitor the capacity and effectiveness of providers in meeting new demand and in transitioning those using non-framework provision.
  - The approach enables us to re-open the framework every four months in order to bring new providers on-board to meet any gaps we identify.

#### **CONSULTATION:**

30. The Short Breaks Team commissioned a consultation event with children and young people accessing Surrey's in house personal support service.<sup>1</sup> Children and young people identified five things that are important to them in receiving support:
  - the worker is on time;
  - they have choice in what they do;
  - they are listened to;
  - they feel safe; and
  - they are happy with the support they receive.
31. The key messages from this consultation have been used to inform this commission, specifically in relation to ensuring the quality of support workers and the service they provide. The tender process was carefully designed to assess providers' experience and expertise in working with children, young people and families and their capacity to respond to their needs.

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<sup>1</sup> Surrey Domiciliary Care Consultation, SCC/Barnardos, 2017

32. Family Voice Surrey (FVS) have worked in partnership with the Council throughout the re-commissioning project to help us co-design the offer with families, listening to and engaging them in developing proposals throughout the process.
33. FVS were invited to contribute to this report and did so as follows:

*FVS were invited by the Council to support the tender process. Our members have told us that they frequently struggle to recruit and retain Carers with the appropriate skills to support their children's needs safely and effectively; we hope that, as a result of the new framework, families will in future be able to access a bigger range of providers who have been vetted for suitability. Five parent carers were involved in different stages of the tender process:*

- *scrutinising and contributing to the drafting of the specification, quality questions and model answers*
- *offering feedback on the Equality Impact Assessment to help highlight risks and opportunities from the families' perspective*
- *evaluating and scoring the quality of the individual bids and taking part in the moderation process to agree a final quality score*

*At each stage parent carers were treated as equal partners in the process. Most of our suggestions for changes to the specification and EIA were adopted, and during the moderation process, partners were willing to adapt their scoring in response to each other's reasoning. Our only unresolved concern was the issue of the threshold for families asking for support from the Children with Disabilities team: many families have reported to us that their children's need for support is significant but because it is based primarily on behaviour relating to their mental health needs rather than to a Learning Disability, they cannot access the help they need. We hope that this gap in provision will be recognised by elected members and picked up in future planning.*

*We feel confident that the views of parents with direct experience of using Personal Support Services offered a useful sense-check alongside the views of commissioners and front-line staff.*

34. In respect of the "unresolved concern" raised by FVS, the Children with Disabilities Team's threshold is to provide services for children and young people who have a severe to profound level of disability. The provision of services by the Team to children who meet this threshold is determined following a social care assessment. This service includes personal support. A specific lot has been developed as part of this tender to provide support to families of children with challenging behaviour. Where a child's needs are based on behaviour relating primarily to mental health needs, the CWD teams will support the family in being signposted to or accessing relevant emotional wellbeing mental health services or CAMHS.

#### **RISK MANAGEMENT AND IMPLICATIONS:**

35. All recommended tenderers successfully completed satisfactory financial checks as well as checks on competency in delivery of similar contracts at the pre-qualification stage.

36. The Light Touch DPS agreement includes the following 'Termination Clause':  
"The Council may terminate this Agreement at any time on twelve (12) weeks' written notice to the Service Provider". This will allow the Council to terminate the Light Touch DPS with three months' notice.
37. The following key risks associated with the contract have been identified, along with mitigation activities:

Category	Risk Description	Mitigation Activity
Financial	Insufficient provision to fulfil our statutory obligations, leading to continued high levels of spot-purchasing. This would be exacerbated if, for example, a provider got into financial difficulty and could no longer be used.	Four of the six providers being proposed to join the new Light Touch DPS were on the previous framework and one was previously off-framework so there is a high level of continuity of provision. Information provided suggests that these providers will collectively offer a high level of capacity to meet our needs across the lots and across the county. We will keep this under review and the Light Touch DPS will be re-opened every four months to allow new providers be added, sustaining and increasing choice and capacity.  Performance monitoring will help to identify and address any problems with delivery or performance at an early stage.
	Requests for price increases	Any request for a price increase will have to be fully justified and approved. The tender documents stated that submitted prices would be fixed for the life of the Light Touch DPS.
	Where children transition from off-framework to on-framework provision, costs may increase if the off-framework provider charges lower rates	Although this possibility exists, prices of on-framework provision are fixed for the life of the Light Touch DPS.
	Budget overspend, as a result of changes to other services offered to families, unforeseen increases in the level of need or families accessing different services to those anticipated	There will be a robust contract and budget monitoring to ensure that there is no overspend outside the contract, and we will monitor demand and spend.  Re-opening the Light Touch DPS every four months will enable new providers to be added, increasing capacity and avoiding the need for off-framework purchasing.

	Rise in need for personal support services due to demographic trends, legislative changes and developments within other parts of the SEND system.	Bidders have put forward sustainable models of delivery and delivery of services will be monitored and reviewed, as will any impact that other developments may have on demand and provision. Where appropriate, children, young people and families can be directed to other sources of support such as short breaks.
Reputational	Children, young people and families may face disruption if arrangements change or if their provider is no longer on the framework	We will ensure that existing arrangements are honoured so that children can continue to receive support from the same provider and – importantly – the same support worker, even if that provider is no longer on the framework, and make arrangements to transition them to a new provider only when appropriate. We will work closely with providers to ensure smooth transitions between services.
	There may be a risk of not finding sufficient placements to fulfil our statutory obligations	Four of the six providers being proposed to join the new Light Touch DPS were on the previous framework and one was previously off-framework so there is a high level of continuity of provision and proven experience in supporting children, young people and families in Surrey. There is the option to source provision off-framework in exceptional cases where necessary but the Light Touch DPS will be opened every four months to allow new providers be added, sustaining and increasing choice and capacity. Therefore any shortages in capacity, while unlikely, can be addressed.
	Lack of provision close to home	Providers were asked to evidence how they would deliver services across Surrey and their capacity to do this is reflected in how budgets and provision will be allocated across the boroughs. Providers were also asked to evidence how they would demonstrate social value through, for example, local recruitment.

Performance	Providers do not provide a good service to children, young people and families, or there is inconsistency in the level and quality of service provided to different children, young people and families, and/or outcomes are not achieved	Organisations were specifically asked as part of the bidding process to set out the policies and procedures they have in place for quality assurance and monitoring, and evidence their practice in this area, including in relation to how children, young people and families can evaluate the services they receive.  A robust approach to contract management, with regular contract review meetings and clear measures, will allow us to mitigate the risk of poor quality services. We will work with the providers collaboratively to help them improve their performance and involve families in assessing service performance and impact on outcomes.
Personal data	Personal data relating to children and young people or families is not managed appropriately or securely	Bidding providers are required to submit, for review, a copy of their Data Protection/GDPR compliance policy.

#### **FINANCIAL AND VALUE FOR MONEY IMPLICATIONS**

38. Personal support spend is driven by a range of individual support packages that vary in spend and support required by the child.
39. Total spend on personal support in 2016/17 was £538k. The budget for personal support in 2018-19 is £691k, based on activity levels and spend at the time the budget was set.
40. In 2017/18 gross expenditure on personal support was £918k. This was not due to a large increase in children using the service, as the numbers only increased from 82 children to 87. Average annual spend per child increased from £6,561 to £10,552, and this was due to a small number of packages with off-framework providers, supporting children with complex needs.
41. Moving forward, work will be done to ensure that the budget for this service takes into account any increase in demand and that all options are explored for ensuring that children with complex needs can be supported on the Light Touch DPS.
42. The overall estimated value of the call-off contracts to be awarded under the Light Touch DPS over five years is £3,455k based on the current budget.

#### **SECTION 151 OFFICER COMMENTARY**

43. The Council is facing a very serious financial situation, whereby there are still substantial savings to be delivered to achieve a balanced budget in the current year and a sustainable budget plan for future years.

44. The section 151 officer acknowledges there are advantages in operating a Light Touch Dynamic Purchasing System in that there is a greater transparency of unit costs; the potential for more providers so there is more choice; price inflation can be controlled. All of these advantages provide greater control over market prices and overall spend.

#### **LEGAL IMPLICATIONS – MONITORING OFFICER**

45. The Council has a statutory duty (under section 17 of the Children Act 1989) to “safeguard and promote the welfare of children...who are in need; and...to promote the upbringing of such children by their families, by providing a range and level of services appropriate to those children’s needs”, including short breaks and personal support.
46. The personal support services required for children, young people and their families were procured in accordance with the Public Contracts Regulation 2015. The requirement for a Dynamic Purchasing System (DPS) was advertised in the Official Journal of the European Union as an Open Procedure under the Light Touch Regime. This meant it was open to all potential suppliers who wished to apply. The evaluation was done on an objective basis and suitable suppliers were identified and admitted to the DPS. Under the DPS the Council has the flexibility to call off services as and when required. Potential suppliers have the flexibility to apply to join the DPS during the lifetime of the DPS.

#### **EQUALITIES AND DIVERSITY**

47. An Equality Impact Assessment was completed and found that possible key impacts for this tender might include:
- Positive - Provision will better meet the needs of children and young people with disabilities and their families, as services have been re-designed and re-commissioned to enable them to achieve the outcomes families told us were most important, and providers will be asked to provide at a very local level (districts and boroughs).
  - Negative - Some professionals have communicated a lack of confidence in the ability of providers to respond to the growing demand for personal support. This is in part due to difficulties in recruiting in this sector. This tender may not change the situation significantly – affecting capacity to support children with disabilities.
48. Any possible negative impacts on protected characteristics will be managed through careful monitoring of the scope and impact of provision, robust contract management and the re-opening of the Light Touch DPS every four months to enable new entrants to the market to join; this will make market management particularly vital if there are gaps identified around specific protected characteristics.
49. The full EIA is at Annex 2.

#### **Safeguarding Responsibilities for Vulnerable Children and Adults Implications**

50. Providing personal support to children with disabilities, who are therefore vulnerable, requires effective safeguarding protocols to be in place. This is compounded by the fact that personal support is often provided by a single

worker, and the safety and security of both worker and child must be protected. As part of the tender process, all bidders have been asked to provide copies of their Safeguarding Policy and these have been checked. Additionally, bidders were specifically asked to evidence how their organisation would safeguard children and young people, using their own practice examples. Discussions will take place with successful bidders as part of the mobilisation phase to ensure that appropriate provisions are put in place.

#### **Environmental Sustainability Implications**

51. The main area in which personal support services may have an environmental impact is in the volume of travel that workers will need to undertake to visit children, young people and families, and in accompanying them on activities which may take place at specialist facilities. All bidders were asked to evidence how their approach to the provision of personal support would improve the environmental wellbeing of the area and evaluators looked for evidence of policies and practices to support this, such as local recruiting, carbon reduction, waste management etc. Given the specificity of the environmental impacts of the service, an Environmental Sustainability Assessment (ESA) has not been completed.

#### **Public Health Implications**

52. Improved health and wellbeing is a key objective of the service and the outcomes framework includes wellbeing outcomes for both children and young people and parent carers.

#### **WHAT HAPPENS NEXT:**

53. The timetable for implementation is as follows:

<b>Action</b>	<b>Date</b>
Cabinet decision to award (including the end of 'call in' period)	27 December 2018
'Alcatel' 10 day Standstill Period ends	8 January 2019
Light Touch DPS Agreement Signature & Mobilisation	January 2019 – March 2019
Light Touch DPS Commencement Date	1 April 2019

54. The Council has an obligation to allow unsuccessful suppliers the opportunity to challenge the proposed contract award. This period is referred to as the 'Alcatel' standstill period.

55. We are in the process of developing plans to support providers through the three-month mobilisation process. This will include:

- communications to stakeholders including parent carers and families;
- finalising processes and documentation to support the call-off process;
- developing processes for performance management and outcomes monitoring and briefing and supporting providers in implementing them;
- developing processes for monitoring and review of the framework;
- planning for re-opening of the framework in January/February 2019.

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**Consulted:**

- Family Voice Surrey
- Personal Support Re-commissioning Steering Group, including representatives from Family Voice Surrey, Surrey Children's Services, CFL Commissioning

A meeting was held with Cllr Clare Curran (Cabinet Member for Children) on 14 November 2018.

A meeting was held with Cllr Mary Lewis (Cabinet Member for All-Age Learning) on 22 November 2018.

**Annexes:**

Confidential Part 2 Annex  
Annex 1: Procurement Process  
Annex 2: Equality Impact Assessment  
Annex 3: Outcomes Framework

**Sources/background papers:**

Child First: Commissioning Intentions for Children in Surrey 2017-22, Surrey County Council, 2017  
Community Vision for Surrey in 2030, SCC, 2018  
Surrey Domiciliary Care Consultation, SCC/Barnardos, 2017

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## Annex 1

### Personal Support Services for Children, Young People & their Families

#### Procurement process

Summary of Procurement process in respect of the Light Touch Dynamic Purchasing System (DPS) for the commissioning of Personal Support services for Children, Young People and their Families.

1. The Sourcing Governance Board considered the following four options for route to market on 24 July 2018:

#### **Option 1 – Tender for a new Light Touch Dynamic Purchasing System**

A Dynamic Purchasing System is a flexible tool that remains open for new providers to join. This DPS would allow us to develop an approved list of providers who can deliver the required service as demand for the service grows.

#### **Option 2 – Do nothing/continue as is**

Surrey has a statutory obligation to provide these services, therefore doing nothing was not a viable option.

#### **Option 3 – Bring Personal Support services in-house**

Surrey has an in-house service, Surrey Domiciliary Care, which also provides Personal Support to children, young people and their families in Surrey; this support is mainly where there are complex family needs. The in-house service alone would not have been able to meet the demand for this service therefore this option was not chosen.

#### **Option 4 – Collaborate with an Orbis partner**

Surrey's Orbis partners have different purchasing arrangements for Personal Support and as there are key difference between the way Surrey and Orbis partners commission these services, collaborating was not a feasible option. There may be opportunity to collaborate with Orbis partners in the future, and discussions can still be had with our partner authorities, to identify any opportunities for joint work.

In order to implement Option 1, an open tender procedure was chosen. Participation in the open tender procedure was accessible to all companies who wished to take part.

2. Action was taken to stimulate interest in the tender opportunity through a series of supplier engagement events and communication via telephone, email and the e-sourcing portal Intend.

We worked with the market through:

- hosting market engagement events held on 06/06/2018 and 06/09/2018
- developing a Market Position Statement
- gathering Market Insight

3. The tender commenced on 10/09/2018 and by the deadline of 09/10/2018, tenders were received from six tenderers.
4. We will be reopening the Light Touch DPS every four months for new providers to apply to be appointed to the Light Touch DPS; we have informed the market of this and also

included this within tender documentation. Reopening the Light Touch DPS in this way also helps to ensure that we have the capacity and coverage to meet the range of needs across Surrey, both in terms of type and complexity of need and geographic coverage. To support this, ongoing market engagement and development will take place through contract management, market events and support with quality assurance.

5. All tenderers were informed of the preliminary outcome of the procurement process following approval to award from the Sourcing Governance Board and that the formal tender results are subject to the Cabinet approval to award contracts on a Light Touch Dynamic Purchasing System.
6. Performance of call off contracts will be monitored through a series of Key Performance Indicators. The performance management approach will be agreed during mobilisation with provider and commissioner and reviewed after the first 6 months of contract delivery.

## Annex 2- Personal Support Services for Children, Young People & their Families

### Equality Impact Assessment (EIA)

#### 1. Topic of assessment

<b>EIA title</b>	Proposals for Personal Support retender 2019-22, part of Surrey's Short Breaks offer
<b>EIA authors</b>	Karen Harrell, Project Officer, Surrey Short Breaks, SCC Julia McDonald, Senior Commissioning Manager, SCC Emily Huntington, Senior Commissioning Officer, SCC

#### 2. Approval

	Name	Date approved
<b>Approved by</b>	Tina Benjamin	23/11/2018

#### 3. Quality control

<b>Version number</b>	v.0.14	<b>EIA completed</b>	15/11/2018
<b>Date saved</b>	15/11/2018	<b>EIA published</b>	07/12/2018

#### 4. EIA team

Name	Job title	Organisation	Team role
Frank Offer	Head of Market Strategy	Surrey County Council	Project Sponsor
Carol Douch	Head of Countywide Services	Surrey County Council	Project Sponsor
Reshma Bessesar	Assistant Head of countywide services	Surrey County Council	Delegated authority
Jane Stark	Short Breaks Manager	Surrey County Council	Management Lead
Karen Harrell	Project Officer	Surrey County Council	Project Lead
Andrea Collings	Co-Chair	Family Voice Surrey	Family Lead
David Izatt	Co-Chair	Family Voice Surrey	Family Lead
Sam Morrison	Principal Commissioning Manager	Surrey County Council	Commissioning Lead
Winnie Turay	Procurement Specialist	Surrey County Council	Procurement Lead

## 5. Explaining the matter being assessed

What policy, function or service is being introduced or reviewed?

The purpose of this Equality Impact Assessment is to review the impact of Surrey County Council's (SCC) retender of the Personal Support framework, which expired in March 2018.

In February 2018, formal approval was granted by the Procurement Sourcing Governance Board (SGB) to waive the Procurement Standing Orders, which enabled SCC to continue purchasing with framework providers for one year. This meant families and professionals had a quality assured list of providers to choose from, following a social care assessment of need, whilst a permanent solution was worked on. Feedback from a range of stakeholders indicates that the current framework has been limited in its success. This, along with a review of current provision by the Personal Support Steering Group, has identified the need for change.

The target group for Personal Support services is children and young people with Special Educational Needs and/or Disabilities. The service can be provided in their own homes or within the community following a social care assessment. The Personal Support framework is part of SCC's Short Breaks offer, which provides vital support to many children and young people with SEND in Surrey, and their families, to achieve better outcomes.

The Short Breaks Regulations (2011) provide further detail on how local authorities must perform their care duty under the Children Act 1989. The regulations state that Local Authorities have legal duties to:

- Provide short break services that are designed to assist parent carers who provide care for disabled children to continue to do so;
- Have regard to the needs of different types of carers when making Short Breaks provision;
- Provide a range of services, as appropriate, during the day or night, at weekends and during the school holidays;
- Provide parents with a Short Breaks statement detailing the range of breaks and eligibility criteria; and
- Work in partnership across education, health and care to improve outcomes for children and young people with disabilities.

What proposals are you assessing?

The proposal is to develop a new Light Touch Dynamic Purchasing System (DPS) to deliver Personal Support services. Personal Support is part of a range of short break provision within the county of Surrey which aims to develop and support disabled children, young people and their families. These services are provided primarily but not limited to inside the home, with the children and young people being offered support with personal care, health & behavioural support and also opportunities to participate in social and leisure activities with other children in the local community.

To maximise the successful outcome of this commission, the Light Touch DPS was split into three Lots:

- **Lot 1: Personal Support:** includes but is not limited to children and young people with permanent and substantial disabilities who require support which is personalised to each child. Support will be focused and based on desired outcomes and may include help with personal care in the home or supporting the child to access activities in the community.

- **Lot 2: Managing Behaviour That Challenges:** includes but is not limited to supporting children and young people with managing their behaviours and emotions particularly where there are identified behaviours that challenge. This may take place in the child's home or in supporting the child to access the community. Depending on the assessed need and subsequent risk assessment 2 staff members may be required.
- **Lot 3: Complex Needs:** includes but is not limited to children with more complex health needs which may include gastrostomy care, catheter care, moving and assisting and help with all personal and imitate support needs. This does not include nursing care.

Provision will be called-off the Light Touch DPS for spot placements to be made. For Lot 3, along with Health partners, prior to calling-off the Light Touch DPS, an assessment of the provision that represents the best value will be made, based on the specific needs of the child and their family.

**This project will allow the Council to:**

- Continue to deliver a range of Short Break services for Children with Disabilities within Surrey and their families. By having a greater range of provision, split into 3 Lots of increasing need, the specific requirements of children and young people with protected characteristics are more likely to be met. The use of a consistent outcomes-based approach across the Lots places an emphasis on demonstrating how providers are improving outcomes for the children and young people they provide care for. Particular outcomes that will impact children and young people with protected characteristics are:
  - Children and young people will be more independent – indicators of which are that they will have a positive sense of identity, and will have opportunities to socialise and participate in community activities.
  - Children and young people will achieve successful transitions to the next stage of development – indicators of which are that they are involved with their planning, and supported to manage emotions around change.
- Stimulate the market and increase the number of providers in short break and Personal Support services. This will increase the likelihood of successfully finding a Support package that meets the needs of children and young people. This improved choice could be particularly valuable when children and young people have requirements around protected characteristics, which may make it more difficult to find providers who can meet their needs.
- Attempt to maximise efficiencies and deliver better value for money for Children with Disabilities and their families
- Develop new, innovative and flexible services that will offer more choice to a wider range of disabled children, young people and their families, which will improve outcomes for disabled children, young people and their families.

It should also be noted that these changes are part of the Council's ongoing overall approach to transform its services to improve outcomes for children and young people with SEND and their families. In particular this includes responding to the areas for improvement highlighted in the recent Joint local area SEND inspection by Ofsted and the Care Quality Commission.

**Out of scope:**

- Play and Leisure and Residential Short Breaks
- The Council's in-house domiciliary service
- The provision of nursing care
- Regular provision of domestic duties

**Who is affected by the proposals outlined above?**

The key groups affected by the proposals set out in this EIA are:

- Children and young people with SEND aged 0-18 (young people transfer to adult services at the end of the month in which they turn 18) in Surrey. This includes those with a wide range of needs covering: learning disabilities; physical disabilities; sensory impairments; complex health needs; autistic spectrum disorders (ASD); attention deficit hyperactivity disorder (ADHD); and behaviour that challenges - as well as associated mental health needs.
- Their parent/carers (this term covers parents, grandparents, foster parents and special guardians) and siblings (who could be young carers themselves).
- Provider market which is made up of a range of private and third sector organisations.
- Staff from provider organisations.

In November 2017 there were approximately 892 children and young people in Surrey open to the Children with Disabilities Teams. During the financial year 2016-17, in total 18,847 hours of Personal Support were provided to a total of 111 children and young people from framework providers. This was made up of:

- 15,105 – spot purchased hours provided to 65 children and young people.
- 3,742 – self-funded hours (either direct payments or own parental funding) provided to 46 children and young people.
- The largest number of children and young people supported on the framework have a learning disability (71%) followed by those with Autism Spectrum Disorders (58%). 24% have complex health needs and 26% have challenging behaviour. (NB some children and young people are recorded as having more than one disability).

**6. Sources of information****Engagement carried out since May 2017**

The Short Breaks team have consulted with colleagues in Procurement and the Children with Disabilities teams (East and West) through monthly Steering Group meetings, to help develop the specification. Questionnaires have also been sent to social work colleagues to gain their perspective on current needs and capacity.

A provider engagement event, led by the service, was held on 10th August 2017 which was well attended by new and existing providers. This was supplemented by a questionnaire sent to providers to help gain a better understanding of current needs and capacity. The draft specification has also been shared with providers to gather feedback – this is essential to ensure the service listed in the specification is something that the providers can deliver to, and also to ensure that the specification does meet the needs and requirements of the children they support (including those with various protected characteristics). At another provider event, held in June 2018, SCC shared its vision for the new Light Touch DPS and model and gathered feedback from providers (see Appendix 4). This was fed into a Market Position Statement.

We consulted with Family Voice Surrey to get representative and family feedback, and a Family Voice representative was part of the steering group membership. They have also supported the tender process by contributing to the drafting of the specification, offering feedback on this Equality Impact Assessment and taking part in the evaluation and moderation of bids. It has proved challenging to engage with children and young people directly through existing consultation processes because of under-representation of the relevant children and young people. Steps are being taken to develop and improve this, so feedback from the cohort will be drawn on as this happens throughout the life of the Light Touch DPS. To mitigate this, relevant information from the Market Position Statement, and SEND Sufficiency Plan has been drawn on, where views were captured through a number of drop-in sessions and workshops.

A number of other Local Authorities in the South East were contacted to understand how they have commissioned their Personal Support services in order to identify good practise which could help overcome challenges experienced across the region.

**Appendix 1** - Key messages from parent/carer feedback

**Appendix 2** - Key messages from providers

**Appendix 3** - Key messages from Social Workers

**Appendix 4** – Market engagement Debrief (6 June 2018)

#### Data used

- JSNA (2017) Children and young people with Special Educational Needs and Disabilities (SEND) chapter
- JSNA (2018) Surrey context
- JSNA (2016) Adult carers
- JSNA (2017) Young carers and young adult carers
- Surrey County Council (2016) Needs analysis of children and young people 0 – 25 years old with SEND
- Surrey County Council (2016) The SEND challenge: growing levels of need: Needs analysis summary
- Surrey County Council (2017) Assessment of Need in Relation to Short Breaks in Surrey
- Surrey County Council (2013) Needs analysis for Surrey's Gypsy, Roma and Traveller children and young people
- Surrey County Council (2016) Short Breaks data pack
- Surrey County Council (2016-17) Short Breaks data
- Surrey County Council (2016-17) Finance data
- Monitoring data 2016-17
- Surrey children's disability register
- SCC Needs analysis for Surrey's Gypsy, Roma and Traveller children and young people 2013
- Surrey County Council (June 2018) Draft SEND Sufficiency Plan
- Gender Identity and Research Education Society (2011) The number of gender variant people in the UK
- ONS (2017) Births by mothers' usual area of residence in the UK
- Best Beginnings, Parents with Disabilities
- Action for Children, The Next Chapter: Young People and Parenthood
- The National Autistic Society – Gender and autism
- Carers UK (2012) In sickness and in health
- Carers UK (2015) Alone and caring

**7. Impact of the new/amended policy, service or function**

In retendering the Personal Support framework we have looked to build the Personal Support offer by improving availability of support and the range of agencies able to provide this support in Surrey.

In re-commissioning Personal Support we have used our purchasing power to promote the public sector equality duty.

In the following tables we have brought together our equality analysis and set out how the proposed changes will affect children with disabilities, their parents and carers, families and staff. Analysis was based on the information gathered from the data and engagement activities listed in section six.

**7a. Impact of the proposals on residents and service users with protected characteristics**

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Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
<p><b>Age</b></p>	<p>The Light Touch DPS will continue to support children and young people aged 0-18. Increased choice across Surrey will positively impact children of all ages.</p> <p>We have heard from children, young people and their families that the transition to adulthood is a challenging time. By purchasing from providers who deliver a service for both children and adults, the transition process might be enhanced. Outcome 4 specifies that “children and young people will achieve successful transitions to the next stage of their development”, which will help ensure young people continue to achieve good outcomes through their transition to Adult’s provision.</p>	<p>The demand for Personal Support across all levels of need outstrips supply and is likely to continue to increase as a result of existing barriers to accessing services and suppressed levels of need.</p> <p>There is a risk that the new approach may not increase availability sufficiently, at least in the short-term. This will impact all children, but could be particularly evident for those with protected characteristics.</p> <p>This has been mitigated under the new approach by tendering under three lots including a specific lot related to complex needs, and by the outcome of the tender, which has identified six providers to join the Light Touch DPS,</p>	<ul style="list-style-type: none"> <li>• The majority of children with statutory plans maintained by Surrey are aged 11 to 15 (45%) with 39% aged 5 to 10.<sup>i</sup></li> <li>• Data shows exponential growth in the numbers of EHCPs, of which one of the biggest groups are younger children whose complex needs were identified at birth or pre-school age<sup>ii</sup> – historically, the biggest growth area has been teenagers.</li> <li>• Families have identified that there are a range of gaps in provision (within Short Breaks as a whole), for children under 10, and older teenagers in transition.<sup>iii</sup></li> </ul>

		<p>subject to Cabinet approval, who have evidenced that they can provide good coverage in their provision across the three lots and across the county.</p> <p>In addition, reopening the Light Touch DPS every four months will enable new entrants to the market to join, and will make market management particularly vital if there are gaps identified around specific protected characteristics.</p>	
<p><b>Disability</b></p>	<p>There will be increased choice across Surrey, with new providers available to meet more specific needs by using the Lot model. New providers have demonstrated that they can meet the quality standard required from the new commission.</p> <p>It is recognised that children and young people with disabilities struggle to access activities in the community, compared to the general population. The Light Touch DPS aims to address this; Outcome 1 specifies that “children and young people are more independent”, and is indicated by having</p>	<p>The demand for Personal Support across all levels of need outstrips supply and is likely to continue to increase as a result of existing barriers to accessing services and suppressed levels of need.</p> <p>There is a risk that the new approach may not increase availability sufficiently, at least in the short-term. This will impact all children, but could be particularly evident for those with protected characteristics.</p> <p>There is a particular growing need for support for behaviour</p>	<p>The largest number of children and young people supported on the framework have a learning disability (71%) followed by those with Autism Spectrum Disorders (58%). 24% have complex health needs and 26% have challenging behaviour. (NB Some children and young people have more than one disability)</p> <ul style="list-style-type: none"> <li>• 8,393 children and young people have statutory plans in Surrey.<sup>iv</sup></li> <li>• The number of children with plans with a primary need of ASD has almost doubled since 2013.<sup>v</sup></li> <li>• Increasing population and growing need – data projections based on current demand growth suggest that by 2023 there will be 13,999 children with statutory plans in Surrey. That would be a 67% increase from 2018.<sup>vi</sup></li> <li>• A particularly high level of educational placements in the non-maintained and independent sector for children with ASD or SEMH.<sup>vii</sup></li> <li>• A need to reduce the gap in key outcomes achieved by children and young people with SEND compared to their peers.<sup>viii</sup></li> </ul>

	<p>opportunities to socialise and participate in community activities.</p> <p>Robust contract monitoring processes will ensure the effectiveness of the Light Touch DPS and enable resource issues to be addressed.</p>	<p>that challenges (Lot 2) and complex needs (Lot 3).</p> <p>This has been mitigated under the new approach by tendering under three lots including a specific lot related to complex needs, and by the outcome of the tender, which has identified six providers to join the Light Touch DPS, subject to Cabinet approval, who have evidenced that they can provide good coverage in their provision across the three lots and across the county.</p> <p>In addition, reopening the Light Touch DPS every four months will enable new entrants to the market to join, and will make market management particularly vital if there are gaps identified around specific protected characteristics.</p>	<ul style="list-style-type: none"> <li>Increasing need for learning pathways for young people post-16 and post-19 that support preparation for adulthood.<sup>ix</sup></li> </ul>
<p><b>Gender reassignment</b></p>	<p>An Indicator for Outcome 1, which specifies that “children and young people will be more independent”, is that children and young people will have a positive sense of identity, which will help drive improved outcomes for children and young people with specific protected</p>	<p>The demand for Personal Support across all levels of need outstrips supply and is likely to continue to increase as a result of existing barriers to accessing services and suppressed levels of need.</p> <p>There is a risk that the new approach may not increase</p>	<p>The Gender Identity Research and Education Society (GIREs) states “that organisations should assume that 1% of their employees and service users may be experiencing some degree of gender variance. At some stage, about 0.2% may undergo transition.”<sup>x</sup></p> <p>GIREs also recognises that ‘few younger people present for treatment despite the fact that most gender dysphoric adults report experiencing gender variance from a very early age. Social pressure, in the family and at school, inhibits the early revelation of their gender variance. Only 100 or so children and adolescents are referred annually to the</p>

	<p>characteristics. Increased choice of provision will also improve outcomes, as more suitable placements will be able to be made for the child or young person’s particular need.</p>	<p>availability sufficiently, at least in the short-term. This will impact all children, but could be particularly evident for those with protected characteristics.</p> <p>This has been mitigated under the new approach by tendering under three lots including a specific lot related to complex needs, and by the outcome of the tender, which has identified six providers to join the Light Touch DPS, subject to Cabinet approval, who have evidenced that they can provide good coverage in their provision across the three lots and across the county.</p> <p>In addition, reopening the Light Touch DPS every four months will enable new entrants to the market to join, and will make market management particularly vital if there are gaps identified around specific protected characteristics.</p>	<p>UK’s sole specialised gender identity service, compared to 1,500 referred to the adult clinics. Nonetheless, presentation for treatment among youngsters is also growing rapidly and has the potential to accelerate if young people feel increasingly able to reveal their gender variance and undertake transition while still young.’<sup>xi</sup></p>
<p><b>Pregnancy and maternity</b></p>	<p>Increased choice of provision will improve outcomes, as more suitable placements will be able to be made for the child or young person’s particular need.</p>	<p>The demand for Personal Support across all levels of need outstrips supply and is likely to continue to increase as a result of existing barriers</p>	<p>The service is aimed at children and young people of up to 18 year olds, which means that young parents might fall within the Personal Support service user group.</p> <p>Data for births to teenage mothers with disabilities in Surrey is not available. However, in 2016 there were 52 occasions where women</p>

		<p>to accessing services and suppressed levels of need.</p> <p>There is a risk that the new approach may not increase availability sufficiently, at least in the short-term. This will impact all children, but could be particularly evident for those with protected characteristics.</p> <p>This has been mitigated under the new approach by tendering under three lots including a specific lot related to complex needs, and by the outcome of the tender, which has identified six providers to join the Light Touch DPS, subject to Cabinet approval, who have evidenced that they can provide good coverage in their provision across the three lots and across the county.</p> <p>In addition, reopening the Light Touch DPS every four months will enable new entrants to the market to join, and will make market management particularly vital if there are gaps identified around specific protected characteristics.</p>	<p>under the age of 18 gave birth in Surrey.<sup>xii</sup> Anecdotal evidence would indicate that pregnancy and birth rate for women under 18 with disabilities is even lower, as their care plan often manages fertility and contraception.</p> <p>Parents / expectant parents with disabilities might commonly experience issues such as:<sup>xiii</sup></p> <ul style="list-style-type: none"> <li>• Negative attitudes to their decision to have a child</li> <li>• Physical access to buildings or equipment</li> <li>• Lack of flexible appointment times</li> <li>• Communication difficulties - people with sensory impairments may need an advocate or interpreter.</li> </ul> <p>Parents with learning disabilities (71% of service users of PS have a learning disability):<sup>xiv</sup></p> <ul style="list-style-type: none"> <li>• The babies of mothers with learning disabilities are at increased risk of poor birth outcomes.</li> <li>• One third of pregnant woman with a learning disability report moderate to severe levels of stress, anxiety and depression.</li> <li>• Many parents with a learning disability live under conditions that may contribute to poorer parenting, including poverty, low literacy, poor health, poor mental health, domestic abuse, having grown up in care, and social isolation. In particular, social support (such as living with relatives) contributes to successful parenting.</li> </ul> <p>In addition, these challenges are compounded by issues faced by all young parents:<sup>xv</sup></p> <ul style="list-style-type: none"> <li>• Only one in ten young parents (11%) has attended university, compared to 45% of young people who aren't parents.</li> <li>• One in five young parents (19%) rarely or never see friends, compared to 11% of young people who aren't parents.</li> </ul>
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<p><b>Race</b></p>	<p>Short break provision data indicates that BME groups are accessing short break services close to or above Surrey population rates (See Evidence). Providers will bid to cover specific geographic areas, which should allow them to focus recruitment locally so they can better match staff with local need.</p> <p>An Indicator for Outcome 1, which specifies that “children and young people will be more independent”, is that children and young people will have a positive sense of identity, which will help drive improved outcomes for children and young people with specific protected characteristics. Increased choice of provision will also improve outcomes, as more suitable placements will be able to be made for the child or young person’s particular need.</p>	<p>The demand for Personal Support across all levels of need outstrips supply and is likely to continue to increase as a result of existing barriers to accessing services and suppressed levels of need.</p> <p>There is a risk that the new approach may not increase availability sufficiently, at least in the short-term. 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Waverley is the least diverse with 90.6% White British.</li> </ul> <p>Children and young people in Gypsy, Roma and Traveller (GRT) Communities are often expected to assume caring responsibilities for siblings or relatives; 59% of Surrey GRT children have special needs, compared to 19% amongst the whole Surrey school population. Many GRT families report services are ‘hard to reach’ due to isolated locations with few amenities or transport links, high rates of illiteracy, and discrimination.<sup>xvii</sup></p> <p><b>Short Breaks users:</b></p> <ul style="list-style-type: none"> <li>The majority of Short Breaks users were White British (79%) however short break users are more diverse than the general public in Surrey.<sup>xviii</sup></li> </ul> <p><b>All Short Breaks users by ethnicity (from Short Breaks data 2016-17)</b></p> <table border="1"> <thead> <tr> <th data-bbox="1198 869 1691 1029">Ethnicity</th> <th data-bbox="1691 869 1841 1029">Number of children 2016-17*</th> <th data-bbox="1841 869 1993 1029">Number of children 2016-17 (%)</th> <th data-bbox="1993 869 2116 1029">2011 Census</th> </tr> </thead> <tbody> <tr> <td data-bbox="1198 1029 1691 1069">Asian/Asian British: Bangladesh</td> <td data-bbox="1691 1029 1841 1069">15</td> <td data-bbox="1841 1029 1993 1069">0.9%</td> <td data-bbox="1993 1029 2116 1069">0.3%</td> </tr> <tr> <td data-bbox="1198 1069 1691 1109">Asian or Asian British: Indian</td> <td data-bbox="1691 1069 1841 1109">35</td> <td data-bbox="1841 1069 1993 1109">2.0%</td> <td data-bbox="1993 1069 2116 1109">1.8%</td> </tr> <tr> <td data-bbox="1198 1109 1691 1149">Asian/Asian British: Other Asian</td> <td data-bbox="1691 1109 1841 1149">25</td> <td data-bbox="1841 1109 1993 1149">1.5%</td> <td data-bbox="1993 1109 2116 1149">1.7%</td> </tr> <tr> <td data-bbox="1198 1149 1691 1189">Asian/Asian British: Pakistani</td> <td data-bbox="1691 1149 1841 1189">42</td> <td data-bbox="1841 1149 1993 1189">2.4%</td> <td data-bbox="1993 1149 2116 1189">1%</td> </tr> <tr> <td data-bbox="1198 1189 1691 1228">Black/Black British: Black African</td> <td data-bbox="1691 1189 1841 1228">11</td> <td data-bbox="1841 1189 1993 1228">0.6%</td> <td data-bbox="1993 1189 2116 1228">0.7%</td> </tr> <tr> <td data-bbox="1198 1228 1691 1268">Black/Black British: Black Caribbean</td> <td data-bbox="1691 1228 1841 1268">7</td> <td data-bbox="1841 1228 1993 1268">0.4%</td> <td data-bbox="1993 1228 2116 1268">0.3%</td> </tr> <tr> <td data-bbox="1198 1268 1691 1308">Black/Black British: Other Black</td> <td data-bbox="1691 1268 1841 1308">12</td> <td data-bbox="1841 1268 1993 1308">0.7%</td> <td data-bbox="1993 1268 2116 1308">0.1%</td> </tr> <tr> <td data-bbox="1198 1308 1691 1348">Chinese/Other Ethnic Group: Chinese</td> <td data-bbox="1691 1308 1841 1348">6</td> <td data-bbox="1841 1308 1993 1348">0.3%</td> <td data-bbox="1993 1308 2116 1348">0.8%</td> </tr> <tr> <td data-bbox="1198 1348 1691 1388">Chinese/Other Ethnic Group: Other</td> <td data-bbox="1691 1348 1841 1388">5</td> <td data-bbox="1841 1348 1993 1388">0.3%</td> <td data-bbox="1993 1348 2116 1388">0.9%</td> </tr> </tbody> </table>	Ethnicity	Number of children 2016-17*	Number of children 2016-17 (%)	2011 Census	Asian/Asian British: Bangladesh	15	0.9%	0.3%	Asian or Asian British: Indian	35	2.0%	1.8%	Asian/Asian British: Other Asian	25	1.5%	1.7%	Asian/Asian British: Pakistani	42	2.4%	1%	Black/Black British: Black African	11	0.6%	0.7%	Black/Black British: Black Caribbean	7	0.4%	0.3%	Black/Black British: Other Black	12	0.7%	0.1%	Chinese/Other Ethnic Group: Chinese	6	0.3%	0.8%	Chinese/Other Ethnic Group: Other	5	0.3%	0.9%
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<p><b>Religion and belief</b></p>	<p>An Indicator for Outcome 1, which specifies that “children and young people will be more independent”, is that children and young people will have a positive sense of identity, which will help drive improved outcomes for children and young people with specific protected characteristics. Increased choice of provision will also improve outcomes, as more suitable placements will be able to be made for the child or young person’s particular need.</p>	<p>The demand for Personal Support across all levels of need outstrips supply and is likely to continue to increase as a result of existing barriers to accessing services and suppressed levels of need.</p> <p>There is a risk that the new approach may not increase availability sufficiently, at least in the short-term. This will impact all children, but could be particularly evident for those with protected characteristics.</p> <p>This has been mitigated under the new approach by tendering under three lots including a specific lot related to complex needs, and by the outcome of the tender, which has identified six providers to join the Light Touch DPS, subject to Cabinet approval, who have evidenced that they can provide good coverage in their provision across the</p>	<p>In the 2011 Census, 62.8% of Surrey’s population identified themselves as Christian. The next largest group was that which reported no religion, at 24.8% of the population. Those reporting all other religions together, other than Christian, formed 5% of the Surrey population, of which the next largest religious group after Christian was Muslim (2.2% of the population). 7.4% of the population did not state their religion.<sup>xix</sup></p> <p>There is no data available on religion and belief for Personal Support users. However, it is expected – in like with the requirements of the Equalities and Diversity Act 2010 – that providers will be aware and culturally sensitive to specific needs of children and families from religious groups.</p>																												

		<p>three lots and across the county.</p> <p>In addition, reopening the Light Touch DPS every four months will enable new entrants to the market to join, and will make market management particularly vital if there are gaps identified around specific protected characteristics.</p>	
<p><b>Sex</b></p>	<p>Increased choice of provision will also improve outcomes, as more suitable placements will be able to be made for the child or young person's particular need.</p>	<p>The demand for Personal Support across all levels of need outstrips supply and is likely to continue to increase as a result of existing barriers to accessing services and suppressed levels of need.</p> <p>There is a risk that the new approach may not increase availability sufficiently, at least in the short-term. This will impact all children, but could be particularly evident for those with protected characteristics.</p> <p>This has been mitigated under the new approach by tendering under three lots including a specific lot related to complex needs, and by the outcome of the tender, which has identified six providers to join the Light Touch DPS,</p>	<p>Out of the 8,393 children and young people with an EHCP, 73% are male and 27% are female.<sup>xx</sup></p> <p>The most common primary need in boys' statutory plans is ASD (38%), Speech Language and Communication Needs (SLCN, 18%) and Social, Emotional &amp; Mental Health (SEMH, 14%), this compares to girls' primary need of ASD (21%), Moderate Learning Difficulties (21%) and SLCN (19%). According to NAS, various studies together with anecdotal evidence have come up with men/women ratios of ASD diagnosis ranging from 2:1 to 16:1. Causes for this could be genetic and/or societal (e.g. girls masking their symptoms better).<sup>xxi</sup></p>

		<p>subject to Cabinet approval, who have evidenced that they can provide good coverage in their provision across the three lots and across the county.</p> <p>In addition, reopening the Light Touch DPS every four months will enable new entrants to the market to join, and will make market management particularly vital if there are gaps identified around specific protected characteristics.</p>	
Page 74	<p><b>Sexual orientation</b></p> <p>An Indicator for Outcome 1, which specifies that “children and young people will be more independent”, is that children and young people will have a positive sense of identity, which will help drive improved outcomes for children and young people with specific protected characteristics. Increased choice of provision will also improve outcomes, as more suitable placements will be able to be made for the child or young person’s particular need.</p>	<p>The demand for Personal Support across all levels of need outstrips supply and is likely to continue to increase as a result of existing barriers to accessing services and suppressed levels of need.</p> <p>There is a risk that the new approach may not increase availability sufficiently, at least in the short-term. This will impact all children, but could be particularly evident for those with protected characteristics.</p> <p>This has been mitigated under the new approach by tendering under three lots including a specific lot related</p>	<p>The UK Government estimates that 7% of the population are lesbian, gay, bisexual, transgender or questioning (LGBTQ). Applying this to mid-2009 population estimates for Surrey, there are an estimated 5,700 people aged 11 to 16 in Surrey who are LGBTQ.<sup>xxii</sup></p>

		<p>to complex needs, and by the outcome of the tender, which has identified six providers to join the Light Touch DPS, subject to Cabinet approval, who have evidenced that they can provide good coverage in their provision across the three lots and across the county.</p> <p>In addition, reopening the Light Touch DPS every four months will enable new entrants to the market to join, and will make market management particularly vital if there are gaps identified around specific protected characteristics.</p>	
<b>Marriage &amp; civil partnerships</b>	N/A	N/A	
<b>Carers (protected by association)</b>	<p>This retender aims to deliver improved Personal Support provision, with more specialist support available from a wider range of providers. Access to practical support has been identified as a cause of poor mental and physical health for carers (see evidence). It will also give carers more opportunities to have a break from their caring responsibilities.</p>	<p>The demand for Personal Support across all levels of need outstrips supply and is likely to continue to increase as a result of existing barriers to accessing services and suppressed levels of need.</p> <p>There is a risk that the new approach may not increase availability sufficiently, at least in the short-term. This will impact all children, but could be particularly evident for</p>	<p>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 looking after siblings, parents or other relatives.<sup>xxiii</sup></p>

The most common benefit of Short Breaks for carers is that they get to spend time with other family members (25% of responses to Surrey Short Breaks survey 2015). They told us they also spend the time resting (17%), seeing friends (14%) and pursuing leisure activities, and working (11% each). However 22% of carers said they use the time to catch up on chores.

Request for commitments by providers to use social capital (cash or in-kind) to develop initiatives that better meet the needs of carers and enable them to provide support to one another (Social Value Act 2012).

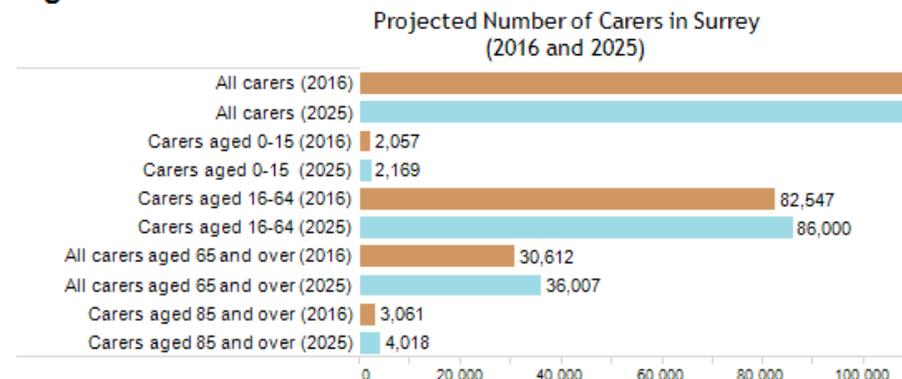
those with protected characteristics.

Providers were asked which districts and boroughs they would be able to cover (as opposed to quadrants NW/NE/SW/SE Surrey, as was done in the last Personal Support tender). At least three (and in most cases four or five) providers are able to provide services in each borough or district in each of the three lots.

Evaluation of bids for the three lots has indicated that all of the successful bidders have a strong commitment to social value. How this will operate in practice and, specifically, the use of social capital to better meet the needs of carers, won't be known until later in the lifetime of the Light Touch DPS.

Reopening the Light Touch DPS every four months will enable new entrants to the market to join, and will make market management particularly vital if there are gaps identified around specific protected characteristics.

**Figure 1**



Note: Carers aged 85 and over are included in the figures for Carers aged 65 and over  
Source: 2011 Census and population projections (ONS)

The impact of caring can be detrimental to both young carers' and adult carers' health, and can be due to a number of factors, including stress related illness or physical injury.<sup>xxiv</sup>

Over 80% of carers say that caring has a negative impact on their physical health and mental health. 64% believe that a lack of practical support is a supporting factor. The majority of carers thought their health would be improved if they receiving more practical support (52%), and more support from local services (62%).<sup>xxv</sup>

83% of carers have felt lonely or socially isolated as a result of their caring responsibilities, whilst around half report to have lost touch with friends or family and/or have experienced difficulties with their relationship with their partner as a result of caring.<sup>xxvi</sup>

The Surrey Young Carers Health Survey 2013 identified a range of factors which affect the emotional health and wellbeing of young carers, including eating disorder (35%, 10% relating it specifically to their caring role), self-harm, alcohol misuse or smoking. 65% of respondents had responded that they feel stressed, 50% angry, 28% depressed and 28% anxious.<sup>xxvii</sup>

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

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
<b>Age</b>	None identified	None identified	
<b>Disability</b>			
<b>Gender reassignment</b>			
<b>Pregnancy and maternity</b>			
<b>Race</b>			
<b>Religion and belief</b>			
<b>Sex</b>			
<b>Sexual orientation</b>			
<b>Marriage and civil partnerships</b>			
<b>Carers (protected by association)</b>			

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## 8. Amendments to the proposals

Change	Reason for change
No changes identified but comprehensive set of mitigations included below.	

## 9. Action plan

Impacts and actions outlined below are general to the commission and are therefore primarily affecting the protected characteristic of 'Disability'.

Providers will be expected to adhere to the requirements of the Equalities Act 2010 and demonstrate evidence thereof to commissioners at bid and review stage (e.g. Equalities policies, E&D monitoring).

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
<b>Positive</b> – Specific Lots to support children and young people with complex health needs and/or behaviours that challenge, with associated outcomes.	<p>Contract management: Ensure that providers plan to and deliver the full requirements of the service specification by robust contract management</p> <p>Communication plan: Communicate with all stakeholders particularly social workers to ensure they are aware of new providers and the specialisms they have. This will maximise available resources.</p> <p>Provider best practice forums</p> <p>Data analysis: Quarterly collation and analysis of data to measure effectiveness of the Light Touch DPS.</p> <p>Outcomes framework: Personal Support providers will be contractually obliged to measure impact of their provision</p>	1 April 2019 then ongoing when new providers join the Light Touch DPS	Short Breaks team
<b>Positive</b> – Tendering at district and borough level to meet local need, increases access in some areas for families from a range of ethnic backgrounds.	Ensure that providers plan to and support them through contract monitoring to meet the full requirements of the service specification and their commitment to cover relevant district / borough.	1 April 2019	Short Breaks team
<b>Positive</b> – A robust approach to outcomes measurement for children and young people	Provision of an outcomes toolkit. Surrey will collate and analyse outcomes data across the Light Touch DPS.		
<b>Negative</b> – Availability of Personal Support might not meet need for reasons including:	Work with providers to develop market and make joining the Light Touch DPS attractive.	1 April 2019	Procurement team

<p>Providers are unable to sufficiently recruit staff.</p> <p>Some providers might decide they aren't prepared to invest in recruitment without baseline funding.</p> <p>Some providers might want to recruit to care packages upon referral but social workers requiring immediate support.</p>	<p>Ensure that providers plan to and support them through contract monitoring to meet the full requirements of the service specification and their commitment to cover relevant district / borough.</p> <p>The Light Touch DPS will reopen every 4 months, which will allow SCC to expand the pool of provision to address any gaps.</p>	<p>Ongoing</p>	<p>Short Breaks team</p>
<p><b>Negative</b> - Unmet need may not have been sufficiently identified, particularly where families have suppressed levels of actual need, and when there are barriers to families accessing services. It is difficult to quantify the gaps in provision, as not all required data is collected.</p>	<p>The Light Touch DPS will reopen every 4 months, which will allow SCC to respond to new intelligence about need.</p>	<p>Ongoing</p>	<p>Short Breaks team and Children with Disabilities</p>
<p><b>Negative</b> - Families already using Personal Support services mistakenly think that their support is changing and this leads to additional stress and anxiety, particularly where the transition is not well managed.</p>	<p>Provide clear communication with families throughout the changes to ensure they are aware that existing Personal Support packages with framework providers will not be affected, and that packages with providers who are not on the Light Touch DPS will be transitioned appropriately and sensitively to providers on the DPS.</p> <p>Make sure parents know who to contact if they need additional advice.</p>	<p>1 April 2019</p> <p>Ongoing</p>	<p>SCC Comms. Team</p> <p>Short Breaks team</p>
<p><b>Negative</b> - For children and young people with chronic mental health conditions, the most appropriate support may come from CAMHS provision rather than Short Breaks</p>	<p>Meeting facilitated with Family Voice and CAMHS Manager.</p> <p>Monitor need going forward.</p>		
<p><b>Negative</b> - Lack of incentive for more providers to join the Light Touch DPS, as SCC has been spot-purchasing from other providers.</p>	<p>Ongoing market engagement to encourage more providers to apply to join the Light Touch DPS.</p> <p>The improved coverage that the Light Touch DPS provides (particularly for complex needs) means that children and families receiving support from non-DPS</p>	<p>Ongoing</p>	<p>Procurement team</p>

	<p>providers will be transitioned as appropriate to providers on the Light Touch DPS, and that there will be less need for spot-purchased provision. Therefore, if these providers remain off the Light Touch DPS, their business with SCC will substantially reduce or disappear.</p>		
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**10. Potential negative impacts that cannot be mitigated**

None.

**11. Summary of key impacts and actions**

<p><b>Information and engagement underpinning equalities analysis</b></p>	<ul style="list-style-type: none"> <li>• Engagement with parents and carers:             <ul style="list-style-type: none"> <li>• Approaching 600 responses to online Short Breaks surveys since January 2016, in partnership with Family Voice Surrey (please note this relates to the Short Breaks tender and not Personal Support specifically), however the key messages are relevant to this tender</li> <li>• Around 200 attendances at Short Breaks engagement events by Surrey families and partners since January 2016</li> <li>• Personal Support survey carried out in September 2017</li> </ul> </li> <li>• Engagement with providers:             <ul style="list-style-type: none"> <li>• Engagement event in August 2017, and questionnaire. The draft service specification was also been shared with providers to gain their feedback</li> </ul> </li> <li>• Engagement with colleagues:             <ul style="list-style-type: none"> <li>• Social care professionals through Steering Group meetings and questionnaires</li> <li>• Procurement through Steering Group meetings</li> </ul> </li> <li>• Engagement with Family Voice Surrey             <ul style="list-style-type: none"> <li>• Representation on the Steering Group, and survey on the impact of caring on their health and wellbeing (March 2017)</li> </ul> </li> <li>• Data             <ul style="list-style-type: none"> <li>• Surrey’s Joint Strategic Needs Assessment and other SCC needs assessments</li> <li>• Data provided by the Short Breaks Team, Children’s Services and Finance</li> <li>• ONS data</li> <li>• Local and national research, including identifying good practise from other local authorities in the region</li> </ul> </li> </ul>
<p><b>Key impacts (positive and/or negative) on people with protected characteristics</b></p>	<ul style="list-style-type: none"> <li>• <b>Positive</b> – The Light Touch DPS will give increased choice of provision.</li> <li>• <b>Positive</b> – The Outcomes Framework includes several outcomes and indicators that will positively impact children and young people with protected characteristics.</li> <li>• <b>Positive</b> - Provision will better meet the needs of children, young people with disabilities and their families, as services have been re-designed and re-commissioned to enable them to achieve the outcomes families told us were most important.</li> </ul>

	<ul style="list-style-type: none"> <li>• <b>Positive</b> – Providers have been asked to provide at a very local level (districts and boroughs), meaning smaller, local providers may be more able to join the Light Touch DPS, and providers will be able to focus recruitment locally to better match staff with local need.</li> <li>• <b>Positive</b> - Specific Lots ensure services are accessible to children and young people with complex health needs or behaviours that challenge, and are better aligned to need.</li> <li>• <b>Positive</b> – The Light Touch DPS will allow new providers to join the system every four months to help SCC respond to the growing need for this type of support.</li> <li>• <b>Negative</b> - Some professionals have communicated a lack of confidence in the ability of providers to respond to the growing demand for Personal Support. This is in part due to difficulties in recruiting in this sector. This tender may not change the situation significantly – affecting capacity to support children with disabilities.</li> <li>• <b>Negative</b> – Impact of Direct Payments on providers: skilled staff might leave for non-DPS provision offering support through direct payments where rates are not set by contractual framework agreements with the council. This will have a negative impact on the ability to provide services to children with disabilities.</li> <li>• <b>Negative</b> - Lack of incentive for more providers to join the Light Touch DPS, as SCC has been spot-purchasing from other providers.</li> </ul>
<p><b>Changes made as a result of the EIA</b></p>	<p>No changes identified but comprehensive set of mitigations included below.</p>
<p><b>Key mitigation actions planned to address any outstanding negative impacts</b></p>	<ul style="list-style-type: none"> <li>• Contract management to ensure providers meet outcomes and deliver requirements.</li> <li>• Develop a communication plan to ensure professionals and families are awareness of the new providers and their specialisms</li> <li>• Develop best practise forums</li> <li>• Take advantage of the Light Touch DPS to allow providers to join and provide Personal Support services across its lifetime. This allows us to develop the market and ensure provider are quality assured and contract monitored.</li> <li>• Ensure that providers plan to and deliver the full requirements of the service specification including greater focus on complex health and behaviours that challenge, social capital commitments and implementing new approaches to outcomes monitoring.</li> <li>• Work with providers to develop local recruitment plans wherever possible, to maximise staffing potential at a district and borough level.</li> <li>• Continue to engage with the market and encourage more providers to apply to join the Light Touch DPS.</li> <li>• Develop proposals for a joint funded nurse trainer role, with Health, in response to lack of parental confidence in the ability of provision to meet complex health needs.</li> <li>• Monitor need going forward.</li> </ul>
<p><b>Potential negative impacts that cannot be mitigated</b></p>	<ul style="list-style-type: none"> <li>• None.</li> </ul>

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- <sup>i</sup> SCC SEND Needs Analysis (2017)
- <sup>ii</sup> SCC Draft SEND Sufficiency Plan (2018)
- <sup>iii</sup> SCC Assessment of Need in Relation to Short Breaks in Surrey (2017)
- <sup>iv</sup> SCC Draft SEND Sufficiency Plan (2018)
- <sup>v</sup> *ibid*
- <sup>vi</sup> *ibid*
- <sup>vii</sup> *ibid*
- <sup>viii</sup> JSNA Chapter: children and young people who have SEND (Feb 2017) <https://www.surreyi.gov.uk/jsna/children-with-send/>
- <sup>ix</sup> *ibid*
- <sup>x</sup> GIRES (2011), The Number of Gender Variant People in the UK - Update 2011; <http://www.gires.org.uk/wp-content/uploads/2014/10/Prevalence2011.pdf>
- <sup>xi</sup> *ibid*
- <sup>xii</sup> ONS (2017), Births by mothers' usual area of residence in the UK (accessed 26 July 2018) - <https://www.ons.gov.uk/peoplepopulationandcommunity/birthsdeathsandmarriages/livebirths/datasets/birthsbyareaofusualresidenceofmotheruk>
- <sup>xiii</sup> Best Beginnings, Parents with Disabilities, (accessed 11 July 2018), <https://www.bestbeginnings.org.uk/parents-with-disabilities>
- <sup>xiv</sup> Best Beginnings, Parents with Learning disabilities, (accessed 11 July 2018) <https://www.bestbeginnings.org.uk/parents-with-learning-disabilities>
- <sup>xv</sup> Action for Children, The Next Chapter: Young People and Parenthood, (accessed 11 July 2018) <https://www.actionforchildren.org.uk/media/9612/the-next-chapter.pdf>
- <sup>xvi</sup> JSNA Chapter: Ethnicity, <https://www.surreyi.gov.uk/jsna/surrey-context/#header-lesbian-gay-bisexual-transgender-and-questioning-lgbtq>
- <sup>xvii</sup> SCC Needs analysis for Surrey's Gypsy, Roma and Traveller children and young people 2013
- <sup>xviii</sup> Short Breaks service, Surrey County Council, 2017
- <sup>xix</sup> JSNA Chapter: Religion and Belief, <https://www.surreyi.gov.uk/jsna/surrey-context/#header-lesbian-gay-bisexual-transgender-and-questioning-lgbtq>
- <sup>xx</sup> SCC Draft SEND Sufficiency Plan (2018)
- <sup>xxi</sup> NAS Gender and autism (accessed 10 July 2018) <https://www.autism.org.uk/about/what-is/gender.aspx>
- <sup>xxii</sup> JSNA Chapter: Lesbian, gay, bisexual and transgender, <https://www.surreyi.gov.uk/jsna/surrey-context/#header-lesbian-gay-bisexual-transgender-and-questioning-lgbtq>
- <sup>xxiii</sup> JSNA Chapter: Adult Carers, <https://www.surreyi.gov.uk/jsna/adult-carers/>
- <sup>xxiv</sup> *ibid*
- <sup>xxv</sup> Carers UK (2012) In Sickness and in Health (accessed 26 July 2018), <https://www.carersuk.org/for-professionals/policy/policy-library/in-sickness-and-in-health>
- <sup>xxvi</sup> Carers UK (2015) Alone and caring (accessed 26 July 2018), <https://www.carersuk.org/for-professionals/policy/policy-library/alone-caring>
- <sup>xxvii</sup> JSNA Chapter: Young Carers and Young Adult Carers, <https://www.surreyi.gov.uk/jsna/young-carers-and-young-adult-carers/>

Surrey short breaks outcomes framework

Overall purpose	Sub-outcomes	I statements
Children and young people develop their independence and readiness for adulthood	Children and young people develop skills that enable them to be more independent	<ul style="list-style-type: none"> <li>• I am developing my communication skills</li> <li>• I am learning and developing practical life skills</li> <li>• I am developing my social skills</li> </ul>
	Children and young people develop their self-confidence within and outside their family setting	<ul style="list-style-type: none"> <li>• I have tried new things</li> <li>• I am able to succeed and achieve</li> <li>• I feel safe and supported</li> <li>• I have fun</li> </ul>
	Children and young people make informed choices about their short breaks	<ul style="list-style-type: none"> <li>• I have the information I need about different short breaks</li> <li>• I know the choices that are available to me</li> </ul>
	Children and young people communicate their choices and preferences	<ul style="list-style-type: none"> <li>• I have the support I need to communicate my views</li> <li>• I contribute to decision making regarding my care</li> <li>• My choices and preferences are listened to</li> <li>• My choices and preferences are acted upon</li> </ul>
	Children and young people prepare for and achieve successful transitions to the next stage of their development	<ul style="list-style-type: none"> <li>• I am better prepared to start at my new school, college or place of education</li> <li>• I am happy in my school, college or place of education</li> <li>• I am able to get a job or to access further training and support as an adult</li> <li>• I am prepared to live as independently as I am able</li> </ul>
Children and young people are more emotionally and physically healthy	Children and young people's health needs are met	<ul style="list-style-type: none"> <li>• I have opportunities to be physically active, with the right support</li> <li>• I am confident that I can get the medical help I need</li> <li>• I am confident that I can get the mental health help I need</li> <li>• I am more able to make choices to keep myself safe</li> </ul>
	Children and young people overcome challenges	<ul style="list-style-type: none"> <li>• I know where to go for help when I need it</li> <li>• I know I am not on my own and feel supported</li> <li>• I feel more prepared to face problems</li> </ul>
	Children and young people recognise and manage their feelings and emotions	<ul style="list-style-type: none"> <li>• I understand my feelings better</li> <li>• I recognise when my feelings change</li> <li>• I am more able to manage my behaviour when my feelings change</li> </ul>
	Children and young people form and develop supportive relationships	<ul style="list-style-type: none"> <li>• I mix more with people my own age</li> <li>• I am making new friends and developing friendships</li> <li>• I feel more comfortable in groups</li> <li>• I have opportunities to spend quality time with different members of my family</li> <li>• My family relationships are stronger</li> <li>• I have positive role models in my community</li> </ul>
Parents and carers are more empowered to meet the needs of their children	Parents and carers are able to make informed choices to plan the support that is best for their family	<ul style="list-style-type: none"> <li>• I can access information and guidance about my child's needs</li> <li>• I can find information about the different short breaks that are available and how to access these</li> <li>• I have choice and control in planning support for my family</li> <li>• I can access local services that meet my family's needs</li> <li>• I can pay for services that meet my family's needs</li> <li>• I feel confident that those supporting my children have the skills required to meet their needs</li> </ul>

	Parents and carers feel able to ask for help when it is needed	<ul style="list-style-type: none"> <li>• I know where to go for help when I need it and feel able to ask</li> <li>• I understand the process (including access criteria) to access the right support to meet my family's needs</li> <li>• I feel supported by professionals and not judged</li> <li>• I feel confident that the needs of my family will be fairly assessed</li> </ul>
Parents and carers are able to support their whole family to achieve good outcomes	Family life is enhanced	<ul style="list-style-type: none"> <li>• I have opportunities to spend quality time with my family as a whole</li> <li>• I have opportunities to spend quality time with the different members of my family, including all my children</li> <li>• My children who do not have disabilities can access a range of activities that meet their needs</li> </ul>
	Parents and carers are able to work or undertake activities not possible without short breaks	<ul style="list-style-type: none"> <li>• I am able to go to work or get the training I need to prepare for work</li> <li>• I am able to carry out housekeeping and household activities to support my family</li> <li>• I have opportunities to undertake hobbies and activities that are important to me</li> </ul>
Parents and carers are more emotionally and physically healthy	Parents and carers form and develop supportive social networks	<ul style="list-style-type: none"> <li>• I have opportunities to talk with parents and carers in similar positions</li> <li>• I am able spend time with my friends and wider family</li> <li>• I am able to work with other parents and carers locally to develop solutions to the challenges we face</li> <li>• I feel less isolated</li> </ul>
	Parents and carers are able to look after their own wellbeing	<ul style="list-style-type: none"> <li>• I have opportunities to rest and recuperate</li> <li>• I feel less stressed</li> <li>• I feel less exhausted</li> <li>• I feel more able to face problems when they happen</li> </ul>

**SURREY COUNTY COUNCIL****CABINET****DATE: 18 DECEMBER 2018****LEAD OFFICER: HELEN ATKINSON, EXECUTIVE DIRECTOR – PUBLIC HEALTH SURREY COUNTY COUNCIL & HEARTLAND****COMMUNITY VISION OUTCOME: PEOPLE****SUBJECT: APPROVAL TO AWARD A CONTRACT FOR THE PROVISION OF YOUNG PEOPLE SUBSTANCE MISUSE SERVICE****SUMMARY OF ISSUE:**

This report sets out recommendations arising from work on options for the provision of Surrey's Young People's Substance Misuse Service and outlines a competitive tender process which was carried out in order to select a supplier to deliver the service.

The procurement process is at the stage where Cabinet approval is required in order to award the contract to Catch 22 to commence the service from 1 April 2019.

The service will be delivered across Surrey and will co-locate and support the work of Children's, Families and Learning (CFL) services by sharing outcomes to develop an effective Early Help offer and to build resilience within families and the wider community.

The recommended contract provider will deliver evidence-based psychosocial and medical interventions to meet the needs of some of Surrey's most vulnerable young people and families.

The service will also support local preventative and early identification models including drug and alcohol education within schools and colleges and offering training and support to the professional workforce, including social workers, teachers, school nurses, health visitors and foster parents.

The new service will extend its capacity to work with vulnerable young adults up to the age of 25 where this is deemed appropriate (the current service works with young people aged 11-21). The service will have the capacity to engage with an additional 120 young people per year.

Due to commercial sensitivity the details of assessment results have been circulated as a confidential Part 2 of this report.

**RECOMMENDATION:**

It is recommended that Cabinet approves the award of contract for the provision of Surrey's Young People's Substance Misuse Service to Catch 22.

The contract will be for a period of three years from 1 April 2019, with an option to extend for a further three years in one year intervals.

#### **REASONS FOR RECOMMENDATION:**

The existing contract will expire on 31 March 2019. A competitive tender process, in compliance with the requirements of Public Contract Regulations and Procurement Standing Orders, has been completed. The recommended suppliers offered overall best value for money in the procurement process.

The Council's statutory responsibilities for public health services are set out in the Health and Social Care Act 2012 in which the provision of substance misuse services is mandated. This service has been funded via the ring-fenced Public Health Grant and supports the Council's duty to improve public health and provide facilities for the prevention or treatment of illness.

The award of this contract will enable uninterrupted provision of the service and will contribute towards the Council's Vision for Surrey in 2030<sup>1</sup> by supporting young people to have a positive start in life and addressing issues affected by their substance misuse as early as possible, in order for them to lead healthy and fulfilling lives. Each of Surrey's ambitions for people are supported within this contract:

- children and young people are safe and feel safe and confident;
- everyone benefits from education, skills and employment opportunities that help them succeed in life;
- everyone lives healthy, active and fulfilling lives, and makes good choices about their wellbeing;
- everyone gets the health and social care support and information they need at the right time and place; and
- communities are welcoming and supportive, especially of those most in need, and people feel able to contribute to community life

In addition, this service will fulfil key priorities within Surrey's Health and Wellbeing Strategy<sup>2</sup>, including:

- improving children's health and wellbeing
- developing a preventative approach
- promoting emotional wellbeing and mental health
- safeguarding the population

<sup>1</sup> <https://www.surreycc.gov.uk/council-and-democracy/finance-and-performance/our-performance/our-corporate-strategy/community-vision-for-surrey-in-2030>

<sup>2</sup> [https://www.healthysurrey.org.uk/\\_data/assets/pdf\\_file/0003/139251/Surrey-Joint-Health-and-Wellbeing-Strategy-2018-update.pdf](https://www.healthysurrey.org.uk/_data/assets/pdf_file/0003/139251/Surrey-Joint-Health-and-Wellbeing-Strategy-2018-update.pdf)

This service will generate a number of benefits for Surrey's residents by supporting the Early Help and Family Resilience models, resulting in anticipated financial savings for Surrey. Based on Public Health England's Return on Investment Tool<sup>3</sup> in which 'for every £1 spent on young people's drug and alcohol interventions brings a [cost avoidance] benefit of £1.93 within two years and up to £8.38 in the long term', there could be cost avoidance savings made of approximately £3.7million in the long term and £211,392 in Social Value.

Detailed assessment of the offers received is circulated in Annex 1 Procurement process and in confidential Part 2 of the report.

## **DETAILS:**

### **Business Case**

1. The role of specialist substance misuse services is to support young people to address their alcohol and drug use, to reduce the harm it causes them and prevent it from becoming a greater problem as they get older. Services should operate as part of a wider network of universal and targeted prevention services which aim to support young people with a range of issues and help them to build their resilience such as developing their life skills and their ability to make better choices and deal with difficulties.<sup>4</sup>
2. Effective young people's substance misuse services have a positive impact on the health and wellbeing of local residents and prevent the need for more intensive and costly interventions from health, social care, criminal justice and the wider public service sector. The provision of substance misuse services has an active role in supporting the Council's Vision for Surrey in 2030 and is also a key priority within the NHS 10 Year Plan which focuses on prevention. The 10 Year Plan highlights the importance of early interventions with children, support for troubled families and engagement with community groups. Prevention and early intervention are core components of the Surrey Health and Wellbeing Strategy which is currently being refreshed in line with Vision for Surrey in 2030.
3. Funded via the ring-fenced Public Health Grant, the budget for this service has remained at a similar level to previous years. However, the new service will deliver interventions to a wider cohort of young people, including vulnerable adults up to the age of 25 (21 previously) who require additional support in managing their substance misuse and in order to prevent onward escalation of dependency and associated risky behaviours. These are behaviours which potentially expose young people to harm or significant risk of harm which will prevent them reaching their potential, and may include inappropriate sexual activity, criminal behaviour and gang membership. The Council's statutory responsibilities for Public Health services are set out in the Health and Social Care Act 2012 and include the duty to improve public

<sup>3</sup> <https://www.surreyi.gov.uk/jsna/substance-misuse/1209/#header-children-and-young-people-cyp>

<sup>4</sup> <https://www.gov.uk/government/publications/specialist-substance-misuse-services-for-young-people>

health and provide facilities for the prevention or treatment of illness, such as the provision of substance misuse services.

4. The new service will have the capacity to engage with 450 young people aged 11-25 an increase of approximately 120 young people per year (based on the current service delivery for 11-21 year olds).
5. Substance misuse has a cost impact on a broad range of public sector organisations, including social care, health and criminal justice partners. Public Health England (2015) estimates that 'every £1 spent on young people's drug and alcohol interventions brings a [cost avoidance] benefit of £1.93 within two years and up to £8.38 in the long term' and 'every £1 spent on drug treatment saves £2.50 in costs to society'. These cost avoidance savings will be made through reduced social care needs, reduced long-term health conditions and reduced criminal activity, for example. There will also be a saving to society through increased earning potential and taxes; drug and alcohol interventions can help young people get into education, employment and training, bringing a total lifetime benefit of up to £159m.
6. The recommended contract provider will continue to deliver evidence-based modalities including a combination of psychosocial and medical interventions (including opioid substitute prescribing) to meet the needs of some of Surrey's most vulnerable young people and families. The service will be delivered in accordance to the guidance outlined by Public Health England (PHE)<sup>5</sup>, the National Institute for Health and Care Excellence (NICE)<sup>6</sup>, the Royal College of Psychiatrists<sup>7</sup> and the Department of Health<sup>8</sup>. In addition, the service will conform to local strategies and procedures, including the Surrey Safeguarding Adults Board and the Surrey Safeguarding Children's Board.
7. The service will be delivered across Surrey and co-locate with Children's, Families and Learning (CFL) services where possible, eventually working alongside CFL colleagues in designated hubs. The Service will support the work of CFL by sharing outcomes to develop an effective Early Help offer and to build resilience within families and the wider community.
8. The Service will also support the delivery of preventative and early identification models including supporting the delivery of drug and alcohol education within schools and colleges and offering training and support to the professional workforce, including social workers, teachers, school nurses, health visitors and foster parents.
9. Substance misuse in young people rarely occurs in isolation and is often symptomatic of wider problems. The majority of young people presenting to specialist substance misuse services have other problems or vulnerabilities related to their substance use (such as having mental health problems, being

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<sup>5</sup> <https://www.gov.uk/government/publications/specialist-substance-misuse-services-for-young-people>

<sup>6</sup> NICE (2017) NG64 Drug misuse prevention: targeted interventions

<sup>7</sup> Royal College of Psychiatrists (2012) Practice standards for young people with substance misuse problems, Centre for quality improvement

<sup>8</sup> Department of Health (2017) Drug Misuse and Dependence – UK Guidelines on Clinical Management

'looked after' or not being in education, employment or training<sup>9</sup>) or wider factors that can impact on their substance use (such as offending, self-harming, experiencing sexual exploitation or domestic abuse). Of the 17 vulnerability data categories collected via the National Drug Treatment Monitoring System (PHE's substance misuse data source) - which include being a looked after child, child in need, affected by domestic abuse, sexual abuse, Not in Education, Employment or Training (NEET) - 80% of young people nationally who entered treatment in 2016-17 disclosed two or more vulnerabilities<sup>10</sup>. Therefore, specialist services need to work effectively with a range of other agencies to ensure that all the needs of a young person are met.

10. Nationally, the number of young people accessing substance misuse services is reducing slightly; however, there is evidence to suggest that the use of alcohol and cannabis amongst 11-15 year olds is increasing<sup>11</sup> and the use of 'other drugs', including New Psychoactive Substances and prescription drugs, such as Xanax, are also increasing. **Within Surrey there has been an increase of 14% in the number of young people accessing treatment in the last 12 months, whereas there was a 5% drop nationally.**<sup>12</sup>

### Current Contract

11. Within 2017/18, 232 young people under the age of 18 received structured treatment from current provider Catch 22 (**a 12% increase on the previous year**); in addition, 94 young people aged between 18-21 received treatment as part of the transitional arrangements within the contract. These young people were assessed as being more appropriate for a young people's service than being transferred into adult treatment, due to their particular vulnerabilities.
12. Of those aged under 18, the majority of referrals were from Children and Family Services (28%) and Health and Mental Health Services (22%). There was a significant increase in the number of young people referred through Youth Justice Services (10%) in comparison with the national trend (2%).
13. 15% of young people engaged with Catch 22 were aged up to 14 (compared with 12% nationally), with similar numbers accessing treatment at age 15, 16 and 17 (27%, 24% and 32% respectively). The key wider vulnerabilities reported by the young people accessing Catch 22 in 2017/18 included:
  - a. Early onset of drug / alcohol misuse (82%)
  - b. Poly drug use (63%)
  - c. Domestic abuse (15%)
  - d. NEET (28%)
  - e. Anti-social behaviour / criminal activity (21%)

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<sup>9</sup> <https://www.ndtms.net/Publications/downloads/Young%20People/young-people-statistics-from-the-national-drug-treatment-monitoring-system-2016-17.pdf>

<sup>10</sup> <https://www.ndtms.net/Publications/downloads/Young%20People/young-people-statistics-from-the-national-drug-treatment-monitoring-system-2016-17.pdf>

<sup>11</sup> <https://www.gov.uk/government/publications/drug-misuse-findings-from-the-2013-to-2014-csew/drug-misuse-findings-from-the-201314-crime-survey-for-england-and-wales>

<sup>12</sup> PHE Young People Specialist Substance Misuse Interventions – Executive Summary Q3 2017-18

- f. Affected by others' substance misuse (17%)
- g. Self-harm (10%)

14. In 2017/18, 91% of young people engaged with Surrey's young people's substance misuse service left with a 'planned exit', meaning that they reduced or stopped using drugs and/or alcohol. This is against a national figure of 81%.

### Options Considered

15. Several options were considered when completing the Strategic Procurement Plan prior to commencing the procurement activity. The options considered included:

<p><b>Option 1:</b> Procure redesigned service <b>PREFERRED OPTION</b></p>	<p>The new service will increase the eligibility age from 11-21 to 11-25 years, hence increasing the effectiveness and utilisation of the service. The Service will aim to develop smooth transition to Adults services and develop Early Help interventions and support for young people and their families.</p>
<p><b>Option 2:</b> Procure joint service with Adult Substance misuse service</p>	<p>It was concluded that the potential risks to service users, particularly to young people accessing the service, were too great to recommend as an option. The provision of separate young people and adult treatment services is identified as being best practice (PHE).</p>
<p><b>Option 3:</b> Do Nothing</p>	<p>Current contract has exhausted all available extensions which means that the service would stop once the contract expires on 31 March 2019. If the service is decommissioned, the County would potentially see an increase in offences committed, lower engagement in employment (increased NEET) and long term health risks, resulting in additional costs and a negative impact, as well as reputational damage, to the Council.</p>

16. Options were considered by the Public Health Leadership Team and a decision was made to commission a service delivering specialist support for young people up to the age of 21 and for young adults aged 21-25 who demonstrate particular vulnerabilities, such as having a history of being looked after, those with mental health issues and unaccompanied asylum seekers.

17. A procurement and project team was set up to develop the service specification and procurement process. The service specification was developed based on:

- Learning from the current contact
- Outcomes from PHE's Diagnostic and Outcome Measure Executive Summary (DOMES) Reports based on current service provision
- Surrey's Early Help Needs Assessment (2017)

- Relevant strategies:  
Surrey Substance Misuse Strategy 2015  
<https://www.healthysurrey.org.uk/your-health/substance-misuse/surrey-substance-misuse-strategy>  
  
Drug Strategy 2010, Home Office  
<https://www.gov.uk/government/publications/drug-strategy-2010>  
  
Drug Strategy 2017, Home Office  
<https://www.gov.uk/government/publications/drug-strategy-2017>
- NICE guidance:  
NICE Drug misuse prevention: targeted interventions  
<https://www.nice.org.uk/guidance/ng64>
- National guidance:  
PHE Young people - substance misuse commissioning support pack 2018-19: principles and indicators  
[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/647204/Young\\_people\\_substance\\_misuse\\_commissioning\\_2018-19\\_principles\\_and\\_indicators.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/647204/Young_people_substance_misuse_commissioning_2018-19_principles_and_indicators.pdf)  
  
DH Drug misuse and dependence: UK guidelines on clinical management  
<https://www.gov.uk/government/publications/drug-misuse-and-dependence-uk-guidelines-on-clinical-management>
- Feedback from service user reviews, focus groups and the Health Related Behaviour Questionnaire
- A provider engagement event was held to discuss and develop the new service specification
- Tender and procurement details were presented at the five Surrey CCG Clinic Executive Meetings. Views and feedback on the service objectives and model were collated.

### Performance Indicators

18. The service performance management is based on payment by result (PbR) arrangements. The core payment is worth 90% of the contract price and the remaining 10% is linked to achieving the Key Performance Indicators (KPIs). The service's KPIs remain unchanged; however, the targets have increased to ensure better service utilisation. The KPI targets have been set based on current performance and stretched to meet growing demand.

	Performance Measures 2019/20	Measurement source	Target
1.	<b>Numbers in specialist substance misuse services:</b> Young people (YP) (under 18) in service (YTD)	PHE YP Specialist Substance Misuse Interventions Report Tier 2 self-reporting	300 (YTD) 250 tier 3 50 tier 2

2.	<b>Numbers in specialist substance misuse services:</b> Young adults (aged 18-25) in service (YTD)	PHE Adult Provider Activity report Tier 2 self -reporting	150 (YTD) 100 tier 3 50 tier 2
3.	<b>Numbers in specialist substance misuse services:</b> Number of new referrals including source and engagement (per quarter)	PHE YP Specialist Substance Misuse Interventions Report PHE Adult Provider Activity report Detailed quarterly report	YP:180 (YTD) 18-24: 100 (YTD)
4.	<b>Waiting times for service users:</b> First interventions waiting less than three weeks	PHE YP Specialist Substance Misuse Interventions Report PHE Adult Provider Activity report	100%
5.	<b>Referral routes:</b> Number of YP engaged in treatment referred by Children and Family Services ( <i>specify which</i> )	Outcome 1 PHE YP Specialist Substance Misuse Interventions Report Detailed quarterly report	25%
6.	<b>Referral routes:</b> Number of YP engaged in treatment referred by Accident and Emergency services	Outcome 1 PHE YP Specialist Substance Misuse Interventions Report	10%
7.	<b>In Services:</b> Received a care plan within 2 weeks from assessment date	Case Management System	95%
8.	<b>In Services:</b> service users that present as current or previous injectors offered and accept a HBV intervention <i>Starting or Completing Hep B course</i>	Outcome 3 Case Management System	30% offered and accepted of which: 60% course started 40% course completed
9.	<b>In Services:</b> service users that present as current or previous injectors offered and accept a test for HCV	Case Management System	50% offered and accepted of which: 80% with a test date
10.	<b>In Services:</b> Length of time in services – young people in treatment for 26 weeks or less (YTD) – gradual reduction to 17 weeks	PHE YP Specialist Substance Misuse Interventions Report	80%
11.	<b>Interventions:</b> Number of service users reporting a reduction in substance misuse (self-reporting)	Outcome 4  PHE YP Specialist Substance Misuse Interventions Report  PHE YP SSM Outcomes Record  PHE Treatment Outcomes Profile	80%

12.	<b>Interventions:</b> Number of targeted families engaged with and shared care planning with Surrey Family Support Service. This is based on referrals being appropriate for the YPSMS and that the families involved have consented to the intervention.	Outcome 4  Council Supporting Families data	To be confirmed with new family resilience teams from April 2019
13.	<b>Interventions:</b> YP SSM Outcomes Record completed for <b>all</b> service users at start and end of treatment	PHE YP Specialist Substance Misuse Interventions Report	Start 100%  Exit 90%
14.	<b>Exiting Services:</b> Number of young people leaving with a planned discharge	PHE YP Specialist Substance Misuse Interventions Report	90%
15.	<b>Exiting Services:</b> Number of young people re-presenting within the treatment system within 6 months	Outcome 2 PHE YP Specialist Substance Misuse Interventions Report	To remain under 10%
16.	Number of focus groups held	Outcome 2 Detailed Quarterly Report	2
17.	Service user feedback: (a) Number of young people participating in service feedback (excluding those who have an unplanned exit) (b) Number of young people with unplanned exits approached to participate in service user feedback with a minimum of three attempts to engage	Outcome 3 Detailed Quarterly Report	(a): 70% (b): 100%
18.	Number of service user-led <b>service user</b> feedback meetings	Outcome 1 Detailed Quarterly Report	2 per quarter
19.	Number of targeted training sessions delivered to professional groups  NPS updates – contribution to Surrey-wide NPS plan  Team meetings and advertising of service / care pathways	Detailed Quarterly Report	Care homes: 2x0.5 days / yr Foster parents: 2x0.5 days / yr Social workers / Child protection officers: 4x0.5 days / yr
20.	Schools: engagement with targeted schools as identified by Babcock 4S, Police and Children's Services per quarter	Detailed Quarterly Report	To be directed by need

## **CONSULTATION:**

19. Key partnership stakeholders have been consulted and involved at all stages of the procurement process of re-commissioning this service, including the Office of the Police and Crime Commissioner (OPCC), representatives of districts and boroughs and lead commissioners from Clinical Commissioning Groups (CCGs). In addition, commissioners from Children's, Families and Learning (CFL) and Public Health, colleagues from Finance, Legal Services and Procurement have been involved and consulted throughout the process. Representation from the CCGs, OPCC, PH and CFL were all included in the evaluation of the bids, in addition to an independent service user.

CFL's Rights and Participation Team have been proactive in running focus groups with young people focusing on their knowledge and understanding of substance misuse services and, for those engaged in treatment, their experience of treatment. In addition, the young people engaged in treatment complete a 'service user form' outlining the positives and negatives of the treatment system and how the process could be improved. Data from the 2017 Surrey Children and Young People's Health Related Behaviour Questionnaire, which included specific questions around drugs and alcohol and access into treatment and was completed by 2188 Year 8 and Year 10 pupils, was taken into consideration when designing the new service.

20. Tender and procurement details were presented at the Surrey CCG's Clinical Executive Meetings. Views and feedback on the proposed service have been incorporated into the model.

21. Papers outlining the proposed new service and procurement details have been delivered to:

- a. Public Health Leadership Team
- b. Substance Misuse Partnership
- c. Commissioning Overview Group (CFL)
- d. Clinical Commissioning Groups in each of the five CCGs

## **RISK MANAGEMENT AND IMPLICATIONS:**

22. The contract includes a 'Termination Clause' which will allow the Council to terminate the contract with one month's notice should the priorities of the Council change, or should funding be no longer available.

23. All recommended tenderers successfully completed satisfactory financial checks as well as checks on competency in delivery of similar contracts at the pre-qualification stage.

24. The following key risks associated with the contract have been identified, along with mitigation activities:

Category	Risk Description	Mitigation Activity
<b>Financial</b>	Further cuts to the Public Health budget	The Council and the provider will work together to increase efficiencies under the contract and manage the impact of any future cuts to both volumes and the quality of service delivery. There will be the option to vary the contract if required.
	Potential risk that during the life of the contract the provider will request an inflationary increase against the annual service delivery cost.	The annual cost of the contract is fixed for the initial term of the contract and any price uplifts will not be allowed.
<b>Reputational</b>	New service does not establish in time for commencement date.	There is a three month mobilisation period in place. The service provider is the incumbent provider and so risk is minimal.
<b>Service Delivery</b>	New service does not meet the increased outcomes requested	The Council and the provider will work together with partnership agencies to address any systemic issues affecting the delivery of the service
	Quality of service delivered does not meet objectives and needs.	Strong contract management, monthly meetings and quarterly contract review meetings. Detailed mobilisation period.
		The payment arrangement will be based on block payment plus incentive payment. There will be a core element of payment equal to 90% of budget paid quarterly and the remaining 10% will be allocated to the performance delivery and achieving service KPIs requirements.
<b>Personal data</b>	The service does not conform to the requirements of GDPR	Being the incumbent provider, much work has already been undertaken with SCC information governance leads to address such issues

#### **Financial and Value for Money Implications**

25. Full details of the contract value and financial implications are set out in the Part 2 report.
26. The procurement activity has delivered a solution within budget.
27. The new contract will result in a £3,860 decrease in the cost of the current contract and will also include additional requirements on performance.
28. Providing support and evidence-based interventions for young people's substance misuse is highly cost effective; according to the PHE Return on

Investment Tool (2015), 'every £1 spent on young people's drug and alcohol interventions brings a [cost avoidance] benefit of £1.93 within two years and up to £8.38 in the long term' and 'every £1 spent on drug treatment saves £2.50 in costs to society'.

29. The contract will be funded via the ring fenced Public Health Grant. Commissioning substance misuse services is a function of Public Health, as outlined in the Health and Social Care Act.
30. The payment arrangement will be based on block payment plus incentive payment. There will be a core element of payment equal to 90% of budget paid quarterly and the remaining 10% will be allocated to the performance delivery and achieving service KPIs requirements.
31. There will be an allocated contract manager within Public Health to monitor performance of this contract. Any discrepancies from the set standards will be managed through the payment by results (incentivised payments) arrangements which will result in non-payment of the incentivised allocation if the provider does not meet the required KPIs.
32. Using the social value charter, the new contract will generate a total of £211,393.20 in social value:

Theme	Value
Economy: Develop a strong and competitive local economy	£ 190,073
Environment: Protect and preserve the local environment and natural resources in the area	£ 6,919.20
Innovation: Local volunteering initiatives	£14,400
Total	£ 211,393.20

#### **Section 151 Officer Commentary**

33. The Section 151 Officer can confirm that the proposed contract award for the young people's substance misuse service is within the current budget set for this service in the current Medium Term Financial Plan. It is important to recognise though that spending reductions still need to be identified to offset pressures on other Public Health services in order to balance within Public Health's available financial resources in the current year and future years. The award of this contract will mean that the young people's substance misuse service will not be able to contribute towards these spending reductions and therefore these reductions will need to be identified across other Public Health services.

### **Legal Implications – Monitoring Officer**

34. The Council has a statutory duty under the Children Act 2004 to safeguard and promote children’s wellbeing. Furthermore, the Council has a duty under s.2B of the National Health Service Act 2006 (as amended by the Health and Social Care Act 2012) to take steps for improving the health of the people in its area. The steps that can be taken by the Council include (amongst other things) the provision of services or facilities that are designed to promote healthy living, whether by helping individuals to address behaviour that is detrimental to health or in any other way.
35. As set out in the report, the Council intends to continue the specialist substance misuse service (Service) for young people (eligibility has been extended to now cover young people aged 11-25) within the County. In doing so the Council is supporting young people to address their alcohol and drug use and to reduce the harm it causes them and prevent it from becoming a greater problem as they get older. The specialist Service therefore contributes towards the Council’s compliance with its statutory duties under both the National Health Service Act 2006 and the Children Act 2004.
36. The procurement process for the Service was carried out under the light touch regime of the Public Contracts Regulations 2015 (PCRs). The process carried out met the legal requirements of the PCRs and the Council’s own Procurement Standing Orders. The successful tender has been assessed to be the most economically advantageous to the Council.
37. In compliance with GDPR, the services contract contains a pre-condition that requires the service provider to enter into a data sharing agreement with the Council. The service provider will process large quantities of personal data on behalf of the Council and is responsible for completing data returns to Public Health England (National Drug Treatment Monitoring System) on the Council’s behalf.
38. It is proposed that the Service Provider will offer part of the Service from Council premises so as to be co-located with other Council services and facilitate easy access. The relevant Council premises have previously been offered to the incumbent service provider at no cost; however, as part of the Council’s transformation programme it is proposed that a commercial charge is made for access to these premises. As this requirement arose part way through the tender process, it was agreed that Children’s Services would meet this cost so that the premises (on a shared space basis) continued to be made available to the Service Provider free of charge.
39. In making its decision, Cabinet will need to satisfy itself that the proposed award is the most appropriate course of action and fulfils Cabinet’s fiduciary duties to Surrey residents.

### **Equalities and Diversity**

40. The new contract will continue to work with young people displaying risks associated with their substance misuse. An equalities impact assessment has been written and is available as a background paper (attached); this is a draft working document and will be presented to the Departmental Equalities Group on completion of the award.



EIA FINAL.docx

41. No negative equality impacts have been identified by re-commissioning this service. Any impacts to the staff and users of the service are positive, in relation to extending the eligible age range of service users and therefore being more accessible to vulnerable individuals and their families.

#### **Corporate Parenting/Looked After Children implications**

42. The terms and conditions of the contract stipulate that the provider will comply with the Council's Corporate Parenting/Looked After Children procedures and any legislative requirements, guidelines and good practice as recommended by the Council. This will be monitored and measured through the contractual arrangements.
43. The service will operate a client centred approach, working collaboratively with other Health and Social Care Services which support corporate parenting / looked after children. The service will be required to target priority vulnerable groups including children in need, looked after children and those leaving care.
44. For some young people, the use of drugs or alcohol is a form of 'self medication' which enables them to relieve stress, or block emotionally distressing thoughts. This usage can be heightened amongst groups of children who face additional complexity in their lives, including; looked after children and those seeking asylum.<sup>13</sup> The service will work closely with social care colleagues and offer specialist support to these young people in order to prevent the escalation of long-term substance misuse and improve positive outcomes.

#### **Safeguarding responsibilities for vulnerable children and adults implications**

45. The terms and conditions of the contract stipulate that the provider will comply with the Council's Safeguarding Adults and Children's Multi-Agency procedures, and any legislative requirements, guidelines and good practice as recommended by the Council. This will be monitored and measured through the contractual arrangements.
46. Substance misuse is just one form of risk-taking behaviour, and can be a sign that young people are dealing with adversity, trauma, and/or experimenting with their identities. The service will operate a client centred approach, working collaboratively with other Health and Social Care Services. The service will work within the partnership response to individuals identified through the MASH (Multi-Agency Safeguarding Hub), will provide Early Help interventions and support CFL in building stronger resilient families.

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<sup>13</sup> Young Minds & Addaction (2018) Childhood adversity, substance misuse and young people's mental health – Expert briefing

- 47. Misuse of substances can often escalate, with young people coming into contact with the police or youth justice system. This service will work with partner organisations to reduce the number of vulnerable children and young adults entering the criminal justice system as a result of their substance misuse.
- 48. Substance misuse can significantly impact people’s capacity to parent, which can create an intergenerational cycle of violence, with these children being more likely to expose their own children to adversity and trauma<sup>14</sup>. This service will support the work of CFL to build resilience within families in order to reduce the impact substance misuse has on vulnerable children and adults.

**Public Health implications**

- 49. The service specification stipulates that the provider will develop links and referral mechanisms into other health improvement programmes such as Making Every Contact Count (MECC), You’re Welcome quality criteria and workplace wellbeing.
- 50. Substance misuse in young people rarely occurs in isolation and is often symptomatic of wider problems, often involving other risk-taking behaviours. The new service will ensure clear pathways with other services are further developed which will support the public health needs of the service users – including mental health, smoking cessation, sexual health, safeguarding, domestic abuse and social care services – which will improve positive outcomes for young people.

**WHAT HAPPENS NEXT:**

51. The timetable for implementation is as follows:

Action	Date
Cabinet decision to award (including the end of ‘call in’ period)	31.12.18
10 day Standstill Period ends	14.01.19
Contract Signature	14.01.19
Contract Commencement Date	01.04.19

52. The Council has an obligation to allow unsuccessful suppliers the opportunity to challenge the proposed contract award. This period is referred to as the standstill period.

**Contact Officer:**

Heather Ryder, Senior Public Health Lead, 07813 538898  
 Joanna Madejczyk, Strategic Procurement Manager, 07973 697929

<sup>14</sup> Young Minds & Addaction (2018) Childhood adversity, substance misuse and young people’s mental health – Expert briefing

**Consulted:**

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 Laurence Mascarenhas, CAMHS Transformation Manager, NHS Surrey Heartlands  
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 Lucinda Derry, Principal Accountant, Public health & Health & social care integration,  
 Finance, 07971 664941  
 Marcus Butlin, Public Health Information Analyst, Public Health  
 Nikki Parkhill, Senior Commissioning Manager- Early Help, CFL  
 Ruth Hutchinson, Deputy Director of Public Health, 07515 188274  
 Sarah Haywood, Community Safety Policy and Commissioning Lead, Office of the  
 Police and Crime Commissioner

Members of Surrey's Substance Misuse Partnership

CSF's Rights and Participation Team

**Annexes:**

Annex 1 – Summary of procurement process  
 Annex 2 – EIA  
 Confidential Part 2 Annex

**Sources/background papers:**

Department of Health (2011) Quality criteria for young people friendly health service
Department of Health (2017) Drug Misuse and Dependence – UK Guidelines on Clinical Management
HM Government (2017) Alcohol and drug misuse prevention and treatment guidance, updated 2018
HM Government (2017) The Children and Social Work Act
HM Government (2018) Working Together to Safeguard Children
Home Office (2010) Drug Strategy
Home Office (2017) Drug Strategy
NICE (2017) NG64 Drug misuse prevention: targeted interventions
NICE (2010) PH24 Alcohol-use disorders: prevention
NICE (2015) QS83 Alcohol: preventing harmful use in the community
NICE (2007) CG51 Drug Misuse in over 16s: Psychosocial Interventions
NICE (2007) CG52 Drug Misuse in over 16s: Opioid detoxification
NICE (2016) NG58 Coexisting severe mental illness and substance misuse community health and social care services
NICE (2011) CG120 Psychosis with coexisting substance misuse, assessment and management in health care setting
NICE (2016) NG43 Transition from children to adults services for young people using health or social care service
NICE (2014) PH52 Needle and Syringe Programmes
NICE (2010) PH28 Looked after Children and young people, updated 2015
NICE (2011) CG115 Alcohol use Disorders: Diagnosis, Assessment and Management of Harmful Drinking and Alcohol Dependence
NICE (2015) NG13 Workplace Health Management Practices, updated 2016

NICE (2014) PH50 Domestic violence and abuse: multi-agency working
NICE (2010) CG100 Alcohol-use disorders: diagnosis and management of physical complications, updated 2017
NICE (2012) CG110 Pregnancy and complex social factors: A model for service provision for pregnant women with complex social factors
NTA (2008) Good Practice in Harm Reduction
PHE (2013) Routes to Recovery via the Community
PHE (2018) Young people's substance misuse commissioning support pack 2018-19: principles and indicators
Royal College of Psychiatrists (2012) Practice standards for young people with substance misuse problems, Centre for quality improvement
Surrey Substance Misuse Partnership (2015) Substance Misuse Strategy

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## Annex A – Procurement process

Summary of Procurement process in respect of the contract for the Young People's Substance Misuse Service.

1. The existing contract for the provision of the Young People's Substance Misuse Service will expire on 31 March 2019 with no option to extend further. A full tender process compliant with the Public Contracts Regulations 2015 and Procurement Standing Orders has been carried out following the approval of the Sourcing Plan by the Sourcing Governance Board (SGB) on 7 August 2018.
2. The SGB considered the following options.
  - a. **Option 1 – Re-tender for a new Young People Substance Misuse contract**  
The new service will be redesigned to support Young People age 11-24 years, which increases the eligibility age for those Young People who are 21-24 years old and not currently supported. The service will aim to develop a smooth transition to adults services and develop Early Intervention support for young people. This is a preferred option.
  - b. **Option 2 – Procure joint service with Adult Substance Misuse service**  
It was concluded that the potential risks to service users, particularly to young people accessing the service, was too great to recommend as an option.
  - c. **Option 3 – Decommission the service**  
The current contract has exhausted all available extensions, which means that the service would stop once the contract expires on 31 March 2019. If the service is decommissioned, there would potentially be an increase in offences committed, lower engagement in employment (increased NEET) and long term health risks.
2. In order to implement Option 1, an open procedure was chosen based on the number of potential providers identified to be interested in bidding for this contract at the pre-procurement stage.
3. Action was taken to stimulate interest in the contract opportunity through a Supplier Market Engagement event that was held on 13 June 2018.
4. Following a pre-tender Supplier Market Engagement Event, the invitation to tender was published on 13 August 2018 in the Official Journal of the European Union (OJEU).
5. By the deadline of 24 September 2018 the Procurement Team received 3 tender submissions which were evaluated by the Evaluation Panel.
6. The tenders were evaluated using the award criteria which comprised of 80% Quality Score and 20% Commercial Score.
7. In accordance with best practice, each response to the Quality questions were assessed by 5 evaluators independently and the interview questions were scored by 6 evaluators including a service user. Scores were then moderated and weighted.

8. The formal tender results are subject to the Cabinet approval to award the contract and once approved all bidders will be informed of the tender results.
9. The performance of the contract will be monitored through a series of Key Performance Indicators (KPIs), which are linked to Performance by Results (PbR) payment arrangements. The core budget is worth 90% of the contract price and 10% will be paid on completion of the KPIs.

## 1. Topic of assessment

<b>EIA title:</b>	<b>Surrey Young People’s Substance Misuse Treatment Service</b>
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<b>EIA author:</b>	<b>Heather Ryder – Senior Public Health Lead, Public Health</b>
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## 2. Approval

	<b>Name</b>	<b>Date approved</b>
<b>Approved by<sup>1</sup></b>	Ruth Hutchinson	27.11.18

## 3. Quality control

<b>Version number</b>	2	<b>EIA completed</b>	20.11.18
<b>Date saved</b>	20.11.18	<b>EIA published</b>	

<b>Version</b>	<b>EIA Completed</b>	<b>EIA Published</b>	<b>Key Changes</b>
1	13.06.13	04.07.13	First version of EIA completed. This version of the EIA covers the period from development of service specification and going out to tender in 2012/13
2			
3			
4			
5			

## 4. EIA team

<b>Name</b>	<b>Job title (if applicable)</b>	<b>Organisation</b>	<b>Role</b>
Heather Ryder	Senior Public Health Lead	Surrey County Council	Project sponsor
Cyril Haessig	Public Health Lead	Surrey County Council	Author (2013)

<sup>1</sup> Refer to earlier guidance for details on getting approval for your EIA.

## 5. Explaining the matter being assessed

**What policy, function or service is being introduced or reviewed?**

This Equality Impact Assessment relates to the provision of a Young People’s Substance Misuse Service in Surrey.

**What is the function of this EIA?**

Surrey County Council Public Health are commissioning a new Young People’s Substance Misuse Service with the successful provider commencing in April 2019. The Young People’s Substance Misuse Service is funded primarily by the public health grant, with an additional contribution from Children’s Families and Learning (CFL). The tender for the new contract went live in August 2018. Tenders were returned in September 2018 and evaluated in October 2018. After Cabinet approval in December, mobilisation will begin from January 2019. The service will go live from April 2019. Following a competitive tender process, the incumbent provider will continue to deliver the service on award of the new contract.

**What period does this version of the EIA cover?**

This version of the EIA covers the period from Cabinet approval for the award of the contract to the mobilisation and start of the new contract in April 2019. Some details, for example location of staff, will only be known once the provider begins mobilisation. This EIA will also be updated during business as usual.

Impact of the proposals on staff with protected characteristics will be updated during mobilisation. As there will be no TUPE implications with the incumbent provider winning the new contract, there should be limited impact on staff.

**Why is a new service being commissioned?**

A new service is being commissioned because the existing Young People’s Substance Misuse Service contract will expire on 31<sup>st</sup> March 2019. All possible extensions to the contract have already been implemented.

Recognising the challenging economic climate, savings across all commissioned services are sought through any potential efficiencies to secure better value services. Within the procurement process (a competitive tender) we are seeking to increase the capacity of the service whilst remaining static within the current budget.

The new contract will be for a period of 3 years (with an option of extending the contract for a further 3 years).

**Why do we need a Young People’s Substance Misuse Service in Surrey?**

There is no statutory responsibility for the provision of local substance misuse services for children and young people. However, it is advocated as best practice to safeguard children and young people within Surrey’s five year

Substance Misuse Strategy (2015)<sup>2</sup> which compliments the national drug strategies of 2010<sup>3</sup> and 2017<sup>4</sup>. This can be supported by focusing on three strands; prevention and early identification, building recovery and safer and supportive communities. Public Health’s commissioning of substance misuse services is also based on NICE / PHE approved processes to deliver:

- **Population wide and targeted prevention**, including action on local drug markets, campaigns, building community resilience, prevention programmes targeted at vulnerable young people
- **Harm reduction** including needle exchange, overdose prevention, vaccination, screening and testing for blood borne viruses
- **Specialist treatment services** including care planned treatment that meets best practice guidance, is accessible and focused on achieving behaviour change, community and residential rehabilitation for those that need it, prescribed medications
- **Support for sustained recovery** including referral to education, employment and training opportunities, support in finding and sustaining appropriate housing and the delivery of mutual aid support groups.

The role of specialist substance misuse services is to support young people to address their alcohol and drug use, to reduce the harm it causes them and prevent it from becoming a greater problem as they get older. Services should operate as part of a wider network of universal and targeted prevention services, which aim to support young people with a range of issues and help them to build their resilience such as developing their life skills and their ability to make better choices and deal with difficulties.<sup>5</sup>

Substance misuse in young people rarely occurs in isolation and is often symptomatic of wider problems. The majority of young people presenting to specialist substance misuse services have other problems or vulnerabilities related to their substance use (such as having mental health problems, being ‘looked after’ or not being in education, employment or training<sup>6</sup>) or wider factors that can impact on their substance use (such as offending, self-harming, experiencing sexual exploitation or domestic abuse). Of the 17 vulnerability data categories collected via the National Drug Treatment Monitoring System (Public Health England’s substance misuse data source) - which include being a looked after child, child in need, affected by domestic abuse, sexual abuse, NEET - 80% of young people nationally who entered treatment in 2016-17 disclosed 2 or more vulnerabilities<sup>7</sup>. Therefore, specialist services need to work effectively with a range of other agencies to ensure that all the needs of a young person are met.

<sup>2</sup> Surrey Substance Misuse Strategy 2015 <https://www.healthysurrey.org.uk/your-health/substance-misuse/surrey-substance-misuse-strategy>

<sup>3</sup> Drug Strategy 2010, Home Office <https://www.gov.uk/government/publications/drug-strategy-2010>

<sup>4</sup> Drug Strategy 2017, Home Office <https://www.gov.uk/government/publications/drug-strategy-2017>

<sup>5</sup> <https://www.gov.uk/government/publications/specialist-substance-misuse-services-for-young-people>

<sup>6</sup> <https://www.ndtms.net/Publications/downloads/Young%20People/young-people-statistics-from-the-national-drug-treatment-monitoring-system-2016-17.pdf>

<sup>7</sup> <https://www.ndtms.net/Publications/downloads/Young%20People/young-people-statistics-from-the-national-drug-treatment-monitoring-system-2016-17.pdf>

# EQUALITY IMPACT ASSESSMENT TEMPLATE

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	<p>Recognising the correlation between substance misuse and adverse childhood experiences (ACE), the potential for increasing substance misuse prevalence as based on referral profiles to the Surrey MASH are significant. Surrey's Early Help Needs Assessment (2017)<sup>8</sup> identifies parental substance misuse as well as young people's substance misuse as an area of need, prioritising support for families affected by domestic abuse and poor mental health (child and or adult).</p>
<p><b>What proposals are you assessing?</b></p>	<p>This EIA is assessing the introduction of a new contract for the provision of the Young People's Substance Misuse Service in Surrey. There will be limited changes to the contract currently being delivered.</p> <p>The contract provider will deliver an evidence based young people's substance misuse service that meets national guidance. It will be responsive to the needs of key priority groups that have been identified in the Surrey Substance Misuse Strategy and steered by national guidance as being particularly at risk of substance misuse and associated risky behaviours.</p> <p>Surrey's Young People's Substance Misuse Service will continue to target priority vulnerable groups including:</p> <ul style="list-style-type: none"> <li>• young people at risk of / involved in crime and anti-social behaviour</li> <li>• children in need or children in care and care leavers</li> <li>• unaccompanied asylum seekers</li> <li>• young people at risk of exclusion or excluded or not in education, employment or training (NEET)</li> <li>• young people at risk of sexual exploitation</li> <li>• young people with mental health issues</li> </ul> <p><b>What are the key differences from the current commissioned service?</b></p> <p>The retendered service will continue to deliver universal prevention and education objectives as well as psychosocial and pharmacological interventions for children and young people. The key outcomes remain:</p> <ul style="list-style-type: none"> <li>• Prevent problematic substance misuse</li> <li>• Reduce drug and alcohol related crime</li> <li>• Enable and support the long-term recovery, rehabilitation and social reintegration of people in Surrey affected by substance misuse.</li> </ul> <p>The parents / carers of young people with substance misuse problems will continue to be offered advice and support. Service users will continue to access the service via a range of referral routes including CFL, primary care, education and self-referrals.</p>

<sup>8</sup> <https://www.surreyi.gov.uk/dataset/surrey-early-help-needs-assessment-11-december-2017-final>

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	<p>The service will focus on strengthening links with key stakeholders to increase access to the substance misuse services available, specifically to groups of children and young people who are most vulnerable.</p> <p>Targets for the delivery of substance misuse initiatives are set by Public Health England and are monitored / performance managed locally by Public Health (SCC). Additional targets will also be set to evaluate the quality and innovation of work undertaken by the provider. As part of this we will be engaging with service users to understand their experience of substance misuse services which will inform ongoing commissioning.</p>
<p><b>Who is affected by the proposals outlined above?</b></p>	<p>The Young People’s Substance Misuse Service will remain an open access service for young people living in Surrey. However, the age range will increase from being up to the age of 21 to being up to the age of 25 for young people from the priority vulnerable groups listed, depending on their level of need:</p> <ul style="list-style-type: none"> <li>• young people at risk of / involved in crime and anti-social behaviour</li> <li>• children in need or children in care and care leavers</li> <li>• unaccompanied asylum seekers</li> <li>• young people at risk of exclusion or excluded or not in education, employment or training (NEET)</li> <li>• young people at risk of sexual exploitation</li> <li>• young people with mental health issues</li> </ul> <p>Within 2017/18, 232 young people under the age of 18 received structured treatment (<b>a 12% increase on the previous year</b>); in addition, 94 young people aged between 18-21 received treatment as part of the transitional arrangements within the contract. These young people were assessed as being more appropriate for a young people’s service than being transferred into adult treatment, due to their particular vulnerabilities.</p>

## 6. Sources of information

### Engagement carried out

The updated service specification has been informed by the following processes:

- quarterly performance reviews undertaken by Public Health with the current provider
- engagement with service users
- engagement with a wider cohort of young people through CFL's Rights and Participation Team
- responses from the Health Related Behaviour Questionnaire undertaken by Public Health and CFL across secondary schools in Surrey
- JSNA and PHE commissioning toolkit 2018/19
- engagement with potential bidding organisations
- colleagues within the commissioning team from Public Health and CFL
- Surrey Substance Misuse Partnership

### Data used

The following data was used:

- Contract performance management framework
- Service user feedback
- PHE's Diagnostic Outcomes Monitoring Executive Summary reports (DOMES)
- PHE's service activity reports
- PHE's commissioning toolkit (JSNA support pack for commissioners)
- Surrey JSNA

**7. Impact of the new/amended policy, service or function**

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# EQUALITY IMPACT ASSESSMENT TEMPLATE

## 7a. Impact of the proposals on residents and service users with protected characteristics

Protected characteristic <sup>9</sup>	Potential positive impacts	Potential negative impacts	Evidence
<b>All protected characteristics</b>	See below for more detail on specific characteristics.	As the Young People's Substance Misuse Service will now be open access for young people up to the age of 25, there will be no negative impact on service users.	
<b>Age</b>	<p>The new service will work with young people up to the age of 25 (increasing from the current provision of 21). This increase in age threshold recognises the changes taking place at a local service level and the greater levels of support needed for different groups of vulnerable young people i.e. looked after children are supported up until the age of 25 years before transitioning to adult services.</p> <p>Young people and their needs differ from adults:</p> <ul style="list-style-type: none"> <li>39.3% of young people in treatment resident in Surrey were aged 15 years or under and 60.7% were aged between 16 and 17 years.</li> </ul>	None	<p>'The aim of specialist substance misuse interventions is to stop young people's drug and alcohol use from escalating, to reduce harm to themselves or others and to prevent them becoming drug or alcohol-dependent adults. Specialist substance misuse interventions should be delivered according to a young person's age, their levels of vulnerability and the severity of their substance misuse problem, and should help young people become drug and alcohol-free.' (Drug Strategy 2017).</p> <p>Age appropriate services – Teenagers The World Health Organisation developed the concept of youth friendly services, emphasising that services that provide young people with good experiences are more likely to be effective and used. Based upon this, clear quality criteria for adolescent-friendly health services were developed, validated and published by the DH in 2007 – You're Welcome.<sup>10</sup></p>

<sup>9</sup> More information on the definitions of these groups can be found [here](#).

<sup>10</sup> [https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/216350/dh\\_127632.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/216350/dh_127632.pdf)

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	<ul style="list-style-type: none"> <li>The majority of young people accessing specialist drug and alcohol interventions have problems with alcohol (31%) and cannabis (91%), requiring psychosocial, harm reduction and family interventions, rather than treatment for addiction, which most adults but only a small minority of young people require;</li> <li>Most young people need to engage with specialist drug and alcohol interventions for a short period of time, often weeks, before continuing with further support elsewhere, within an integrated young people's care plan.</li> </ul> <p>Approaches to young people need to reflect that there are intrinsic differences between adults and children and between children of different ages. Services delivered by the Provider will have the appropriate policies and guidelines as well as competent</p>		<p>Local authority commissioned drug and alcohol services need to be sensitive to both the needs of young men and women. This means being confidential, in the right place, open at accessible times and well publicised to reduce the stigma of asking for help and encourage young people to seek early advice.<sup>11</sup></p> <p><u>National Institute of Clinical Excellence (NICE)</u> (NICE quality standards are a set of specific, concise statements that act as markers of high quality, cost effective patient care, covering the treatment and prevention of different diseases and conditions)</p> <ul style="list-style-type: none"> <li>PH4: Interventions to reduce substance misuse among vulnerable young people</li> <li>PH3: Prevention of sexually transmitted infections and under 18 conceptions</li> <li>PH20: Social and emotional wellbeing in secondary education</li> <li>PH64: Drug misuse prevention; targeted interventions</li> <li>PH28: Looked after Children and young people</li> </ul> <p>Royal College of Psychiatrists (2012) Practice standards for young people with substance misuse problems, Centre for quality improvement</p> <p>Department of Health (2011) Quality criteria for young people friendly health service</p> <p>HM Government (2018) Working Together to Safeguard Children</p> <p>HM Government (2017) The Children and Social Work Act</p>
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<sup>11</sup> <https://www.gov.uk/government/publications/independent-experts-set-out-recommendations-to-improve-children-and-young-people-s-health-results>

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	<p>staff to identify the following as a part of service delivery:</p> <ul style="list-style-type: none"> <li>• differences in legal competence</li> <li>• age appropriateness</li> <li>• parental responsibility</li> <li>• confidentiality</li> <li>• “risk” and “significant harm”</li> <li>• family engagement and building resilience</li> </ul>		
<p style="writing-mode: vertical-rl; transform: rotate(180deg);">Page 114</p> <p><b>Disability</b></p>	<p>Accessible Information Standard: From 1st August 2016 onwards, all organisations that provide NHS care or adult social care are legally required to follow the Accessible Information Standard.</p> <p>The Standard aims to make sure that people who have a disability, impairment or sensory loss are provided with information that they can easily read and understand and with support so they can communicate effectively with health and social care services.</p> <p>Substance misuse interventions will be available in a range of different methods. Telephone and online/skype support will be available if service users who</p>	<p>None</p>	<p>The overall welfare of the child is paramount. The service will ensure that this is reflected in every aspect of their work with children and young people. Policies, guidance and protocols with other agencies will be in accordance with the Children Act 1989 and 2004 and the UN Convention on the Rights of the Child.</p> <p>Information on disability is currently collected by the provider. The new service will continue to capture and report this information, helping the commissioners to monitor use of the service by people with disability.</p>

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	<p>may prefer not to attend in person. 1-1 and group sessions will be located across the county in a variety of different venues that will meet accessibility standards. These venues are generally chosen by the service user.</p>		
<p><b>Gender reassignment</b></p>	<p>The Young People’s Substance Misuse Service will be open access for the whole population. Service provision does not vary by gender.</p> <p>Substance misuse interventions will be available in a range of different methods. Telephone and online/skype support will be available if service users who may prefer not to attend in person. 1-1 and group sessions will be located across the county in a variety of different venues that will meet accessibility standards. These venues are generally chosen by the service user.</p>	<p>None</p>	<p>No data is available on substance misuse prevalence for young people who have undergone gender reassignment.</p> <p>The new service will ensure that service users are provided with options on how they self-identify their gender, including if their gender is the same as the sex assigned at birth and options to ‘prefer not to say’, helping the commissioners to monitor use of the service.</p>
<p><b>Pregnancy and maternity</b></p>	<p>The Young People’s Substance Misuse Service will be open access for the whole population. Service provision does not vary in relation to pregnancy,</p>	<p>None</p>	<p>The impact of substance misuse during pregnancy on maternal and foetal health is significant in terms of morbidity, mortality and healthcare costs. During routine initial assessments, the service provider will establish if a service user is pregnant; the current provider has not</p>

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	<p>although a pregnant service user will be prioritised.</p> <p>The service will continue to deliver a range of interventions aimed at addressing risky behaviours. This will include preventative measures aimed at promoting safe sex and contraception.</p> <p>The service will work alongside relevant agencies to support pregnant young women and young mothers as part of a holistic approach to responding to their needs.</p> <p>Substance misuse interventions will be available in a range of different methods. Telephone and online/skype support will be available if service users who may prefer not to attend in person. 1-1 and group sessions will be located across the county in a variety of different venues that will meet accessibility standards. These venues are generally chosen by the service user.</p>		<p>identified any cases of pregnant service users within 2017/18.</p> <p><i>National Institute of Clinical Excellence (NICE)</i>  <i>(NICE quality standards are a set of specific, concise statements that act as markers of high quality, cost effective patient care, covering the treatment and prevention of different diseases and conditions)</i></p> <ul style="list-style-type: none"> <li>• H4: Interventions to reduce substance misuse among vulnerable young people</li> <li>• PH3: Prevention of sexually transmitted infections and under 18 conceptions</li> <li>• PH20: Social and emotional wellbeing in secondary education</li> <li>• PH64: Drug misuse prevention; targeted interventions</li> <li>• PH28: Looked after Children and young people</li> </ul> <p>Royal College of Psychiatrists (2012) Practice standards for young people with substance misuse problems, Centre for quality improvement</p> <p>Department of Health (2011) Quality criteria for young people friendly health service</p> <p>HM Government (2018) Working Together to Safeguard Children</p> <p>HM Government (2017) The Children and Social</p>
<p><b>Race</b></p>	<p>The service will continue to be accessible and attractive to all young people without any</p>	<p>None</p>	<p>The service will continue to be expected to deliver interventions in a way which improve the engagement and</p>

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	<p>discrimination. The service will reflect the age, culture, gender, ethnicity, sexual orientation, religious beliefs and any form of disability of the target groups.</p> <p>Particular consideration will be given to the accessibility of services to young people, particularly opening times, location and age appropriate publicity.</p> <p>Substance misuse interventions will be available in a range of different methods. Telephone and online/skype support will be available if service users who may prefer not to attend in person. 1-1 and group sessions will be located across the county in a variety of different venues that will meet accessibility standards. These venues are generally chosen by the service user.</p>		<p>retention in treatment of clients from an ethnic background. The service will co-operate with the local authority in carrying out its responsibilities towards children and young people; in particular it will work in partnership with the local authority in carrying out its legal responsibilities and duties to children. The passing of the Children Act 2004 establishes a statutory duty on all services, both voluntary and statutory, to safeguard and promote children's wellbeing.</p>
<p><b>Religion and belief</b></p>	<p>The service will continue to be accessible and attractive to all young people without any discrimination. The service will reflect the age, culture, gender, ethnicity, sexual orientation,</p>	<p>None</p>	<p>The service will co-operate with the local authority in carrying out its responsibilities towards children and young people; in particular it will work in partnership with the local authority in carrying out its legal responsibilities and duties to children. The passing of the Children Act 2004 establishes a statutory duty on all services, both voluntary</p>

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	<p>religious beliefs and any form of disability of the target groups. Particular consideration will be given to the accessibility of services to young people, particularly opening times, location and age appropriate publicity.</p> <p>Substance misuse interventions will be available in a range of different methods. Telephone and online/skype support will be available if service users who may prefer not to attend in person. 1-1 and group sessions will be located across the county in a variety of different venues that will meet accessibility standards. These venues are generally chosen by the service user.</p>		<p>and statutory, to safeguard and promote children's wellbeing.</p>
<p><b>Sex</b></p>	<p>Service provision does not vary by sex or gender and will be open access to all young people under the age of 25.</p> <p>The service will be accessible and attractive to all young people without any discrimination. The service will need to reflect the age, culture, gender, ethnicity, sexual orientation, religious beliefs and</p>	<p>None</p>	<p>During 2017/18, 63.7% of young people in treatment were male and 36.3% were female.</p> <p>The service will co-operate with the local authority in carrying out its responsibilities towards children and young people; in particular it will work in partnership with the local authority in carrying out its legal responsibilities and duties to children. The passing of the Children Act 2004 establishes a statutory duty on all services, both voluntary and statutory, to safeguard and promote children's wellbeing.</p>

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	<p>any form of disability of the target groups.</p> <p>Particular consideration will be given to the accessibility of services to young people, particularly opening times, location and age appropriate publicity.</p> <p>Substance misuse interventions will be available in a range of different methods. Telephone and online/skype support will be available if service users who may prefer not to attend in person. 1-1 and group sessions will be located across the county in a variety of different venues that will meet accessibility standards. These venues are generally chosen by the service user who can also specify a preference for a male or female worker.</p>		
<p><b>Sexual orientation</b></p>	<p>The service will be accessible and attractive to all young people without any discrimination. The service will need to reflect the age, culture, gender, ethnicity, sexual orientation, religious beliefs and any form of disability of the target groups.</p>	<p>None</p>	<p>The service will co-operate with the local authority in carrying out its responsibilities towards children and young people; in particular it will work in partnership with the local authority in carrying out its legal responsibilities and duties to children. The passing of the Children Act 2004 establishes a statutory duty on all services, both voluntary and statutory, to safeguard and promote children's wellbeing.</p>

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	<p>Particular consideration will be given to the accessibility of services to young people, particularly opening times, location and age appropriate publicity.</p> <p>Substance misuse interventions will be available in a range of different methods. Telephone and online/skype support will be available if service users who may prefer not to attend in person. 1-1 and group sessions will be located across the county in a variety of different venues that will meet accessibility standards. These venues are generally chosen by the service user who can also specify a preference for a male or female worker.</p>		<p>The service will work alongside schools, youth services and other relevant organisations which have the greatest potential to impact on young peoples' lives.</p> <p>Young people need a learning environment which is tolerant of their sexuality and does not attach a social stigma to it. Schools can support this through adopting explicit anti-homophobic bullying policy, taking action against homophobic bullying and promoting greater awareness of lesbian and gay issues.</p> <p>LGBTQ young people are more likely to be able to handle the factors associated with poor outcomes if they have a strong support network in place. Youth services can improve young people's resilience towards the unique pressures they face through supporting them in building networks of support that they can rely on.</p> <p>LGBTQ young people also have specific health needs. Health services need to be able to provide relevant information and contact details of support organisations for young LGBT people, their families and friends. Health professionals need to possess the skills to enable them to facilitate disclosure by young LGBT people, and understand the importance of confidentiality for this group. Health services also need to offer provision that reflects some of the outcomes that are more prevalent within this cohort, such as suicide and self-harm.</p> <p>It will be expected of the new service to work to the standards set out above.</p>
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<p><b>Marriage and civil partnerships</b></p>	<p>Service provision does not vary by marital status and will be open access to all young people under the age of 25.</p> <p>Substance misuse interventions will be available in a range of different methods. Telephone and online/skype support will be available if service users who may prefer not to attend in person. 1-1 and group sessions will be located across the county in a variety of different venues that will meet accessibility standards. These venues are generally chosen by the service user who can also specify a preference for a male or female worker.</p>	<p>None</p>	<p>The service will co-operate with the local authority in carrying out its responsibilities towards children and young people; in particular it will work in partnership with the local authority in carrying out its legal responsibilities and duties to children. The passing of the Children Act 2004 establishes a statutory duty on all services, both voluntary and statutory, to safeguard and promote children's wellbeing.</p> <p>No data is available on smoking prevalence by marital status.</p>
<p><b>Children in Care / Care Leavers</b></p>	<p>Service provision does not vary by children in care / care leaver status and will be open access to all young people under the age of 25. However, children in care/care leavers are identified as a priority group and the service provider will endeavour to ensure that engagement with this cohort is prioritised.</p> <p>Substance misuse interventions will be available in a range of different methods. Telephone and online/skype support will be</p>	<p>None</p>	<p>During 2018/19, 7% of young people accessing treatment services identified themselves as being a Looked After Child (LAC). Children in care and care leavers are often more at risk of substance misuse than those who are not in care and are likely to be disproportionately affected by any changes in substance misuse services.</p> <p>It is essential to ensure clear signposting to national and local resources working closely with social services and schools to raise awareness of services available and how to access substance misuse services if needed.</p>

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	<p>available if service users who may prefer not to attend in person. 1-1 and group sessions will be located across the county in a variety of different venues that will meet accessibility standards. These venues are generally chosen by the service user who can also specify a preference for a male or female worker.</p>		
<p>Page 122</p> <p><b>Young Offenders</b></p>	<p>Service provision does not vary by young offender status and will be open access to all young people under the age of 25. However, children in care/care leavers are identified as a priority group and the service provider will endeavour to ensure that engagement with this cohort is prioritised.</p> <p>Substance misuse interventions will be available in a range of different methods. Telephone and online/skype support will be available if service users who may prefer not to attend in person. 1-1 and group sessions will be located across the county in a variety of different venues that will meet accessibility standards. These venues are generally chosen by the service</p>	<p>None</p>	<p>During 2018/19, 6% of young people accessing substance misuse services in Surrey were referred by the Youth Justice; 21% reported having engaged in anti-social behaviour and/or criminal activity.</p> <p>Youth offenders tend to be over-represented within substance misuse services and are therefore likely to be disproportionately affected by any changes to service delivery. However, a current pilot for the service to work in close partnership with Surrey Police and CFL in screening all young people receiving a Youth Restorative Intervention for possession of drugs (usually cannabis) will engage directly with the Young People's Substance Misuse Service through group work sessions and ongoing 1-1 work where required.</p>

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	user who can also specify a preference for a male or female worker.		
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## 7b. Impact of the proposals on staff with protected characteristics

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
Age			
Disability			
Gender reassignment			
Pregnancy and maternity			
Race			
Religion and belief			
Sex			

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<b>Sexual orientation</b>			
<b>Marriage and civil partnerships</b>			

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## 8. Amendments to the proposals

Change	Reason for change
N/A	N/A

## 9. Action plan

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
As the Young People's Substance Misuse Service will remain open access for young people up to the age of 25 years and resident in Surrey, there will be no negative impact on service users with protected characteristics.	Transition planning between young people's and adult service providers has been built in to enable a smooth transfer of individuals	Ongoing	Commissioner and service provider
Monitoring performance indicators to track effectiveness of engaging with a wider cohort of young adults in addressing their substance misuse.	Any negative impacts are identified and appropriate action taken to help address issue.	Ongoing	Commissioner and service provider

## 10. Potential negative impacts that cannot be mitigated

Potential negative impact	Protected characteristic(s) that could be affected
There are no potential negative impacts that cannot be mitigated	

## 11. Summary of key impacts and actions

<b>Information and engagement underpinning equalities analysis</b>	<ul style="list-style-type: none"> <li>• Quarterly performance reviews undertaken by Public Health with the current provider</li> <li>• Engagement with service users</li> <li>• Engagement with a wider cohort of young people through CFL's Rights and Participation</li> </ul>
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	<p>Team</p> <ul style="list-style-type: none"> <li>• Responses from the Health Related Behaviour Questionnaire undertaken by Public Health and CFL across secondary schools in Surrey</li> <li>• JSNA and PHE commissioning toolkit 2018/19</li> <li>• Engagement with potential bidding organisations</li> <li>• Colleagues within the commissioning team from Public Health and CFL</li> <li>• Surrey Substance Misuse Partnership</li> </ul>
<b>Key impacts (positive and/or negative) on people with protected characteristics</b>	<ul style="list-style-type: none"> <li>• Universal service available to all young people under the age of 25 years and resident in Surrey</li> <li>• Targeted support for in priority groups</li> <li>• Increase in service users accessing treatment for substance misuse.</li> </ul>
<b>Changes you have made to the proposal as a result of the EIA</b>	Continue to monitor and update EIA throughout mobilisation process
<b>Key mitigating actions planned to address any outstanding negative impacts</b>	<ul style="list-style-type: none"> <li>• Maintain oversight of the implementation of the service to ensure identified actions are carried out</li> <li>• Continue to monitor and update EIA throughout mobilisation process</li> </ul>
<b>Potential negative impacts that cannot be mitigated</b>	None

**SURREY COUNTY COUNCIL****CABINET****DATE: 18 DECEMBER 2018****LEAD OFFICER: JASON RUSSELL, EXECUTIVE DIRECTOR HIGHWAYS,  
TRANSPORT & ENVIRONMENT****SUBJECT: PREPARATION OF THE NEW SURREY WASTE LOCAL PLAN:  
SUBMISSION PLAN****SUMMARY OF ISSUE:**

Surrey County Council is the Waste Planning Authority and so is responsible for setting planning policy that is used in making decisions on planning applications for waste management facilities in Surrey. The current Surrey Waste Plan includes such policies (with allocations of land suitable for waste management) and was adopted in 2008 and is now being replaced by a new plan.

Preparation of the new plan, known as the 'Surrey Waste Local Plan' (the Plan), has undergone several stages of public consultation, including on the Draft Plan between November 2017 and February 2018. The text of the final draft of the Plan (known as the 'Submission' draft) has been prepared reflecting consultation, further evidence gathering and site assessment. It seeks to ensure that waste is managed in the most sustainable way and that facilities will not result in unacceptable impacts on communities and the environment either directly or through vehicle movements.

In accordance with the plan making regulations (Town and Country Planning (Local Planning) (England) Regulations 2012 (as amended)), the council must submit the Submission Plan to the Secretary of State for examination of its legality and soundness. Prior to submitting the Submission Plan, the council must publish it for a period of at least six weeks to allow representations to be made on its soundness and legality.

The timetable for preparing the Plan has changed to reflect the need for additional time to assess responses to the consultation on the Submission Plan and the revised National Planning Policy Framework. In accordance with the regulations, the Council must reflect the change to the timetable in its Minerals and Waste Development Scheme (MWDS) which sets out its planning policy documents and its programme for revising these documents. The MWDS also sets out a broad timetable for the review of the Surrey Minerals Plan.

The Council's Statement of Community Involvement (SCI) sets out how communities are involved in planning policy and planning applications. This document also needs to be updated to reflect a new requirement that such documents explain how councils will support neighbourhood planning and to reflect key learnings from the consultation carried out for the Plan. When updating SCIs it is best practice to consult on a draft document prior to its adoption.

The Government has indicated that it will publish a new 'Resources and Waste Strategy' by the end of 2018. While it is not expected that the new Strategy will require changes to the Plan, its publication will be closely monitored.

#### **RECOMMENDATIONS:**

It is recommended that Cabinet agrees:

1. The council submits the Surrey Waste Local Plan (Submission Plan) (see Annexes 1 and 2) to the Secretary of State following its publication for representations under Regulation 19 of the Town and Country Planning (Local Planning) (England) Regulations 2012.
2. The Executive Director of Highways, Transport & Environment be given delegated authority to approve any non-material changes to the Plan in consultation with the Cabinet Member for Environment & Transport prior to its publication and during its Examination.
3. The Council's revised Minerals and Waste Development Scheme December 2018 (See Annex 3) is agreed.
4. The Council publishes an updated draft Statement of Community Involvement for consultation in Spring 2019

#### **REASON FOR RECOMMENDATIONS:**

It is a statutory requirement for Surrey County Council to have a Waste Local Plan and the National Planning Policy Framework (NPPF) emphasises that Local Plans should be kept up to date<sup>1</sup>. A new Surrey Waste Local Plan (the Plan) is being prepared that will replace the 2008 Surrey Waste Plan (SWP) and will cover the period from 2018 to 2033. The Plan will ensure that planning policy for the management of waste reflects a more recent assessment of the need for waste management in Surrey as well as the current and likely future opportunities and constraints for such development. Regulations governing the plan making process require that such plans are submitted to the Secretary of State following a period for representations on soundness and compliance with relevant legislation<sup>2</sup>.

The Plan includes a vision for Surrey to be sustainable in terms of waste management. This means encouraging communities to prevent waste and to manage waste that is produced in the most sustainable way by providing recycling and recovery facilities in the right locations at the right time. The Plan expects facilities to maximise the resource potential of waste by managing waste as high up on the waste hierarchy as possible.

Waste data is published annually in November and the published Plan will include the latest available 2017 data and any consequent non-material changes to the Plan. Such changes, and any other minor changes considered desirable, will be made by the Executive Director, in consultation with the Cabinet Member, prior to the Plan publication in mid-January 2019.

<sup>1</sup> The revised National Planning Policy Framework was published on 24 July 2018

<sup>2</sup> Regulation 19 of The Town and Country Planning (Local Planning) (England) Regulations 2012

The associated timetable for preparing the Plan and statement on how communities are involved in the preparation of planning policy and consultation on planning applications also require updating to ensure they reflect the current programme for preparing the Plan and new legislative requirements.

## DETAILS:

### Introduction

1. Surrey County Council is the Waste Planning Authority (WPA). The Planning & Compulsory Purchase Act (2004) as amended by the Localism Act (2011) requires all minerals and waste planning authorities to prepare and maintain a Minerals and Waste Development Scheme (MWDS), setting out what planning policy document the county council has adopted and when these documents will be reviewed.
2. As the WPA, the council is required under the Planning and Compulsory Purchase Act 2004 to produce a local plan which sets out how waste will be managed in Surrey. The WPA uses the policies in its waste local plan to inform decisions on planning applications for development related to the management of waste. This is distinct from its role as the Waste Disposal Authority (WDA).
3. The current waste local plan is the Surrey Waste Plan that was adopted in 2008. The new Plan will cover the period up to 2033. The Plan considers all major waste streams including: commercial and industrial (C&I) waste, construction, demolition and excavation waste (C,D&E), as well as waste produced by households.
4. The key stages in preparing the Plan are set out below and include the preparation of a draft plan followed by the submission of a final draft (known as the 'Submission Plan') to the Secretary of State (SoS) for examination.



Figure 1 Stages of preparing the new Surrey Waste Local Plan

5. The timetable has been updated to reflect additional time taken to assess the responses to the consultation on the Draft Plan which included the need for

detailed technical assessment and the implications of the revised NPPF published in July 2018. The county council is required to publish an up to date programme for preparing the Plan in its Local Development Scheme (LDS), and, as the timetable has changed an update to the LDS is required.

### **Content of the Submission Plan**

6. The text of the Submission Plan has now been finalised and this is presented in Annexes 1 and 2. The Submission Plan is presented in two parts: Part 1 includes the context, vision and objectives and associated policies (Annex 1). Part 2 includes details of land identified as offering opportunities for waste development (Annex 2). This land is identified as five specific sites and 22 areas of search.
7. The Submission Plan needs to be 'sound' which means it should be positively prepared, justified, effective and consistent with national policy. The Submission Plan is therefore based on an up to date evidence base (including technical assessments) and has taken into account consultation on the Draft Plan and further discussion with stakeholders.
8. The Submission Plan will allow for the development of facilities capable of managing waste in Surrey in the most sustainable way, consistent with national policy.
9. The Government has indicated that it will publish a new 'Resources and Waste Strategy' by the end of 2018. This strategy follows on from the Government's 25 Year Environment Plan and will likely reflect the EU Circular Economy Package that was adopted by member states in May 2018.
10. The Government has said it will honour commitments in this circular economy package post Brexit which amongst other things includes targets for recycling and diversion from landfill that have been taken into account in the Plan. The Strategy is expected to include measures to incentivise manufacturers of goods, including packaging, to use recycled materials and ensure their products can be more easily re-used and recycled. While it is not expected that the new Strategy will require changes to the Plan, its publication will be closely monitored.

### **Vision, Strategic Objectives, Spatial Strategy and Policies**

11. The Submission Plan includes a vision and strategic objectives and a spatial strategy based on preferred options identified through the issues and options consultation in late 2016. The spatial strategy seeks to direct additional waste management capacity to land that has been previously developed and on sites that are well connected to producers of waste e.g. homes and businesses. The Vision and objectives are consistent with the Waste Disposal Authority's County strategy for managing household waste.
12. A simple diagram has been included in the Submission Plan to help clarify how different types of land are preferred for development. One of the key influences on land use in Surrey is the Green Belt which is reflected in the hierarchy.
13. The plan's policies are intended to implement the objectives of the Submission Plan. Therefore the policies set how and where different types of

waste management should take place and the issues that development needs to consider.

14. Some of the policies will require implementation by district and borough councils in Surrey. These policies require proposals for any type of development over a certain size to consider how waste arising from the development can be managed sustainably and also concern the safeguarding of waste management facilities from development that might hinder their operation.

### Allocated Sites

15. By estimating future waste arisings and calculating current waste management capacity it has been established that there is a 'capacity gap' in the county i.e. a need for additional waste management capacity – particularly the recovery of waste that cannot be recycled e.g. energy from waste. The Draft Plan identified nine potential sites to meet the capacity gap but an updated waste needs assessment has revealed that five sites will be sufficient.
16. The selection of the five strategic sites<sup>3</sup> followed an assessment of over 200 sites. Matters considered as part of the selection process are set out in a separate background document and technical assessments but these included: Flood risk; transport; habitats (including assessment required by the Habitats Regulations); landscape; air quality and health. During consultation on the Draft Plan, further nominations for alternative sites were invited to ensure no opportunities have been overlooked.
17. Allocation of a site does not mean that any proposal for development in that location would automatically be granted planning permission and Part 2 of the Submission Plan provides details of the matters that would need to be addressed. An indication of the range of waste management facility types that could be accommodated is also set out. As shown below four of the sites are already identified in the current SWP.

Site	Site in 2008 SWP	Site in Green Belt
Former Weylands STW, Hersham	Yes	Yes
Land NE of Slyfield Industrial Estate, Guildford	Yes	No
Randalls Road, Leatherhead	Yes	Yes
Oakleaf Farm, Stanwell Moor	Yes	Yes
Land at Lambs Business Park, South Godstone	No	Yes

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<sup>3</sup> To be strategic these sites need to be capable of processing at least an additional 20,000 tonnes of waste per annum

18. In addition, in line with the national Planning Practice Guidance for waste<sup>4</sup> (nPPG) and the Joint Municipal Waste Management Strategy (JMWMS) (Appendix 1 - Action Plan) which includes the need to deliver new infrastructure for processing Dry Mixed Recyclables<sup>5</sup> (DMR), the following allocation is also included:

Site	Site in 2008 SWP	Site in Green Belt
Land adjacent to Trumps Farm, Longcross	Yes	Yes

19. The site at Trumps Farm, Longcross will be allocated specifically for the development of a facility to process DMR in line with the JMWMS and any supporting plans and strategies.
20. As suitable land for waste management in urban areas is difficult to find, particularly in a county such as Surrey, five of the sites are located in the Green Belt, albeit they include previously developed land and sites which are being considered for removal from Green Belt by District and Borough local plan reviews. In accordance with national policy, to be granted permission, any proposal on a Green Belt site would have to demonstrate 'very special circumstances'.

### Industrial Land Areas of Search

21. To further guide development to suitable locations, Part 2 of the Submission Plan also identifies areas of land allocated in district and borough council local plans as suitable for employment uses; specifically use classes B2 (general industrial) and B8 (storage or distribution). In many instances, the recycling and processing of waste can be carried out within modern, purpose-designed buildings that can be located in urban areas and industrial estates.
22. The areas, known as 'Industrial Land Areas of Search', are largely occupied by existing businesses but could offer opportunities for waste uses as and when properties are vacated. Identification of these ILAS has involved discussion with District and Borough Councils.

### Statement of Community Involvement

23. The Council's Statement of Community Involvement (SCI) sets out how the authority will engage and consult communities on planning policy and planning applications. Since adoption of the SCI in 2015, new legislation has been enacted that requires an authority's SCI to set out how it will support neighbourhood planning. The SCI will also be updated to reflect key learnings from the preparation of the Plan.

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<sup>4</sup> "Circumstances when it may be more appropriate to prescribe a specific technology include...for any facilities to deal with municipal waste where a clear service development strategy is required" (Paragraph: 019).

<sup>5</sup> Clean dry recyclates composed of: paper, cardboard, metal cans and plastics

24. A draft updated SCI has been prepared and, in accordance with best practice, a period of public consultation is proposed in Spring 2019 after the period for representations on the Submission Plan. The updated SCI will be updated in light of consultation responses and reported in Summer 2019, with a recommendation that it be adopted by Council.

### Statements of Common Ground

25. Revisions to National Planning Policy Framework made in July 2018 require strategic plan making authorities to prepare Statements of Common Ground (SoCG) concerning strategic policies on cross boundary matters with relevant bodies. SoCG are therefore being prepared with district and borough councils and other waste planning authorities. The Submission Plan sets out the progress in preparing SoCG.

### CONSULTATION:

26. There are several key stages of public consultation associated with the preparation of the Plan (Figure 1). This includes the Issues and Options consultation (agreed by Cabinet on 14 July 2016) and the Draft Plan consultation.
27. The Draft Plan was published for comments for 12 weeks (including additional time for Christmas bank holidays) from 1 November 2017 to 7 February 2018, in accordance with Surrey County Council's Statement of Community Involvement. An overview of the comments made during the consultation is included below. The Draft Plan Consultation Summary Report reports on the results of the consultation in more detail and sets out how comments made were considered, including resulting changes to the Plan.
28. A Submission Plan Consultation Statement has also been prepared in accordance with Regulation 22 of The Town and Country Planning (Local Planning) (England) Regulations 2012. This document sets out the bodies and persons the local planning authority invited to make representations on the proposed content of the Plan and how the consultations undertaken accord with the council's adopted SCI.
29. Duty to Cooperate<sup>6</sup> is an important element of Local Plan making. The WPA has a 'Duty to Cooperate' with certain organisations<sup>7</sup>. The Local planning authority must demonstrate how it has complied with the Duty at the independent examination of their Local Plan. The WPA have prepared a Duty to Cooperate Statement which demonstrates how they have discharged this duty.

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<sup>6</sup> Section 33A of the Localism Act 2011

<sup>7</sup> As identified in Regulation 4 of The Town and Country Planning (Local Planning) (England) Regulations 2012

## Comments on Draft Vision, Strategic Objectives, Spatial Strategy and Policies

30. There was support for the draft vision and the principles set out in the draft objectives. The importance of waste management in supporting a healthy economy in Surrey was recognised and there was support for the aim of net self-sufficiency. There was particular support for increases in prevention, re-use, recycling, and recovery of waste to minimise landfill.
31. Support was expressed for policies in the Plan. Some amendments to the policies, mainly to improve their effectiveness, have been made in response to comments, including those from some district and borough councils.
32. It was suggested that a greater emphasis was needed on environmental protection and the ambitiousness of the recycling targets was questioned, though the need for the targets to be achievable was acknowledged.

## Comments on Proposed Sites

33. Many of the comments were from residents opposed to the allocation of a site for waste management in their area. These comments related to all of the proposed sites, with sites proposed at Lambs Business Park and Oakleaf Farm receiving the most comments.
34. Comments mentioned the potential impact of waste related development on residents, their quality of life and the environment. These included impacts on transport (in particular increased HGVs, noise, congestion, vehicle and pedestrian safety), visual intrusion, flood risk and air quality, as well as impacts on habitats and biodiversity. Other concerns related to potential impacts on sensitive receptors (such as schools and hospitals) as well as areas designated as being of landscape, historic, scientific or environmental importance.
35. For sites proposed within the Green Belt, the importance of adhering to national policy and the need for any such development to demonstrate 'very special circumstances' was highlighted. In addition, the deliverability of some of the sites was questioned.
36. There was a strong desire for the Plan to specify the types of waste management that might be suitable at allocated sites. There was also a desire for the potential impacts of any development at allocated sites to be considered in-combination with impacts from other forms of development nearby.
37. Ten additional sites were nominated for inclusion in the plan. All but one of these sites have previously been considered and rejected in the site identification and evaluation process<sup>8</sup>. Following further consideration, none of the sites nominated have been carried forward for inclusion in the Plan.

## General Comments on the Draft Plan

38. There was strong support for partnership working, including with district and borough councils and other authorities. Several respondents noted the Plan

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<sup>8</sup> As set out in the Site Identification and Evaluation Report, 2018

appeared thorough and sound, though there were also concerns that the documents were complex and lengthy.

### **Member Reference Group**

39. A Member Reference Group (MRG) provided input by acting as a 'critical friend' to the process of preparing the Plan and has engaged at various stages of the Plan's preparation, this has included reviewing the evidence supporting the Plan and commenting on its content.
40. The MRG was initially established by the Economic Prosperity, Environment and Highways Board in June 2016. The MRG was then reconvened by the Environment & Infrastructure Select Committee on 5 October 2017 when its revised terms of reference were agreed.

### **RISK MANAGEMENT AND IMPLICATIONS:**

41. It is important that Council's minerals and waste plans remain effective and compliant with national legislation and policy. Failure to do so could lead to successful challenges to decisions on relevant planning applications, whereby they are overturned and costs are potentially awarded against the Council.
42. The WPA is managing this risk by being proactive about reviewing the SWP 2008 to ensure that planning policy concerning the management of waste in Surrey remains up-to-date and compliant with national legislation and policy and takes account of the most recent local context affecting the management of waste.

### **Financial and Value for Money**

43. The additional cost of reviewing the SWP was agreed by Cabinet in December 2014. The review was expected to cost £0.3m, although it was acknowledged that costs could be as high as £0.5m depending on external factors. Costs will arise over four years from 2016/17 to 2019/20.
44. Additional costs already incurred in 2016/17 and 2017/18 amount to £0.037m. These have been met by the service. Costs for 2018/19 and 2019/20 are estimated to be up to £0.313m, including contingency, to be met from New Homes Bonus funding. This spend includes consultant support to deliver the new Plan and an independent public examination that includes public hearings. By anticipating issues and through the early engagement of stakeholders we are seeking to minimise the time and cost of the independent examination.

### **Section 151 Officer Commentary**

45. The aims of the Surrey Waste Local Plan are consistent with managing waste in a value for money manner. The costs of agreeing and implementing the plan are allowed for in the council's Medium Term Financial Plan.

### **Legal Implications – Monitoring Officer**

46. Surrey County Council is the WPA for Surrey. It is required by the Planning and Compulsory Purchase Act 2004 (as amended) to prepare development

plan documents and other documents that provide the framework for delivering waste planning policy in Surrey.

47. The act also requires every planning authority to prepare a development scheme which sets out the programme for the preparation of development plan documents and a Statement of Community Involvement which sets out communities will be involved in the preparation of planning policy.
48. During its preparation, the Plan has been the subject of Strategic Environmental Assessment in accordance with the Environmental Assessment of Plans and Programme Regulations 2004, and an Appropriate Assessment in accordance with the Conservation of Habitats and Species Regulations 2017.
49. The resulting Environment Sustainability Report and the Habitats Regulations Assessment will be published for consultation alongside the Plan and will be taken into consideration when making decisions with regard to the Plan. These reports are available as background papers.

#### **Equalities and Diversity**

50. In order to develop the Plan the WPA are required to carry out several stages of plan preparation and public consultation. An Equalities and Diversity Assessment (EqIA) has been prepared under the Equalities Act 2010. We have reviewed our EqIA at each stage to ensure that we capture and address any equalities issues that have arisen. The EqIA is attached to this report as Annex 4.

#### **Environmental sustainability implications**

51. In accordance with relevant legislation, a Sustainability Appraisal (SA) of the Plan is required. SA considers the performance of the Plan against social, economic and environmental objectives relevant to Surrey.
52. A Draft SA was undertaken at the Draft Plan stage and its recommendations have been taken into account in the Submission Plan. An SA of the Submission Plan has also been completed and, in response to its recommendations, it is considered that no further changes to the Plan are required. The SA is provided as a background report to this Cabinet Report.
53. The Plan seeks to encourage waste to be managed in the most sustainable way. In this regard it is considered that it will have positive implications for the council's environment and sustainability priorities.

#### **Public health implications**

54. The Plan has reviewed the potential implications for health through a Health impact Assessment. As a result there are unlikely to be significant impacts to public health as a result of the policies and sites in the Plan. In particular the Plan has policies which seeks to protect human health.

#### **WHAT HAPPENS NEXT:**

55. It is proposed that the Submission Plan be published for representations from 14 January 2019 to 24 February 2019. Following receipt of representations,

the Submission Plan, supporting evidence and the representations will be submitted to the Secretary of State who will then appoint a planning inspector to hold an independent examination to consider the soundness and legality of the plan. On behalf of the inspector, the county council will appoint a programme officer who will be responsible for co-ordinating the examination and communicating with representors.

56. During the examination, the planning inspector will consider all representations received and may choose to convene public hearings. If requested by the county council, the inspector can discuss changes to the plan needed to ensure its soundness (known as 'main modifications'). If such changes are necessary, these will be reported to Cabinet for agreement prior to being published for representations. Ultimately the Plan can only be adopted by the county council following receipt of an Inspector's report that finds the Plan sound and legally compliant. Adoption of the Plan would be a decision for Council.
57. During the process, minor changes to the plan may be needed (other than those relating to formatting and grammar) and it is proposed that the agreement to such changes be delegated to the Executive Director of Highways, Transport & Environment in consultation with the Cabinet Member for Environment & Transport. The Government has said it will publish a Resources and Waste Strategy in late 2018 and minor changes may be needed to reflect this – if major changes are required these will be reported to Cabinet.
58. The above stages and anticipated timings are set out in the MWDS (see Annex 3). These are subject to such matters as the availability of an Inspector and the extent to which main modifications are required.

**Contact Officer:**

Paul Sanderson, Minerals and Waste Planning Policy Team Leader, 020 8541 9949  
Katelyn Symington, Principal Planning Policy Officer, 020 8541 7933

**Consulted:**

Internal Consultation:

Environment Select Committee  
Surrey Waste Local Plan Member Reference Group  
Cabinet Member for Environment and Transport

External Consultation:

Public Consultation on Issues and Options  
Public Consultation on Draft Plan (See Draft Plan Consultation Summary Report 2018)  
Duty to Cooperate Bodies<sup>9</sup> prescribed bodies including the Environment Agency, Historic England and Natural England  
District and Borough Planning Officers and members  
Waste operators

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<sup>9</sup> Section 33A of the Planning and Compulsory Purchase Act 2004 (as amended by section 110 of the Localism Act 2011)

**Annexes:**

Annex 1: Surrey Waste Local Plan (Submission Plan Parts 1 Policies)

Annex 2: Surrey Waste Local Plan (Submission Plan Parts 2 Sites and Areas of Search)

Annex 3: Updated Minerals and Waste Development Scheme December 2018

Annex 4: Surrey Waste Local Plan Equalities Impact Assessment

Annex 5: Q & As

**Sources/background papers:**

- Non-technical summary, 2018
- Draft Plan Consultation Summary Report, November 2018
- Submission Plan Consultation Statement, 2018
- Duty to Cooperate Evidence of Engagement Statement, 2018
- Submission Plan Environment and Sustainability Report, 2018
- Habitats Regulations Assessment Draft Report July 2018
- Site Identification and Evaluation Report, 2018
- Industrial Land Area of Search Report, 2018
- Waste Needs Assessment, July 2018
- Site assessment reports (Landscape and Visual, Strategic Flood Risk, Transport, Air Quality, Health)

**Annex 1**

Surrey County Council Minerals  
and Waste Planning Policy

# **Surrey Waste Local Plan**

## **Part 1 - Policies Submission plan**

October 2018



If you have any questions about the consultation or you are having difficulty in accessing the documents please contact Surrey County Council:



Phone: 03456 009 009



Email: [wasteplan@surreycc.gov.uk](mailto:wasteplan@surreycc.gov.uk)



Letter: Planning and Development Service,  
Room 385 County Hall, Penrhyn Road,  
Kingston upon Thames, KT1 2DW

## A note on preparing the new Surrey Waste Local Plan

This document is a Submission Draft of the Plan, which will be subject to representations on soundness and legal compliance between 14 January and 24 February 2019.

Following the six week period of representations, Surrey County Council will submit this Submission Draft to the Government for independent examination including any representations from stakeholders.

The current Surrey Waste Plan (2008), has been assessed as being consistent with the NPPF and NPPW and compliant with the EU Waste Framework Directive. It will remain extant as part of the development framework until replaced by the Plan.

This Plan is a material consideration in any planning decision and the emerging policies may therefore be given weight in reaching a planning decision. Paragraph 48 of the National Planning Policy Framework (NPPF) states that decision-takers may give weight (unless material considerations indicate otherwise) to relevant policies in emerging plans according to:

- The stage of preparation of the emerging plan (the more advanced the preparation, the greater the weight that may be given).
- The extent to which there are unresolved objections to relevant policies (the less significant the unresolved objections, the greater the weight that may be given).
- The degree of consistency of the relevant policies in the emerging plan to the policies in the NPPF (the closer the policies in the emerging plan to the policies in the NPPF, the greater the weight that may be given). Consistency to policies in the National Planning Policy for waste (NPPW) will also be relevant.

Greater weight is given to this Submission Draft as it has been prepared in the light of comments received from stakeholders during earlier consultation stages.

A non-technical summary of the submission plan has been prepared and can be found on the Minerals and Waste Planning Policy webpage.



## Foreword

A large amount of waste is generated by Surrey's homes and businesses and Surrey County Council needs to ensure that sufficient land is available for the waste facilities needed to manage this waste. It is essential that those facilities do not result in unacceptable harm to the environment and human health. It is important that Surrey's waste is managed sustainably, and this includes the county working towards sending zero waste to landfill.

An overarching challenge facing Surrey County Council and other local planning authorities is how to balance development pressures in this area of buoyant economic growth close to London, Heathrow and Gatwick without compromising the quality of life of its residents and the high quality natural and built environment. The need to balance the development of waste management facilities is no different, these facilities are also needed to support growth and development.

The Surrey Waste Local Plan will help ensure that the future waste needs of Surrey can be appropriately met through waste facilities situated in the most appropriate locations and with minimal impact on communities and the environment. I believe the vision, strategy, objectives and policies set out in the Plan put us in a good position to enable us to manage the waste we produce in the most sustainable way possible.

A handwritten signature in black ink, appearing to read 'Mike Goodman', enclosed within a hand-drawn oval.

Mike Goodman

Cabinet Member for Environment & Transport

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# 1 Introduction

## 1.1 Purpose of the Waste Local Plan

- 1.1.1.1 As the waste planning authority<sup>1</sup> (WPA) Surrey County Council is required to produce a local plan for waste development, known as the Surrey Waste Local Plan (“the Plan”), to show how and where waste will be managed in Surrey in the future. The Plan sets out the planning framework for the development of waste management facilities and is used in determining planning applications for waste management facilities.
- 1.1.1.2 The Plan is intended to make sure that land is available to be developed so that there are enough waste management facilities to handle the equivalent amount of waste arising in Surrey. In doing so the Plan provides policies which ensure these facilities are well located and do not result in significant adverse impacts on amenity and the environment.
- 1.1.1.3 The Plan replaces the Surrey Waste Plan (2008) by providing a robust policy framework to support the sustainable management of waste from 2019 to 2033. Section 6 shows how policies of this Plan have replaced those in the Surrey Waste Plan (2008).
- 1.1.1.4 This Plan forms part of the overall development plan for Surrey. Other waste and minerals related policy can be found in the Surrey Minerals Plan (2011), the Aggregates Recycling Joint Development Plan Document (2013) and the Minerals Site Restoration Supplementary Planning Document (2011). The planning policy for non-waste and minerals related development is found in the Local Plans of the district and borough councils in Surrey.
- 1.1.1.5 When determining applications all relevant policies of the development plan, as well as national policy, will be taken into account.
- 1.1.1.6 Planning permission granted for development is subject to a set of conditions. Compliance with the conditions is important to ensure that the construction and operation of the facility takes place in accordance with this Plan. Monitoring of compliance with the permission and its conditions is undertaken by Surrey County Council and if breaches of planning conditions are identified those breaches will be addressed in accordance with Surrey County Council’s Planning Enforcement Protocol<sup>2</sup>.

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<sup>1</sup> The Town and Country Planning (Prescription of County Matters) (England) Regulations 2003 prescribe classes of waste operations and uses of land that should be dealt with as “county matters”.

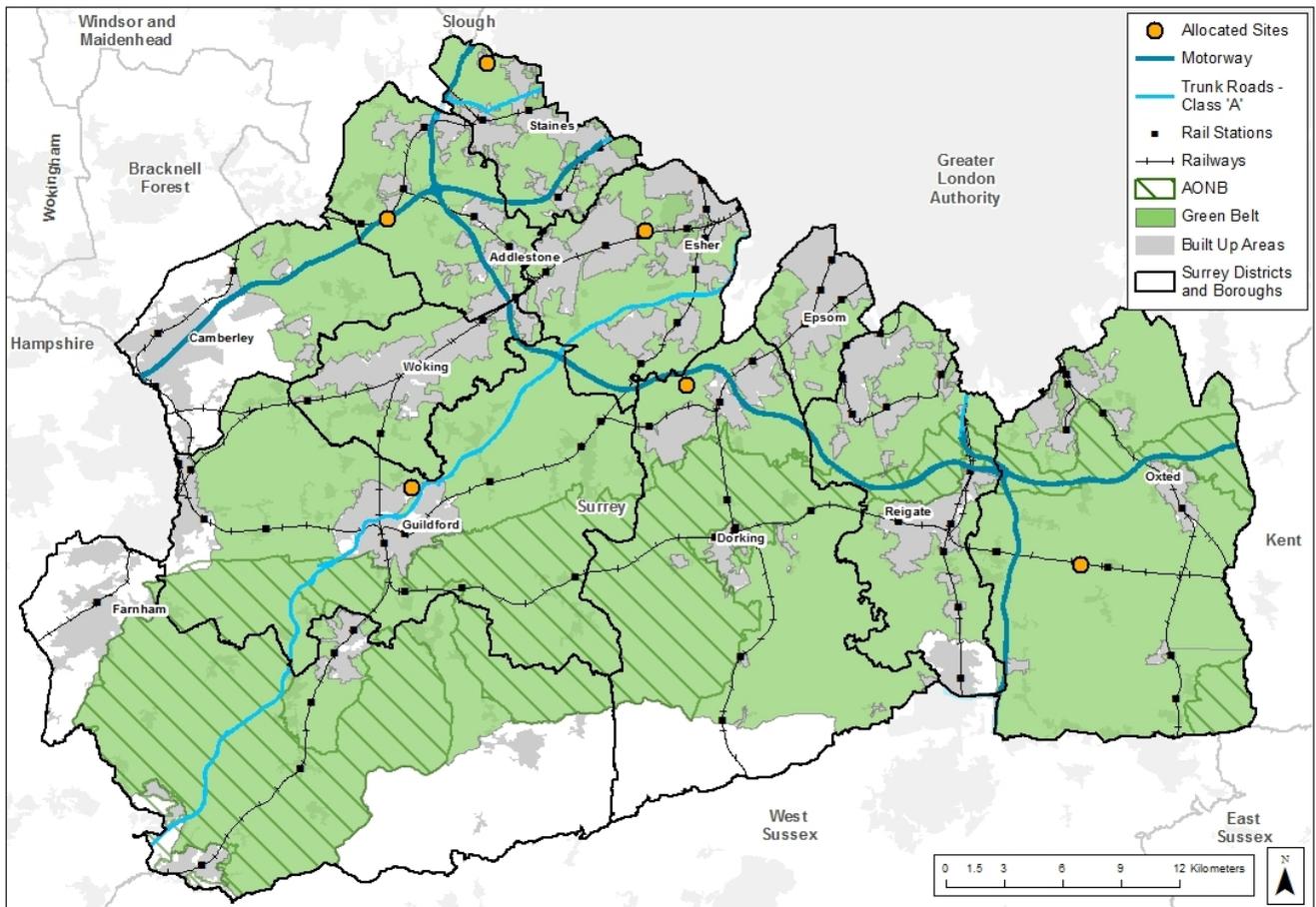
<sup>2</sup> Surrey County Council’s Planning Enforcement Protocol found on the Planning Enforcement of Minerals, Waste and County Development webpage

## 1.2 Spatial Context

### 1.2.1 Introduction

- 1.2.1.1 Surrey's location and unique environment play an important role in shaping the economy by shaping business sectors, availability of development land and distribution of population. These factors are also responsible for the quality of life enjoyed by Surrey's residents. In turn, these factors also present opportunities and challenges for the future growth and will influence the form and location of new waste development.

Figure 1 Policies Map of Surrey showing urban areas, Green Belt, Surrey Hills and High Weald



AONB boundaries and major transport networks

### 1.2.2 Population

- 1.2.2.1 The 2011 census found that there were 1.14 million people living in Surrey. Estimates for 2017 show an increase in the total population to 1.19 million people. While the majority of Surrey can be classed as rural in nature, dense urban areas are located in the north of the county, near the boundary with London, and the large towns of Guildford, Woking, Reigate/Redhill and Farnham.

1.2.2.2 The projected population growth for Surrey, suggests an increase from 1.18 million people to 1.37 million by 2037<sup>3</sup>. There are approximately 483,000 housing units existing across Surrey with a further 86,000 housing units planned between 2015 and 2033. Surrey County Council need to plan for the infrastructure needed to support these new homes and this includes waste management infrastructure.

### 1.2.3 Economy

1.2.3.1 The South East is a significant contributor to the UK economy. Surrey's economy is the largest contributor to the South East economy and in 2014 was worth £37.5 billion. Surrey has a higher gross value added (GVA) per person than the rest of the major population centres in England, except London. In 2017, Surrey had a total of 64,160 enterprises, over 90% of which were small businesses with 0-9 employees<sup>4</sup>.

1.2.3.2 Waste management is a key component of a modern economy. All businesses depend on the efficient management of their waste and the waste management sector itself will generate employment and add value to the local economy.

### 1.2.4 Transport Infrastructure

1.2.4.1 Surrey is located in close proximity to London and both Gatwick and Heathrow Airports. There are plans for the development of a new runway at Heathrow Airport and these are likely to have an impact on waste management both in terms of a need to manage waste produced from the development and on existing waste management facilities in the vicinity.

1.2.4.2 The strategic road network, comprising motorways and trunk roads, has evolved principally to serve London, with several nationally important routes passing through the county, including the M3, M23, M25 and the A3. Surrey roads are known to experience congestion and Surrey County Council are seeking to promote development which includes options for sustainable transport. However, there are a lack of alternative transport options in the county and so Surrey County Council recognises the importance of road transport.

### 1.2.5 Nature Conservation and biodiversity

1.2.5.1 Surrey supports a diverse range of habitats and species, ranging from the chalk grasslands and woodlands of the North Downs, through scarce flood meadows along the rivers Wey and Mole, to the extensive heaths, bogs and acid grasslands of the Thames terrace gravels and Wealden sandstone.

1.2.5.2 Surrey is also home to around 70 specially protected species and at least 337 species recognised as being a priority for conservation. Numerous sites within the county have been designated for protection on the grounds of nature conservation and biodiversity at local, national and international levels.

1.2.5.3 There are a total of eight sites designated at an international and/or European level for nature conservation interest, including the Thames Basin Heaths Special Protection Area, designated for internationally important bird species and the Thursley, Ash, Pirbright and

<sup>3</sup> Department for Communities and Local Government (DCLG) Number of Dwellings by Tenure and District

<sup>4</sup> 'What does Surrey's business growth look like?' (2015) available from [Surreyi](#)

Chobham Commons Special Area of Conservation, designated for internationally important plant communities.

- 1.2.5.4 At least 4% of Surrey is 'semi-natural ancient woodland'. Ancient woodlands are those that are known to have had continuous tree cover since at least 1600 AD. They are found throughout Surrey, with particular concentrations in the North Downs and the Weald. Ancient woodlands, and veteran trees, are likely to have biodiversity interest, as well as cultural and historical significance.

## 1.2.6 Landscape

- 1.2.6.1 Surrey has a great variety of landscape due to its varied geology, landform and soils. It contains the flat areas in the Thames Basin, the hills of the North Downs and Wealden Greensand, large expanses of open heathland, enclosed wooded gills, river valleys and water bodies, intimate small scale farmland, and open meadows.
- 1.2.6.2 Woodland covers 22% of the county, but heathland and chalk downland are also particularly characteristic of Surrey. Farmland, including that of the Low Weald, is another main component of the landscape. The two river valleys of the Wey and Mole cut through these landscapes, flowing from south to north.
- 1.2.6.3 The Surrey Hills Area of Outstanding Natural Beauty (AONB) and a small area of the High Weald AONB cover approximately 26% of the area of Surrey. AONBs have a protected status that reflects their unique and important landscape characteristics. They contain land important for woodland and agricultural production, as well as providing recreational opportunities.

## 1.2.7 Green Belt

- 1.2.7.1 Approximately three quarters of the land within Surrey (some 121,941 hectares or 73%), is covered by the Metropolitan Green Belt, which has played an important part in helping to safeguard the rural character of much of the county and the setting and character of its historic towns.

### 1.2.8 Heritage and Archaeology

- 1.2.8.1 Surrey is rich in heritage assets from nationally important Palaeolithic sites, Roman remains and Medieval villages, through to the remains of Britain's pioneering industrial heritage and recently decommissioned cold-war military installations. Surrey has 197 Scheduled Monuments, 234 designated County Sites of Archaeological Importance and 810 individual Areas of High Archaeological Potential. This equates to approximately 4159 hectares (2.5% of the County).
- 1.2.8.2 Surrey has 47 registered parks and gardens, totalling in the region of 2,925 hectares (1.8% of the County). Surrey's archaeological and designated historic landscape requires careful management and consideration. In addition, Surrey has 6,571 statutory listed buildings, including 104 at Grade I and 347 at Grade II\*. There are 278 conservation areas in Surrey, totalling 4,584 hectares or 2.7% of the county.

### 1.2.9 Water Environment

- 1.2.9.1 For each of the major catchments in the UK a river basin management plan (RBMP) has been prepared, which provides information about the current status of the different aspects of the water environment and sets targets for their improvement by 2027. The county of Surrey contains waterbodies and catchments that lie within the areas covered by the Thames RBMP and the South East RBMP.
- 1.2.9.2 Of the 95 surface watercourses or lakes (including reservoirs and ponds) with catchments wholly or partly located in Surrey, only 4 are currently of 'good' overall status. The majority are of either 'moderate' overall status (57) or 'poor' overall status (27), with 7 watercourses or lakes currently classified as being of 'bad' overall status. Classification below 'good' status is due to matters including point sources (e.g. water industry sewage works) and diffuse sources (e.g. agriculture), abstraction from watercourses and supporting groundwaters, and physical alterations.
- 1.2.9.3 The majority of the groundwater bodies beneath Surrey have been assessed by the Environment Agency as currently being of a 'poor' overall status, due to issues with the quantitative status of the resource, the chemical status of the resource or a combination of the two. Six groundwater bodies underlying Surrey are currently classified as being of 'good' overall status.

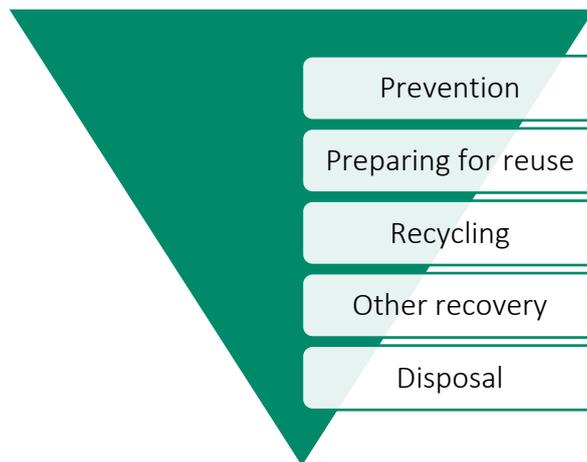
### 1.2.10 Flood Risk

- 1.2.10.1 Flood risk is a combination of two components; the probability of a particular flood incident occurring and the impact that the incident may cause. The risk of flooding is made worse by the potential impact of climate change. Flooding arises in a variety of forms and is influenced by weather (particularly rainfall events), topography and patterns of development. Sources of flooding can include reservoirs, rivers, the sea, rainfall and rising groundwater.
- 1.2.10.2 In Surrey (especially in the northwest of the county), the combination of a large population, low lying land and a significant number of watercourses, increase the probability of people, property and the environment being adversely affected by any flood events that do occur.

## 1.3 Policy Context

### 1.3.1 Waste Framework Directive (2008/98/EC)

- 1.3.1.1 The Waste Framework Directive (WFD), as amended, sets requirements for the collection, transport, recovery and disposal of waste. The WFD includes a requirement to apply the ‘waste hierarchy’ when planning for waste management. The waste hierarchy is a system of prioritising the different ways in which waste can be managed with the most sustainable method, prevention, at the top of hierarchy, and the least, disposal, at the bottom. The terms used in the waste hierarchy are further explained in the glossary.



*Figure 2 Image of the Waste Hierarchy*

- 1.3.1.2 The WFD also ensures planning authorities have regard to the principles of ‘self-sufficiency’ and ‘proximity’. This means that local authorities should include provision for sufficient capacity and enable the delivery of facilities in the right place at the right time. These terms are further explained in the glossary.
- 1.3.1.3 The proximity principle expects a network of facilities to be developed that enable waste to be disposed of, and mixed municipal waste collected from private households to be recovered in, one of the nearest appropriate installations, by means of the most appropriate technologies.
- 1.3.2 **Hazardous Waste Directive (1991/689/EEC)**
- 1.3.2.1 Waste is generally considered hazardous if it, or the material or substances it contains, pose a risk to human or environmental health. As hazardous waste poses a higher risk to the environment and human health strict controls apply.
- 1.3.2.2 WPAs are expected to plan for the volume of waste arising in their area this may include waste management facilities to deal with hazardous waste. However, it is accepted that, often, the provision of specialist facilities for wastes that arise in relatively small quantities, or require specialist treatment technologies, will require co-ordination at a more regional or national level.
- 1.3.3 **Landfill Directive (1999/31/EC)**
- 1.3.3.1 The Landfill Directive was introduced in July 1999. The Landfill Directive sets out requirements for the location, management, engineering, closure and monitoring for landfills. In the Directive, the term “landfill” is taken to mean “a waste disposal site for the

deposit of the waste onto or into land”. The Landfill Directive also includes requirements relating to the characteristics of the waste to be landfilled.

- 1.3.3.2 Council Decision 03/33/EC supports the Landfill Directive by providing criteria and procedures for the acceptance of waste at landfills. Paragraph 15 states “Whereas the recovery, in accordance with Directive 75/442/EEC, of inert or non-hazardous waste which is suitable, through their use in redevelopment/restoration and filling-in work, or for construction purposes may not constitute a landfilling activity”.

#### 1.3.4 Waste Incineration Directive (2000/76/EC)

- 1.3.4.1 The Waste Incineration Directive (as amended) covers new facilities and existing facilities and imposes strict emission standards for incineration technologies addressing air pollution to prevent harmful effects on both environment and human health.

- 1.3.4.2 Modern incineration plants must ensure pollution control is a priority; emissions must comply with the requirements of the Waste Incineration Directive. It is important to recognise that this directive supports cleaner technologies and reducing the impacts of incineration facilities on environment and human health.

#### 1.3.5 EU Circular Economy Action Plan

- 1.3.5.1 In a “circular economy” the value of products and materials is maintained for as long as possible; waste and resource use are minimised, and resources are kept within the economy when a product has reached the end of its life, to be used again and again to create further value.

- 1.3.5.2 In 2018 the European Union (EU) agreed a package of measures which forms part of the implementation of its Circular Economy Action Plan. These measures include increasing the existing recycling target for municipal waste to 65% by 2035 and a target to reduce landfill to maximum of 10% of municipal waste by 2030. This compares to a target of 50% by 2020 that the UK government and local authorities are currently working to. Even though the UK is to leave the European Union, the government has signalled the Circular Economy measures will be adopted within UK legislation.

#### 1.3.6 The Planning and Compulsory Purchase Act 2004 and the Town and Country Planning (Local Planning) (England) Regulations 2012

- 1.3.6.1 The system of development plans, introduced by the Planning and Compulsory Purchase Act 2004 (as amended by the Localism Act 2011), requires the Local Planning Authority to prepare a ‘local plan’ which is made up of Development Plan Documents (DPDs).

- 1.3.6.2 Local Planning Authorities must set out a programme for the preparation of DPDs in a ‘Local Development Scheme’ and detail how communities and stakeholders will be involved in the preparation of DPDs in a ‘Statement of Community Involvement’. More information is provided below. This legislation also requires all local planning authorities to carry out a Sustainability Appraisal during the preparation of the local plan.

- 1.3.6.3 The Town and Country Planning Regulations 2012 prescribe the form and content of the Local Plan documents and the Policies Map. These regulations also set out the process for preparing and adopting a local plan.

### 1.3.7 The Localism Act 2011

- 1.3.7.1 The Localism Act 2011 provided legislative powers to abolish regional spatial strategies. The abolition of the majority of policies in the South East Plan in March 2013 has resulted in the removal of regionally-derived targets (e.g. diversion from landfill, recycling and composting, and provision for accepting London's waste), which have not been replaced.
- 1.3.7.2 The Localism Act 2011 also introduced the Duty to Cooperate (DtC). The DtC places a legal duty on local planning authorities, county councils and public bodies to engage constructively to maximise the effectiveness of local plan preparation. As the WPA, Surrey County Council must demonstrate how it has complied with the DtC at the examination of its local plan.

### 1.3.8 The Waste (England and Wales) Regulations 2011

- 1.3.8.1 The Waste (England and Wales) Regulations (the Waste Regulations) came into force on the 1 October 2012. From the 1 January 2015, the Waste Regulations require waste collection authorities (WCAs) to ensure that appropriate recycling standards can be met through commingling, or through source segregated collections. This can impact the amount of waste and the quality of waste collected and the overall rate of recycling.

### 1.3.9 National Planning Policy Framework (NPPF) 2018

- 1.3.9.1 In 2012 the Government replaced many of the former national planning policy guidance notes and statements and Government Circulars with a single document, the National Planning Policy Framework (NPPF). A revised NPPF was published in July 2018.
- 1.3.9.2 The NPPF is supported by the national Planning Practice Guidance (PPG), originally published in March 2014 with updates since. The PPG replaced guidance notes that previously supported the former national planning policy guidance notes and statements.
- 1.3.9.3 The NPPF provides guidance for the preparation of local plans and encourages local plans to be kept up-to-date. This includes an expectation that LPAs 'positively seek opportunities to meet the development needs of their area, and be sufficiently flexible to adapt to rapid change'<sup>5</sup>. This is essential for the Plan given the need for waste management facilities to respond to changes in the market e.g. international markets for recycle and refused derived fuels.
- 1.3.9.4 In addition plans should 'provide for objectively assessed needs for housing and other uses, as well as any needs that cannot be met within neighbouring areas'<sup>6</sup>. In the context of the Plan this could include taking some waste from adjoining authority areas and beyond which could include London.
- 1.3.9.5 The NPPF also highlights the need for waste management facilities to be provided as strategic infrastructure. This requires the county council to work with district and borough councils in order to create a joined-up approach in providing for essential development such as homes and the infrastructure needed to support them.

### 1.3.10 National Planning Policy for Waste (NPPW) 2014

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<sup>5</sup> Paragraph 11 of the National Planning Policy Framework 2018

<sup>6</sup> Paragraph 11 of the National Planning Policy Framework 2018

- 1.3.10.1 The National Planning Policy for Waste (NPPW) 2014 replaced Planning Policy Statement 10<sup>7</sup> and sits alongside the NPPF. The NPPW sets out the government's ambition to work towards a more sustainable approach for waste management and use.
- 1.3.10.2 This policy aims to ensure any waste management facilities are a positive contribution to communities and to balance the need for waste management facilities with the interests of the community.
- 1.3.10.3 Specifically this national policy sets the expectation that local authorities will:
- Identify sufficient opportunities to meet the identified needs of their area for the management of waste based on robust analysis of best available data and information.
  - Ensure waste is managed as high up the waste hierarchy as possible recognising the need for a mix of types and scale of facilities.
  - Work jointly and collaboratively with other planning authorities including on issues of cross-boundary movements and any national need.
  - Take into account the need for a limited number of facilities for disposal of residual waste which may arise in more than one waste planning authority area.
  - Undertake early and meaningful engagement with local communities, recognising that proposals for waste management facilities such as incinerators can be controversial.

### 1.3.11 Waste Management Plan for England 2013

- 1.3.11.1 The Government published a national Waste Management Plan for England in December 2013. The plan brought together a number of policies under the umbrella of one national plan. It looks to encourage a more sustainable and efficient approach to resource management. It outlines the policies that are in place to help move towards the goal of a zero waste economy in the UK.
- 1.3.11.2 The Waste Management Plan for England provides an overview of the management of all waste streams in England and evaluates how it will support implementation of the objectives and provisions of the revised WFD.
- 1.3.11.3 The Government has indicated that it will replace the Waste Management Plan for England with a resources and waste strategy towards the end of 2018. This new strategy will help implement the EU Circular Economy Package.

### 1.3.12 Other National Policy Statements

- 1.3.12.1 The Government publishes other national policy which has an impact on the production and management of waste. This includes the 'Industrial Strategy' (2017), the 'Clean Growth Strategy' (2017) and the '25 Year Environment Plan' (2018). In 2018 the government will

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<sup>7</sup> PPS10: Planning for Sustainable Waste Management July 2005 and March 2011 update

publish a 'Clean Air Strategy'. It is important that the Plan is consistent with government policy and changes are monitored to see whether they require changes to the Plan.

### 1.3.13 Regional Strategy for the South East of England

1.3.13.1 The Order to revoke the Regional Strategy for the South East of England, with the exception of Policy NRM6: Thames Basin Heath SPA, came into force on 25 March 2013. Saved Policy NRM6 from the South East Plan remains a material consideration as part of the development plan.

### 1.3.14 Surrey Waste Plan 2008

1.3.14.1 The Surrey Waste Plan (SWP) sets out the planning framework for the development of waste management facilities in Surrey. The current SWP was adopted in 2008.

### 1.3.15 Surrey Minerals Plan 2011

1.3.15.1 The Surrey Minerals Plan Core Strategy Development Plan Document (DPD) forms part of the Surrey Minerals Plan and provides strategic policies and site specific proposals for the extraction of silica sand and clay for the period to 2026. The Surrey Minerals Plan Core Strategy DPD is supplemented by two development plan documents, the Surrey Minerals Plan Primary Aggregates DPD and the Aggregates Recycling Joint DPD.

### 1.3.16 Aggregates Recycling Joint Development Plan Document 2013

1.3.16.1 The Aggregates Recycling Joint DPD (ARJDPD) supports both the Surrey Minerals and Waste DPDs. It sets out proposals with regard to the provision of Aggregates Recycling facilities across Surrey for the period to 2026.

### 1.3.17 Minerals Site Restoration Supplementary Planning Document (2011)

1.3.17.1 The Minerals Site Restoration Supplementary Planning Document (2011) sets out in greater detail how mineral workings can be restored and in what ways. It is one of the material considerations that will be taken into account when determining restoration proposals.

### 1.3.18 Statement of Community Involvement

1.3.18.1 Surrey County Council wants communities to be able to have a say in the planning decisions that shape Surrey's future. The Statement of Community Involvement (SCI) explains how Surrey will consult and involve the public when preparing planning policies and determining planning applications. The current SCI can be viewed on the Council's website.

1.3.18.2 The SCI sets out the stages of developing planning policy documents and how Surrey County Council will involve the community at each stage.

### 1.3.19 Minerals and Waste Development Scheme

1.3.19.1 Under the requirements for the Planning and Compulsory Purchase Act 2004, Surrey County Council is required to have a local development scheme. This is a public statement identifying which local development documents will be produced. The Surrey Minerals and Waste Development Scheme includes a programme for any updates to planning policy. The scheme and SCI are available to view on the Council's website.

### 1.3.20 Joint Municipal Waste Management Strategy

1.3.20.1 The most recent Joint Municipal Waste Management Strategy (JMWMS) was adopted in 2015. The JMWMS focuses on the management of local authority collected waste, including; household waste from kerbside collections, household waste from community recycling centres, and other waste collected by the authority such as school waste and a small proportion of commercial and industrial waste.

1.3.20.2 Implementation of the JMWMS is the responsibility of Surrey County Council in its role as the waste disposal authority and district and borough councils in their role as the waste collection authorities. It is important that the new Plan takes into account the needs and targets included in the JMWMS.

## 1.4 Waste Management Context

### 1.4.1 Main Types of Waste

1.4.1.1 There are three principal types of waste dealt with by the Plan:

- Local Authority Collected Waste (LACW) refers to all waste collected by the local authority (Previously the term ‘Municipal Waste’ was used in waste policies and nationally reported data to refer to waste collected by local authorities).
- Commercial and Industrial (C&I) waste is waste arising from the business sector e.g. offices, shops, restaurants.
- Construction, Demolition and Excavation (C, D & E) waste for the purposes of this document is defined as “waste materials, which arise from the construction or demolition of buildings and/or civil engineering infrastructure, including hard construction and demolition waste and excavation waste, whether segregated or mixed”<sup>8</sup>.

1.4.1.2 Waste from households and from businesses can often be managed at similar types of facility whereas C, D & E waste is usually managed at separate facilities.

1.4.1.3 There are a range of other waste streams including: hazardous waste, agricultural waste, healthcare waste, nuclear and low level radioactive waste and mining waste. The amounts of these types of waste produced in Surrey do not warrant specific provision in terms of site allocations and the policies in the Plan will guide decisions on proposals for associated new management capacity.

### 1.4.2 Waste Arisings

1.4.2.1 A waste needs assessment has been prepared to inform the Plan and has been published as part of its evidence base<sup>9</sup>. This document sets out the assumptions and calculations for estimating waste arisings in Surrey up to 2035.

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<sup>8</sup> Department for Communities and Local Government (DCLG): Survey of Arisings & Use of Construction & Demolition Waste as Aggregate in England: 2005

<sup>9</sup> Surrey Waste Local Plan, Waste Needs Assessment September 2018

1.4.2.2 The PPG for Waste sets out how waste planning authorities should identify the need for new waste management facilities and in particular how waste planning authorities forecast waste arisings. The PPG states that assessing waste management needs for Local Plan making is likely to involve<sup>10</sup>:

- Understanding waste arisings from within the planning authority area, including imports and exports
- Identifying the waste management capacity gaps in total and by particular waste streams
- Forecasting the waste arisings both at the end of the period that is being planned for and interim dates
- Assessing the waste management capacity required to deal with forecast arisings at the interim dates and end of the plan period.

1.4.2.3 In terms of forecasting waste arisings this is typically done through identifying a growth profile. The factors used in calculating the potential growth for the key waste streams are set out in Table 1 below.

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<sup>10</sup> National Planning Practice Guidance for Waste Paragraph 022

Table 1 Information used to calculate growth profiles for key waste streams in Surrey

Waste Stream	Factors	Data source
Local Authority Collected Waste (LACW)	<ul style="list-style-type: none"> <li>- Waste arising per household</li> <li>- Number of households</li> </ul>	<ul style="list-style-type: none"> <li>- MHCLG 2014-based household projections</li> <li>- LACW reported through WasteDataFlow</li> </ul>
Commercial & Industrial (C&I) Waste and hazardous waste	<ul style="list-style-type: none"> <li>- Total C&amp;I waste arisings</li> <li>- Predicted economic growth annual % change</li> </ul>	<ul style="list-style-type: none"> <li>- Environment Agency Waste Data Interrogator</li> <li>- Surrey Local Economic Assessment (LEA) update 2013</li> </ul>
Construction Demolition & Excavation (C,D&E) Waste	<ul style="list-style-type: none"> <li>- Total C,D&amp;E waste arisings</li> </ul>	<ul style="list-style-type: none"> <li>- Environment Agency Waste Data Interrogator</li> <li>- Environment Agency public register of exempt sites</li> <li>- Local Aggregate Assessment for Surrey</li> </ul>

1.4.2.4 Based on the growth profile and the methodology set out in the PPG the forecast waste arisings through the plan period are set out in Table 2.

Table 2 Waste arising in Surrey throughout the plan period (tonnes)

Waste Stream	2016	2020	2025	2030	2035
Local Authority Collected Waste	560,000	586,000	621,000	658,000	696,000
Commercial & Industrial Waste	668,000	751,000	854,000	958,000	1,061,000
Construction, Demolition & Excavation Waste	2,033,000	2,277,000	2,582,000	2,887,000	3,192,000
Total	3,261,000	3,614,000	4,057,000	4,503,000	4,949,000

1.4.2.5 The Plan recognises the need to establish new goals for the management of waste in Surrey during the plan period. These targets are ambitious and encourage the management of waste further up the waste hierarchy, however they should also be achievable. In turn the Plan will include policies which provide for the development of the capacity to manage waste in a manner that supports achievement of these goals.

1.4.2.6 At a European level the revised Waste Framework Directive (2008/98/EC) and the Landfill Directive (1999/31/EC) set targets for the diversion of waste from landfill and the adopted European Commission Circular Economy Package includes targets for transition towards a circular economy, both have been referenced in developing targets for the Plan. Other government targets such as those in the waste prevention programme for England and government strategies such as the 25 Year Environment Plan and Industrial Strategy have also been considered. Additional information such as the current waste management profiles has been used to derive some targets and requirements.

1.4.2.7 Overall, the targets seek to increase recycling<sup>11</sup> of waste and reduce landfill. At the same time policy directions such as decreasing food waste arisings are also considered to be targets for managing waste generated in Surrey. Waste that is not managed through recycling and is not sent to landfill is assumed to be managed through other recovery methods<sup>12</sup>. The targets for the Plan are set out below in Table 3.

Table 3 Targets for the plan period

Waste Stream	Currently recycled (%)	Recycling Targets (%) <sup>13,14,15</sup>			
		2020	2025	2030	2035
Local Authority Collected Waste	51%	60%	65%	70%	75%
Commercial and Industrial Waste	47%	55%	60%	65%	70%
Construction, Demolition and Excavation Waste	58%	65%	70%	75%	80%
<b>Food Waste Reduction Targets (%)<sup>16,17,18</sup></b>					
Local Authority Collected Waste	n/a	-15%	-30%	-50%	-60%
Commercial and Industrial Waste	n/a	-15%	-30%	-50%	-60%
Construction, Demolition and Excavation Waste	n/a	n/a	n/a	n/a	n/a
<b>Disposal of Waste to Land Targets (%)<sup>19</sup></b>					
Local Authority Collected Waste	8%	6%	4%	2%	1%
Commercial and Industrial Waste	27%	10%	8%	4%	2%
Construction, Demolition and Excavation Waste	11%	8%	6%	4%	2%

<sup>11</sup> Including composting

<sup>12</sup> This can include energy recovery or recovery to land

<sup>13</sup> Recycling targets for LACW and C&I are based on the adopted Circular Economy package. Targets are binding for UK. Targets are for proportion of waste recycled.

<sup>14</sup> Recycling targets for C, D & E waste are based on targets in the Revised Waste Framework Directive. Targets are binding for UK. Targets are for proportion of waste recycled.

<sup>15</sup> Recycling targets for C, D & E waste for 2025 and beyond are based on continuous improvement and ongoing commitment to reduce C, D & E waste.

<sup>16</sup> Food waste targets are based on the Courtauld 2025 agreement's targets and the adopted Circular Economy package. Targets are non-binding. Targets are net reduction.

<sup>17</sup> Food waste targets for 2020 are based on making progress to meeting the 30% target for 2025.

<sup>18</sup> Food waste targets for 2035 are based on continuous improvement and ongoing commitment to reducing food waste from the 2030 target.

<sup>19</sup> Residual waste targets are based on a desire that no waste will be sent for landfill, recognising the fact that some waste cannot be practicably treated in any other way and a binding landfill target to reduce landfill to maximum of 10% of municipal waste by 2030 in the adopted Circular Economy package. Targets are for proportion of waste.

- 1.4.2.8 The targets for LACW are ambitious but will be achievable based on historic performance and increasing recycling rates of LACW. Rates of recycling (including composting) increased from just over 30% to nearly 60% between 2008 and 2017. For C&I waste there is less accurate data available but it is likely that recycling rates will broadly match trends in LACW.

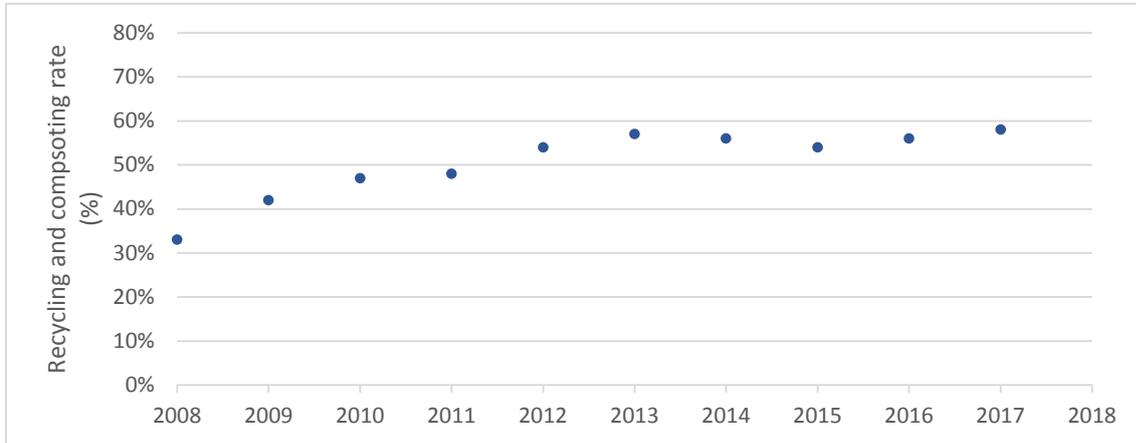


Figure 3 change in recycling rate for Local Authority Collected Waste (LACW) between 2008 and 2017

- 1.4.2.9 For C, D & E waste the revised WFD required a minimum of 70% (by weight) of non-hazardous construction and demolition waste be prepared for re-use, recycled or undergo other material recovery" by 2020. A target of 80% seeks to build on this high level of recycling and align with other policies including the Surrey ARJDPD which encourages the production of recycling aggregates at suitable locations.

### 1.4.3 Capacity gap and future need

- 1.4.3.1 The necessity for the allocation of waste sites relates to the capacity gap between existing waste management capacity and forecast requirements. The capacity gap is calculated from assessing the overall amount of waste and how this may be managed in the future based on Surrey achieving its recycling targets. Once the amount of waste and how it will be managed is known this is subtracted from the current available capacity, having taken account of any known new facilities and planned closures.
- 1.4.3.2 Overall Surrey remains net self-sufficient with a surplus of waste management capacity but within this there are some key areas of need that should be addressed by the Plan e.g. the treatment of waste that is diverted from landfill but cannot currently be recycled. This is set out in Table 4.
- 1.4.3.3 The waste needs assessment has not identified an overall need for recycling facilities. However, within different types of recycling there may be still be a need for further capacity e.g. need for more bulking and recycling capacity for household waste. There are only a limited number of composting facilities in the county and the WDA send some green waste outside of the county for composting so additional composting facilities may be required.

- 1.4.3.4 There is an identified need for facilities which fall under the definition of ‘other recovery’<sup>20</sup>. However, the Plan will always encourage waste management activities which are higher on the waste hierarchy and so will avoid an over-supply of other recovery capacity.

*Table 4 Waste management capacity gap (negative values indicate gap) in Surrey (tonnes per annum) for recycling and recovery facilities (excluding aggregate recycling and recovery to land)*

Treatment Type	2016	2020	2025	2030	2035
Recycling <sup>21</sup>	735,000	623,000	471,000	305,000	123,000
Anaerobic Digestion	47,000	60,000	72,000	89,000	100,000
Other Recovery	-220,000	-258,000	-274,000	-306,000	-301,000

- 1.4.3.5 There is also a capacity gap for disposal of waste to land<sup>22</sup> towards the end of the plan period. This is based on the planned closure of Patteson Court Landfill and does not account for any early restoration.
- 1.4.3.6 Non-inert landfill facilities in the South East of England are becoming increasingly scarce and those facilities which continue to operate now accept waste from a wider area. However, Industry have been reluctant to develop new sites and so better use will need to be made of existing sites. In the event that a proposal for additional landfill capacity did come forward this would be considered on its merits against the policies of this Plan.

*Table 5 Waste management capacity gap in Surrey (tonnes) for disposal of non-inert waste to land (including landfill)<sup>23</sup>*

Treatment Type	2016	2020	2025	2030	2035
Disposal to Land <sup>24</sup>	4,768,000	4,256,000	1,520,000	1,926,000	-460,000

- 1.4.3.7 The capacity gap for C, D & E waste recycling is shown in. There is a gap for C, D & E waste recycling based on temporary facilities closing and the forecasted increase in C, D & E waste arisings based on a high-growth scenario.
- 1.4.3.8 No allocations are proposed for C, D & E recycling facilities. This is because historically those facilities have come forward as temporary facilities in line with operational mineral workings and allocations are made in the ARJDPD. In addition, a full review of the potential land available to produce recycled aggregate will take place as part of the review of the SMP 2011.

*Table 6 Waste management capacity gap in Surrey (tonnes per annum) for C,D&E Waste Recycling (including soil recycling)*

Treatment Type	2016	2020	2025	2030	2035
C,D&E Waste Recycling	549,000	48,000	-789,000	-1,327,000	-2,019,000

<sup>20</sup> See glossary

<sup>21</sup> For the purposes of the waste needs assessment this includes composting and transfer facilities

<sup>22</sup> Including landfilling and land raising

<sup>23</sup> Based on the arisings figure per year multiplied by the number of years

<sup>24</sup> Based on all major waste streams sent for disposal

- 1.4.3.9 A large amount of C, D & E waste will be excavation waste. The amount of this waste stream is unknown as it is often not processed at a permitted site as this type of material is rarely suitable for making into aggregates. Increasingly this material is used for permanent deposit e.g. landraising. The surplus of recovery to land capacity (see below) will ensure that there is capacity available to deal with this waste.
- 1.4.3.10 The surplus of capacity for recovery of waste to land is shown in Table 7. Not shown in this table is a further 6,000,000 tonnes (approximate) of additional inert landfill and/or recovery to land capacity which is likely to come forward during the plan period as a result of mineral extraction in preferred areas identified in the Surrey Minerals Plan (SMP) 2011.

*Table 7 Waste management capacity gap in Surrey (tonnes) for recovery of inert waste to land (including landfill)<sup>25</sup>*

Treatment Type	2016	2020	2025	2030	2035
Recovery to Land <sup>26</sup>	13,136,000	12,583,000	10,302,000	10,199,000	10,357,000

#### 1.4.4 Delivery of Waste Management Capacity in Surrey

- 1.4.4.1 Evidence from monitoring of historic delivery of waste management infrastructure in Surrey suggests that the largest proportion (66%) of additional capacity was provided by new facilities developed on allocated sites. A proportion of additional capacity (15%) was also provided by new facilities on unallocated sites. The intensification and enhancement of sites in existing waste use also accounted for some 15% of additional capacity.
- 1.4.4.2 Additional capacity on unallocated land already in industrial or employment use accounts only for an additional 4% capacity. This is likely to be a result of the difficulty of waste uses competing with higher value generating uses within industrial locations and also the particular operational needs of waste facilities that often require large areas of open storage which are not generally available on modern industrial estates.

*Table 8 Historical delivery of Waste management capacity in Surrey (2008 to 2017)*

Location	Additional Operational Capacity	Percentage
Allocated sites	593,100	66%
Unallocated sites	138,800	15%
Sites in existing waste use	133,640	15%
Industrial land	39,440	4%
Total	903,980	100%

- 1.4.4.3 With regards to the provision of C, D & E waste recycling capacity, temporary facilities at temporary mineral workings (i.e. while quarries are being worked and restored) are important for meeting the needs for this type of waste management. Approximately 969,000 tonnes of temporary capacity was delivered between 2008 and 2017. Hence the Plan is generally supportive of C, D & E recycling in conjunction with operational mineral workings.

<sup>25</sup> Based on the arisings figure per year multiplied by the number of years

<sup>26</sup> Based on C, D & E waste arisings sent for recovery to land

- 1.4.4.4 This plan continues to promote and facilitate the delivery of waste management capacity in Surrey through a combination of the above locations. However, a number of allocated sites in the plan are located within the Green Belt while the Spatial Strategy emphasises that there is a preference for new capacity which can be delivered at locations outside the Green Belt.

## 2 Vision for Waste Development in Surrey

### 2.1 Introduction

- 2.1.1.1 The vision and strategic objectives provide an overarching ‘direction of travel’ for the Plan. Together they set out what the Plan aims to achieve over the plan period. The vision and strategic objectives for the Plan relate only to issues of waste development and need to be read in the context of the whole development framework for Surrey.
- 2.1.1.2 The spatial strategy articulates the locational implications of the vision and strategic objectives by describing, in broad terms, where waste related development, that is consistent with the vision and strategic objectives, would take place.

### 2.2 The Vision

- 2.2.1.1 Surrey County Council’s community vision 2030 highlights that Surrey is a uniquely special place. The vision emphasises the location of Surrey which is in proximity to London and both Gatwick and Heathrow Airports. Surrey plays an important role in the national economy and the county council’s vision seeks to encourage a strong, vibrant and successful economy. The vision also highlights Surrey’s valued historic and natural assets which are part of what makes Surrey a special place and it’s important we continue to protect these assets.
- 2.2.1.2 The ambition for Surrey as a place include that “Residents live in clean, safe and green communities, where people and organisations embrace their environmental responsibilities”. The PPG states that local planning authorities can ensure that waste is handled in a manner which protects human health and the environment through testing the suitability of proposed sites, both in developing their Local Plans and in considering individual planning applications<sup>27</sup>. The Plan ensures this by:
- Providing a planning policy framework for decision making which includes policies for environmental protection and safe and sustainable transport.
  - Identifying suitable sites and areas for the development of new waste management facilities which ensures that these are in the best available locations to limit negative impacts on resident wellbeing.
- 2.2.1.3 The Plan supports this by encouraging waste to be managed in the most sustainable way. This means by managing waste as high up on the waste hierarchy as possible and at one of the nearest appropriate facilities (proximity principle). The Plan encourages people and organisations in Surrey to embrace their environmental responsibilities by providing facilities in Surrey to manage the equivalent amount of waste they produce.

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<sup>27</sup> National Planning Practice Guidance for Waste Paragraph 005

2.2.1.4 The vision for the Plan can be distilled down to five key elements based on national planning policy legislation:

- Net self-sufficiency.
- Sustainable Waste Management (Waste Hierarchy).
- Resident wellbeing.
- Environmental protection.
- Sustainable Development.

2.2.1.5 The vision sets out a broad picture of how waste will be managed during and by the end of the plan period, while the strategic objectives outline how the Vision will be achieved. The Vision for waste development in Surrey is:

To enable sufficient waste management capacity to support Surrey's nationally important economy.

To develop the circular economy in Surrey where residents and businesses produce less waste and treat more waste as a resource by re-use, recycling and recovery.

To recognise, protect and enhance Surrey's environment and maintain the high standards of wellbeing enjoyed by our residents when permitting waste facilities.

## 3 Strategic Objectives

### 3.1 Net self-sufficiency

3.1.1 Strategic Objective 1: To make sure enough waste management capacity is provided to manage the equivalent amount of waste produced in Surrey.

3.1.1.1 Under national policy the WPA is required to identify sufficient opportunities to meet the identified needs of its area for the delivery of waste management infrastructure<sup>28</sup>. The principle of net self-sufficiency means that Surrey should provide enough waste management facilities to manage the equivalent amount of waste arising within the county.

3.1.1.2 The policy which implement Strategic Objective 1 is:

- Policy 1 – Need for Waste Development.

3.1.1.3 How the policy implements Strategic Objective 1:

- Policy 1 recognises that there is a need for certain types of waste management facilities in Surrey which the Plan should seek to deliver. The policy recognises that this need may change and that annual reporting would provide up to date information on the need for waste management facilities in Surrey.
- In considering whether to grant planning permission this policy should be taken into account, as relevant, to determine if there is a need for the proposal or not. Those proposals which meet the needs of the Plan would be supported.

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<sup>28</sup> National Planning Policy for Waste, 2014 – Paragraph 3 Identify need for waste management facilities

## 3.2 Sustainable Waste Management (Waste Hierarchy)

3.2.1 **Strategic Objective 2: To encourage development which supports sustainable waste management at least in line with national targets for recycling, recovery and composting.**

3.2.1.1 It is important to note that national policy<sup>29</sup> states that in preparing Local Plans, waste planning authorities should drive waste management up the waste hierarchy. This means encouraging prevention of waste, preparing for re-use, recycling and recovery of waste. This includes recovery of inert waste to land.

3.2.1.2 Targets for recycling, recovery and composting are set out at an EU level in the WFD (2008/98/EC), the European Commission Circular Economy Package. At the national level targets are referred to in the Waste Management Plan for England. Local targets include those in the JMWMS. The need for waste infrastructure has been calculated using targets which are the same or more ambitious than those above.

3.2.1.3 The policies which implement Strategic Objective 2 are:

- Policy 2 – Recycling and Recovery Operations.
- Policy 3 – Operations for Recycling of Construction, Demolition and Excavation Waste.
- Policy 4 – Sustainable Construction and Waste in New Development.
- Policy 5 – Recovery of Inert Waste to Land.

3.2.1.4 How policies implement Strategic Objective 2:

- These policies will encourage certain types of development in order to provide enough waste management facilities to meet relevant targets for sustainable waste management as identified in line with Policy 1 – Need for Waste Development.

3.2.2 **Strategic Objective 3: To manage waste by disposal to land as an option of last resort, but recognise that it is important for managing residual waste that cannot be treated in any other way.**

3.2.2.1 The waste hierarchy sees disposal as the least preferred option for waste management and an option of last resort. However, it remains a necessary option for certain types of waste that cannot be practically managed in any other way.

3.2.2.2 The policy that implements Strategic Objective 3 is:

- Policy 6 – Disposal of Non-inert Waste to Land.

3.2.2.3 How the policy implements Strategic Objective 3:

- This policy will ensure that landfill is provided only for waste which cannot be practically reused, recycled or recovered and is not unnecessarily sent for disposal.

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<sup>29</sup> National Planning Policy for Waste, 2014 – Paragraph 3 Identify need for waste management facilities

This policy also recognises that extensions of time to landfill may be needed as inputs of material change. Finally, this policy also sets out requirements for site restoration and aftercare to ensure that benefits from the development can be realised.

### 3.3 Safeguarding existing waste infrastructure

#### 3.3.1 Strategic Objective 4: To retain and make best use of existing sites for waste development through safeguarding against non-waste development and supporting improvement of facilities.

3.3.1.1 Within Surrey there is strong competition for available land for housing, employment and waste development. To help address this challenge the waste local plan needs to make best use of suitable land and existing facilities in order that they can fully contribute to meeting the need for waste management capacity. It can do this by safeguarding land necessary for waste management facilities and encouraging efficient use of land currently in use for waste management.

3.3.1.2 The policies which implement Strategic Objective 4 are:

- Policy 7 – Safeguarding.
- Policy 8 – Improvement or extension of existing facilities.

3.3.1.3 How policies implement Strategic Objective 4:

- These policies will seek to ensure that land is used in the most effective way to deliver waste management capacity by ensuring that land currently used, and planned for waste management is retained and not lost to alternative forms of development and that operators are encouraged to manage sites in the best way possible without significant adverse impacts to the community or the environment.

### 3.4 Location of new waste development

#### 3.4.1 Strategic Objective 5: To direct new facilities to locations that are most suitable for waste development.

3.4.1.1 One of the reasons Surrey is an attractive place to live and work is its high quality environment which includes a number of significant designations. By making sure that development of waste management facilities is located in the best available locations the WPA aims to minimise significant adverse impacts on the environment.

3.4.1.2 In identifying types of suitable locations and new sites for waste management facilities, the Plan provides certainty that the additional capacity needed to manage waste in Surrey can be developed and that the national requirement<sup>30</sup> to identify sites has been met

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<sup>30</sup> National Planning Policy for Waste, 2014 – Paragraph 4

- 3.4.1.3 The policies which implement Strategic Objective 5 are:
- Policy 9 – Green Belt.
  - Policy 10 – Areas suitable for development of waste management facilities.
  - Policy 11 – Strategic Waste Site Allocations (see also Part 2 of the Plan which relates to sites).
  - Policy 12 – Wastewater Treatment Works.

- 3.4.1.4 How policies implement Strategic Objective 5:
- These policies seek to ensure that enough suitable land is available for waste management infrastructure to support planned growth in Surrey. These policies encourage waste related development to take place in the best available locations.

## 3.5 Conserving and Enhancing the Environment

### 3.5.1 Strategic Objective 6: To encourage innovation and best practice which provide opportunities to minimise the impact of waste development on communities and the environment.

3.5.1.1 It is essential that the Plan addresses all aspects of sustainable development – including the protection and enhancement of the environment. It is envisaged that this will be achieved through the development of waste management facilities in appropriate locations and with an emphasis on good design which will not only protect but also enhance the environment, for example by providing net gains in biodiversity where possible. Those developments which use cleaner technologies or limit vehicle emissions through sustainable transport or minimal movements by road are encouraged.

3.5.1.2 The NPPW recognises that the siting of waste management facilities will be influenced by physical and environmental constraints<sup>31</sup>. In Surrey, there are attractive landscapes and important wildlife habitats which require particular consideration when proposals for waste management development are considered.

3.5.1.3 The policies which implement Strategic Objective 6 are:

- Policy 13 – Sustainable Design.
- Policy 14 – Development Management.

3.5.1.4 How policies implement Strategic Objective 6:

- These policies will seek to ensure that waste management facilities in Surrey are of a high quality and that they do not result in significant adverse impacts to communities and the environment.

## 3.6 Transport and Connectivity

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<sup>31</sup> National Planning Policy for Waste, 2014 – Appendix B Locational Criteria

### 3.6.1 Strategic Objective 7: To keep waste movement by road to minimum practicable levels and support options for sustainable transport.

3.6.1.1 Strategic Objective 7 seeks to encourage sustainable transport where available but also recognises that this is not always practicable. In Surrey there are only limited possibilities for means of transport other than road. Therefore, in the local context, there is a need for sustainable transport policies to address impacts on roads for example by seeking to minimise road movements.

3.6.1.2 The policy that implements Strategic Objective 7 is:

- Policy 15 – Transport and Connectivity.

3.6.1.3 How the policy will implement Strategic Objective 7:

- This policy will encourage sustainable transport and seek to minimise movements by road.

## 3.7 Engagement

### 3.7.1 Strategic Objective 8: To work closely with our partners such as Surrey Waste Partnership, District and Borough councils and other Waste Planning Authorities to deliver the Surrey Waste Local Plan.

3.7.1.1 The county council recognises that the Vision and Strategic Objectives can only be realised through working with a range of partners including: the Surrey Waste Partnership, district and borough planning teams, the waste industry, elected officials and residents.

3.7.1.2 To implement the Plan the county council will work with its partners to support initiatives that help meet local targets for prevention and re-use, recycling and recovery and prioritise development of facilities which allow management of waste further up the waste hierarchy.

3.7.1.3 To work collaboratively with other WPAs, particularly those in in the South East of England and adjoining Surrey, to ensure that provision of strategic capacity is co-ordinated as far as possible.

3.7.1.4 The policy that implements Strategic Objective 8 is:

- Policy 16 – Community Engagement.

3.7.1.5 How the policy implements Strategic Objective 8:

- The Duty to Cooperate (DtC) is already a legal requirement but this section of the Plan outlines how the county council will continue to engage with those prescribed bodies and how the county council will continue to engage in accordance with the DtC.
- Policy 16 requires an appropriate level of community engagement to be undertaken for waste management proposals prior to submitting an application. This will help ensure that communities are engaged in the planning process.

## 3.8 Strategic Matters

### 3.8.1 Strategic Policies

- 3.8.1.1 The development plan must include strategic policies to address the local planning authority's priorities for the development and use of land in its area<sup>32</sup>. Strategic policies should be "limited to those necessary to address the strategic priorities of the area (and any relevant cross-boundary issues). Strategic policies should not extend to detailed matters that are more appropriately dealt with through ... other non-strategic policies"<sup>33</sup>.
- 3.8.1.2 The strategic matter (and cross-boundary issue) which this local plan seeks to address is the land available for the delivery of waste management infrastructure in Surrey. On this basis strategic policies in the Plan are all policies excepted for detailed development management policies – Policy 14 and detailed policies on community engagement – Policy 16.

### 3.8.2 Statements of Common Ground

3.8.2.1 As part of meeting the duty to cooperate, local authorities are advised to "prepare and maintain one or more statements of common ground, documenting the cross-boundary matters being addressed and progress in cooperating to address these"<sup>34</sup>. Surrey has in place the following agreements (**to be confirmed**):

- South East Waste Planning Advisory Group (SEWPAG) Memorandum of Understanding.
- South East Waste Planning Advisory Group (SEWPAG) Joint Position Statement on Landfill.
- Statements of Common Ground with Surrey's 11 district and borough councils.
- Statements of Common Ground with relevant waste planning authorities and London Boroughs.
- Statements of Common Ground with London Mayor.

## 4 Spatial Strategy for Waste Development in Surrey

### 4.1 Introduction

- 4.1.1.1 The Spatial Strategy helps deliver the Strategic Objectives in terms of guiding the form and location of waste development. This strategy was developed from the Preferred Options<sup>35</sup> identified following the consultation on Issues and Options and from several key 'building blocks'. Namely:
- Provision of waste capacity in Surrey; the spatial strategy seeks to ensure net self-sufficiency. This means providing sufficient waste management infrastructure to

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<sup>32</sup> National Planning Policy Framework, 2018 – Paragraph 17

<sup>33</sup> National Planning Policy Framework, 2018 – Paragraph 21

<sup>34</sup> National Planning Policy Framework, 2018 – Paragraph 27

<sup>35</sup> Separate documents relating to the Issues and Options and setting out how the Preferred Options were identified have been published alongside this Plan and are available on the Surrey County Council Planning Policy webpage

deal with the equivalent amount of waste arising in Surrey taking into account existing capacity that is protected by safeguarding.

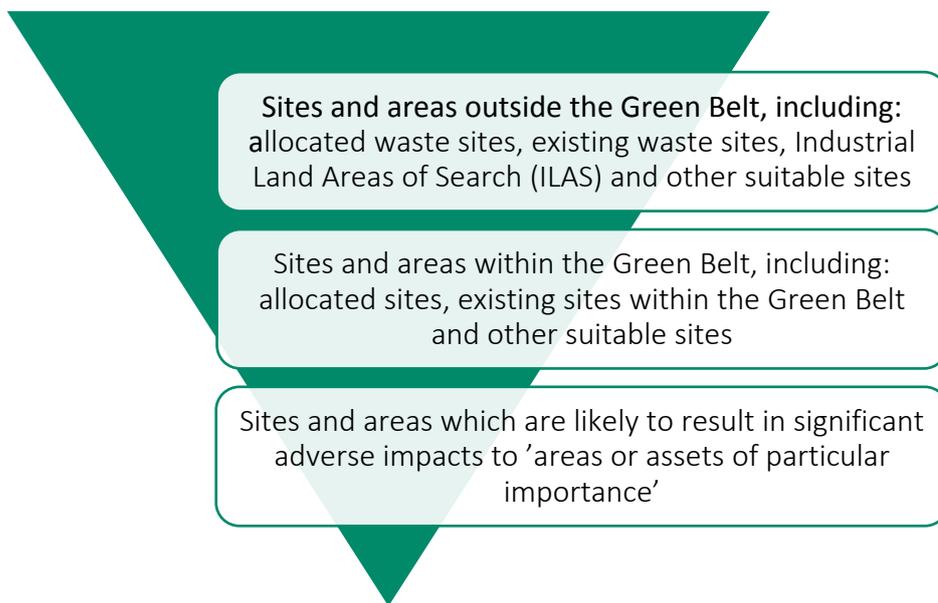
- Net self-sufficiency accepts that it is not practicable to deal only with waste produced in Surrey and that cross-boundary waste movements<sup>36</sup>, including those from London, are necessary to support the viable and efficient operation of waste management facilities.
- Scale of facilities; the spatial strategy recognises the need for a mix of facilities of different sizes/scales to address the capacity gap for waste management facilities in Surrey. This includes some large facilities which provide an important contribution to the overall capacity, as well as a range of small and medium facilities which can address specific needs and may be more acceptable in certain locations.
- Types of facilities; the spatial strategy supports flexibility, for example, rather than a single use, a range of different treatment types could be developed on the allocated sites. This recognises that waste markets and the need for waste management facilities may change over time. This also recognises that new technologies may come forward during the plan period and that flexibility will not restrict the use of new technologies, particularly where these could provide benefits through reduced emissions or supplying heat or power.
- Green Belt; the spatial strategy allows 'inappropriate' development within Green Belt where very special circumstances (VSC) can be demonstrated. VSC could include a lack of suitable alternative sites outside of the Green Belt. Any proposal for inappropriate development in the Green Belt will need to demonstrate VSC.
- Key centres and areas of growth; the spatial strategy addresses the polycentric nature of Surrey's settlements by including a mix of locations. The nature of these settlements mean that there is no one major source of waste arisings. Therefore, it may be more important that facilities are well connected by good transport links rather than being located in geographic proximity to key centres. This supports the need for a 'network' of connected sites to enable efficient management of waste.
- Previously Developed Land (PDL) and greenfield land; the spatial strategy should seek to avoid waste development on greenfield land. Development on greenfield land should only be considered where there are sufficient alternative options cannot be found. This is in line with national policy which supports the preferential location of development on PDL and, redundant agricultural and forestry buildings and their curtilages.
- Transport and Connectivity; in order to minimise impacts on local communities and the environment the spatial strategy should encourage facilities to be well

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<sup>36</sup> This includes movements both into and out of Surrey

connected to the main transport network. This should also be supported by options for sustainable transport which minimise movement of waste by road.

- 4.1.1.2 The spatial strategy sets out the overall approach for the location of new waste management capacity. The strategy seeks to ensure that, as a minimum, the Plan is able to meet Surrey's objectively assessed needs<sup>37</sup> for waste management.
- 4.1.1.3 Existing sites in waste management use are safeguarded as these are an important part of ensuring that sufficient waste management capacity is available to manage the equivalent amount of waste generated in Surrey.
- 4.1.1.4 The Spatial Strategy essentially creates broad preferences for development on certain types of land and this is illustrated as a hierarchy of land for development in Figure 3 below.



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*Figure 4 Diagram showing broad categories of land and the general preference in considering locations which are acceptable for new waste management facilities*

## 4.2 The Spatial Strategy

- 4.2.1.1 The Spatial Strategy for waste development in Surrey is:

<sup>37</sup> Paragraph 23 of the National Planning Policy Framework 2018

<sup>38</sup> 'areas or assets of particular importance' are Sites of Special Scientific Interest; other designated habitats sites; land designated as Green Belt, Local Green Space, an Area of Outstanding Natural Beauty, a National Park (or within the Broads Authority) or defined as Heritage Coast; irreplaceable habitats; designated heritage assets and non-designated heritage assets of archaeological interest, which are demonstrably of equivalent significance to scheduled monuments; and areas at risk of flooding or coastal change.

<sup>39</sup> 'Suitable land' is considered to be that which is consistent with Policy 10

### Spatial Strategy

Surrey has a need for additional waste management capacity. This need is provided for by generally safeguarding existing capacity, and by appropriate extensions and enhancements to existing facilities and by the development of new facilities in suitable locations.

Redevelopment of suitable sites in existing waste management use is encouraged where improvement and diversification would lead to an increase in appropriate management capacity consistent with the waste hierarchy. At the same time, waste management development for new or improved facilities should be in the best possible locations to minimise impact on the environment and amenity. This includes conserving and enhancing the character of the Surrey Hills and High Weald Areas of Outstanding Natural Beauty.

Areas potentially suitable for waste management development include sites and areas identified for employment uses, industrial and storage purposes, redundant agricultural and forestry buildings and their curtilages. Waste management development is prioritised on previously developed land, sites identified for employment uses, and redundant agricultural and forestry buildings and their curtilages and/or land not in the Green Belt.

Sustainable transport options in Surrey are limited, however, through the delivery of new or improved waste management facilities a network of sustainable facilities is encouraged. This should include sites which are well-connected to sources of waste, such as main centres of population and employment by road or rail.

By encouraging a network of waste management facilities which are well-connected to sources of waste movements of vehicles, especially heavy goods vehicles (HGVs), the county council is seeking to avoid significant adverse impacts from vehicles on residents.

Areas which are likely to offer opportunities for waste development in accordance with this Spatial Strategy include urban areas and towns located close to the boundary with London, and the large towns of Guildford, Woking, Reigate/Redhill and Farnham.

## 4.3 Identifying Sites and Areas

### 4.3.1 Industrial Land Areas of Search

4.3.1.1 Consistent with the Spatial Strategy, which prioritises development on previously developed land and sites and areas identified for employment uses, industrial and storage purposes.

4.3.1.2 Areas of search, based on areas for employment, industrial and storage purposes in district and borough local plans<sup>40</sup>, have been identified. These 'Industrial Land Areas of Search' (ILAS) are 'in principle' areas within which it is more likely that sites considered suitable for the development of additional waste management facilities can be identified. Details of these areas are set out in Part 2 of this Plan.

<sup>40</sup> Either adopted, submission or pre-submission local plans. Further details can be found in the Industrial Land Area of Search Report

### 4.3.2 Allocated Sites

4.3.2.1 In addition to the ILAS, sites considered suitable in principle for the development of additional waste management facilities are allocated in the Plan. Details of the allocated sites are set out in Part 2 of this Plan. The allocation of sites is intended to provide certainty that there is suitable land within Surrey that could be developed to meet future waste management capacity requirements.

4.3.2.2 The identification of the areas of land allocated for future waste development involved the following main stages<sup>41</sup>:

- Stage 1 – Identification of a ‘long list’ of potential sites, drawing on information from a range of sources.
- Stage 2 – Collection of baseline information about each of the sites on the ‘long list’.
- Stage 3 – Elimination of sites from further consideration through the application of a series of preliminary sieves.
- Stages 4 & 5 – Assessment of the remaining sites against a further suite of sieves, including Green Belt and previously developed land, and evaluation of their suitability.

4.3.2.3 In order to meet the need for additional capacity for other recovery it is estimated that the amount of land needed is approximately 12 hectares<sup>42</sup>. The above process revealed that unless some Green Belt land is allocated there will be no certainty that sufficient land can be developed to meet the additional waste management capacity requirements. In each case particular site circumstances were considered to justify the Green Belt site allocations including the fact that the land is previously developed.

4.3.2.4 In total the selected sites amount to approximately 21 hectares<sup>43</sup>. In order to meet the need for additional capacity for other recovery it is estimated that the amount of land needed is approximately 12 hectares<sup>44</sup>. Hence the allocated sites ensure the plan is deliverable, in the event that any capacity outside the Green Belt, that might exist, does not come forward.

## 5 Policies

### 5.1 Net self-sufficiency

#### 5.1.1 Policy 1 – Need for Waste Development

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<sup>41</sup> For a full description of the methodology used to identify potential sites see: Site Identification & Evaluation Report September 2017

<sup>42</sup> Based on calculations for site area in the Site Identification and Evaluation Report September 2017

<sup>43</sup> Excluding land north east of Slyfield Industrial Estate which is largely required to accommodate the relocation of existing facilities.

<sup>44</sup> Based on calculations for site area in the Site Identification and Evaluation Report September 2017

- 5.1.1.1 The WFD requires that waste planning authorities need to plan for enough waste management infrastructure to handle waste arisings within their plan area. The NPPW requires the WPA to identify sufficient opportunities to meet the identified needs of their area for the management of waste streams in preparing the local plan.
- 5.1.1.2 It is estimated that by the end of the plan period there will be shortfall of capacity of facilities for other recovery (Table 4). As new waste management capacity is developed the capacity gap will change and this will be monitored in the Annual Monitoring Report (AMR). The need for facilities will be assessed against the results of monitoring in the latest AMR.
- 5.1.1.3 Surrey's aim is to be net self-sufficient, that is, the county has enough waste management capacity to deal with the equivalent amount of waste which arises in the county. This means that Surrey should plan to provide sufficient capacity to adequately manage forecast waste requirements in accordance with the Waste Hierarchy.
- 5.1.1.4 Waste development which supports the sustainable management of waste, including through maximising opportunities for preparing for re-use, recycling and recovery, will contribute to achieving sustainable development by making best use of natural resources. While the WPA acknowledges a specific need for additional other recovery capacity, it seeks to promote recycling capacity ahead of other recovery capacity. This means that the development of additional recycling capacity which reduces the need for other recovery capacity will be encouraged. This approach is consistent with the directive and the vision for the Plan.
- 5.1.1.5 Proposals for the development of waste management facilities must also comply with other policies in this plan including any policies related to location and environmental protection.
- 5.1.1.6 A waste incinerator that can generate energy with high efficiency can qualify as a recovery operation. This will be assessed on a case by case basis in the event of a planning application being received. For plant managing municipal waste or automotive shredder residues, performance is measured using the R1 Energy Efficiency formula in Annex II of the Waste Framework Directive 2008/98/EC (WfD1).
- 5.1.1.7 This matter is assessed by the Environment Agency as part of the environmental permitting regime. The potential for a plant to meet the R1 standard will form part of the assessment when determining a planning application<sup>45</sup>. However, general the combustion of waste, or fuel produced from waste, without efficient energy recovery ranks alongside disposal at the bottom of the waste hierarchy.

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<sup>45</sup> The performance of a plant against the R1 formula can only be made once a plant is operational. There will also be local factors that mean that, although a plant is designed with the potential for R1 standards to be met, in operation these are impossible to achieved due to, for example, the lack of opportunity for a local heat network.

### Policy 1 – Need for Waste Development

Planning permission for the development of new waste facilities will be granted where it can be demonstrated that:

- i) The proposed development will contribute to achieving targets for recycling, recovery and the diversion of the waste away from disposal in a manner that does not prevent management of the waste at the highest point practical in the waste hierarchy.
- ii) Proposals for other recovery capacity<sup>46</sup> will not result in the requirements for such capacity, as specified in the latest Annual Monitoring Report, to be exceeded.

*Table 9 Monitoring for Policy 1 – Need for Waste Development*

Measure/Indicator	<ul style="list-style-type: none"> <li>Additional capacity (tonnes per annum) granted through new waste planning permissions.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>Planning Applications and Decisions.</li> <li>Appeal Decisions.</li> <li>Survey responses from operators.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>Waste Planning Authority.</li> <li>Waste Industry.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>Capacity is at least equal to the waste generated (net self-sufficiency).</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>Waste capacity is more than 20% below arisings.</li> </ul>

## 5.2 Sustainable Waste Management (Waste Hierarchy)

### 5.2.1 Waste Prevention

5.2.1.1 A resource efficient, or 'circular', economy is one where fewer resources are used to produce more, making the most of those resources by keeping them in use for as long as possible, extracting the maximum value from them whilst in use, then recovering and regenerating products and materials at the end of each service life. This includes by preventing waste being generated in the first place which is at the top of the waste hierarchy.

5.2.1.2 Opportunities for waste prevention occur throughout a product life-cycle and include actions such as:

- Introduce separate food waste collections – to help residents identify how much food they throw away leading to less over-purchasing.
- Work with the government to introduce proper extended producer responsibility – to encourage producers design out waste and design-in recyclability, because they

<sup>46</sup> As defined in the glossary. This is not including treatment of food waste by anaerobic digestion.

have to cover the costs of collecting and managing the products when they have become wastes.

- Persuade residents to change their buying habits through communications campaigns.
- Reducing the capacity of residual waste bins – to encourage residents to think about how much they consume and throw away.

5.2.1.3 These actions require the WPA, WDA and WCA to work together with their partners to promote waste prevention, education and awareness initiatives.

5.2.1.4 The Waste Management Plan for England<sup>47</sup> and the Waste Prevention Programme for England<sup>48</sup> contribute to a circular economy by encouraging people and businesses to use products for longer, repair broken items, and enable reuse of items by others. In Surrey this includes promoting the reuse of furniture and white goods through the Surrey Reuse Network.

## 5.2.2 Policy 2 – Recycling and Recovery (other than inert C, D & E and soil recycling facilities)

5.2.2.1 Following the waste hierarchy, waste management capacity which maximises options recycling, and recovery, are, in turn, the next most sustainable. This covers a wide range of waste management technology including materials recovery facilities (MRFs), mechanical biological treatment (MBT) plants, autoclave or in-vessel composting plants and energy from waste technologies. This list is not exhaustive of the current technologies available and the policy is not technology specific so that the Plan is able to react to new technologies that may be developed in the future.

5.2.2.2 The county council is supportive of recycling and recovery operations where it can be demonstrated that facilities will not have adverse effects of amenity or environment. The types of waste technology that will be suitable will depend on the nature and scale of the proposed scheme and the characteristics of the site and its surroundings.

5.2.2.3 Community Recycling Centres (CRCs) are sites that are operated by the Waste Disposal Authority (Surrey County Council) for local residents to drop off their household waste, recyclables and bulky waste. Surrey has 15 CRC sites which manage approximately 100,000 tonnes of material each year. Of this 59% of the materials collected at the CRCs were recycled in 2017. When materials which are sent for energy recovery or other beneficial use are included the total diversion rate from landfill is 95%<sup>49</sup> for all waste collected at kerbside and at the CRCs.

5.2.2.4 Policy 2 below should apply to any development associated with a CRC including any ancillary development related to the CRC (e.g. depot, workshop and achieving the wider aims of

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<sup>47</sup> Waste Management Plan for England, December 2013

<sup>48</sup> Prevention is better than cure: the role of waste prevention in moving to a more resource efficient economy, December 2013

<sup>49</sup> Surrey Planning Service Annual Monitoring Report 2017/18.

promoting sustainable waste management and the waste hierarchy or to help the site to function efficiently e.g. fewer vehicle movements, better access and other benefits.

- 5.2.2.5 Unlike operations involving mixed C & D waste, inert C, D & E waste and soil recycling operations are often located in the open and associated with other activity such as mineral working and so a separate policy is applied to such operations (Policy 3). Applications for the enhancement or extension of existing recycling or recovery operations should be dealt with under Policy 8.
- 5.2.2.6 New recovery technologies (e.g. energy from waste) will particularly suit locations that have access to gas, electricity, heat and freight networks. However, small-scale anaerobic digestion, inert C, D & E waste recycling facilities and windrow composting plants may be more suited to rural or semi-rural settings (e.g. existing farms) and are normally not compatible with high-tech office or business parks. Application of the development management policies in Section 8.9 determines the suitability of such development in rural locations.
- 5.2.2.7 Particular benefits may arise from co-locating a waste management facility either with other waste facilities or with other forms of development (e.g. housing and employment). Such benefits include synergies and efficiencies in waste management and transport as well as the local use of heat generated by energy from waste facilities.

#### Policy 2 – Recycling and Recovery (other than inert C, D & E and soil recycling facilities)

A. Planning permission for the development of recycling or recovery facilities (other than inert C, D & E and soil recycling facilities) and any associated development will be granted where:

- i) The site is allocated in the Surrey Waste Local Plan for waste development (Policy 11).
- ii) The activity involves the redevelopment of a site, or part of a site, in existing waste management use.
- iii) The site is otherwise suitable for waste development when assessed against other policies in the Plan.

B. Development of waste recycling and recovery activities co-located with other waste and non-waste development will be supported where it can be demonstrated that there are benefits from the co-location which may include:

- i) More efficient production, in terms of quantity or quality, of recyclate and waste derived fuels.
- ii) Fewer lorry movements would be required as a result of co-location.
- iii) An additional beneficial use is associated with waste recycling and recovery operations at the site e.g. efficient contribution to an energy network.

*Table 10 Monitoring for Policy 2 – Recycling and Recovery*

Measure/Indicator	<ul style="list-style-type: none"> <li>• Waste arisings (tonnes) of waste from households.</li> <li>• Waste arisings (tonnes) of C &amp; I waste.</li> </ul>
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	<ul style="list-style-type: none"> <li>Amount/proportion of waste from households and C &amp; I waste recycled, recovered or composted (tonnes, %).</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>Environment Agency Waste Data Interrogator.</li> <li>Other sources of data as indicated in the Annual Monitoring Report.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>Waste Planning Authority.</li> <li>Waste Disposal Authority.</li> <li>Environment Agency.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>70% of waste from households is prepared for re-use or recycled by 2033.</li> <li>70% of C&amp;I waste is prepared for re-use or recycled by 2033.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>Waste arisings and/or rates for preparing for re-use or recycling exceed waste forecasts or other information available suggests that the plan is unable to meet the demand for new or enhanced facilities.</li> </ul>

### 5.2.3 Policy 3 – Recycling of Inert Construction, Demolition and Excavation Waste

- 5.2.3.1 For the purpose of Policy 3, inert C, D & E waste is defined as the range of inert materials which arise from the construction or demolition of buildings and civil engineering projects and includes soils which have been excavated as a result of site preparation activities. Significant quantities of this waste arise in the county. The waste makes up over one third of the total controlled waste stream produced in Surrey each year. There is also inert C, D & E waste imported into the area, both from London and elsewhere in the South East.
- 5.2.3.2 Inert C, D & E waste recycling may refer to the screening, processing, crushing, washing or other activities of a similar nature which produce materials such as recycled aggregates and soils for sale. These operations typically take place in the open which would lend this type of development to a more rural location, but some operations can be enclosed.
- 5.2.3.3 In Surrey, the recycled aggregates that are used to substitute for land won aggregates are primarily recycled materials derived from inert C, D & E waste. Recycled aggregates include:
- Hard construction and demolition waste (segregated or mixed unprocessed / uncrushed materials which particularly include concrete, masonry, bricks, tiles and ceramics).
  - Excavation waste (naturally occurring stone, rock and similar materials which have been excavated as a result of site preparation activities).
  - Bituminous materials (arising from road engineering works).
- 5.2.3.4 The Aggregate Recycling Joint Development Plan Document (ARJDPD) 2013 looks to increase the use of secondary and recycled materials as substitutes for natural minerals and consequently to reduce the amount of construction and demolition waste disposed of to landfill. The ARJDPD 2013 identifies the types of sites that will contribute to the future provision of aggregate recycling, including:
- Existing permanent sites.
  - Existing temporary sites.
  - In-situ temporary recycling at excavation and demolition sites.

- Potential new temporary and permanent sites.
- Windfall capacity including intensification and / or extensions to existing sites.

- 5.2.3.5 In order to support targets for aggregate recycling in the Surrey Minerals Plan (SMP) 2011 and ARJDPD 2013, the Plan needs to encourage recycling of inert C, D & E waste. Policy 3 below sets out how proposals for managing inert C, D & E waste (including soil recycling) should be considered and this complements the policies in the SMP 2011 and ARJDPD 2013.
- 5.2.3.6 It is recognised that a significant proportion of existing inert C, D & E waste recycling facilities are located on land associated with mineral workings. These facilities benefit from temporary permissions which are associated with the timescale for mineral extraction and site restoration. A key part of the policy approach is therefore to continue to encourage temporary inert C, D & E recycling operations on suitable land associated with operational mineral workings. Temporary C, D & E recycling operations may also be associated with the restoration of landfilling and landraising sites.
- 5.2.3.7 The approach within the Plan is to encourage the sustainable management of waste in line with the waste hierarchy. As such, the Plan promotes the recycling of inert material over the recovery of this material to land. Surrey County Council recognises the tension that may exist between supporting recycling of inert C, D & E waste and encouraging timely restoration, as ongoing recycling might slow down restoration.
- 5.2.3.8 Sites for inert C, D & E waste recycling should be located in locations easily accessible to where waste arises and facilities may be temporarily linked to a specific development e.g. mineral working or large construction project. These types of developments will be supported where it can be demonstrated that facilities will not cause significant adverse impacts on amenity or the environment.
- 5.2.3.9 It is recognised that inert C, D & E waste managed at these facilities may include incidental quantities of non-inert materials such as wood and that processing operations will result in their removal as part of the production of an inert recycled aggregate or soil. Facilities which manage mixed C, D & E waste, that contains greater quantities of non-inert waste (such as that stored and transported in skips), should be enclosed and are generally not associated with temporary mineral working and landfill restoration. The suitability of proposals for such facilities will therefore be considered against Policy 2.

### Policy 3 – Recycling of Inert Construction, Demolition and Excavation Waste

A. Planning permission for the development of inert C, D & E waste recycling facilities will be granted where:

- i) The site is allocated in the Aggregates Recycling Joint Development Plan Document.
- ii) The site is a mineral working where the nature and duration of the proposed activity are tied to the consented operation and/or restoration of the mineral working.
- iii) The site is for landraising or landfilling where the nature and duration of the proposed operations are tied to the consented activity.
- iv) The site is otherwise suitable for inert C, D & E waste recycling operations when assessed against policies in the Surrey Waste Local Plan and the Spatial Strategy.

B. Planning permission for the development of inert C, D & E waste recycling operations located with types of development other than those mentioned above will be granted where it can be demonstrated that there are benefits from their co-location which may include:

- i) More efficient production, in terms of quantity or quality, of secondary and recycled aggregate.
- ii) Fewer lorry movements would be required as a result of co-location.
- iii) An additional beneficial use is associated with inert C, D & E waste processing at the site e.g. use of the recycled inert C, D & E waste materials within the development.

*Table 11 Monitoring for Policy 3 – Recycling of Inert Construction, Demolition and Excavation Waste*

Measure/Indicator	<ul style="list-style-type: none"> <li>• Inert C, D &amp; E waste arisings (tonnes).</li> <li>• Amount of waste prepared for reuse or recycled (tonnes, %).</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>• Planning Applications and Decisions.</li> <li>• Appeal Decisions.</li> <li>• Survey responses from operators e.g. Recycled Aggregates.</li> <li>• Environment Agency Waste Data Interrogator.</li> <li>• Other sources of data as indicated in the Annual Monitoring Report.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>• Waste Planning Authority.</li> <li>• Environment Agency (for information).</li> <li>• Waste Industry (for information).</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>• 80% of C, D &amp; E waste is recycled by 2033.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>• Waste arisings and/or rates for preparing for re-use or recycling exceed waste forecasts or other information available suggests that the plan is unable to meet the demand for new or enhanced facilities.</li> </ul>

## 5.2.4 Policy 4 – Sustainable Construction and Waste Management in New Development

5.2.4.1 Development often results in the production of a significant quantity of waste; this takes place during the construction, operation and demolition stages. It is therefore important that

consideration is given to this in determining planning applications for all forms of development.

- 5.2.4.2 It is important that waste management issues are addressed in the design stage of new developments to make sure that waste arisings during the construction phase and operational phase can be managed sustainably.
- 5.2.4.3 New developments will always need to incorporate storage facilities that ensure the recycling of waste is maximised. There may also be occasions, particularly in larger developments, where small scale waste processing facilities can be incorporated, particularly where these can include heat recovery of benefit to the development itself.
- 5.2.4.4 While district and borough councils do not have the planning functions in respect of the preparation of Local Plans covering waste, or determining planning applications for waste management facilities, they must have regard to national planning policy concerning waste that expects they will help deliver the Waste Hierarchy. Such policy must be considered when determining planning applications for non-waste development in a number of ways including:
- Integrating local waste management opportunities in proposed new development.
  - Promoting good management of waste from any proposed development, such as through encouraging on-site management of waste and salvage.
  - Promoting sustainable construction practices through the use of recycled products, recovery of on-site material and the provision of facilities for the storage and regular collection of waste.
- 5.2.4.5 To demonstrate consistency with this policy, applications for sizable development<sup>50</sup> should be accompanied by a 'Site Waste Management Plan' that clearly sets out how waste produced during all stages of a development will be minimised and managed in a sustainable manner. The impacts of the processes of recycling or reuse on site will be considered when determining the acceptability of development.
- 5.2.4.6 Non-waste development is normally the responsibility of the borough or district council and some local plans and other planning guidance already seek to address in more detail issues of sustainable design and sustainable construction including waste management. Policy 4 complements any such existing policies in adopted or emerging borough or district local plans. Implementation of Policy 4 is the responsibility of district and borough planning authorities for any proposals for development not determined by the county council.
- 5.2.4.7 The information to accompany planning applications to demonstrate compliance with Policy 4 should be proportionate to the size of the development and the amount and types of waste likely to be generated. Surrey County Council has produced a Sustainable Construction Standing Advice Note<sup>51</sup> that provides further information on this matter.

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<sup>50</sup> For sites of 5 hectares or more as these projects would be defined as Schedule 2 development under paragraph 10(a) Industrial estate development projects of The Town and Country Planning (Environmental Impact Assessment) Regulations 2017

<sup>51</sup> The Surrey County Council Sustainable Construction Standing Advice Note is available on the Minerals and Waste Planning Policy webpage

5.2.4.8 Policies in the SMP 2011 and ARJDPD 2013 that encourage the use of recycled and secondary aggregate in development will be considered alongside the implementation of Policy 4.

#### Policy 4 – Sustainable Construction and Waste Management in New Development

Planning permission for any development will be granted where it has been demonstrated that:

- i) The waste generated during construction, demolition and excavation phase of development is limited to the minimum quantity necessary.
- ii) Opportunities for re-use and for the recycling of construction, demolition and excavation residues and waste on site are maximised.
- iii) On-site facilities to manage the waste arising during the operation of the development of an appropriate type and scale have been considered as part of the development. These include integrated storage to facilitate reuse and recycling.

*Table 12 Monitoring for Policy 4 – Sustainable Construction and Waste Management in New Development*

Measure/Indicator	<ul style="list-style-type: none"> <li>• Consultation Protocol is kept up to date.</li> <li>• Planning applications for all types of development are accompanied by information setting out how waste will be managed.</li> <li>• Site Waste Management Plans are submitted with planning applications for major development.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>• SCC Consultation Protocol.</li> <li>• Development Management Teams.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>• Waste Planning Authority.</li> <li>• Local District and Borough Planning Authority.</li> <li>• Development Industry.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>• Consultation Protocol has been reviewed in the past 12 months.</li> <li>• 100% of planning applications are accompanied by information setting out how waste will be managed.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>• Consultation Protocol has not been reviewed in the past 24 months.</li> <li>• Less than 95% of planning applications are accompanied by information setting out how waste will be managed.</li> </ul>

#### 5.2.5 Policy 5 – Recovery of Inert Waste to Land

5.2.5.1 The beneficial use of C, D & E waste for inert fill, where this is necessary, can be categorised as a waste recovery operation. Waste recovery can be defined as any operation the principal result of which is waste serving a useful purpose by replacing other materials which would have otherwise been used to fulfil a particular function, or waste being prepared to fulfil that function, in the plant or wider economy.

5.2.5.2 In Surrey, inert material derived from C, D & E waste is a valuable resource and when used in mineral site restoration as inert fill or as capping material for landfilling or landraising activities is considered to be a recovery operation. This is explained further in the Minerals

Site Restoration Supplementary Planning Document (2011). Given the need for this type of material in restoration, this activity is the preferred option over any other recovery operation.

- 5.2.5.3 Other types of recovery operations involving inert waste can include:
- Constructing haul roads / hardstanding.
  - Agricultural land improvements or other engineering operations.
  - Landscaping and noise attenuation bunds.
- 5.2.5.4 Proposals involving the beneficial use of inert waste for recovery to land will be acceptable where the benefits of the development clearly outweigh any potential adverse impacts as set out by Policy 5 below. Disposal of inert waste to land is considered unacceptable.
- 5.2.5.5 Surrey County Council as the Waste Planning Authority will consider whether the proposed development involving the deposit of waste is a genuine 'recovery' activity. Such consideration involves an assessment of whether there is a genuine need for the development, or if the activity is in fact being proposed because it provides an outlet for the 'disposal' of waste for its own sake. Such consideration will include whether the activity involves restoration of mineral workings with inert material or use as a landfill capping material required by planning conditions and/or obligations.
- 5.2.5.6 Such activity may require a separate Environmental Permit, for disposal or recovery of waste, from the Environment Agency. As different legislation applies, even if the permit is for a 'disposal' activity, Surrey County Council may decide that, for the purpose of this Plan, the activity is considered to be recovery. Likewise, the Environment Agency has its own assessment for recovery operations.
- 5.2.5.7 The recovery of inert waste to land will be only supported if the development provides a significant benefit that would outweigh any significant adverse impacts. In the case of land remediation, the development must demonstrate a significant improvement to damaged or degraded land and/or provide a greater environmental or agricultural value than the previous land use.
- 5.2.5.8 Large scale landraising projects could divert inert waste materials from other sites, such as quarries that require such material for restoration, as well as having the potential to cause adverse impacts. The amount of material which is proposed to be deposited provides an indication of the scale of the development and proposals must demonstrate that the quantity of waste to be used is the minimum amount required. This may be done by showing how the development would be compromised by the deposit of less waste than proposed e.g. by reducing the quantity by 10%, 20%, 30% etc.
- 5.2.5.9 Any changes to the landform resulting from the proposal would need to be sympathetic to the area. The development should respect the landscape character and visual amenity of the site and surrounding area, as well as those interests relating to nature conservation and amenity.
- 5.2.5.10 If an application, or part of an application, which includes a recovery to land operation is to be determined by a district or borough council, then Policy 5 – Recovery of Inert Waste to Land would apply as part of the decision making framework.

- 5.2.5.11 A formal protocol<sup>52</sup> has been established that makes it possible for inert excavation waste to be classified as a 'non waste' e.g. engineering material, rather than a waste. The use of such material in development is not subject to control by the planning and environmental permitting regimes concerned with waste management. However such development needs to be carefully scrutinised and monitored by the responsible authorities i.e. the Environment Agency and the District and Borough planning authorities to ensure that the development does not in fact constitute waste management.

#### Policy 5 – Recovery of Inert Waste to Land

Planning permission for the recovery of inert waste to land will be granted where this is necessary to implement a minerals restoration and non-inert landfill restoration schemes and for other development involving the deposit of inert waste on land that will not prejudice mineral restoration and non-inert landfill restoration activity within the county if:

- i) There is a significant benefit or improvement from the development.
- ii) The benefit or improvement cannot practicably and reasonably be met in any other way.
- iii) The waste cannot be practicably and reasonably be re-used, recycled or processed in any other way.
- iv) The use of the inert waste material replaces the need for non-waste materials.
- v) The development involves the minimum quantity of waste necessary.

Table 13 Monitoring for Policy 5 – Recovery of Inert Waste to Land

Measure/Indicator	<ul style="list-style-type: none"> <li>Amount of inert waste disposed of on land for beneficial purposes (tonnes, %).</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>Planning Applications and Decisions.</li> <li>Appeal Decisions.</li> <li>Environment Agency Waste Data Interrogator.</li> <li>Other sources of data as indicated in the Annual Monitoring Report.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>Waste Planning Authority.</li> <li>Environment Agency (for information).</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>5% of C, D &amp; E waste sent for disposal to landfill by 2025.</li> <li>0% of C, D &amp; E waste sent for disposal to landfill by 2033.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>Evidence of insufficient capacity for inert material.</li> </ul>

#### 5.2.6 Policy 6 – Disposal of Non-inert Waste to Land

- 5.2.6.1 The Plan aims to divert non-inert waste away from landfill by providing other types of facilities for the management of waste. As the disposal of waste is the least preferred option for waste management in the waste hierarchy, the demand for, and availability of, non-inert

<sup>52</sup> 'CL:AIRE Protocol' – Definition of Waste Code of Practice

landfill capacity is reducing across the South East of England, however landfill continues to have a role and so it is an option Surrey County Council needs to plan for. This approach is consistent with national policy<sup>53</sup>. In Surrey there is only one non-inert landfill remaining at Patteson Court and this site has planning permission requiring restoration by 2030.

- 5.2.6.2 As sites for the disposal of non-inert waste to land are becoming more specialised, waste now travels over administrative boundaries to reach these facilities. This position is recognised by all Waste Planning Authorities across the South East of England<sup>54</sup>. Waste sent to landfill should be the residue following other types of treatment such as recycling and recovery that cannot be dealt with in any other way and this means it contains far less putrescible material and there is less of it in total.
- 5.2.6.3 For some hazardous wastes disposal to landfill offers the only practical waste management solution. Such wastes are produced in relatively small quantities and managed at sites dedicated for receiving them or within specially engineered cells at sites disposing of other non-inert waste.
- 5.2.6.4 In light of the above and the fact that no sites for landfill were promoted by the waste management industry during the preparation of this plan, there are no allocated sites for landfill in the Plan. Proposals for landfill (including extensions or alterations of existing landfill sites) may, nevertheless, come forward and so a policy is required to address such proposals. This policy would also be used to assess any proposal to extend the end date for the completion of a permitted operation.
- 5.2.6.5 The assessment of need for any new non-inert landfill must take account of whether there is already sufficient suitable capacity to deal with the residual waste. This assessment must plan for the fact that waste is transported increasingly long distances and so existing sites some distance away may be able to serve requirements in Surrey and neighbouring areas. In some cases existing landfills for hazardous waste may serve a national market.
- 5.2.6.6 Biodegradable waste disposed of in landfill degrades to produce landfill gas, much of which is a combustible compound known as methane. Any application for landfill must provide details of how the site will be restored and any measures needed to manage landfill gas during the operational and aftercare phases. The utilisation of landfill gas to produce energy provides significant benefit by helping reduce reliance on fossil fuels. This benefit is expected to be gained wherever possible. However, in the longer term, with a significant reduction in the amount of biodegradable waste disposed of to landfill, there is likely to be less gas to recover.
- 5.2.6.7 To ensure that the potential benefits of disposal through non-inert landfill are realised, proposals must include consideration of final use of the land, including proposals for a high quality of restoration and long term management plans for the restored site. The restoration of mineral workings is a priority in Surrey with which disposal of non-inert waste may assist, in light of this landfilling within mineral workings is preferred over landraising.

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<sup>53</sup> Paragraph 3 of the National Planning Policy for Waste 2014

<sup>54</sup> South East Waste Planning Advisory Group Joint Position Statement on Non-inert Landfill in the South East of England

### Policy 6 – Disposal of Non-inert Waste to Land

Planning permission for development involving disposal of non-inert waste to land will be granted where:

- i) The waste to be disposed of is the residue of a treatment process and cannot practicably and reasonably be re-used, recycled or recovered.
- ii) There is a clearly established need for the additional waste disposal to land capacity which cannot be met at existing permitted sites.
- iii) Best practice measures are included to ensure maximum practicable recovery of energy from landfill gas.
- iv) The resulting final landform, landscaping and after-uses are sympathetically designed and enhance the natural environment.

In the case of landraise proposals for non-inert waste, in addition to the requirements (i) to (iv) above, permission will only be granted if all existing permitted land disposal and mineral working sites have been investigated and eliminated as unsuitable for non-inert waste disposal.

*Table 14 Monitoring for Policy 6 – Disposal of Non-inert Waste to Land*

Measure/Indicator	<ul style="list-style-type: none"> <li>Amount of non-inert waste by waste stream diverted from Landfill (tonnes, %).</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>Environment Agency Waste Data Interrogator.</li> <li>Other sources of data as indicated in the Annual Monitoring Report.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>Waste Planning Authority.</li> <li>Environment Agency.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>&lt;5% of waste from households sent for disposal to landfill by 2025.</li> <li>&lt;1% of waste from households sent for disposal to landfill by 2035.</li> <li>&lt;10% of C &amp; I waste sent for disposal to landfill by 2025.</li> <li>&lt;5% of C &amp; I waste sent for disposal to landfill by 2035.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>Evidence of insufficient capacity for non-inert material.</li> </ul>

### 5.2.7 Policy 7 – Safeguarding

- 5.2.7.1 Opportunities for the development of waste management capacity are limited in Surrey and so loss of existing or planned waste management sites to other types of development or constraints on management activity and capacity may make net self-sufficiency harder to achieve.
- 5.2.7.2 The purpose of safeguarding sites in existing waste use as well as those with planning permission and/or allocated for waste management facilities, is to ensure that the need for existing or planned waste management infrastructure is taken into account when decisions are made on new development by all planning authorities in Surrey.
- 5.2.7.3 Surrey is a two-tier authority so the responsibility for determining the majority of planning applications for non-waste related development, such as housing, lies with Surrey's district

and borough councils. It is essential that both tiers work together to ensure the provision of suitable and sufficient waste management infrastructure.

- 5.2.7.4 Safeguarding of waste facilities is a material planning consideration but does not rule out alternative development. Whether planning permission should be granted for non-waste development is usually a decision for the borough or district council to take, in consultation with the WPA, and will depend on the circumstances of each individual case. Nevertheless, the presumption is that existing and planned waste development should be safeguarded. This includes from proximate development that may adversely affect the operation of the site. Sites with temporary planning permission for a waste use are safeguarded for the duration of the permission.
- 5.2.7.5 Existing waste operations should not have unreasonable restrictions placed on them as a result of new development in proximity that may be sensitive to their operation that could be deemed a statutory nuisance e.g. noise. Applicants for new and potentially sensitive non-waste development ('agents of change') in proximity to waste sites will be required to demonstrate that the proposed development will not prejudice the waste use, including through incorporating measures in its design and orientation, to mitigate potential effects and sensitivity.
- 5.2.7.6 The Surrey Minerals and Waste Consultation Protocol<sup>55</sup> sets out how the county council and the district and borough councils work together constructively to ensure waste safeguarding issues are taken into account as appropriate during the preparation of local plans and in the determination of planning applications. The protocol and associated standing advice is kept up to date to provide guidance on safeguarding issues.
- 5.2.7.7 While the protocol provides a useful framework it is not a replacement for ongoing communication and collaboration between authorities and the process relies on the county council and the district and borough councils working together effectively.

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<sup>55</sup> The Surrey County Council Minerals & Waste Consultation Protocol is available on the Minerals and Waste Planning Policy webpage

### Policy 7

The following sites, which may be required for waste development will be safeguarded:

- i) Allocated sites for waste development.
- ii) Sites in existing waste use including wastewater and sewage treatment works (including those with temporary permission).
- iii) Sites with permission for waste use but which have not been developed.

In accordance with the Consultation Protocol, local planning authorities must consult the Waste Planning Authority on proposals for non-waste development on, or in proximity to, safeguarded waste sites.

Proposals for non-waste development in proximity to safeguarded waste sites must demonstrate that they would not prejudice the operation of the site, including through incorporation of measures to mitigate and reduce their sensitivity to waste operations. Proposals that would lead to loss of waste management capacity, prejudice site operation, or restrict future development of safeguarded sites should not be permitted unless it can be demonstrated by the applicant that:

- i) The waste capacity and/or safeguarded site is not required.
- ii) The need for the non-waste development overrides the need for safeguarding.
- iii) Equivalent, suitable and appropriate replacement capacity can be provided elsewhere in advance of the non-waste development.

*Table 15 Monitoring for Policy 7 – Safeguarding*

Measure/Indicator	<ul style="list-style-type: none"> <li>• Number of safeguarded waste sites redeveloped for other uses contrary to advice from Surrey County Council as the WPA.</li> <li>• Number of safeguarded waste sites where permission is granted for neighbouring development contrary to advice from Surrey County Council as the WPA.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>• Planning Applications and Decisions.</li> <li>• Appeal Decisions.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>• Waste Planning Authority.</li> <li>• Local District and Borough Planning Authority.</li> <li>• Development Industry.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>• No existing suitable waste sites or planned facilities lost contrary to advice from Surrey County Council as the WPA.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>• Loss or reduction of existing or planned waste management facilities to other uses, contrary to Surrey County Council advice, which result net loss of strategic capacity (&gt;20,000 tonnes).</li> </ul>

### 5.2.8 Policy 8 – Improvement or extension of existing facilities

- 5.2.8.1 Existing waste development in Surrey is often well-established having been in operation for many years. Such development may benefit from permanent planning permission or a Lawful Development Certificate.
- 5.2.8.2 The improvement or extension to an existing waste development may enable more waste to be recycled, recovered or processed for re-use within the existing footprint of the site and with fewer emissions due to improvements in technology or site layout.
- 5.2.8.3 Waste development which seeks to improve the capacity and efficiency of existing waste developments whilst reducing harmful impacts will be supported. Such proposals are considered against all the relevant policies of this Plan and in particular Policies 1 (concerning the need to manage waste in accordance with the waste hierarchy) and 14 (concerning impacts on communities and the environment).
- 5.2.8.4 To ensure no loss in existing capacity, re-development of any existing waste management sites must ensure that the quantity of waste to be managed is equal to or greater than the quantity of waste for which the site is currently permitted to manage. Applications for improvement and extension to facilities with temporary planning permission should take account of the original reasons for the permission being time limited and not result in development (or extensions to time) which would undermine them.
- 5.2.8.5 A list of existing waste management facilities in Surrey is included, and updated each year, in the Annual Monitoring Report.

#### Policy 8 – Improvement or extension of existing facilities

Planning permission for the improvement or extension (physical or temporal) of existing waste management facilities will be granted where:

- i) The quantity of waste to be managed is equal to or greater than the quantity of waste currently managed on site.
- ii) Benefits to the environment and local amenity will result.

*Table 16 Monitoring for Policy 8 – Improvement or extension of existing facilities*

Measure/Indicator	<ul style="list-style-type: none"> <li>Number of planning permissions granted for redevelopment, extension or enhancement of existing sites.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>Planning Applications and Decisions.</li> <li>Appeal Decisions.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>Waste Planning Authority.</li> <li>Local District and Borough Planning Authority.</li> <li>Development Industry.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>No net loss of suitable capacity (tonnes).</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>There is a loss of suitable capacity which suggests that the plan is unable to meet the demand for new or enhanced facilities.</li> </ul>

## 5.3 Location of new waste infrastructure

### 5.3.1 Policy 9 – Green Belt

5.3.1.1 The fundamental aim of Green Belt policy is to prevent urban sprawl by keeping land permanently open. Inappropriate development is, by definition, harmful to the Green Belt and should not be approved except in very special circumstances<sup>56</sup>. Very special circumstances' will not exist unless the potential harm to the Green Belt by reason of inappropriateness, and any other harm resulting from the proposal, is clearly outweighed by other considerations<sup>57</sup>.

5.3.1.2 Local planning authorities should regard the construction of new buildings as inappropriate in the Green Belt. Exceptions to this are<sup>58</sup>:

- The extension or alteration of a building provided that it does not result in disproportionate additions over and above the size of the original building.
- The replacement of a building, provided the new building is in the same use and not materially larger than the one it replaces.
- Limited infilling or the partial or complete redevelopment of previously developed land, whether redundant or in continuing use (excluding temporary buildings), which would ... not have a greater impact on the openness of the Green Belt than the existing development.

5.3.1.3 As a result, there may be instances where the redevelopment or extension of existing facilities may be acceptable as they are considered to be an exception to inappropriate development.

5.3.1.4 Mineral development is not inappropriate development in the Green Belt, provided that it preserves the openness of the Green Belt and does not conflict with the purposes of including land in the Green Belt. Waste development that may not be considered 'inappropriate' includes that which is related to the restoration of mineral sites that can play a positive role in meeting the objectives of the Green Belt. For example, restoration can result in a suitable after use of a site with opportunities for access to restored open countryside. However, it is important to recognise that on its own this development would be inappropriate and therefore it should remain linked to the restoration activity.

5.3.1.5 It is considered unlikely that the anticipated waste management needs of the county will be met without developing waste management facilities on Green Belt land<sup>59</sup>. The overarching need for waste management in Surrey combined with a lack of suitable alternative sites outside the Green Belt and the need to locate facilities close to sources of waste, such as households and businesses, are among the reasons why it is considered that very special circumstances may exist allowing development within the Green Belt. Further reasons are

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<sup>56</sup> Paragraph 143 of the National Planning Policy Framework 2018

<sup>57</sup> Paragraph 144 of the National Planning Policy Framework 2018

<sup>58</sup> Paragraph 145 of the National Planning Policy Framework 2018

<sup>59</sup> See Site Identification and Evaluation Report September 2017

the wider social and environmental benefits associated with sustainable waste management, including the need for a range of sites.

#### Policy 9 – Green Belt

Planning permission will not be granted for inappropriate waste management development in the Green Belt unless it is shown that considerations associated with the proposal, either on their own or in combination, amount to the existence of very special circumstances which clearly outweigh the harm caused to the Green Belt by reason of inappropriateness and any other harm.

The following factors may contribute to ‘very special circumstances’:

- i) The lack of suitable non-Green Belt sites.
- ii) The need to find locations well related to the source of waste arisings.
- iii) The characteristics of the waste development including scale and type of facility.
- iv) The wider environmental and economic benefits of sustainable waste management, including the need for a range of sites.
- v) The site is identified as suitable for waste development under Policy 11.
- vi) The wider environmental benefits associated with increased production of energy from renewable sources.

*Table 17 Monitoring for Policy 9 – Green Belt*

Measure/Indicator	<ul style="list-style-type: none"> <li>• Number of planning permissions granted for new waste management facilities in the Green Belt.</li> <li>• Reasons for any planning permissions granted for new waste management facilities in the Green Belt.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>• Planning Applications and Decisions.</li> <li>• Appeal Decisions.</li> <li>• Other sources of data as indicated in the Annual Monitoring Report.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>• Waste Planning Authority.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>• There are no planning permissions granted for new waste management facilities in the Green Belt where these are not justified by VSC.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>• Successful appeal decision which requires the policy wording to be reviewed.</li> </ul>

### 5.3.2 Policy 10 – Areas suitable for development of waste management facilities

5.3.2.1 The Spatial Strategy indicates a preference for land that is likely to be suitable for waste development (not involving the permanent deposit) which includes previously developed land and sites and areas identified for employment uses, industrial and storage purposes, redundant agricultural and forestry buildings and their curtilages. This is consistent with the NPPW (2014).

- 5.3.2.2 The Spatial Strategy also looks to prioritise the development of facilities on land outside of the Green Belt. This is consistent with the NPPF (2018). While the Plan allocates sites within the Green Belt, development of these sites is contingent on their not being suitable alternative sites at that time, unless these sites are removed from the Green Belt by the relevant district or borough council.
- 5.3.2.3 In order to provide additional flexibility, and facilitate development in accordance with the Spatial Strategy, Policy 10 – Areas suitable for development of waste management facilities identifies broad types of areas which could potentially accommodate waste management development.
- 5.3.2.4 This policy does not apply to activities which are for permanent deposit of waste (landfilling, land raising and recovery to land), however in many instances, the recycling and processing of waste can be carried out within modern, purpose-designed buildings that can be located in urban areas and industrial estates. These might include any well designed and managed waste operation including smaller operations, such as processing waste electrical and electronic equipment (WEEE).
- 5.3.2.5 The Plan’s spatial strategy prefers the development of additional waste management capacity on suitable sites outside the Green Belt. Hence Policy 10 has been included to demonstrate that the need for waste management facilities could be met through other mechanisms e.g. Industrial Land Areas of Search (ILAS).

#### Policy 10 – Areas suitable for development of waste management facilities

Planning permission will be granted for the development of facilities (excluding permanent deposit) at the following locations:

- i) Sites allocated under Policy 11a – Strategic Waste Site Allocations or Policy 11b – Allocation of a Site for a Household Waste Materials Recycling Facility.
- ii) On land identified as an ‘Industrial Land Area of Search’ as shown in the policies maps.
- iii) On any other land identified for employment uses or industrial and storage purposes by district and borough councils.
- iv) On land considered to be previously developed<sup>60</sup> and/or redundant agricultural and forestry buildings and their curtilages.
- v) On land that is otherwise suitable for waste development when assessed against other policies in the Plan.

### 5.3.3 Policy 11a – Strategic Waste Site Allocations

<sup>60</sup> See glossary for definition of term ‘previously developed land’ but note that this does not include land that has been developed for minerals extraction where provision for restoration has been made through development management procedures

- 5.3.3.1 The NPPF (2018) expects that local plans should include strategic policies, including those which allocate sufficient sites, setting out how land will be brought forward to allow development that will meet objectively assessed needs<sup>61</sup>. Identification of sites for allocation within the Plan was undertaken with a view to identifying strategic sites consistent with the Spatial Strategy. This Strategy recognises that although they are not most preferred, sites may come forward within the Green Belt.
- 5.3.3.2 The site identification process<sup>62</sup> revealed that due to the extent of the Green Belt in Surrey and lack of available sites, several sites that were otherwise assessed as consistent with the Spatial Strategy, are within the Green Belt and so these have been included as allocations.
- 5.3.3.3 While the development of waste uses on land identified for employment and storage purposes by districts and boroughs is encouraged by Policy 10, it is also recognised that, due to competition from other land uses and commercial and practical considerations, it cannot be wholly relied on to deliver the required waste management capacity over the plan period<sup>63</sup>. The identification of sites in Policy 11 increases the opportunities for development to come forward that will contribute to the requirements for the management of waste in Surrey.
- 5.3.3.4 Sites proposed for allocation in the Green Belt are sites which are previously developed land, apart from land at Lambs Business Park which is a former clay pits subject to a mineral restoration scheme but which is being considered for release by Tandridge District Council through their review of the Tandridge Local Plan.
- 5.3.3.5 The allocated sites are:
- Land to the north east of Slyfield Industrial Estate, Guildford
  - Former Weylands sewage treatment works, Walton-on-Thames
  - Land adjoining Leatherhead Sewage Treatment Works, Randalls Road, Leatherhead
  - Oakleaf Farm, Horton Lane, Stanwell Moor
  - Land at Lambs Business Park, Terra Cotta Road, South Godstone
- 5.3.3.6 The JMWMS<sup>64</sup> (Appendix 1) outlines the need to deliver new infrastructure for Dry Mixed Recyclables (DMR) produced by households. In accordance with the PPG<sup>65</sup> the following site is also allocated, specifically for the management of DMR from households:
- Land adjacent to Trumps Farm, Longcross
- 5.3.3.7 Other sites, allocated in the Surrey Waste Plan 2008 and shortlisted in the draft Plan, have not been carried forward as there was not an identified need which provides sufficient justification for the allocation of greenfield sites in the Green Belt. These sites are:

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<sup>61</sup> Paragraph 23 of the National Planning Policy Framework 2018

<sup>62</sup> See Site Identification and Evaluation Report, September 2018

<sup>63</sup> See background paper Delivering the Spatial Strategy, September 2018

<sup>64</sup> The strategy can be found on the Surrey Waste Partnership website <https://www.surreywastepartnership.org.uk/our-strategy>

<sup>65</sup> National Planning Practice Guidance Paragraph 019

- Land to the west of Earlswood Sewage Treatment Works, Redhill
- Land adjacent to Lyne Lane Sewage Treatment Works, Chertsey
- Land at Martyrs Lane, Woking

- 5.3.3.8 Planning applications for development at allocated sites must be judged on their individual merits and the allocation of a site in the Plan does not mean that a proposal for a waste use will automatically be granted planning permission. Proposals for development on allocated sites will be expected to address the key development issues set out for each allocation in Part 2 of the Plan.
- 5.3.3.9 Additional considerations will apply to proposals for development on allocations within the Green Belt at the time a planning application is submitted in accordance with Green Belt policy.
- 5.3.3.10 It is considered that sites allocated for waste management use in the Green Belt have already been through a process of alternative site assessment at the plan making stage. Hence, having demonstrated exceptional circumstances to justify the allocation of sites in the Green Belt, the county council will encourage district and borough councils to consider alterations to Green Belt boundaries as they review their local plans.
- 5.3.3.11 Until that time, there will need to be a demonstration of very special circumstances in respect of any inappropriate development. Such very special circumstances would include the fact that allocation of the site for waste management purposes was deemed acceptable under the terms of the Plan.
- An up to date assessment of the need for additional waste management capacity of the scale and type proposed in accordance with Policy 1 – Need for Waste Development.
  - The availability of other suitable deliverable sites outside the Green Belt<sup>66</sup> including those identified under Policy 10.
  - Other site specific considerations dealt with under policies including Policy 14 – Development Management and Policy 15 – Transport and Connectivity.

#### Policy 11a – Strategic Waste Site Allocations

Planning permission will be granted for the development of facilities to meet identified shortfalls in waste management capacity in Surrey at the following locations:

A. On land outside the Green Belt:

- i) Land to the north east of Slyfield Industrial Estate, Guildford

<sup>66</sup> Guidance on alternative sites assessment is available on the Help and guidance notes for making planning applications webpage

## B. On previously developed land within the Green Belt:

- i) Former Weylands sewage treatment works, Walton-on-Thames
- ii) Land adjoining Leatherhead Sewage Treatment Works, Randalls Road, Leatherhead
- iii) Oakleaf Farm, Horton Lane, Stanwell Moor

C. On land proposed for removal from the Green Belt<sup>67</sup>:

- i) Land at Lambs Business Park, Terra Cotta Road, South Godstone

Proposals for development will need to demonstrate how the key development issues for each site have been addressed.

*Table 18 Monitoring for Policy 10 – Areas suitable for development of waste management facilities and Policy 11a – Strategic Waste Site Allocations*

Measure/Indicator	<ul style="list-style-type: none"> <li>• Number of new waste facilities delivered on allocated sites.</li> <li>• Number of new facilities delivered on unallocated sites in locations specified by Policy 11.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>• Planning Applications and Decisions.</li> <li>• Appeal Decisions.</li> <li>• Other sources of data as indicated in the Annual Monitoring Report.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>• Waste Planning Authority.</li> <li>• Waste Industry.</li> <li>• Development Industry.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>• 100% of new development is developed in suitable locations.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>• Insufficient number of new waste management facilities being developed which suggests that the plan is unable to meet the demand for new or enhanced facilities.</li> </ul>

### 5.3.4 Policy 11b – Allocation of a Site for a Household Waste Materials Recycling Facility

- ii) As explained in section 1, together with the district and borough waste collection authorities, Surrey County Council, as the Waste Disposal Authority (WDA), is responsible for implementing the Joint Municipal Waste Management Strategy. In particular, the WDA is responsible for ensuring access to the waste management capacity needed to ensure recycling and other recovery targets for household waste are met. Such capacity includes that provided by community recycling centres, materials recycling facilities and other recovery facilities including the 'Eco Park' at Charlton Lane, Shepperton.
- iii) Currently residents separate certain types of recyclable waste (e.g. paper, cardboard, glass, metal and plastic) from other household waste for separate collection. The recyclable waste, known as Dry Mixed Recyclables (DMR), is collected by the district and borough councils and transported by road to facilities in Hampshire, Slough, North London, and Birmingham (Table 19). The only site

<sup>67</sup> This site known as 'Lambs Business Park' is proposed to be taken out of the Green Belt through the Tandridge Local Plan

within Surrey that currently recycles dry mixed recyclables is the Grundon Facility at Randalls Road, Leatherhead (Table 19).

- 5.3.4.1 These facilities incorporate specialist equipment which separates out the waste types which are then bulked up and transported to various reprocessors (e.g. paper manufacturers) for manufacture into new materials.

*Table 19 Final Destination of Dry Mixed Recycling Collected by Surrey Waste Collection Authorities*

Site	Operator	Waste sent (tonnes)
Alton Materials Recovery Facility, Alton, Hampshire	Veolia	12,834
Colnbrook Materials Recovery Facility, Colnbrook, Slough	Grundon	8,922
Crayford Materials Recycling Facility, Century Wharf, Crayford Creek, Dartford	Viridor	10,011
Edmonton Materials Recycling Facility, Unit 2 Aztec 406, 12 Ardra Road, Edmonton	Biffa	38,405
Landor Street Materials Recovery Facility, Landor Street, Birmingham	SUEZ	14,532
Randalls Road Materials Recovery Facility, Randalls Road, Leatherhead	Grundon	32,368
Total		117,072

- 5.3.4.2 The export of DMR for management outside of Surrey is not consistent with the Surrey Joint Municipal Waste Management Strategy<sup>68</sup> that expects household waste arising in Surrey to be managed within the County. It is also inconsistent with the proximity principle as set out in the EU Waste Framework Directive and the National Planning Policy Framework. The WDA therefore has as part of its action plan (Appendix 1 of the strategy) to develop infrastructure within Surrey for recycling of DMR<sup>69</sup>.

- 5.3.4.3 A detailed report was presented to the Surrey Waste Board<sup>70</sup> regarding the options for developing additional infrastructure to deal DMR. The report considered a number of options:

- Merchant contract outside Surrey
- Merchant contract with Grundon (Leatherhead MRF)
- Develop a single MRF
- Develop two MRFs

- 5.3.4.4 The report highlighted that there are benefits for the county council in delivering new infrastructure for recycling of DMR including:

<sup>68</sup> The strategy can be found on the Surrey Waste Partnership website: <https://www.surreywastepartnership.org.uk/our-strategy>

<sup>69</sup> Work area 9, Action 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

<sup>70</sup> Internal management board responsible for overseeing the delivery of the county council's waste programme.

- Having control over a facility allows for flexibility in terms of the choice of end destination reprocessor; and
- Having control selection of mix of recyclables for input and level of rejects policy which unlocks the potential for improved efficiency.

5.3.4.5 The report recommended the development of a single MRF based on cost. However, it is recognised that there is a need for additional capacity and that there are potential benefits of having two MRFs in terms of operational flexibility e.g. for plant maintenance.

5.3.4.6 The existing Leatherhead MRF is well located to serve the waste collection authorities towards the south east of the county, and so, in accordance with the proximity principle, the second MRF should be located towards the north west of the county. Site identification and evaluation work has revealed that land at Trumps Farm, Longcross would be suitable for the development of the second MRF. Trumps Farm was allocated in the Surrey Waste Plan 2008 and included in the Draft Plan Consultation.

5.3.4.7 While the Trumps Farm site is located within the Green Belt, it offers the most suitable, deliverable location for the WDA to develop a MRF to deal with approximately 120,000 tonnes per annum<sup>71</sup> of DMR from households in this part of the county. The site has good access to the strategic road network and is located in an area near to existing waste management facilities. Allocation of this site for this purpose is supported by the WDA.

5.3.4.8 As with the other allocated sites, any planning application for development in this location would be judged on its merits against Policy 11b and all other policies of the Plan. Those considerations set out in the supporting text to policy 11 – Strategic Waste Site Allocations, would equally apply to development in this location.

**Policy 11b – Allocation of a Site for a Household Waste Materials Recycling Facility**

Planning permission will be granted for the development of a facility to process mixed dry recyclable wastes collected from households as set out in the Surrey Joint Municipal Waste Management Strategy at Trumps Farm, Longcross.

Proposals for development in this location will need to demonstrate how the key development issues for the site have been addressed.

*Table 20 Monitoring for Policy 11b – Allocation of a Site for a Household Waste Materials Recycling Facility*

Measure/Indicator	<ul style="list-style-type: none"> <li>• Development of a facility to process mixed dry recyclable wastes collected from households in Surrey at Trumps Farm, Longcross</li> <li>• Number of new facilities for processing mixed dry recyclable wastes collected from households in Surrey delivered on unallocated sites</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>• Planning Applications and Decisions.</li> <li>• Appeal Decisions.</li> <li>• Other sources of data as indicated in the Annual Monitoring Report.</li> </ul>

<sup>71</sup> Provided adequate mitigation can be provided following the outcomes of the Site Identification and Evaluation Report, 2018

Key Organisation(s)	<ul style="list-style-type: none"> <li>• Waste Planning Authority.</li> <li>• Waste Disposal Authority</li> <li>• Waste Industry.</li> <li>• Development Industry.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>• 100% of new development is developed in suitable locations.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>• Insufficient number of new waste management facilities being developed which suggests that the plan is unable to meet the demand for a facility to process mixed dry recyclable wastes collected from households in Surrey.</li> </ul>

### 5.3.5 Policy 12 – Wastewater Treatment Works

- 5.3.5.1 There is an established network of sewage facilities within Surrey that is safeguarded by Policy 7. The majority of wastewater treatment works (WWTW) have capacity to accept wastewater and treat sewage sludge from the proposed growth without the need for improvements to existing facilities. However, it is important to recognise that, due to the need to maintain efficiency, significant spare capacity is not maintained at WWTWs and upgrades may therefore be required to serve growth.
- 5.3.5.2 One new site has been identified for allocation as a new WWTW which is Thames Water’s Guildford (Slyfield) Sewage Treatment Works within the Slyfield Area Regeneration Project (SARP). The efficient development of the SARP will require the relocation of the current WWTW together with the necessary supporting local drainage network infrastructure.
- 5.3.5.3 Thames Water is working with Guildford Borough and Surrey County Councils regarding the redevelopment of the SARP site and the feasibility of relocating the WWTW to the land identified in the Submission Local Plan within the SARP area. The area for the relocation of the WWTW has been allocated as a part of the Strategic Waste Allocations (Policy 11). This includes land for future expansion should this be required.
- 5.3.5.4 The sewerage undertaker will review and assess the capacity for WWTWs, using the best available information in relation to new development (including housing and employment allocations). Therefore, there may be a need in the future for further sites for WWTW and the proposed policy should allow for flexibility to meet this need.
- 5.3.5.5 If new wastewater development (including sewage sludge treatment) is required, locational criteria can guide proposals to the most appropriate locations. This recognises that the location of new or improved facilities depends on the location of new development e.g. housing and the investment programmes of the sewerage undertaker.

### Policy 12 – Wastewater Treatment Works

Planning permission for the development of new Wastewater and Sewage Treatment Works (including sewage sludge management) or for the improvement or extension of existing Wastewater and Sewage Treatment Works will be granted where:

- i) The need cannot be practicably and reasonably met at an existing site.
- ii) As appropriate, biogas, for use as an energy source, will be recovered effectively using best practice techniques.

*Table 21 Monitoring for Policy 12 – Wastewater Treatment Works*

Measure/Indicator	<ul style="list-style-type: none"> <li>Number of planning permissions granted for new wastewater treatment works.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>Planning Applications and Decisions.</li> <li>Appeal Decisions.</li> <li>Other sources of data as indicated in the Annual Monitoring Report.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>Waste Planning Authority.</li> <li>Sewerage Undertaker.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>Sufficient capacity for wastewater treatment as identified by the sewerage undertaker.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>The sewerage undertaker identifies a need for greater capacity for wastewater treatment.</li> </ul>

## 5.4 Conserving and Enhancing the Environment

### 5.4.1 Policy 13 – Sustainable Design

5.4.1.1 The Plan seeks to ensure that all new development is of a high standard. The design of proposals is therefore expected to accord with best practice, as defined by published and emerging standards and guidance relevant to the type of facility proposed.

5.4.1.2 Waste development should seek to contribute to sustainable development by:

- Minimising the production of waste, the generation of pollution, and the use of water, to reduce demand for non-renewable natural resources.
- Foster a well-designed and safe built environment, with accessible services that reflect current and future needs.
- Safeguard the health of wellbeing or residents and the environment including through contributing to the protection, and where feasible enhancement, of the wider environment, including habitats and species, landscapes, and heritage.
- Supporting the economy at the local, regional and national levels, by contributing to improvements in competitiveness and innovation.

- 5.4.1.3 Development should be resilient to the effects of climate change, including the management of flood risk.
- 5.4.1.4 Facilities should promote energy efficiency and seek to reduce energy consumption, particularly that arising from the use of buildings (e.g. maximise use of daylight, heat recovery systems, high standards of insulation, etc.). Consideration should be given to the feasibility of renewable energy generation<sup>72</sup>, and to the use of decentralised low carbon energy sources.
- 5.4.1.5 The management of waste often involves the use of water, and water supplies in the South East of England are under increasing pressure from all development. Proposals should incorporate appropriate measures to minimise water consumption (e.g. use of recycled water for waste management processes, harvesting of rainwater, etc.).
- 5.4.1.6 In line with Policy 4 of this Plan, the production of waste should be minimised during the construction and operation of any facility. Consideration should also be given to using reused or recycled construction materials.
- 5.4.1.7 Where feasible, depending on the size of the site and the extent to which land is available for non-waste management uses, the design of facilities should include measures to deliver landscape enhancement and biodiversity gain. Such measures should contribute to the wider network of green infrastructure across the county.
- 5.4.1.8 Measures, such as the provision of open spaces within developments and the planting of trees and hedges on site boundaries, can contribute to wider ecological networks and support key ecosystem services such as pollination. Such measures can also contribute to the management of flood risk, to microclimatic control, and to local air quality.
- 5.4.1.9 The measures incorporated into the design of any proposal should be appropriate to the scale, nature and type of facility that is to be constructed. It is likely therefore that proposals for larger scale facilities (i.e. those occupying a site of 5 hectares or greater, or processing more than 50,000 tonnes of waste per year<sup>73</sup>) may be expected to include a broader range of measures than smaller facilities.
- 5.4.1.10 Applicants are encouraged to engage with the planning authority at an early stage of the design process.

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<sup>72</sup> Energy from residual waste is only partially renewable due to the presence of fossil based carbon in the waste, and only the energy contribution from the biogenic portion is counted towards renewable energy targets (and only this element is eligible for renewable financial incentives). If the waste is pre-treated to separate out the biogenic fraction then this can be considered wholly renewable e.g. anaerobic digestion of food waste.

<sup>73</sup> As set out in Part 2 of the Plan

### Policy 13 – Sustainable Design

Planning permission for waste development will be granted where it can be demonstrated that the development follows relevant best practice. All proposals for waste development should demonstrate that:

- i) The development is of a scale, form and character appropriate to its location.
- ii) Any associated lower-carbon energy generation such as heat recovery and the recovery of energy from gas produced from the waste activity is maximised.
- iii) During its construction and operation measures are included to:
  - a. Maximise landscape enhancements and biodiversity gains, and other measures that may contribute to green infrastructure provision.
  - b. Maximise efficiency of water use.
  - c. Minimise greenhouse gas emissions, including through energy efficiency.
  - d. Ensure resilience and enable adaptation to a changing climate.

*Table 22 Monitoring for Policy 13 – Sustainable Design*

Measure/Indicator	<ul style="list-style-type: none"> <li>Number of planning applications which are permitted for new or enhanced waste management facilities is contrary to Policy 13.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>Planning Applications and Decisions.</li> <li>Appeal Decisions.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>Waste Planning Authority.</li> <li>Waste Industry.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>No planning applications permitted where design of new or enhanced waste management facilities is contrary to Policy 13.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>Significant number of planning applications permitted where facilities are considered to be poorly designed.</li> </ul>

### 5.4.2 Policy 14 – Development Management

- 5.4.2.1 Policy 14 is concerned with addressing adverse impacts that might arise during the construction, operation and, where relevant, demolition and restoration of a waste management facility to ensure that significant adverse impacts do not occur.
- 5.4.2.2 It should be noted that some impacts on the environment and amenity, in particular effects on air, land and water, are also subject to control by regulatory regimes other than the planning system (e.g. the Environmental Permit regime and local environmental health controls). Such effects can, however, remain material planning considerations even if the primary means of control is a separate regulatory regime.
- 5.4.2.3 Most waste related development falls within the scope of the Environmental Impact Assessment (EIA) regime, which, as a minimum, requires that schemes of certain scales or

types, or development in specific locations, is subject to screening. Where the planning authority decides that EIA is required, the developer will be required to submit an Environmental Statement (ES) as part of the planning application. The ES will identify the likely significant impacts of the development, and the mitigation and compensation measures that would be used to address adverse impacts.

- 5.4.2.4 The NPPF encourages pre-application discussions and states that 'early engagement has significant potential to improve the efficiency and effectiveness of the planning application system for all parties'<sup>74</sup>. Surrey County Council as the Minerals and Waste Planning Authority welcome and encourages pre-application advice discussions before a planning application is submitted. More information is available on the Pre-application discussions for planning applications webpages.

#### Amenity

- 5.4.2.5 Amenity refers to residents' expectations for enjoyment of their surroundings. Amenity considerations can cover a range of issues including noise, dust, odour, and disturbance due to illumination and vibration, and can extend to perceptions of the possible effects of development on health.
- 5.4.2.6 Waste development can result in adverse impacts on amenity by virtue of its scale, appearance, type and intensity. Such impacts need to be managed effectively if waste development is to be considered acceptable. The impact of noise should consider construction noise, operating noise and noise from vehicles. Hours of operation may also be a consideration.
- 5.4.2.7 The release of fumes or other emissions to air, including bioaerosols, from some waste development could be, or perceived to be, a source of impact on human health. Odour released from some waste activities may also affect the amenity and wellbeing of communities.
- 5.4.2.8 Developers should give consideration to the potential for the use of artificial lighting to give rise to adverse impacts on local amenity and should aim to minimise the incidence of light pollution, glare and sky glow.

#### Air Quality

- 5.4.2.9 For proposals that would be likely to impact on air quality through emissions of pollutants or particulate matter, including as a result of traffic generation, the developer should provide an assessment of the impact on surrounding sensitive receptors. Assessments should make use of appropriate methodologies and definitions of significance.
- 5.4.2.10 Issues to be addressed include emissions to air of pollutants (such as oxides of nitrogen or particulates) arising from site preparation, operation, and where relevant, decommissioning and restoration, and from related traffic. Any assessment should identify the controls and mitigation measures that would be applied to avoid adverse impacts. In particular potential for development to impact on designations including Air Quality Management Areas (AQMAs) should be addressed.

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<sup>74</sup> Paragraph 39 of the National Planning Policy Framework 2018

- 5.4.2.11 Emissions arising as a result of waste management processes may also be subject to control under other regulatory regimes, including the Environmental Permit regime administered by the Environment Agency.

#### Flood Risk

- 5.4.2.12 Responsibility for flood risk management is divided between the Environment Agency and Surrey County Council in its role as the Lead Local Flood Authority. The Environment Agency is responsible for taking a strategic overview of the management of all sources of flooding, and has specific responsibility for the management of flood risk from main rivers and from the sea.
- 5.4.2.13 The Lead Local Flood Authority is responsible for managing the risk of flooding from surface water and groundwater, and is responsible for the management of ordinary watercourses (i.e. small, local watercourses that are not designated as main rivers).
- 5.4.2.14 Development should be directed away from areas at the highest risk of fluvial or surface water flooding. Where development on land at risk of flooding is necessary, its acceptability will be determined through the application of the sequential test and, if necessary, the exception test<sup>75</sup>.
- 5.4.2.15 Waste treatment (excepting landfill<sup>76</sup> and hazardous waste facilities) is classified as a 'less vulnerable' form of development with reference to flood risk, and is generally appropriate in areas designated as Zone 1 and Zone 2 for fluvial flood risk. Landfill and hazardous waste facilities are classified as 'highly vulnerable' forms of development and are generally only appropriate in areas designated as Zone 1 for fluvial flood risk.
- 5.4.2.16 Development on land identified as being at substantial risk of flooding from surface water or groundwater should be discussed with the Lead Local Flood Authority at the earliest possible stage of project development.

#### Water Resources

- 5.4.2.17 Developers should take account of the presence of relevant water quality designations (e.g. groundwater Source Protection Zones (SPZs)), and the condition of surface watercourses and waterbodies and of groundwater bodies that could be affected by their proposals. For water quality, consideration should be given to the likely effect of the development on the achievement of 'good' status, or the potential for this, for nearby or underlying waterbodies and watercourses, and on the availability of water as a resource.
- 5.4.2.18 Proposals should consider the proximity of surface water and groundwater resources and the potential risk for contamination. For example non-inert landfill must not be located in areas covered by SPZ 1 designations, and should be directed to areas underlain by unproductive strata. For non-landfill waste development the susceptibility of the surrounding and underlying water environment to contamination should be assessed, and appropriate controls incorporated into the design of the scheme.

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<sup>75</sup> Paragraph 157 of the National Planning Policy Framework 2018

<sup>76</sup> Landfill is as defined in Schedule 10 of the Environmental Permitting (England and Wales) Regulations 2010

- 5.4.2.19 The developer should provide an assessment which explains how the water environment, both above and below ground, would be affected by the development and identifies the measures that would be used to avoid significant adverse impacts.

#### Landscape

- 5.4.2.20 Government policy expects the planning system to “contribute to and enhance the natural and local environment” (NPPF, Paragraph 170) and states that “great weight should be given to conserving landscape and scenic beauty in National Parks, the Broads and Areas of Outstanding Natural Beauty, which have the highest status of protection in relation to landscape and scenic beauty” (NPPF, Paragraph 172).
- 5.4.2.21 Protected landscapes situated within or close to Surrey include the Surrey Hills Area of Outstanding Natural Beauty (AONB), the High Weald AONB, and the South Downs National Park. Wherever possible, development of new waste management facilities should take place outside those protected landscapes.
- 5.4.2.22 Proposals for major development, including waste management facilities, within protected landscapes must be subject to rigorous examination. They should not be permitted except in exceptional circumstances and only where it can be demonstrated that they are in the public interest before being allowed to proceed. Therefore, an assessment should be undertaken which includes consideration of:
- The need for the development.
  - The scope for developing outside the area or of meeting the need in some other way.
  - The impact on the environment, landscape, and recreational opportunities.
- 5.4.2.23 It is recognised that there may be a requirement for new or extensions to existing development in order to meet local needs. Factors which may support a proposal being considered acceptable include:
- The proposal is for a small-scale facility to meet local needs and can be accommodated without undermining the objectives of the designation.
  - The need for new facilities which cannot be met in another way or cannot be met from outside the designated area.
  - Adverse impacts on the landscape and visual amenity can be adequately mitigated.
- 5.4.2.24 The determination of applications within AONBs will be undertaken in accordance with national policy together with the relevant policies of this Plan and the appropriate adopted district and borough Local Plan.
- 5.4.2.25 Proposals involving the permanent deposit of waste, such as the restoration of old mineral workings or landfilling or landraising, which contribute to the remediation of degraded or damaged landscapes, may be supported provided that the long term benefits of the scheme clearly outweigh the short term impacts, (e.g. visual intrusion, reduction in tranquillity, improvements to biodiversity).
- 5.4.2.26 The Surrey Landscape Character Assessment (LCA) (published in 2015) provides a comprehensive review of the landscape character of the county. It takes account of the framework of the most recent National Character Areas reviewed in 2014 by Natural England

and describes variations in landscape character at a county level. The current LCA should be used to inform the preparation of planning applications, and their supporting landscape and visual impact assessments (LVIAs).

- 5.4.2.27 Where a development is likely to give rise to impacts on the landscape or visual amenity early engagement with the planning authority is encouraged. The issues to be addressed in applications include the potential for adverse impacts on protected landscapes, and for significant changes in landscape character, visual amenity, and the features that contribute to distinctiveness.

#### Biodiversity and Geodiversity

- 5.4.2.28 Government policy expects the planning system to “contribute to and enhance the natural and local environment” (NPPF, Paragraph 109), and directs planning authorities to “conserve and enhance biodiversity” when determining planning applications.
- 5.4.2.29 Assessment should be undertaken to establish the nature conservation importance of the site (including its biodiversity and geodiversity) and proposals should be designed to ensure there are no significant adverse impacts on the site and on the surrounding area and maximise opportunities for enhancement or gain. Potentially adverse impacts may arise as a result of various effects including noise, vibration, emissions and artificial lighting.
- 5.4.2.30 Where development would result in the loss of, or adversely affect, an important area, site or feature, the harm would need to be mitigated, or compensated for, including, where practicable, the provision of a new resource elsewhere which is of an equivalent value. While compensation may be appropriate in some cases for local sites it is unlikely to be supported for impacts on European designated sites. For any impacts upon European sites the application of the Imperative Reasons of Overriding Public Interest (IROPI) test would be required before any compensatory habitat provision could be considered.
- 5.4.2.31 There are numerous sites of international, European, national or local importance for biodiversity and/or geodiversity located across Surrey, as well as numerous areas that support protected habitats and species, including European protected species, habitats and species of Principal importance, and Ancient Woodland.
- Special Protection Areas (SPAs) – of which there are four in the county.
  - Special Areas of Conservation (SACs) – of which there are three in the county.
  - Ramsar sites – of which there are two in the county.
  - Sites of Special Scientific Interest (SSSIs) – of which there are sixty-three in the county, of which ten are wholly or partly designated for their geodiversity interest;
  - National Nature Reserves (NNRs) – of which there are three in the county.
  - Local Nature Reserves (LNRs).
  - Sites of Nature Conservation Importance (SNCI).
  - Regionally Important Geological & Geomorphological Sites (RIGS).
- 5.4.2.32 Where development could give rise to likely significant effects on a European designated site, the application would need to provide the information necessary for an ‘appropriate assessment’ to be carried out by the planning authority. Applications for waste development that would be subject to control under the Industrial Emissions Directive (e.g. energy from

waste, gasification or pyrolysis facilities) will need to consider European designated sites situated within a 10km radius. For all other types of waste development the potential zone of impact will be determined on a case-by-case basis.

- 5.4.2.33 Where development is likely to impact on biodiversity or geodiversity early discussions with the planning authority are encouraged. Developments should be designed to minimise the risk of significant adverse impacts, and to maintain and where possible enhance the natural environment.
- 5.4.2.34 Development should provide net gains in biodiversity unless significant evidence shows this to be unviable. Net gains in biodiversity could include: habitat creation or enhancement where appropriate to the type of scheme (in particular the management of waste associated with the restoration of former mineral working).
- 5.4.2.35 In order to deliver net gains in biodiversity proposals should take account of the objectives that have been identified for the county's network of Biodiversity Opportunity Areas (BOAs). Production of a Landscape & Ecology Management Plan should be considered for large scale developments (i.e. those occupying a site of 5 hectares or greater, or processing more than 50,000 tonnes of waste per year, or which involve the restoration of land to a nature conservation end use).

#### Historic Environment

- 5.4.2.36 Heritage assets are an irreplaceable resource and should be conserved in a manner appropriate to their significance. A heritage asset is defined as a building, monument, site, place, area or landscape positively identified as having a degree of significance meriting consideration in planning decisions, because of its heritage interest and may include a contribution from its setting.
- 5.4.2.37 A heritage asset is either a Designated Heritage Asset (Listed buildings, Registered Historic Park or Garden, Conservation Area, Scheduled Ancient Monument) or a Non-Designated Heritage Asset (Locally Listed Park, Garden Building or Feature, Areas of High Archaeological Potential, County Sites of Archaeological Importance, Known Site on the Historic Environment Record).
- 5.4.2.38 The Surrey Historic Environment Record (HER) holds information on known heritage assets; these databases may also help in the prediction of the likelihood of encountering currently unknown heritage assets of historic and archaeological interest. Developers will be required to record and advance understanding of the significance of any heritage assets affected during the development management process, and make any information gained about the significance of the historic environment publicly accessible through submission of reports to the HER, publication and archiving.
- 5.4.2.39 Development of any schemes affecting heritage assets should be assisted by early discussions with heritage officers. Issues to be addressed in applications include the potential for adverse effects on known heritage or archaeological assets, and on their contexts and settings, and on as yet undiscovered archaeology.
- 5.4.2.40 Early engagement can improve the efficiency and effectiveness of the planning application process for all parties (NPPF, Paragraph 188). The objective of early discussion is to discuss detailed schemes for preservation, enhancement or mitigation. To do this, sufficient information must be presented so that officers are in a position to discuss plans and form opinions.

### Public open space and Rights of Way

- 5.4.2.41 Developers should provide an assessment of any open space and Public Rights of Way (PROW) lost, directly or indirectly affected by a proposed development. Where affected, developers will be required to make sure that the PROW remains accessible. This could be through measures to replace or compensate for such impacts and through the identification of opportunities to improve facilities for walkers, cyclists, and horse riders, or to provide alternative routes which should be in place at the correct time.

### Land and soil resources

- 5.4.2.42 Development of land for waste management purposes could have implications for the condition and quality of land and soils. The developer should provide information setting out the impacts that might arise from the scheme, and how opportunities for improvement would be maximised and how risks of adverse impacts would be managed.
- 5.4.2.43 Land classed as being of grades 1, 2 and 3a under the Agricultural Land Classification (ALC) is a national resource. Waste development should seek to use unproductive land in preference to the best and most versatile land. Developers should provide information on the quality of existing agricultural land, and should outline how that quality would be protected or how the land would be returned to a condition equivalent to the original ALC upon completion of the waste operation. Where the development would result in the permanent loss of high quality agricultural land the application should give a justification for that loss
- 5.4.2.44 Developers should provide information on the measures that would be taken to safeguard soils qualities during storage and/or their use in the restoration of sites. Where the importation of soils or waste forms part of a scheme, developers should provide information on the quality of the soils or waste materials that are to be imported and explain how those materials would improve the land for agricultural purposes.
- 5.4.2.45 Previous uses of the site or adjacent land could have caused contamination (e.g. industrial processes, petrol filling stations, fuel storage, chemical storage, vehicle parking/servicing etc.). Land affected by contamination may not be identified as such on any contaminated land register and therefore the developer should determine whether the land is suitable for development, or can be made so by remediation. The developer should provide an assessment of potential pollutants and explain how any contamination would be addressed. That assessment would likely involve a desktop and site walkover study in the majority of cases, with more detailed assessment involving trial pits and boreholes required where necessary.
- 5.4.2.46 The developer will need to satisfy the planning authority that unacceptable risk from contamination will be successfully addressed through remediation. A remediation scheme should include future monitoring and maintenance schemes.

### Aerodrome Safeguarding

- 5.4.2.47 Waste development would need to comply with Aerodrome Safeguarding requirements to ensure that the operational integrity and safety of airports is not compromised. Development of any schemes affecting any official or non-official aerodrome safeguarding areas should be assisted by early discussions with the planning authority.
- 5.4.2.48 Any applications relating to development situated within the consultation area of civil and military aerodromes and airstrips, where the proposal involves one or more of the activities

or features listed below, would need to demonstrate how any hazards to air traffic would be avoided or mitigated.

- Landfilling.
- Features attractive to hazardous birds (e.g. amenity landscaping and water features, this includes the enhancement of existing wet areas or watercourses, and buildings with ledges, gantries and flat roofs).
- Lighting which may impact on airport safety (i.e. dazzling).
- Venting and flaring of gas.

#### Cumulative Effects

5.4.2.49 Where the development of new waste management facilities, or redevelopment of an existing facility, is proposed, the planning application should take account of the relationship of that site to other new development (including non-waste development) that has been proposed or permitted within the local area. Where assessments have been undertaken in respect of those proposals, the information submitted in support of the proposed waste development should include consideration of the potential for in-combination effects. Where short-term significant adverse impacts are identified e.g. during construction of a new facility it is important that any significant adverse impacts in the short-term, e.g. the impacts of HGVs on residential or visual amenity, are outweighed by the long-term benefits.

#### Policy 14 – Development Management

Planning permission for waste development will be granted where it can be demonstrated that:

A. It would not result in significant adverse impacts on the integrity of the following key environmental assets:

- i) The protected landscapes of the Surrey Hills AONB, the High Weald AONB, and the South Downs National Park.
- ii) Sites of international or European importance (SPA, SAC, Ramsar) for biodiversity, or of national importance (SSSI, NNR) for biodiversity or geodiversity.
- iii) Nationally important heritage assets, including Scheduled Monuments, Listed Buildings, and Registered Parks & Gardens.

B. It would not result in significant adverse impacts on communities and the environment, which includes the following:

- i) Public amenity and safety including:
  - a) Impacts caused by noise, dust, fumes, odour, vibration, illumination.
  - b) Impacts on public open space, the rights of way network, and outdoor recreation facilities (including impacts on accessibility).
- ii) Impacts on aerodrome safeguarding and the risk of birds striking aircraft (including impacts due to the position or height of buildings and associated structures).

- iii) Air Quality (including impacts on Air Quality Management Areas).
- iv) The Water Environment including:
  - a) Flood risk, (arising from all sources), including impacts on, and opportunities to provide and enhance, flood storage and surface water drainage capacity.
  - b) Water Resources, including impacts on the quantity and quality of surface water and ground water resources (taking account of Source Protection Zones, the status of surface watercourses and waterbodies and groundwater bodies).
- v) Impacts on the appearance, quality and character of the landscape and any features that contribute to its distinctiveness, including character areas defined at the national and local levels.
- vi) Impacts on the natural environment, biodiversity and geological conservation interests, including site of local importance (LNR, SNCI, RIGS) for biodiversity or geodiversity, irreplaceable habitats (e.g. Ancient Woodland), and protected species).
- vii) Impacts on the historic landscape, on sites or structures of architectural and historic interest and their settings, and on sites of existing or potential archaeological interest or their settings.
- viii) Impacts on the use, quality and integrity of land and soil resources (including opportunities for remediation, the need to protect any best and most versatile agricultural land and address existing and potential contamination) and land stability.
- ix) Cumulative impacts arising from the interactions between waste developments, and between waste development and other forms of development.
- x) Any other matter relevant to the planning application.

*Table 23 Monitoring for Policy 14 – Development Management*

Measure/Indicator	<ul style="list-style-type: none"> <li>• Number of planning applications where there would be a significant adverse impact on community or environment.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>• Planning Applications and Decisions.</li> <li>• Planning Appeals.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>• Surrey County Council.</li> <li>• Waste Industry.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>• No planning applications permitted where there would be a significant adverse impact on community or environment.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>• Significant number of planning applications permitted where there would be a significant adverse impact on community or environment.</li> </ul>

## 5.5 Transport and Connectivity

### 5.5.1 Policy 15 – Transport and Connectivity

- 5.5.1.1 Impacts on ease of transport and air quality caused by congestion and HGV movements are key areas of concern for local communities. This is evidenced by the Surrey Transport Plan

and supporting Transport Plan Strategies. Preferable locations for waste facilities, are those on, or close to, Surrey's strategic road network (comprising motorways and trunk and principal roads), minimising the residential frontages and sensitive areas passed.

- 5.5.1.2 In order to mitigate adverse impacts related to transport, Traffic Management Plans will usually be required at the planning application stage. Applications for waste development will often require a Transport Assessment to support them. Traffic Management Plans and Transport Assessments will be considered by the Highway Authority, who will make recommendations as appropriate. Such plans may set out a routing strategy where the use of certain roads is prohibited.
- 5.5.1.3 Waste development which provides opportunities for the movement of waste via alternative methods of transport e.g. rail will be supported. Applications which demonstrate a reduction in vehicle movements e.g. through co-location of facilities within the same site or other benefits with respect to transport will also be supported.

#### Policy 15 – Transport and Connectivity

A. Planning permission for waste development will be granted where it can be demonstrated that:

- i) Where practicable and economically viable, the development makes use of rail or water for the transportation of materials to and from the site.
- ii) Transport links are adequate to serve the development or can be improved to an appropriate standard.

B. Where the need for road transport has been demonstrated, the development will ensure that:

- iii) Waste is able to be transported using the best roads available<sup>77</sup>, which will usually be main roads and motorways, with minimal use of local roads, unless special circumstances apply.
- iv) The distance and number of vehicle movements associated with the development are minimised.
- v) Vehicle movements associated with the development will not have a significant adverse impact on the capacity of the highway network.
- vi) There is safe and adequate means of access to the highway network and vehicle movements associated with the development will not have a significant adverse impact on the safety of the highway network.
- vii) Satisfactory provision is made to allow for safe vehicle turning and parking, manoeuvring, loading, electric charging and, where appropriate, wheel cleaning facilities.
- viii) Low or zero emission vehicles, under the control of the site operator, are used which, where practicable, use fuels from renewable sources.

*Table 24 Monitoring for Policy 15 – Transport and Connectivity*

<sup>77</sup> See Surrey County Council Controlling Lorry movements in Surrey on the Road and Transport webpage

Measure/Indicator	<ul style="list-style-type: none"> <li>• New or existing waste sites in relation to waste sources.</li> <li>• Average waste miles.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>• Surrey County Council Development Management.</li> <li>• Surrey County Council Transport Development Planning.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>• Surrey County Council.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>• 100% of proposals include assessment of ability to transport waste via sustainable modes.</li> <li>• Main waste sources well connected to facilities.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>• Significant source(s) of waste is/are not well connected to waste development.</li> </ul>

## 5.6 Engagement

### 5.6.1 Duty to Cooperate

5.6.1.1 Section 33A of the Planning and Compulsory Purchase Act 2004 (as amended) places a duty on Local Planning Authorities (LPAs), in preparing local plans, to “engage constructively, actively and on an ongoing basis” with other relevant organisations<sup>78</sup> to maximise the effectiveness with which plan preparation is undertaken.

5.6.1.2 Effective cooperation requires ongoing, sustained joint working with concrete actions and outcomes. It is unlikely to be met by an exchange of correspondence, conversations or consultations between authorities alone<sup>79</sup>.

5.6.1.3 As such, while it is important for preparing the Plan, the DtC will remain a core part of the work for planning policy in Surrey County Council. Activity associated with the Duty to cooperate will be reported in the Annual Monitoring Report. The DtC will be met through activities such as:

- Formal consultation process.
- Meetings, including for joint-working between different authorities.
- Memoranda of Understanding.
- Joint Position Statements.
- Statements of Common Ground.
- Monitoring.

5.6.1.4 Surrey County Council, as the WPA, recognises that there are other bodies not covered by the Duty to Cooperate (DtC). Engagement with other organisations including Local Enterprise Partnerships (LEPs), infrastructure providers, environmental bodies, developers and existing waste operators is essential to delivering the Plan.

<sup>78</sup> Regulation 4 of The Town and Country Planning (Local Planning) (England) Regulations 2012

<sup>79</sup> Planning Practice Guidance for Duty to Cooperate. Paragraph: 010 Reference ID: 9-010-20140306

Table 25 Monitoring for Duty to Cooperate

Measure/Indicator	<ul style="list-style-type: none"> <li>• Number of Duty to Cooperate consultations received.</li> <li>• Projects delivered through joint-working.</li> <li>• Attendance of joint working groups.</li> <li>• Memoranda / Statements are kept up to date.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>• Consultations Log.</li> <li>• Final project reports.</li> <li>• Meeting minutes from joint working groups.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>• Surrey County Council Development Management.</li> <li>• Other Waste Planning Authorities.</li> <li>• Surrey Districts and Boroughs.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>• 100% attendance at joint working groups.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>• Poor attendance at joint working groups.</li> <li>• Joint working groups are no longer running.</li> </ul>

## 5.6.2 Policy 16 – Community Engagement

### Surrey County Council Statement of Community Involvement (SCI)

5.6.2.1 The Statement of Community Involvement (SCI) sets out how Surrey County Council involves local residents, local businesses and other key organisations and stakeholders in the plan-making process and in the determination of planning applications.

### Developer Statement of Community Involvement

5.6.2.2 The WPA wishes to encourage developers to inform the community of their plans to ensure that a link is established at an early stage in the process, ideally before a planning application is prepared. Surrey County Council's revised Validation Checklist requires that any proposal with substantial community interest requires a statement explaining how the applicant has complied with the pre-application engagement recommendation made in Surrey County Council's Statement of Community involvement.

5.6.2.3 The concerns of host communities, including any perceived risks, should be investigated. In a manner proportionate to their potential impact, proposals should demonstrate how such communities have been involved in the development of the proposal, taking into account best practice, and show how their concerns have been addressed. For communities hosting strategic waste developments which serve a much wider area, the proposal should set out the tangible benefits to them.

5.6.2.4 Issues arising from the operation of larger waste developments are often addressed through site liaison groups that involve local communities and operators. The establishment of liaison groups will be sought for major development where there could be a need for a regular forum for discussions between local residents, the waste planning authority, the operator, and the relevant agencies.

### Policy 16 – Community Engagement

Applicants are encouraged to undertake suitable proportionate steps to engage with the local community before submitting their application and ensure that comments from the community have been taken into account.

*Table 26 Monitoring for Policy 16 – Community Engagement*

Measure/Indicator	<ul style="list-style-type: none"> <li>Number of relevant applications which are supported by a Statement of Community Involvement produced by the applicant.</li> </ul>
Data Source(s)	<ul style="list-style-type: none"> <li>Planning Applications and Decisions.</li> <li>Appeal Decisions.</li> </ul>
Key Organisation(s)	<ul style="list-style-type: none"> <li>Waste Planning Authority.</li> <li>Waste Industry.</li> </ul>
Target(s)	<ul style="list-style-type: none"> <li>100% of relevant applications which are supported by a Statement of Community Involvement produced by the applicant.</li> </ul>
Trigger	<ul style="list-style-type: none"> <li>Low numbers of relevant applications are supported by a Statement of Community Involvement produced by the applicant.</li> </ul>

## 6 Replacement of Policies in the Development Plan

6.1.1.1 The following tables show how the policies of the Surrey Waste Local Plan supersede previously adopted, and saved, policies of the Surrey Waste Plan 2008.

Surrey Waste Plan 2008 – saved polices		Surrey Waste Local Plan	
Policy No. <sup>80</sup>	Title	Policy No.	Title
Core Strategy			
CW1	Waste Minimisation	Policy 1	Need for Waste Development (excluding disposal)
		Policy 4	Sustainable Construction and Waste Management in New Development
CW3	Developing Waste Markets	Policy 4	Sustainable Construction and Waste Management in New Development
CW4	Waste Management Capacity	Policy 1	Need for Waste Development (excluding disposal)
CW5	Location of Waste Facilities	Policy 10	Areas suitable for development of waste management facilities (excluding disposal)
		Policy 15	Transport and Connectivity
CW6	Development in the Green Belt	Policy 9	Green Belt
Waste Development			
WD1	Civic Amenity Sites	Policy 2	Recycling and Recovery Facilities
		Policy 8	Improvement or extension of existing facilities
		Policy 10	Areas suitable for development of waste management facilities (excluding disposal)
WD2	Recycling, Storage, Transfer, Materials Recovery and Processing Facilities (Excluding Thermal Treatment)	Policy 2	Recycling and Recovery Facilities
		Policy 8	Improvement or extension of existing facilities
		Policy 11	Strategic Waste Site Allocations

<sup>80</sup> Please note that policy *numbers* do not always continue consecutively because Policy CW2 was deleted as result of the Inspectors' Report

Surrey Waste Plan 2008 – saved polices		Surrey Waste Local Plan	
Policy No. <sup>80</sup>	Title	Policy No.	Title
		Policy 10	Areas suitable for development of waste management facilities (excluding disposal)
WD3	Recycling, Storage, Transfer of Construction and Demolition Waste at Mineral Sites	Policy 3	Recycling of Inert Construction, Demolition and Excavation Waste
		Policy 8	Improvement or extension of existing facilities
WD4	Open Windrow Composting	Policy 2	Recycling and Recovery Facilities
		Policy 8	Improvement or extension of existing facilities
		Policy 11	Strategic Waste Site Allocations
		Policy 10	Areas suitable for development of waste management facilities (excluding disposal)
WD5	Thermal Treatment Facilities	Policy 1	Need for Waste Development (excluding disposal)
		Policy 2	Recycling and Recovery Facilities
		Policy 8	Improvement or extension of existing facilities
		Policy 11	Strategic Waste Site Allocations
		Policy 10	Areas suitable for development of waste management facilities (excluding disposal)
WD6	Waste Water and Sewage Treatment Plants	Policy 12	Wastewater Treatment Works
		Policy 8	Improvement or extension of existing facilities
		Policy 13	Sustainable Design
WD7	Disposal by Landfilling, Landraising, Engineering or Other Operations	Policy 5	Recovery of Inert Waste to Land
		Policy 6	Disposal of Non-Inert Waste to Land
		Policy 8	Improvement or extension of existing facilities
WD8	Landfilling, Landraising and Engineering or Other Operations	Policy 5	Recovery of Inert Waste to Land
		Policy 6	Disposal of Non-Inert Waste to Land
		Policy 13	Sustainable Design

Surrey Waste Plan 2008 – saved polices		Surrey Waste Local Plan	
Policy No. <sup>80</sup>	Title	Policy No.	Title
Waste Development Control Policies			
DC1	Safeguarding Sites	Policy 7	Safeguarding
Policy DC2	Planning Designations	Policy 14	Development Management
Policy DC3	General Considerations	Policy 13	Sustainable Design
		Policy 14	Development Management
		Policy 15	Transport and Connectivity

## 7 Glossary

Term	Definition
Advanced Thermal Treatment (ATT)	Technologies that employ pyrolysis or gasification to process residual wastes. ATT produce a gas (usually for energy recovery) and a solid residue which can often be recycled for secondary use.
Aggregates	A basic material used in construction and principally consist of primary aggregates – sand, gravel and crushed rock. In addition, some recycled and secondary materials are used for construction purposes. These include construction, demolition and excavation (C, D & E) waste, bituminous materials such as road planings, mineral wastes such as colliery spoil and slate waste, other industrial wastes including pulverised fuel ash and blast furnace slag.
Agricultural Waste	This mostly covers animal slurry / by products and organic waste, but also scrap metals, plastics, batteries, oils, tyres, etc. The regulations for this waste stream have been altered meaning farmers can no longer manage all of their own waste within the farm. The agricultural waste regulations affect whether or not waste can be burnt, buried, stored, used on the farm or sent elsewhere.
Air Quality Management Areas (AQMAs)	An area designated by a local authority for action, based upon a prediction that national Air Quality Objectives are not likely to be achieved in that area.
Anaerobic digestion (AD)	A biological process where microorganisms break down biodegradable waste into a 'digestate' and biogas in the absence of oxygen. AD facilities are usually fully enclosed in an industrial type building, with some infrastructure required such as storage tanks. AD of waste generally falls within the 'other recovery' category in the waste hierarchy but for the purposes of this plan AD of food waste is classed as 'recycling'.
Ancient semi-natural woodland	An area of woodland that has had a continuous cover of native trees and plants since at least 1600 AD. The resurvey of Surrey's Ancient Woodland was published in 2011.
Annual Monitoring Report (AMR)	The county council is required to prepare an Annual Monitoring Report (AMR) as set out in the Planning & Compulsory Purchase Act 2004 (as amended by the Localism Act 2011) and the Town and Country Planning (Local Planning) (England) Regulations 2012. The AMR reviews the effectiveness of policy implementation and service delivery with a focus on the past year.
Area of High Archaeological Potential (AHAP)	An Area of High Archaeological Potential is a defined area where it is strongly suspected that there is an increased likelihood of archaeological remains (finds or features) being revealed should ground disturbance take place. An Area of High Archaeological Potential is a local designation described by the County Council and adopted by the County, District and Borough Authorities for use within their Local Plans.
Areas of Great Landscape Value (AGLV)	An area designated by the County Council as being of high visual quality worthy of conservation.
Area of Outstanding Natural Beauty (AONB)	An area designated under the National Parks and Access to the Countryside Act 1949 as being of national importance for its natural beauty, which should be conserved and enhanced. In Surrey there are two designated areas, the Surrey Hills and part of the High Weald.
ARJDPD 2013	Aggregates Recycling Joint Development Plan Document (ARJDPD 2013) forms part of the Surrey Minerals and Waste Development Framework. It sets out proposals with regard to the provision of aggregates recycling facilities across the county for the period to 2026.
Best and most versatile agricultural land	Land in grades 1, 2 and 3a of the Agricultural Land Classification.

Term	Definition
Bioaerosols	Airborne material containing biological material from animals, plants, insects or micro-organisms. They are produced wherever biological material is being processed, milled, or chopped) and are commonly associated with organic waste composting facilities.
Biodegradable Waste	Waste that is able to decompose through the action of bacteria or other microbes, including materials such as paper, food waste and garden waste.
Biodiversity	The variety of life on earth, from the smallest microbe to the largest tree, and how all these species interact with each other.
Biodiversity Opportunity Areas (BOAs)	Areas where conservation action, such as habitat creation, restoration or expansion, is likely to have the greatest benefit for biodiversity. Further information can be found on the Surrey Nature Partnership website.
Biogas	Biogas is a mixture of gases comprising mainly methane and carbon dioxide. It is produced when organic matter decomposes in the absence of oxygen. This can take place in a landfill site to give landfill gas or in an anaerobic digester to give biogas.
Catchment	The geographical area served by a particular waste management activity. This will vary according to the adequacy of transport links and the economics of transporting different types of waste.
Circular Economy	A circular economy is an alternative to a traditional linear economy (make, use, dispose) in which we keep resources in use for as long as possible, extract the maximum value from them whilst in use, then recover and regenerate products and materials at the end of each service life.
Climate change adaptation	Adjustments to natural or human systems in response to actual or expected climatic factors or their effects, including from changes in rainfall and rising temperatures, which moderate harm or exploit beneficial opportunities.
Combined heat and power facilities (CHP)	CHP plants provide local heat, electricity and sometimes even cooling to various types of users.
Commercial and Industrial (C&I) Waste	Waste generated by business and industry, for example: wholesalers; catering establishments; shops and offices; factories and industrial plants. Generally, businesses are expected to make their own arrangements for the collection, treatment and disposal of waste generated by their actions. Waste from smaller businesses where local authority collection arrangements have been set up is considered as Local Authority Collected Waste.
Community Recycling Centres (CRCs)	Community Recycling Centres (CRCs) are sites that are operated by the Waste Disposal Authority (Surrey County Council) for local residents to drop off their household waste, recyclables and bulky waste.
Composting	The breaking down of organic matter aerobically into a stable material that can be used as a fertiliser or soil conditioner.
Composting: In-Vessel	Composting within a sealed chamber where environmental parameters are optimised (temperature, moisture, mixing and air flow), resulting in the production of higher quality finished compost within a shorter period of time than open windrow composting. Within the waste hierarchy composting is at the same level as recycling.
Composting: Open Windrow	Open windrow composting involves the raw material (usually green and/or garden waste and cardboard) being arranged outdoors in long narrow piles on a hard and preferably impermeable surface. The windrows are mixed and turned regularly for aeration, either by hand or mechanically.
Conservation Area	An area designated by the local planning authority because of its special architectural or historic interest, the character and appearance of which it is desirable to preserve or enhance.

Term	Definition
Contaminated Land	Contaminated land is land that has been polluted or harmed in some way making it unfit for safe development and usage unless cleaned.
Construction, Demolition and Excavation (CD&E) Waste	The combined waste produced from earth moving activities, demolition of existing buildings/structures and construction of new buildings/structures. It mostly comprises brick, concrete, hardcore, subsoil and topsoil, but can also include timber, metals and plastics.
County Site of Archaeological Importance (CSAIs)	A County Site of Archaeological Importance is a known archaeological heritage asset within Surrey that is important in either a National or Regional context and should be preserved. Sites worthy of consideration as CSAIs can be identified through a combination of documentary assessment and/or archaeological fieldwork by qualified and informed persons or organisations.
Decentralised energy	Local renewable energy and local low-carbon energy usually but not always on a relatively small scale encompassing a diverse range of technologies.
Department for Environment, Farming and Rural Affairs (DEFRA)	The UK government department responsible for policy and regulations on environmental (including waste management), food and rural issues.
Development Plan	The development plan has statutory status as the starting point for decision making. Section 38(6) of the <i>Planning and Compulsory Purchase Act 2004</i> and Section 70(2) of the <i>TCPA 1990</i> require that planning applications should be determined in accordance with the development plan unless material considerations indicate otherwise. For waste proposals within Surrey the development plan comprises waste development plan documents and local plans and development plan documents as prepared by the Districts and Boroughs of the County as well as neighbourhood plans.
Development Plan Documents (DPDs)	These are planning policy documents which make up the Local Plan. Development plan documents include the core strategy, site-specific allocations of land and, where needed, area action plans. There will also be an adopted policies map which illustrates the spatial extent of policies that must be prepared and maintained to accompany all DPDs.
Disposal	Disposal means any waste management operation which is not 'recovery' even where the operation has a secondary consequence, the reclamation of substances or energy.
Downland	Downland or lowland calcareous grassland as it is listed is a priority habitat, formed by grazing from both livestock and wild animals on nutrient-poor, shallow soils and difficult slopes.
Dry Mixed Recyclates (DMR)	Typically composed of: <ul style="list-style-type: none"> <li>• Paper - e.g. dry paper waste, newspapers, office paper and magazines</li> <li>• Cardboard – e.g. corrugated cardboard, cereal boxes and card</li> <li>• Metal cans – e.g. clean, empty drinks cans and food tins</li> <li>• Plastic – e.g. packaging films, rinsed out milk bottles, empty drinks bottles &amp; clean salad trays, rinsed out margarine tubs &amp; microwaveable meal trays</li> </ul>
Duty to Cooperate (DtC)	A legal duty on local planning authorities, county councils in England and public bodies to engage constructively, actively and on an ongoing basis to maximise the effectiveness of Local and Marine Plan preparation in the context of strategic cross boundary matters. Waste management is considered to be a strategic cross boundary matter.
Ecosystem services	The benefits people obtain from ecosystems such as, food, water, flood and disease control and recreation.
End of life vehicles (ELVs)	Under End of Life Vehicles Regulation 2003 and 2005, vehicles are regulated to limit the environmental impact of their disposal, by reducing the amount of waste created when they are scrapped.
Energy from Waste (EfW)	The process of managing waste to create energy - usually in the form of electricity or heat but also potentially biofuels - from the thermal treatment of a waste source. Many wastes are

Term	Definition
	combustible, with relatively high calorific values – this energy can be recovered through processes such as incineration with electricity generation, gasification or pyrolysis. Energy from waste generally falls within the ‘other recovery’ category in the waste hierarchy.
Energy Recovery	Covers a number of established and emerging technologies, though most energy recovery is through incineration technologies. Many wastes are combustible, with relatively high calorific values – this energy can be recovered through processes such as incineration with electricity generation, gasification or pyrolysis.
Environmental Impact Assessment (EIA)	The process of identifying and assessing the likely significant environmental impacts of a development proposal. EIA is a statutory requirement where the proposed development is of a type listed in Schedule 1 to the Town & Country Planning (Environmental Impact Assessment) Regulations 2017, or is of a type listed in Schedule 2 of those Regulations and is likely to have significant effects on the environment. The EIA process requires that certain information be provided, and that the public be consulted as part of the development consent process. The timescales for the determination of EIA planning applications, and for consultation on those applications, are longer than those for non-EIA development.
European site	These are habitats which are protected by the EU Directive (92/43/EEC) on the conservation of natural habitats and of wild fauna and flora (EC Habitats Directive). They include Special Areas of Conservation, Sites of Community Importance, Special Areas of Conservation and Special Protection Areas, and is defined in regulation 8 of the Conservation of Habitats and Species Regulations 2017.
Gasification	A technology that converts carbon containing material (including waste) into gas (mostly methane) at high temperature. The gas can either be used as a substitute for natural gas or used to power electricity generation.
Green Belt	A national designation, which aims to prevent urban sprawl by keeping land around certain cities and large built-up areas permanently open or largely undeveloped, defined more fully in the National Planning Policy Framework website.
Greenfield land	Land previously in agriculture or non-urban/industrial use or which has not been damaged by a previous use. Not to be confused with Green Belt.
Greenhouse gas	A greenhouse gas allows sunlight to enter the atmosphere freely. When sunlight strikes the Earth’s surface, some of it is reflected back towards space as infrared radiation (heat). Greenhouse gases absorb this infrared radiation and trap the heat in the atmosphere. Many gases exhibit these “greenhouse” properties, including water vapour, carbon dioxide, methane and nitrous oxide.
Green infrastructure	A network of multi-functional green space, urban and rural, which capable of delivering a wide range of environmental and quality of life benefits for local communities.
Groundwater Source Protection Zone	The Environment Agency identifies source protection zones to protect drinking water sources such as wells, boreholes and springs used for public drinking water supply from developments that may damage its quality.
Gross Value added (GVA)	The measure of the value of goods and services produced in an area, industry or sector of an economy.
Hazardous waste	Controlled waste that is dangerous or difficult to treat, keep, store or dispose of, so that special provision is required for dealing with it. Hazardous wastes are the more dangerous wastes and include toxic wastes, acids, alkaline solutions, asbestos, fluorescent tubes, batteries, oil, fly ash (flue ash), industrial solvents, oily sludges, pesticides, pharmaceutical compounds, photographic chemicals, waste oils, wood preservatives. If improperly handled, treated or disposed of, a waste that, by virtue of its composition, carries the risk of death, injury or impairment of health, to humans or animals, the pollution of waters, or could have an unacceptable environmental impact. It should be used only to describe wastes that contain

Term	Definition
	sufficient of these materials to render the waste as a whole hazardous within the definition given above. Defined in the Hazardous Waste (England and Wales) Regulations 2005 (as amended).
Heathland	Lowland heathland is a shrubby habitat found mainly on free-draining infertile, acidic soils and is characterised by open, low-growing woody vegetation. Heathland is a UK priority habitat and Surrey has 13% of the UK total.
Heavy Goods Vehicle (HGVs)	Any vehicle carry goods with a weight over 3.5 tonnes.
Heritage asset	A building, monument, site, place, area or landscape identified as having a degree of significance meriting consideration in planning decisions, because of its heritage interest. Heritage asset includes designated heritage assets and assets identified by the local planning authority (including local listing).
Historic environment	All aspects of the environment resulting from the interaction between people and places through time, including all surviving physical remains of past human activity, whether visible, buried or submerged, and landscaped and planted or managed flora.
Historic Park and Garden	A site listed on the 'Register of Parks and Gardens of special historic interest in England' These range from town gardens and public parks to the great country estates. They are heritage assets.
Household waste	This is waste from a domestic property, caravan, and residential home or from premises forming part of a university or school or other educational establishment and premises forming part of a hospital or nursing home.
Incineration	This is the controlled burning of waste usually in purpose built plant and is subject to stringent standards for emissions. Ash residues are often landfilled but may also be used in building materials. Incineration that involves the capture of energy falls within the category 'Energy from Waste'.
Inert waste	Inert waste means waste that does not undergo any significant physical, chemical or biological transformations. Inert waste will not dissolve, burn or otherwise physically or chemically react, biodegrade or adversely affect other matter with which it comes into contact in a way likely to give rise to environmental pollution or harm human health. The total leachability and pollutant content of the waste and the ecotoxicity of the leachate must be insignificant, and in particular not endanger the quality of surface water and/or groundwater <sup>1</sup> . Non-inert (including non-hazardous) waste is all other waste other than as identified above.
Joint Municipal Waste Management Strategy (JMWMS)	Surrey's strategy to manage waste arising from households across the county. It sets targets for recycling, reducing and managing waste in the most sustainable and cost-effective way.
Landfill and Landraise	The term landfill relates to waste disposal mainly below ground level (by filling a void) whereas landraise refers to waste disposal mainly above pre-existing ground levels. They are generally the least preferred method of waste management.
Landscape Character Assessment (LCA)	A comprehensive assessment of the landscape character of the county. It takes account of the framework of the National Character Areas recently reviewed by Natural England and describes variations in the landscape character at a county level.
Landscape & Visual Impact Assessment (LVIA)	LVIA is a tool used to identify and assess the significance and effects of change resulting from development, on both the landscape as an environmental resource in its own right and on people's views and visual amenity.
Large Scale Development	For the purposes of this plan is generally considered to be sites greater than 5 hectares or for waste development those sites handling greater than 50,000 tonnes per annum (tpa).

Term	Definition
Listed Buildings	A building of special architectural or historic interest in a list compiled by the Secretary of State under the Planning (Listed Buildings and Conservation Areas) Act 1990, thereby having statutory protection. Listing of buildings includes the interior as well as the exterior of the building, and any nearby buildings or permanent structures within the curtilage (e.g. wells, outbuildings). Historic England is responsible for designating buildings for listing in England.
Local Authority Collected Waste (LACW)	All waste collected by a local authority. It includes household waste and business waste and construction and demolition waste where collected by the local authority. LACW is the definition that is used in statistical publications produced by Defra, which previously referred to 'municipal' waste.
Local Development Scheme	The timetable for the preparation of Local Plans.
Local Enterprise Partnership (LEP)	A body, designated by the Secretary of State for the Ministry of Housing, Communities and Local Government, established for the purpose of creating or improving the conditions for economic growth in an area.
Local Nature Reserves (LNRs)	An area designated by local authorities, in consultation with English Nature, under the National Parks and Access to the Countryside Act 1949, to provide opportunities for educational use and public enjoyment, in addition to protecting wildlife or geological and physiographical features of special interest.
Local Planning Authorities (LPAs)	The public authority whose duty it is to carry out specific planning functions for a particular area.
Local Plan	The plan for the future development of the local area, drawn up by the local planning authority in consultation with the community. In law this is described as the development plan documents adopted under the Planning and Compulsory Purchase Act 2004. Current core strategies or other planning policies, which under the regulations would be considered to be development plan documents, form part of the Local Plan. The term includes old policies which have been saved under the 2004 Act.
Local roads	These are taken to include: A roads (not including trunk roads and primary routes). B roads – which are roads intended to connect different areas, and to feed traffic between A roads and smaller roads on the network. Classified unnumbered roads which are smaller roads intended to connect together unclassified roads with A and B roads, and often linking a housing estate or a village to the rest of the network. Similar to 'minor roads' on an Ordnance Survey map and sometimes known unofficially as C roads. Unclassified roads which are local roads intended for local traffic. The vast majority (60%) of roads in the UK fall within this category.
Mass burn incinerator	Large, complex facilities which are used to burn waste at very high temperatures.
Materials Recovery Facility (MRF)	A facility where waste can be taken in bulk for separation, recycling or recovery of waste materials. This may also involve the crushing and screening of construction, demolition and excavation waste. MRFs fall within the 'recycling' category in the waste hierarchy.
Ministry of Housing Communities and Local Government (MHCLG)	The government department responsible for the planning system and creating national planning policy and guidance.
Mixed Waste Processing	Operations primarily of a mechanical and/or biological nature, which are designed to process household waste.

Term	Definition
National Nature Reserves (NNRs)	National Nature Reserves (NNRs) were established to protect some of our most important habitats, species and geology, and to provide 'outdoor laboratories' for research.
National Planning Policy Framework (NPPF)	The National Planning Policy Framework sets out the Government's planning policies for England and how these are expected to be applied. Amongst other things it sets out the Government's policy on preparing Local Plans.
National Planning Policy for Waste (NPPW)	Adopted in October 2014, this document sets out the government's detailed waste planning policies.
Natural England	The Government's adviser on the natural environment, providing practical scientific advice on how to look after England's landscapes and wildlife.
Neighbourhood plans	A plan for development prepared by a Parish Council or Neighbourhood Forum for a particular neighbourhood area.
Net self-sufficiency	To provide enough waste management facilities to manage the equivalent amount of waste arising within the Plan Area.
Non-inert Waste	This is a waste that will biodegrade or decompose, releasing environmental pollutants. Examples include: wood and wood products, paper and cardboard, vegetation and vegetable matter, leather, rubber and food processing wastes.
Open space	All open space of public value, including not just land, but also areas of water (such as rivers, canals, lakes and reservoirs) which offer important opportunities for sport and recreation and can act as a visual amenity.
Other Recovery	Other Recovery is not specifically defined in the revised Waste Framework Directive, although 'energy recovery' is referenced as an example. It can be assumed by their exclusion in the definition of recycling, that processing of wastes into materials to be used as fuels or for backfilling can be considered 'other recovery'.
Pollution	Anything that affects the quality of land, air, water or soils, which might lead to an adverse impact on human health, the natural environment or general amenity. Pollution can arise from a range of emissions, including smoke, fumes, gases, dust, steam, odour, noise and light.
Planning Practice Guidance (PPG)	Government guidance intended to assist practitioners in interpreting the National Planning Policy Framework.
Previously developed land (PDL)	Land which is or was occupied by a permanent structure, including the curtilage of the developed land (although it should not be assumed that the whole of the curtilage should be developed) and any associated fixed surface infrastructure. This excludes: land that is or has been occupied by agricultural or forestry buildings; land that has been developed for minerals extraction or waste disposal by landfill purposes where provision for restoration has been made through development control procedures; land in built-up areas such as private residential gardens, parks, recreation grounds and allotments; land that was previously-developed but where the remains of the permanent structure or fixed surface structure have blended into the landscape.
PROW	Public Right of Ways are paths that all members of the public can legally use on foot, and sometimes on other modes of transport.
Priority habitats and species	Species and Habitats of Principle Importance included in the England Biodiversity List published by the Secretary of State under section 41 of the Natural Environment and Rural Communities Act 2006.
Pyrolysis	The combustion of waste in the absence of oxygen, resulting in the production of liquid, gas, char, whose after-use depends on the type of waste incinerated.

Term	Definition
Ramsar sites	Ramsar sites are designated under the Convention on Wetlands of International Importance, agreed in Ramsar, Iran, in 1971. Originally intended to protect sites of importance especially as waterfowl habitat, the Convention has broadened its scope over the years to cover all aspects of wetland conservation and wise use, recognising wetlands as ecosystems that are extremely important for biodiversity conservation in general and for the well-being of human communities.
Receptor	Existing land uses that could be affected by the proposed development at the site allocations. Some examples of receptors include: residential dwellings, hospitals, commercial premises and footpaths.
Recovery	Recovery means any waste management operation the principal result of which is waste serving a useful purpose by replacing other materials which would otherwise have been used to fulfil a particular function, or waste being prepared to fulfil that function, in the plant or in the wider economy.
Recovery facilities	A facility that recovers value, such as resources and energy, from waste prior to disposal, includes energy from waste, biological treatment and physical treatment facilities.
Recovery to Land	This is considered to be the use of inert material for a genuine beneficial use such as landscape and/or amenity improvements.
Recycling	Recycling means any recovery operation by which waste materials are reprocessed into products, materials or substances whether for the original or other purposes. Includes the reprocessing of organic material but not energy recovery or the reprocessing into materials that are to be used as fuels or for backfilling operations.
Regional Spatial Strategies (RSSs)	Regional Spatial Strategies were introduced in place of county-level structure plans under the Planning and Compulsory Purchase Act 2004. The RSS for Surrey was the South East Plan but this was revoked in 2013 except for policy on the <a href="#">Thames Basin Heaths Special Protection Area</a> .
Regionally Important Geological and Geomorphological Sites (RIGS)	Regionally Important Geological and Geomorphological Sites (RIGS), also known as Local Geological Sites, - are the most important places for geology and geomorphology outside statutorily protected land such as Sites of Special Scientific Interest (SSSI). Sites are selected under locally-developed criteria, according to their value for education, scientific study, historical significance or aesthetic qualities. Whilst not benefiting from statutory protection, RIGS are equivalent to Local Wildlife Sites, and "...consideration of their importance becomes integral to the planning process".
Renewable and low carbon energy	Includes energy for heating and cooling as well as generating electricity. Renewable energy covers those energy flows that occur naturally and repeatedly in the environment – from the wind, the fall of water, the movement of the oceans, from the sun and also from biomass and deep geothermal heat. Low carbon technologies are those that can help reduce emissions (compared to conventional use of fossil fuels).
Residual waste	The elements of the waste streams that remain following recovery operations. Residual waste usually needs to be managed by disposal e.g. landfill.
Restoration	Process of returning a site or area to its former or future use following mineral extraction. It includes processes that take place before and during mineral extraction (stripping and protection of soils) and operations after extraction up until the after-use is established on the site.
Reuse	The commercial sector can reuse products designed to be used a number of times, such as reusable packaging. Householders can be refillable containers or reuse plastic bags. Reuse contributes to sustainable development and can save raw materials, energy and transport costs.

Term	Definition
Reuse Derived Fuel (RDF)	A fuel produced from various types of wastes such as municipal solid wastes (MSW), industrial wastes or commercial wastes.
Safeguarding	The process of protecting sites and areas that have potential for relevant development (minerals and waste) from other forms of development.
Scheduled Monuments	Nationally important monuments usually archaeological remains, which are protected against inappropriate development through the Ancient Monuments and Archaeological Areas Act 1979.
SMP 2011	The Surrey Minerals Plan was adopted in 2011 and provides strategic policies and site specific proposals for the extraction of silica sand and clay for the period to 2026.
Sites of Nature Conservation Importance (SNCI)	An area (non-statutory) designated by the Surrey Local Sites Partnership as being of county or regional wildlife value. Sites are selected under locally developed criteria. Also known as Local Wildlife Sites.
Sites of Special Scientific Interest (SSSI)	A site which is of special interest by reason of any of its flora, fauna, or geological or physiographical features and has been designated by Natural England under the Wildlife and Countryside Act 1981.
Site Waste Management Plan	A plan which sets out how resources will be managed and waste controlled at all stages of a construction project, including: <ul style="list-style-type: none"> <li>• What types of waste will be generated.</li> <li>• How the waste will be managed.</li> <li>• Which contractors will be used to ensure the waste is correctly recycled or disposed of responsibly and legally.</li> </ul>
Special Areas of Conservation (SAC)	SACs are habitats designated under the EC Habitats Directive. SACs are areas which have been identified as best representing the range and variety within the European Union of habitats and (non-bird) species listed on Annexes I and II to the Directive.
Special Protection Areas (SPA)	A site designated under the EU Directive on the Conservation of Wild Birds to protect threatened birds, their eggs, nests and habitats.
Statement of Community Involvement (SCI)	A document which sets out how authorities will involve local communities in the preparation of local development documents and development management decisions.
Strategic Environment Assessment (SEA)	A procedure which requires public authorities to undertake a systematic assessment and evaluation of the impacts that certain plans and programmes may have on the environment, as part of the plan preparation and decision making process.
Sustainability Appraisal (SA)	A process of analysing and evaluating the environmental, social and economic impacts of the plan or programme, often in conjunction with an SEA.
Supplementary planning documents	Planning documents which expand upon policy or provide further detail to policies in development plan documents, but do not have development plan status.
Surrey Waste Local Plan (SWLP)	The development plan document that sets out the planning framework for the development of waste management facilities in Surrey. With an expectation they will last ten years from adoption. This Plan is to replace the current 2008 SWP and is to be adopted in 2019.
Surrey Waste Plan (SWP)	A series of waste development plan documents which set out the planning framework for the development of waste management facilities in Surrey. This Plan was adopted in 2008
Thermal Treatment	A waste management operation that involves the use of heat to process waste and generally involves the production of energy. Incineration is a thermal treatment but 'Energy from waste' is the term more generally used to describe waste management involving incineration.

Term	Definition
Tonne	Metric Ton. 1000 kilos, equal to 2004 lbs.
tpa	Tonnes per annum.
mtpa	Million tonnes per annum.
Topography	A description or visual representation of the shape of the land, for example, contours or changes in the height of land above sea level.
Transport assessment or Transport Statement	<p>A comprehensive and systematic process that sets out transport issues relating to a proposed development. It identifies what measures will be required to improve accessibility and safety for all modes of travel, particularly for alternatives to the car such as walking, cycling and public transport and what measures will need to be taken to deal with the anticipated transport impacts of the development.</p> <p>Transport assessments are used for larger scale development proposals, or where there are complicated transport matters to consider. Transport Statements are used for smaller scale development proposals than Transport assessments, where the transport issues to be reviewed are straight forward. The coverage of Transport assessments and statements is decided on a case by case basis, depending on the nature of the development proposals and the transport network it is served by.</p>
Travel plan or Traffic Management Plan	A long-term management strategy for an organisation or site that seeks to deliver sustainable transport objectives through action and is articulated in a document that is regularly reviewed.
Waste	Any substance or object that the holder or the possessor either discards or intends or is required to discard.
Waste arisings	This is the amount of waste produced in a given area during a given period of time, usually reported as tonnes per annum (tpa).
Waste Collection Authority (WCA)	A local authority with a statutory responsibility to provide a waste collection service to each household in its area, and on request, to local businesses.
Waste Disposal Authority (WDA)	A local authority responsible for managing the waste collected by the collection authorities and the provision of household waste recovery centres.
Waste Electrical and Electronic Equipment (WEEE)	WEEE includes a broad range of consumer and commercial equipment (i.e. large household appliance, small household appliances, IT and telecoms equipment, consumer equipment, lighting equipment, electric tools, toys, medical equipment, monitoring and control equipment, and automatic dispensers).
Waste Framework Directive (WFD)	An EU Directive which provides the overarching legislative framework for the collection, transport, recovery and disposal of waste. It defines certain terms, such as 'waste', 'recovery' and 'disposal' to ensure that a uniform approach is taken across the EU.
Waste hierarchy	A concept devised by the Waste Framework Directive (2008/98/EC) conveying waste management options in order of preference; waste prevention (most preferred) followed by reduction, recycling, recovery and disposal (least preferred).
Waste Management Industry	This comprises businesses and not-for-profit organisations carrying out the collection, treatment and disposal of waste.
Waste Planning Authority (WPA)	The local authority responsible for waste development planning and control. These are unitary authorities, including National Park Authorities, and county councils in non-unitary areas.
Waste streams	Waste produced by different sectors and with different composition such as 'commercial and industrial' or 'hazardous'.

Term	Definition
Waste Transfer	Process where waste is taken from waste producers, and taken for treatment, recycling and/or disposal.
Waste Transfer Station (WTS)	Part of waste transfer network which enables materials to be sorted and organised before being sent on for final processing.
Wastewater	Water discharged to sewers and includes waste in liquid form as well as surface water runoff. This raw wastewater is collected in sewers and transferred to wastewater treatment works where it is treated in such a way that produces largely reusable sewage sludge and effluent that is discharged to watercourses.

## 8 List of useful sources

Ancient Monuments and Archaeological Areas Act 1979:

<https://www.legislation.gov.uk/ukpga/1979/46>

Environment Agency (EA):

<https://www.gov.uk/government/organisations/environment-agency>

Environment Impact Assessment (EIA) Regulations 2017:

<http://www.legislation.gov.uk/uksi/2017/571/contents/made>

Hazardous Waste (England & Wales) Regulations 2005:

<http://www.legislation.gov.uk/uksi/2005/894/contents/made>

Natural England:

<https://www.gov.uk/government/organisations/natural-england>

Natural Environment and Rural Communities Act 2006:

<https://www.legislation.gov.uk/ukpga/2006/16/contents>

National Parks and Access to the Countryside Act 1949:

<https://www.legislation.gov.uk/ukpga/Geo6/12-13-14/97>

National Planning Policy Framework (NPPF):

<https://www.gov.uk/government/publications/national-planning-policy-framework--2>

Planning and Compulsory Purchase Act 2004:

<https://www.legislation.gov.uk/ukpga/2004/5/contents>

Surrey Hills AONB:

<https://www.surreyhills.org/>

Thames Basin Heaths Special Protection Area:

<http://jncc.defra.gov.uk/page-2050-theme=default>

Town and Country Planning Act (TCPA) 1990:

<https://www.legislation.gov.uk/ukpga/1990/8/contents>

Wildlife and Countryside Act 1981:

<https://www.legislation.gov.uk/ukpga/1981/69>

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**Annex 2**

Surrey County Council Minerals  
and Waste Planning Policy

# **Surrey Waste Local Plan**

## **Part 2 - Sites and areas of search**

October 2018



If you have any questions about the consultation or you are having difficulty in accessing the documents please contact Surrey County Council:

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# 1 Introduction

## 1.1 Purpose of Identifying Areas of Search and Sites

- 1.1.1 As the waste planning authority<sup>1</sup> (WPA) Surrey County Council is required to produce a local plan for waste development, known as the Surrey Waste Local Plan (“the Plan”), to show how and where waste will be managed in Surrey in the future. The Plan sets out the planning framework for the development of waste management facilities and is used in determining planning applications for waste management facilities.
- 1.1.2 The Plan is intended to make sure that land is available to be developed so that there are enough waste management facilities to handle the equivalent amount of waste arising in Surrey. In doing so the SWLP provides policies which ensure these facilities are well located and do not result in significant adverse impacts on amenity and the environment.
- 1.1.3 Part 1 of the plan sets out the context of the plan, the vision, objectives and policies that will be applied when determining planning applications. This Part 2 of the plan gives more specific information around the areas and sites identified as being suitable for waste management in accordance with Policies 10, 11(a) and 11(b).

## 1.2 Industrial Land Areas of Search

- 1.2.1 Industrial Land Areas for Search are broad areas, not allocated as sites for waste development, but identified as areas of search within which there may be potential for waste development. The areas are those already identified or allocated in district or borough Local Plans (adopted and emerging) as suitable for employment use, industrial and storage use or appropriate mixed use, which the county council considers may be compatible with waste management uses.
- 1.2.2 Existing employment land areas that are predominantly used for, and considered suitable for, general industry (B2) and storage and distribution (B8) have been included, as these areas are considered compatible with waste management uses. Land allocated, but not yet developed, for employment use and considered suitable for B2 or B8 uses is also included.

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<sup>1</sup> The Town and Country Planning (Prescription of County Matters) (England) Regulations 2003 prescribe classes of waste operations and uses of land that should be dealt with as “county matters”.

1.2.3 The process by which the areas were identified is recorded in the Industrial Land Areas of Search Site Identification Report (October 2018). The final list of ILAS is shown in Table 1.

*Table 1 Industrial Land Areas of Search*

	<b>Area of Search Name</b>	<b>District/Borough</b>
1	Brooklands Industrial Park, Wintersells Road Industrial Park and Byfleet Industrial Estate	Elmbridge and Woking
2	Molesey Industrial Estate, West Molesey	Elmbridge
3	Hersham Road North and Lyon Road / North Weylands, Walton-on-Thames	Elmbridge
4	Longmead Industrial Estate	Epsom and Ewell
5	Slyfield Industrial Estate	Guildford
6	Woodbridge Meadows	Guildford
7	Land around Burnt Common warehouse, London Road, Send	Guildford
8	North and south of Lysons Avenue, Ash Vale	Guildford
9	Riverway Industrial Estate, Astolat Business Park and Weyvern Park at Peasmarsh	Guildford
10	Land near Dorking West Station, Curtis Road/Station Road	Mole Valley
11	Holmethorpe Industrial Estate	Reigate and Banstead
12	Perrywood Business Park	Reigate and Banstead
13	Salfords Industrial Estate	Reigate and Banstead
14	Thorpe Industrial Estate	Runnymede
15	Byfleet Road Employment Allocation	Runnymede
16	York Town Industrial Estate, Doman Road and Stanhope Road	Surrey Heath
17	Windmill Road, Sunbury	Spelthorne
18	Hobbs Industrial Estate, Felbridge	Tandridge
19	Farnham Trading Estate including Land off Water Lane, Farnham	Waverley
20	Land at Dunsfold Aerodrome (As part of new settlement)	Waverley
21	Coxbridge Business Park	Waverley
22	Monument Way East Industrial Estate (includes Woking Business Park)	Woking

1.2.4 These locations are not specifically safeguarded for waste management development, however any existing waste management facilities within these locations are safeguarded by Policy 7.

### 1.3 Allocated Sites

- 1.3.1 Certain sites, which the county council considers to be the most suitable locations, have been allocated to ensure that sufficient land is available to manage the county's existing and future waste arisings during the plan period. These sites listed in section 5 of Part 1, have been tested through the county council's site identification and selection methodology and were assessed as appropriate for development in terms of their location, suitability and deliverability during the plan period.
- 1.3.2 Sites have been allocated to provide the land necessary to meet the need for new waste management facilities in Surrey up to 2035. For each site a number of key development issues have been identified. The process by which the site allocations were identified is recorded in the Site Identification & Evaluation Report (September 2018).

*Table 2 Sites allocated on land not within the Green Belt*

Site Name	District/Borough	Area (Ha)
Land to the north east of Slyfield Industrial Estate, Moorfield Road, Guildford	Guildford	12.7

*Table 3 Sites allocated on previously developed land within the Green Belt*

Site Name	District/Borough	Area (Ha)
Former Weylands Sewage Treatment Works, Walton-on-Thames	Elmbridge	5.6
Land adjoining Leatherhead Sewage Treatment Works, Randalls Rd, Leatherhead	Mole Valley	3.4
Oakleaf Farm, Stanwell Moor	Spelthorne	6.8

*Table 4 Site allocated on land within the Green Belt earmarked for removal from Green Belt by the district/borough*

Site Name	District/Borough	Area (Ha)
Land at Lambs Business Park, South Godstone	Tandridge	3.0

- 1.3.3 The Joint Municipal Waste Management Strategy<sup>2</sup> (Appendix 1) outlines the need to deliver new infrastructure for Dry Mixed Recyclables (DMR) produced by households. In accordance with the nPPG<sup>3</sup> the following site is also allocated, specifically for the management of DMR from households:

*Table 5 Site allocated on land within the Green Belt for a specific purpose*

Site Name	District/Borough	Area (Ha)
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<sup>2</sup> The strategy can be found on the Surrey Waste Partnership website <https://www.surreywastepartnership.org.uk/our-strategy>

<sup>3</sup> National Planning Practice Guidance on Waste Paragraph 019

Land adjacent to Trumps Farm, Longcross	Runnymede	6.2
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## 2 Site Assessment work

### 2.1 Industrial Land Areas of Search

#### 2.1.1 Assessment of Suitability

- 2.1.1.1 The areas of search have already been identified as being suitable in principle for a range of industrial and/or storage uses through the relevant district or borough local plan. As a result no new site assessment work has been undertaken. However, given the nature of any potentially available land within established industrial estates, it is more likely that suitable waste management facilities will be small to medium in scale (see Table 5).
- 2.1.1.2 There will be material considerations associated with these sites which will need to be appraised at the planning application stage. Such considerations will include the ability of development to mitigate potential adverse impacts taking account of the particular characteristics of the location.
- 2.1.1.3 Relevant policies in the borough or district local plan should always be referred to in addition to policies in Part 1 of the Surrey Waste Local Plan. Potentially relevant environmental information is also provided below for each of the identified ILAS.

### 2.2 Allocated Sites

#### 2.2.1 Initial Assessment Work

- 2.2.1.1 As set out in the Site Identification and Evaluation Report a process of site characterisation was carried out for all sites that were identified. Each site characterisation was used to inform the evaluation of the site's suitability as a location for future waste related development.
- 2.2.1.2 The long list of sites was evaluated against a range of criteria informed by Appendix B of the NPPW and included: natural environment and biodiversity, landscape and visual amenity, the historic environment and archaeology, the water environment and flood risk, underlying geology and soils, air quality, and access to the surrounding transport network. This resulted in a recommended shortlist of sites that could be proposed for allocation following detailed assessment.

#### 2.2.2 Detailed Site Assessment Work

- 2.2.2.1 Site assessment work was undertaken for each of the allocated sites in order to better understand specific constraints at each of the sites and their suitability for different types of waste related development. The assessments undertaken were as follows:

- Air Quality Impact Assessment (AECOM, 2018).
  - Background Ecological Data Search (Surrey Wildlife Trust, 2018).
  - Health Impact Assessment (Surrey County Council, 2018).
  - Landscape and Visual Sensitivity Study (Land Use Consultants, 2018).
  - Strategic Flood Risk Assessment (Peter Brett Associates, 2018).
  - Transport Assessment (Surrey County Council, 2018).
- 2.2.2.2 The types of waste facility considered by each of the assessments include: energy from waste, composting (in vessel and open windrow), pyrolysis, gasification, anaerobic digestion, and processing of recyclables (Material Recovery Facilities). These facility types are defined in the Glossary at the end of the Plan (Part 1).
- 2.2.2.3 These assessments identify specific issues at each site and have informed the key development issues below. It is recommended that the full assessment reports are referred to fully understand the key development requirements. In addition, the assessment work carried out represents a snapshot in time and additional issues may need to be addressed depending on new circumstances.
- 2.2.2.4 For each allocated site an indication of the type of waste use and the scale of facility that may be suitable in that location is provided. This is indicative only based on the site assessments. It is not intended to be definitive, but clearly any proposal that is of greater scale than indicated runs a greater risk of being unacceptable due to it giving rise to potentially unacceptable impacts that cannot be adequately mitigated.
- 2.2.2.5 In terms of scale of potential facilities the following broad definitions are used based on either hectares or tonnes per annum:

*Table 5 Indicative scale of facilities used in these key development issues*

Indicative Scale	Size of facility	
	Hectares (ha)	Throughput in tonnes per annum
Small	Up to 5	up to 50,000
Medium	5 to 10	50,000 to 120,000
Large	10 or more	120,000 or more

## 3 Issues to be addressed at application stage

### 3.1 Issues to be addressed

- 3.1.1 Important site specific matters that will need to be addressed to support a planning application have been identified for each allocated site. For ILAS only key environmental sensitivities have been identified.
- 3.1.2 A range of issues will also likely need to be addressed as part of any planning application for waste development either within an ILAS or on an allocated site. For further guidance see Policy 14 of The Plan and the county council's 'Local List for the Validation of County Development & County Matters Planning Applications: Annexe 2 – Waste Related Development<sup>4</sup>'.

### 3.2 Need for project level Appropriate Assessment

- 3.2.1 A project level Appropriate Assessment will be required for any proposals made in respect of any scale of thermal treatment facilities on those sites and ILAS situated within 10km of any Special Protected Area (SPA) or Special Area of Conservation (SAC) that may be sensitive to change due to nutrient nitrogen deposition.
- 3.2.2 The Appropriate Assessment will need to demonstrate that emissions of nutrient nitrogen from the proposed facility would contribute no more than 1% of the site relevant Critical Load for the most sensitive habitat of the relevant SPA or SAC. Where the 1% site relevant Critical Load threshold would be exceeded, the Appropriate Assessment would need to demonstrate that there would be no significant adverse impact on the ecological integrity of the relevant SPA or SAC.

### 3.3 Other regulatory regimes

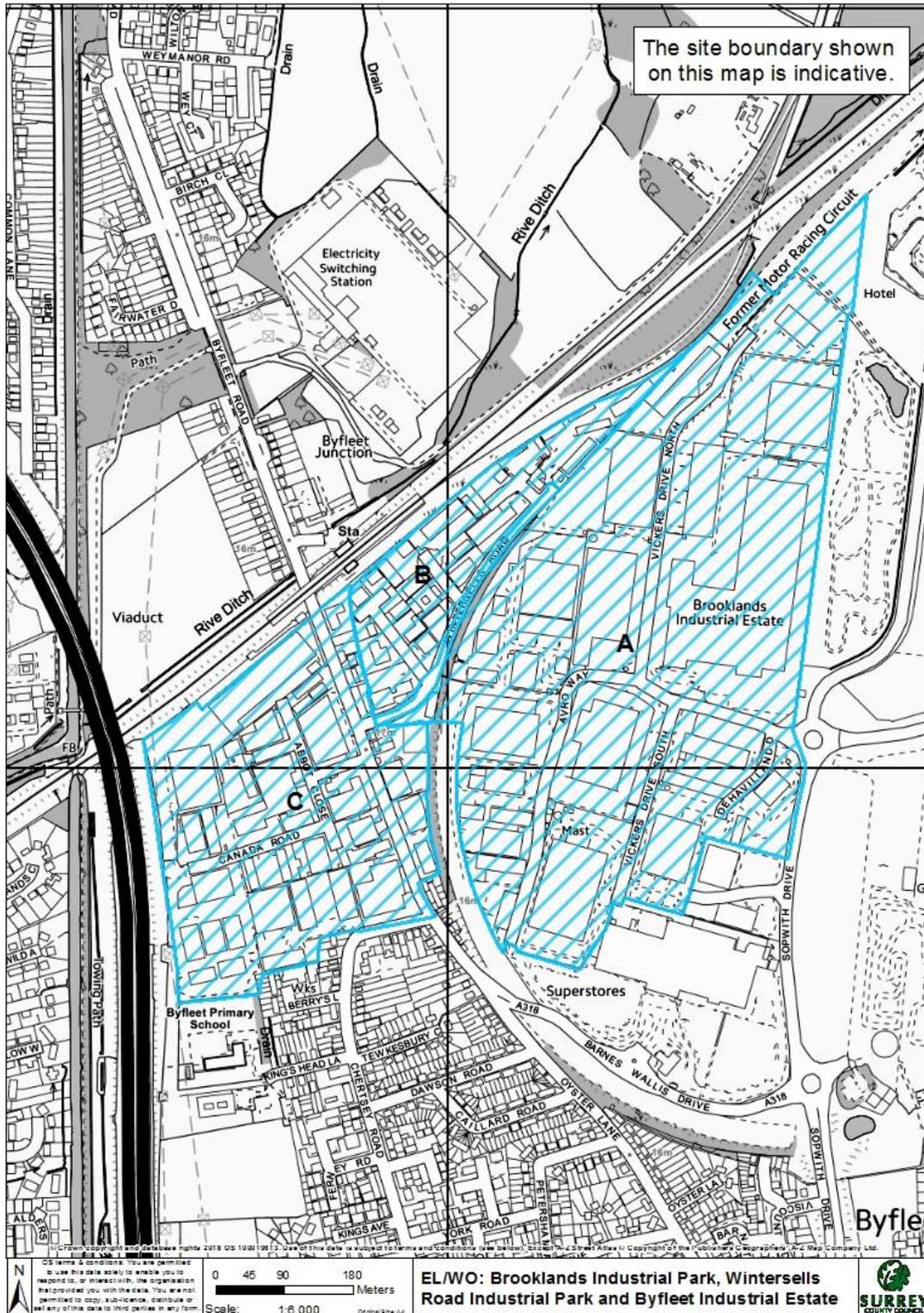
- 3.3.1 It should be noted that some impacts on the environment and amenity, in particular effects on air, land and water, are subject to control by regulatory regimes other than the planning system (e.g. the Environmental Permit regime and local environmental health controls).
- 3.3.2 Before waste management development can take place authorisation may also be required from the Environment Agency in the form of an Environmental Permit which will control emissions to air, land and water.

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<sup>4</sup> The 'Local List for the validation of county planning applications' identifies the information that the County Planning Authority will normally require to be able to register, assess and determine a planning application. It is available on the county council's website.

## 4 Industrial Land Areas of Search

### 4.1 Brooklands Industrial Park, Wintersells Road Industrial Park and Byfleet Industrial Estate



**Brooklands Industrial Park, Wintersells Road Industrial Park & Byfleet Industrial Estate, Byfleet**

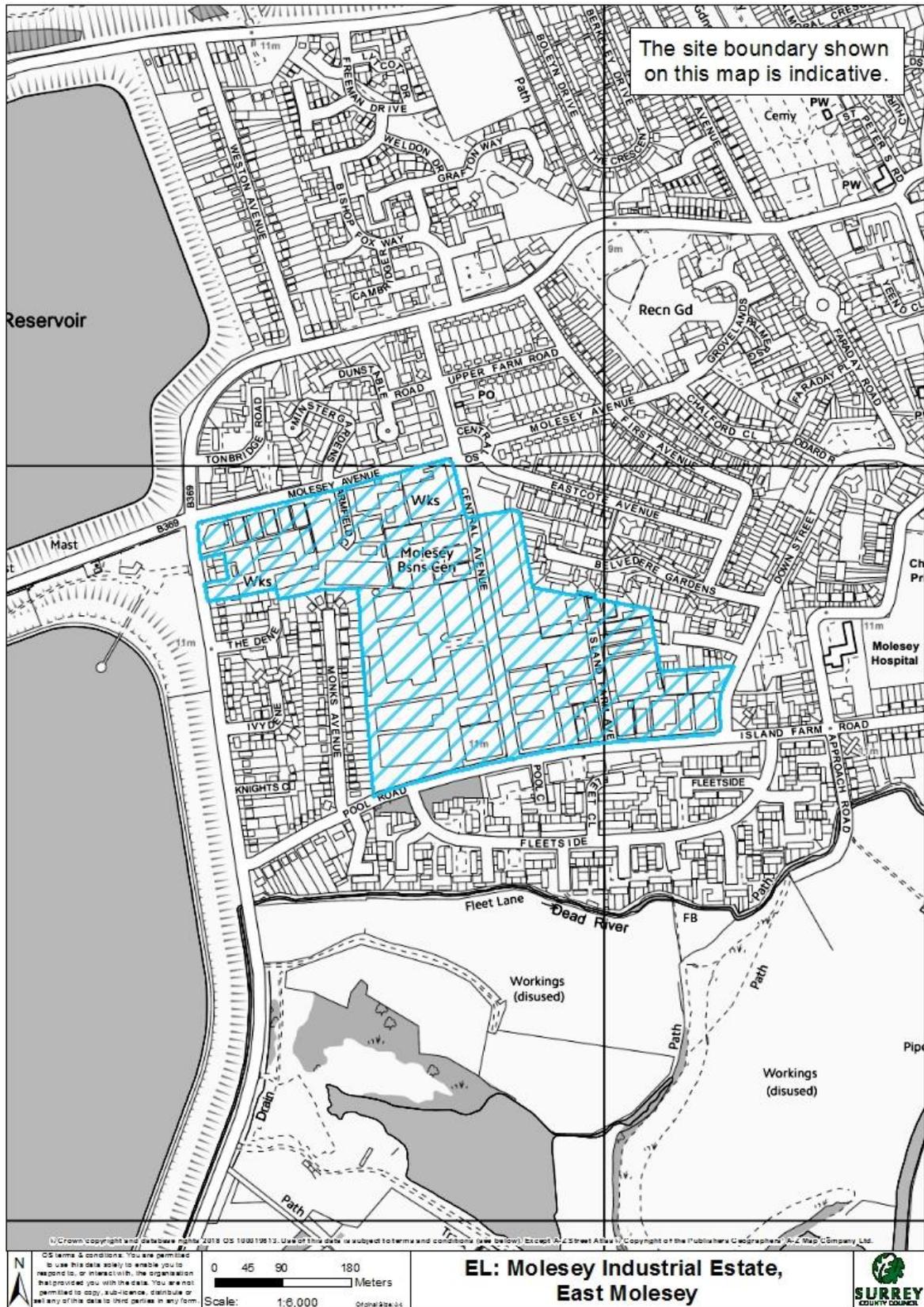
This area comprises three distinct but adjoining industrial estates: Area A – Brooklands Industrial Estate, Elmbridge Borough 31.0 ha; Area B - Wintersells Road Industrial Park, Elmbridge Borough 5.0ha; Area C - Byfleet Industrial Estate, Woking Borough 13.3ha

Description	The area comprises three established industrial estates located to the north of Byfleet. The northern boundary is formed by the London Waterloo to Woking and the southwest rail line, the eastern boundary is formed by the M25 motorway and to the south is a retail superstore and primary school and a residential area. To the east is the former Brooklands Airfield.
Area A Current Uses	Currently the estates comprise B2/B8 uses with a waste use in Unit 10 of Area B.

**Key environmental sensitivities:**

Heritage	There are 2 Scheduled Monuments (Brooklands racing circuit & aerodrome; St George’s Hill multivallate hillfort) within 2.5 km, of which the Brooklands SM adjoins Area A and Area B. There is 1 Grade II* Listed Building within 1.0 km, and 3 Grade II Listed Buildings within 0.5 km. The closest Registered Parks & Gardens are the Grade II ‘Woburn Farm’ (2.4 km north) and the Grade II* ‘Royal Horticultural Society’s Gardens, Wisley’ (2.5 km south). The ‘Brooklands’ Conservation Area covers the whole of Area A.
Nature Conservation	The Thames Basin Heaths SPA is 2.3 km south east, the South West London Waterbodies SPA and Ramsar Site is 5.8 km north west, and the Thursley, Ash, Pirbright & Chobham SAC is 6.1 km north west. The Basingstoke Canal SSSI is 1.1 km west, and the Ockham & Wisley Commons SSSI is 2.3 km south east. The Chobham Common NNR is 6.1 km north west, and the Ockham & Wisley LNR is 2.3 km south east. There are 13 SNCIs within 2.5 km, and 4 areas of Ancient Woodland within 0.5 km.
Flood Risk	Area A is subject to a combination of Zone 3 (>1.0% AEP), and Zone 2 (0.1% to 1.0% AEP) fluvial flood risk.
Air Quality	The Runnymede M25 AQMA is 0.02 km north west, and the Weybridge AQMA is 2.3 km north east.

### 4.2 Molesey Industrial Estate, East Molesey



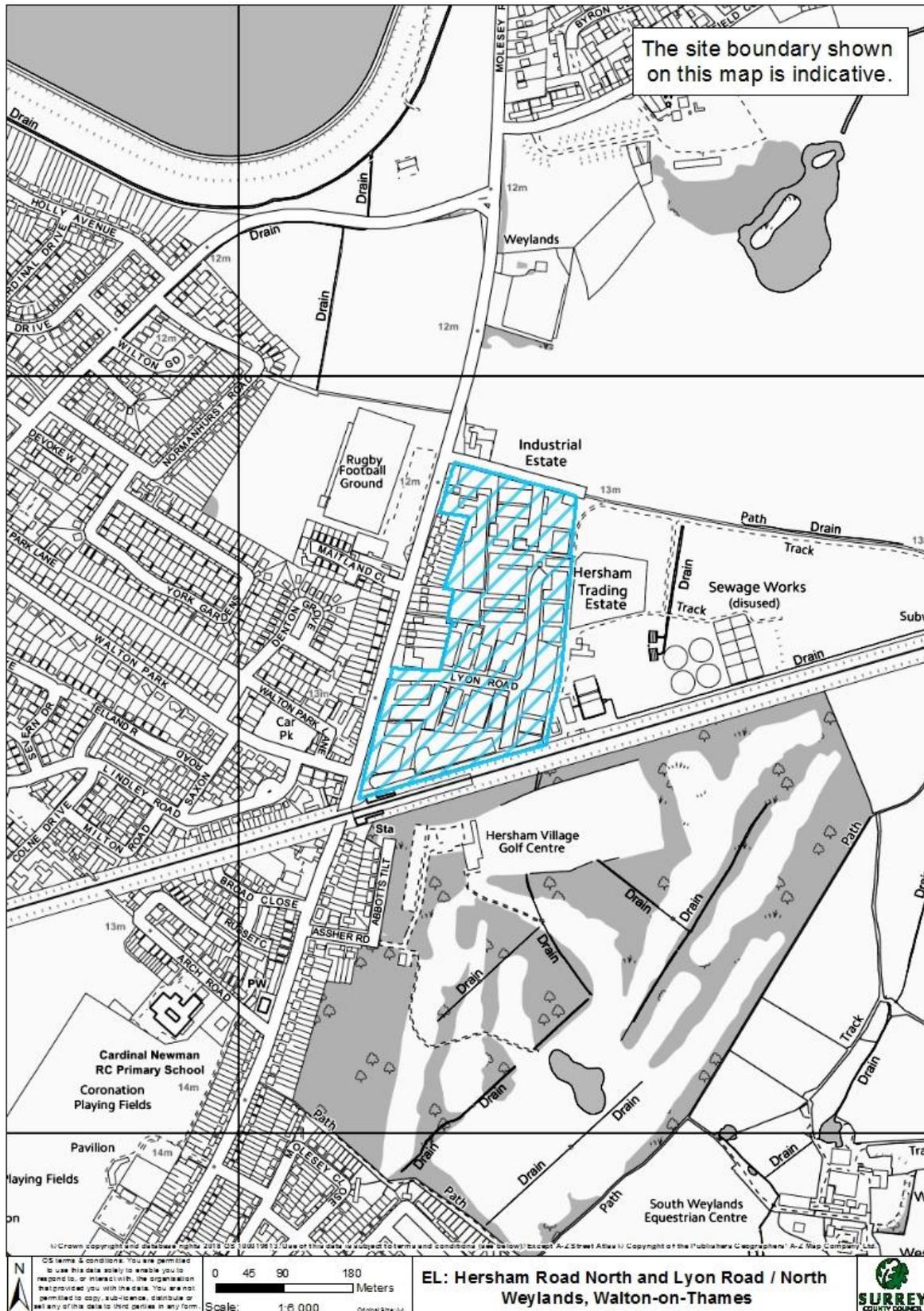
**Molesey Industrial Estate, East Molesey**

Area	15.0 ha
Description	The area is an established industrial estate located in West Molesey. The area accessed via Walton Road (B369) which connects to Hurst Road (A3050). The area can also be accessed via Central Avenue and Molesey Avenue. To the west of the area is the Queen Elizabeth II Reservoir. The surrounding area contains mainly residential uses.
Current Uses	Currently the site has B2/B8 uses. There are no waste uses on area.

**Key environmental sensitivities:**

Heritage	<p>There is 1 Scheduled Monument (Hampton Court Palace) within 2.5 km.</p> <p>There are 2 Grade II Listed Buildings within 0.5 km.</p> <p>The closest Registered Park &amp; Gardens are the Grade I 'Bushy Park' (2.3 km north east), the Grade I 'Hampton Court' (2.4 km north east), and the Grade II* 'Hampton Court House' (2.4 km north east).</p> <p>The East Molesey Old Village Conservation Area is 1.3 km east.</p>
Nature Conservation	<p>The South West London SPA and Ramsar Site is 0.03 km west, the Richmond Park SAC is 6.7 km north east, and the Wimbledon Common SAC is 8.9 km north east, and the Thames Basin Heaths SPA is 9.6 km south west.</p> <p>The Knight &amp; Bessborough Reservoirs SSSI is 0.03 km west, and the Bushy Park &amp; Home Park SSSI is 2.25 km north east.</p> <p>The Ashted Common NNR is 8.4 km south east and the Molesey Heath LNR is 0.2 km south.</p> <p>There are 10 SNCIs located within 2.5 km, and no areas of Ancient Woodlands within 0.5 km.</p>
Flood Risk	The area is subject to a combination of Zone 3 (>1.0% AEP), Zone 2 (0.1% to 1.0% AEP), and Zone 1 (<0.1% AEP) fluvial flood risk.
Air Quality	The Walton Road, Molesey AQMA is 0.07 km north.

### 4.3 Hersham Road North and Lyon Road / North Weylands, Walton-on-Thames



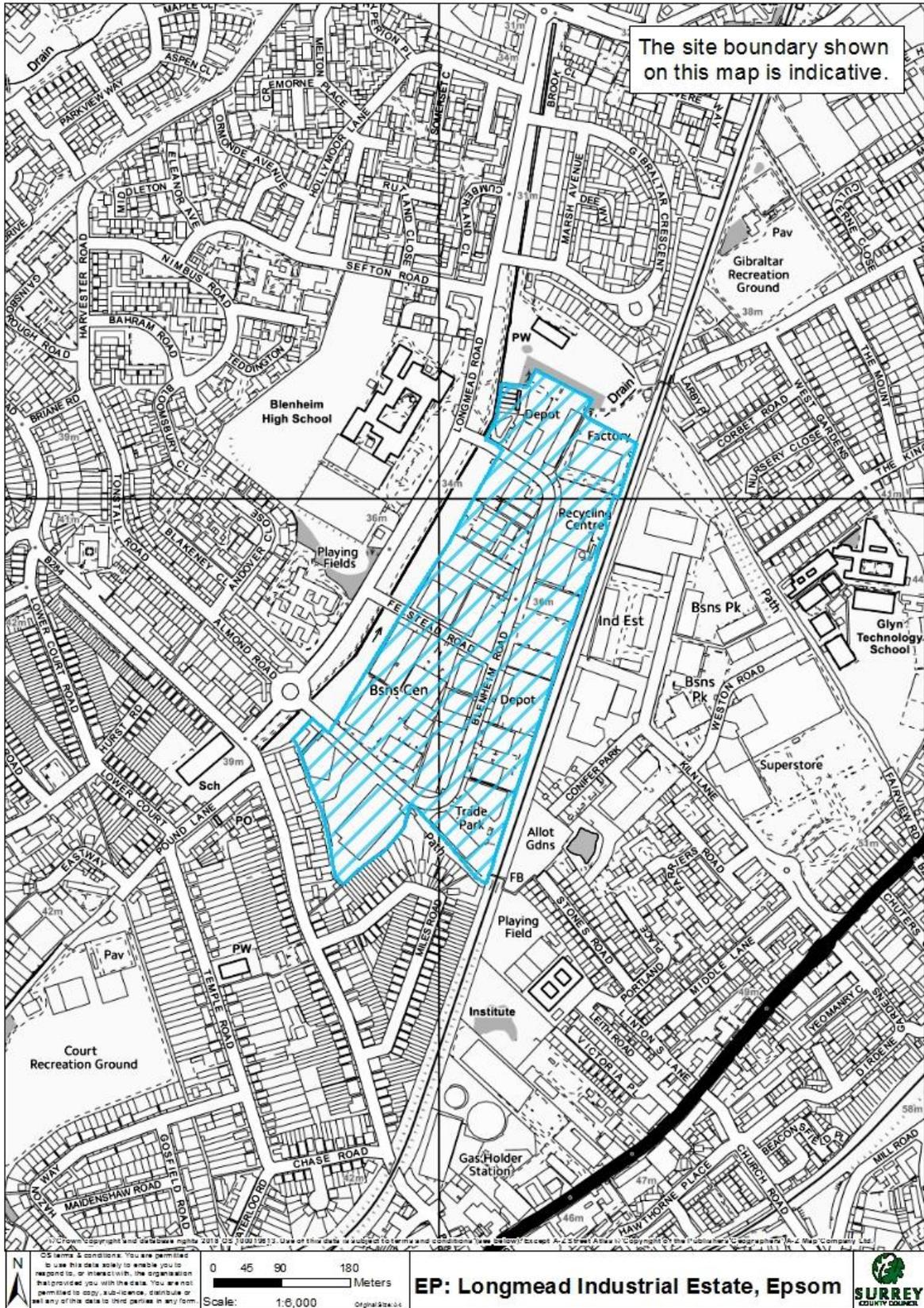
**Hersham Road North & Lyon Road / North Weylands, Walton-on-Thames**

Area	7.2 ha
Description	The area is located on the eastern edge of Walton-on-Thames and the northern edge of Hersham. The area is bordered to the north by the open land of Field Common Farm, a restored former mineral working, and to the south by a rail line with Hersham Golf Club beyond. To the west is residential development, and to the east the area of the former Weylands Treatment Works and the River Mole. The area is an established industrial and trading estate.
Current Uses	The area is occupied by B1/B2/B8 uses.

**Key environmental sensitivities:**

Heritage	There are 2 Scheduled Monuments (White Lady Milestone; The Belvedere, Claremont) within 2.5 km. There is 1 Grade I Listed Building within 1.0 km, and no Grade II Listed Buildings within 0.5 km. The closest Registered Park & Garden is the Grade I 'Claremont' (1.99 km south). The 'Esher' Conservation Area is 1.36 km to the south east.
Nature Conservation	The South West London Waterbodies SPA and Ramsar Site is 1.9 km north, the Thames Basin Heaths SPA is 6.9 km south, and the Richmond Park SAC is 8.2 km north east. The Esher Commons SSSI is 1.71 km south, and the Knight & Bessborough Reservoirs SSSI is 1.9 km north. Ashted Common NNR is 7.1 km south east, and the Molesey Heath LNR is 1.2 km north east. There are 5 SNCIs within 2.5 km, and no areas of Ancient Woodland within 0.5 km.
Flood Risk	The area is classed as Zone 1 (<0.1% AEP) for fluvial flood risk.
Air Quality	The Esher High Street AQMA is 1.49 km south east.

### 4.4 Longmead Industrial Estate, Epsom



**Longmead Industrial Estate, Epsom**

Area	14.0 ha
Description	The area is located off Blenheim Road, to the south west of Ewell town centre and the north east of Epsom town centre. The area is bounded to the north, south and west by industrial units and to the east by a rail line, and further industrial units. Commercial waste vehicles access the area via Roy Richmond Road from Longmead Road (D2266), and domestic customers access the area via Blenheim Road from Longmead Road, which links to the A24 to the south and north.
Current Uses	The area is occupied by B1/B2/B8 uses.

**Key environmental sensitivities:**

Heritage	<p>There are 3 Scheduled Monuments (Ewell Old Church Tower; Site of Nonsuch Palace &amp; Cuddington Medieval Settlement; Castle Hill Earthwork, Chessington) within 2.5 km.</p> <p>There are 4 Grade II* Listed Buildings within 1.0 km, and 10 Grade II Listed Buildings within 0.5 km.</p> <p>The closest Registered Park &amp; Garden is the Grade II 'Nonsuch' (1.3 km north east).</p> <p>The 'Ewell Village' Conservation Area is 0.1 km north, and the 'Linton Lane' Conservation Area is 0.2 km south east.</p>
Nature Conservation	<p>The Mole Gap to Reigate Escarpment SAC is 7.25 km south, the Richmond Park SAC is 8.5 km north west, and the Wimbledon Common SAC is 8.6 km north.</p> <p>The Stones Road Pond SSSI is 0.08 km south, and the Epsom &amp; Ashted Commons SSSI is 1.5 km south west.</p> <p>The Ashted Common NNR is 2.7 km south west, the Hogsmill LNR is 1.1 km north, and the Epsom Common LNR is 1.2 km south west.</p> <p>There are 8 SNCIs within 2.5 km, and no areas of Ancient Woodland within 0.5 km.</p>
Flood Risk	The area is subject to a combination of Zone 3 (>1.0% AEP), Zone 2 (0.1% to 1.0% AEP), and Zone 1 (<0.1% AEP) fluvial flood risk.
Water Quality	The southern part of the area is underlain by an SPZ1 (Inner Protection Zone) designation.
Air Quality	The Ewell High Street AQMA is 0.9 km north east.



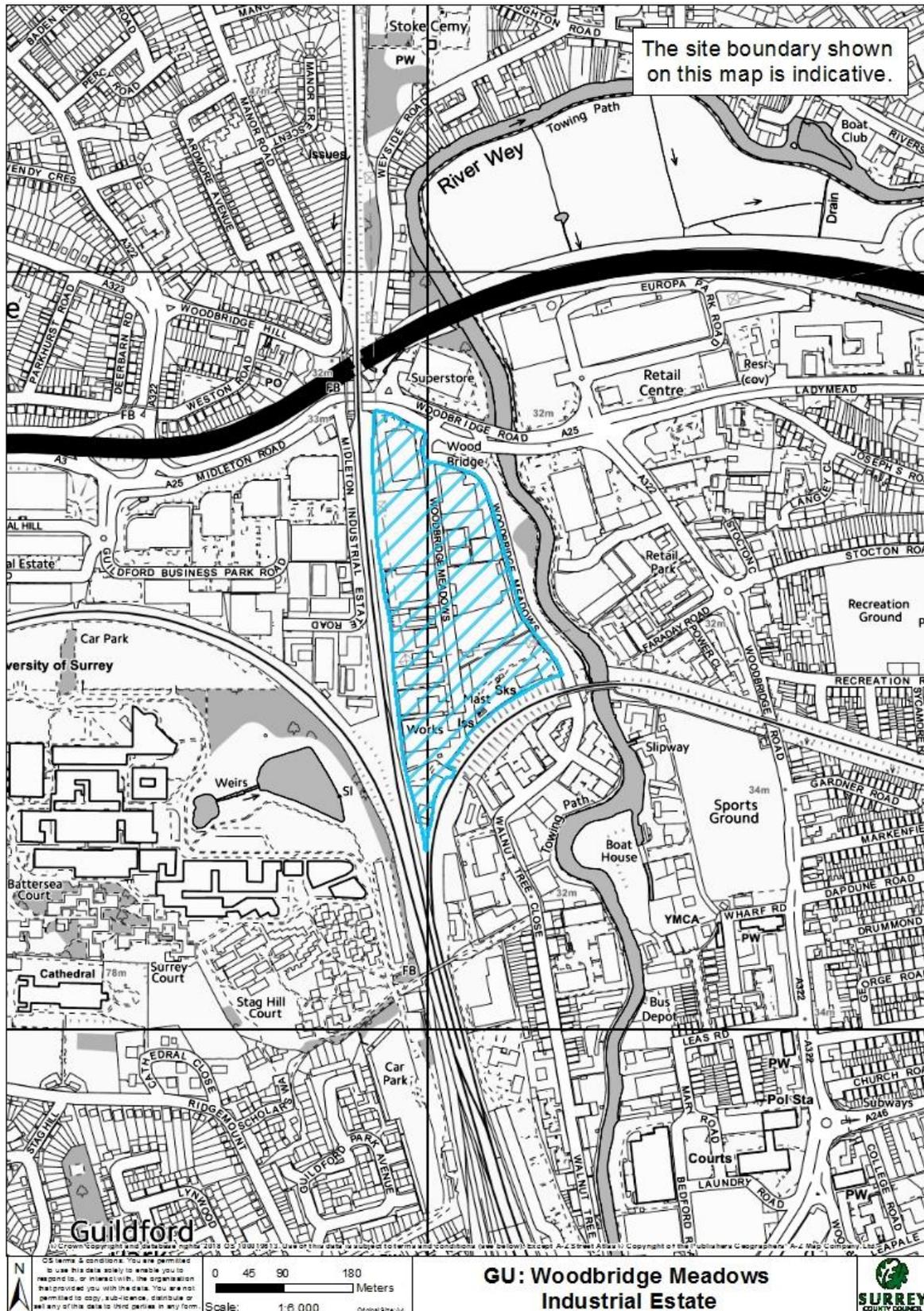
**Slyfield Industrial Estate**

Area	39.0 ha
Description	The area is an established industrial and trading estate located to the north east of Guildford. To the north and east the area is bounded by undeveloped land including the floodplain of the River Wey, with residential development situated to the north west beyond an area of open land, and further residential development immediately to the south. To the north east the area adjoins a site allocated for waste related development under Policy WD2 of the adopted Surrey Waste Plan, and proposed for continued allocation under Policy 11 of the emerging Surrey Waste Local Plan (2018-2033). The area is accessed from the west, from the A320 (Woking Road).
Current Uses	The area is occupied by B1/B2/B8 uses.

**Key environmental sensitivities:**

Heritage	There are 3 Scheduled Monuments (Linear boundary on Whitmoor Common; Disc barrow on Whitmoor Common; Site of Old Manor House, Sutton Park) within 2.5 km. There are 4 Grade II Listed Buildings within 0.5 km. The closest Registered Park & Garden is the Grade II* 'Sutton Place' (0.8 km north). The 'Wey & Godalming Navigations' Conservation Area is 0.2 km east.
Nature Conservation	The Thames Basin Heaths SPA is 0.8 km north west, and the Thursley, Ash, Pirbright & Chobham SAC is 4.2 km north west. The Whitmoor Common SSSI is 0.8 km north west. The Chobham Common NNR is 10.4 km north west, the Riverside Park LNR is 0.14 km east, and the Whitmoor & Rickford Commons LNR is 0.9 km north west. There are 13 SNCIs within 2.5 km, and 1 area of Ancient Woodland within 0.5 km.
Landscape	The Surrey Hills AONB is 2.5 km south.
Flood Risk	The area is classed as Zone 1 (<0.1% AEP) for fluvial flood risk.
Water Quality	The area is underlain by SPZ2 (Outer Protection Zone) and SPZ3 (Total Catchment) designations.

4.6 Woodbridge Meadows Industrial Estate



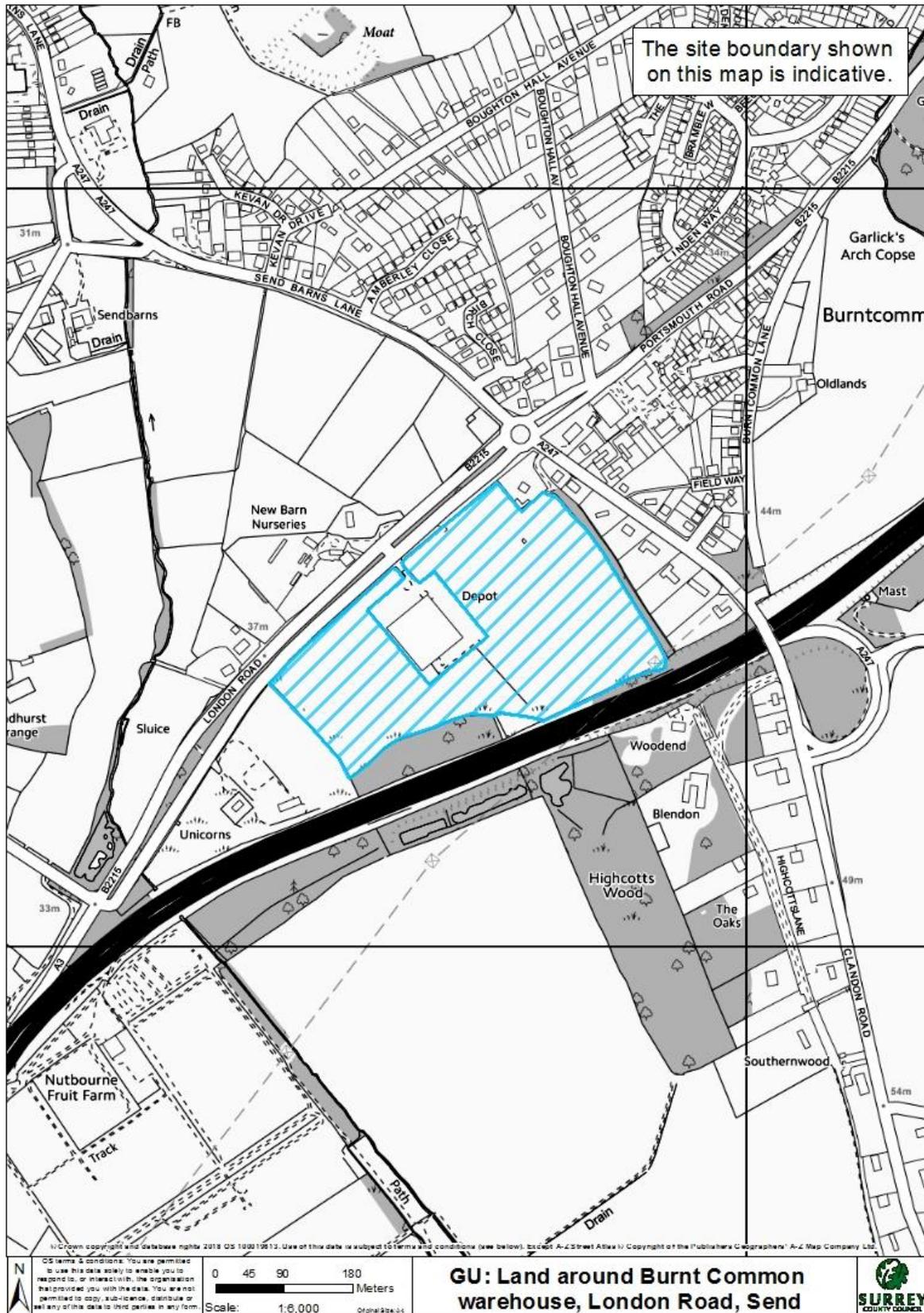
**Woodbridge Meadows**

Area	8.7 ha
Description	The area is an established industrial estate and trading estate located to the north of Guildford town centre. To the west of the area, beyond a rail line, is the Midleton Industrial Estate, and to the east, beyond the River Wey, are the industrial and trading estates on Woodbridge Road. To the south the area is bounded by a rail line, and to the north by the A25, with University of Surrey campus located to the south west. The area is accessed from Woodbridge Meadow (D4003), which links to the A25 (Midleton Road/Woodbridge Road/Ladymead) to the north.
Current Uses	The area is occupied by B1/B2 uses.

**Key environmental sensitivities:**

Heritage	<p>There are 6 Scheduled Monuments (Treadwheel Crane; Medieval undercroft 50-52 High Street; Medieval undercroft 72-74 High Street; Guildford Castle; Henley Fort; Guildford Park Manor Medieval moated site) within 2.5 km.</p> <p>There are 4 Grade II* Listed Buildings within 1.0 km, and 5 Grade II Listed Buildings within 0.5 km.</p> <p>The closest Registered Park &amp; Garden is the Grade II 'The Jellicoe Roof Garden, Guildford', 1.0 km south east.</p> <p>The 'Wey &amp; Godalming Navigations' Conservation Area lies immediately to the east.</p>
Nature Conservation	<p>The Thames Basin Heaths SPA is 2.2 km north, the Thursley, Ash, Pirbright &amp; Chobham SAC is 5.0 km north west, and the Thursley, Hankley &amp; Frensham Commons (Wealden Heaths Phase 1) SPA is 9.7 km south west.</p> <p>The Whitmoor Common SSSI is 2.2 km north, and the Wey Valley Meadows SSSI is 2.25 km south.</p> <p>The Thursley NNR is 10.9 km south west, and the Riverside Park LNR is 0.8 km north.</p> <p>There are 9 SNCIs within 2.5 km, and no areas of Ancient Woodland within 0.5 km.</p>
Landscape	The Surrey Hills AONB is 1.3 km south west, and the Surrey AGLV is 1.1 km south west.
Flood Risk	The area is subject to a combination of Zone 3 (>1.0% AEP), Zone 2 (0.1% to 1.0% AEP) and Zone 1 (<0.1% AEP) fluvial flood risk.
Water Quality	The area is underlain by SPZ1 (Inner Protection Zone) and SPZ2 (Outer Protection Zone) designations.

4.7 Land at Burnt Common warehouse, London Road, Send



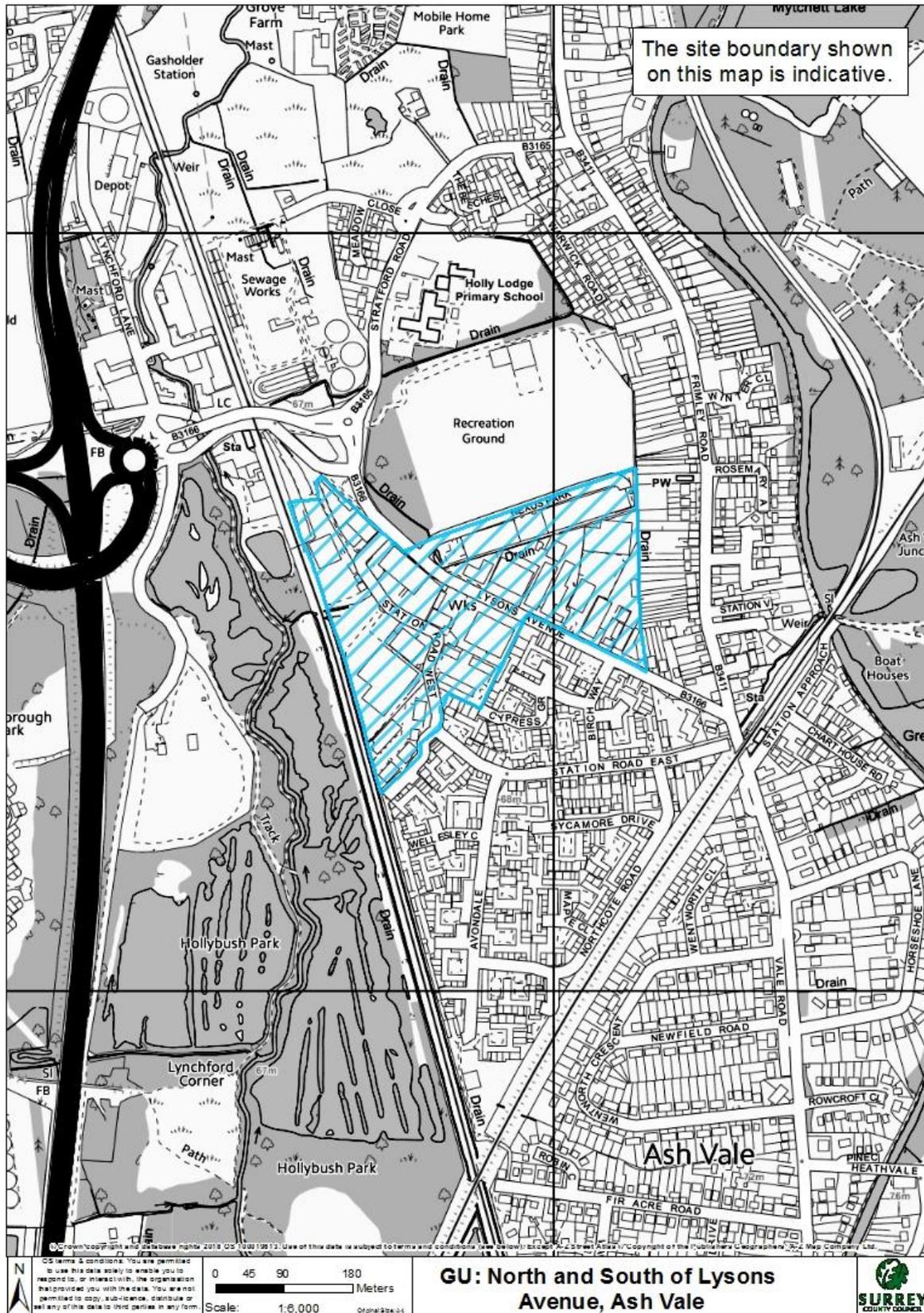
**Land around Burnt Common Warehouse, London Road, Send**

Area	9.3 ha
Description	This area is located between the A3 dual carriageway and London Road (old A3 slip road) at Burnt Common, Send in Surrey. There is a currently an existing industrial building located in the centre of the land. There are residential properties to the north east of the area. The Guildford Borough Council Submission Local Plan proposes that once developed, the new employment land at Burnt Common would be treated as an Industrial Strategic Employment Site.
Current Uses	The area is occupied by B1/B2 uses.

**Key environmental sensitivities:**

Heritage	<p>There is 1 Scheduled Monument (Medieval moated site &amp; earlier earthwork, Boughton Hall) within 2.5 km.</p> <p>There is 1 Grade II Listed Building within 0.5 km.</p> <p>The closest Registered Park &amp; Garden is the Grade II* 'Sutton Place' (1.7 km south west).</p> <p>The 'Wey &amp; Godalming Navigations' Conservation Area is 1.4 km south west, and the 'Sutton Place' Conservation Area is 1.4 km south west.</p>
Nature Conservation	<p>The Thames Basin Heaths SPA is 3.6 km west, and the Thursley, Ash, Pirbright &amp; Chobham SAC is 7.5 km west.</p> <p>The Papercourt SSSI is 1.2 km north.</p> <p>The Chobham Common NNR is 9.6 km north west, and the Riverside Park LNR is 2.9 km south west.</p> <p>There are 15 SNCIs within 2.5 km, and 6 areas of Ancient Woodland within 0.5 km including 1 that adjoins the area (for which a minimum buffer of 15m would be required).</p>
Flood Risk	The area is classed as Zone 1 (<0.1% AEP) fluvial flood risk.

4.8 North and South of Lysons Avenue, Ash Vale



**North & South of Lysons Avenue, Ash Vale**

Area	7.0 ha approx.
Description	The area is comprised of land in existing industrial use situated on the northern and southern sides of Lysons Avenue in Ash Vale. An established waste transfer station is situated in the north western part of the area. To the north is an area of open land in recreational use, with a school beyond, whilst to the east and south are areas of residential development. To the west the area is bounded by open land, and the floodplain of the Blackwater river. The area is accessed from Lysons Avenue (B3166), which links to the A331 to the west.
Current Uses	The area is occupied by B1/B2 uses, including an existing waste use.

**Key environmental considerations:**

Heritage	<p>There are 2 Scheduled Monuments (Bowl barrow on the Cokadobby Hill roundabout; Bowl barrow in Albert Road) within 2.5 km.</p> <p>There are no Grade I or II* Listed Buildings within 1.0 km, and no Grade II Listed Buildings within 0.5km.</p> <p>The closest Registered Park &amp; Garden is the Grade II* 'Military Cemetery, Aldershot' (2.1 km south west).</p> <p>The 'Basingstoke Canal' Conservation Area is 0.2 km east.</p>
Nature Conservation	<p>The Thames Basin Heaths SPA is 0.4 km east, the Thursley, Ash, Pirbright &amp; Chobham SAC is 0.4 km east, and the Thursley, Hankley &amp; Frensham Commons (Wealden Heaths Phase 1) SPA is 9.7 km south.</p> <p>The Basingstoke Canal SSSI is 0.2 km east, and the Ash to Brookwood Heaths SSSI is 0.4 km east.</p> <p>The Thursley NNR is 11.95 km south, and the Snaky Lane LNR is 0.4 km north.</p> <p>There are 7 SNCIs within 2.5 km, and no areas of Ancient Woodland within 0.5 km.</p>
Flood Risk	The area is subject to a combination of Zone 2 (0.1% to 1.0% AEP) and Zone 1 (<0.1% AEP) fluvial flood risk.



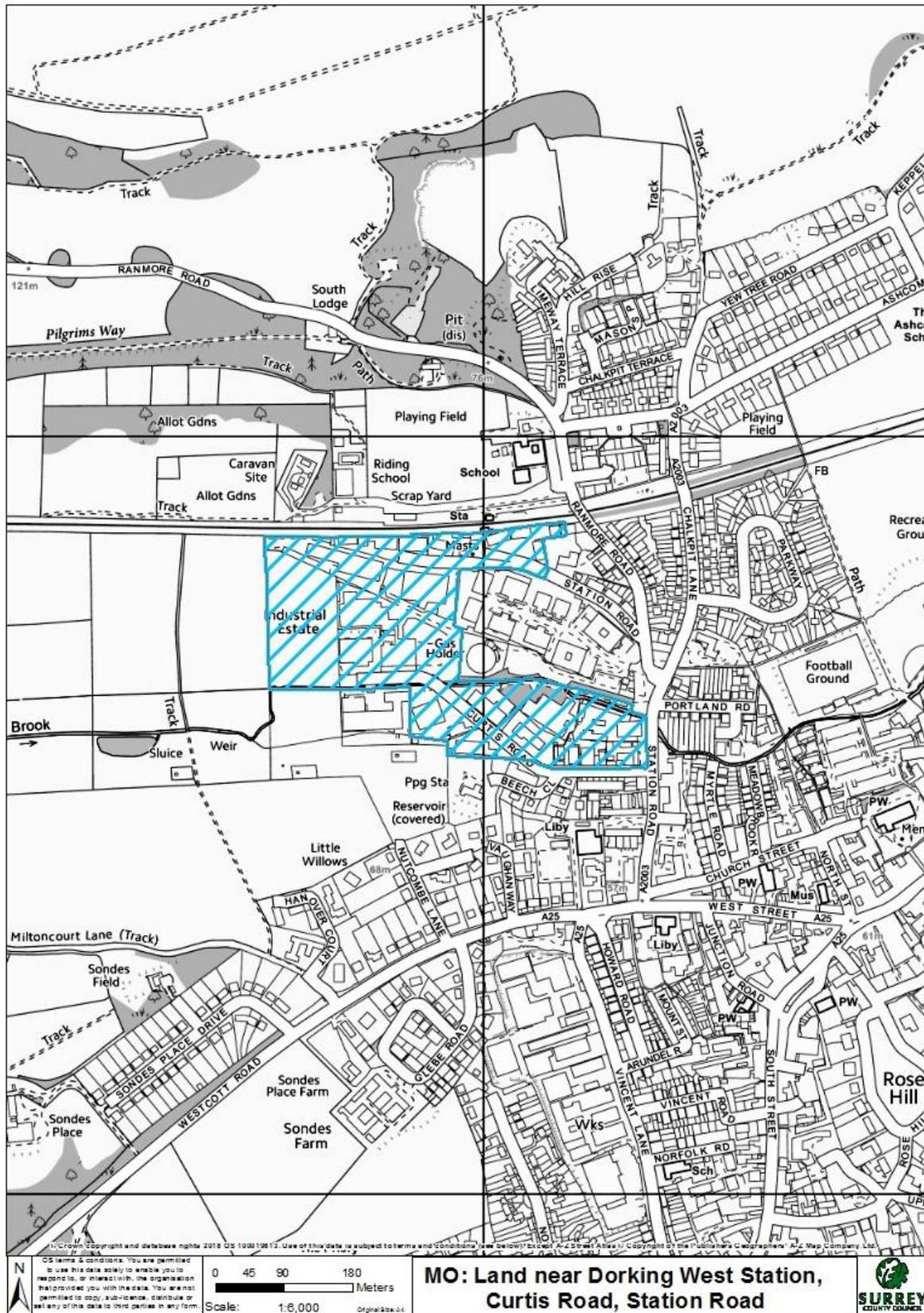
**Riverway Industrial Estate, Astolat Business Park & Weyvern Park, Peasmarsh**

Area	7.0 ha approx.
Description	The area is comprised of three industrial and trading estates, located to the south of Guildford and the north of Godalming on the eastern side of the Old Portsmouth Road (A3100). Residential development is located immediately to the north of the area, with open land to the west, south and east. The River Wey Navigation forms the eastern boundary of the area, with the River Wey beyond.
Current Uses	The area is occupied by B1/B2/B8 uses.

**Key environmental sensitivities:**

Heritage	There is 1 Scheduled Monument (St Catherine’s Chapel) within 2.5 km. There are 2 Grade II* Listed Buildings within 1.0 km, and 7 Grade II Listed Buildings within 0.5 km. The closest Registered Park & Garden is the Grade II* ‘Orchards’ (2.5 km south). The ‘Wey & Godalming Navigations’ Conservation Area lies immediately to the east.
Nature Conservation	The Thames Basin Heaths SPA is 6.8 km north, the Thursley, Ash, Pirbright & Chobham SAC is 6.6 km south west, the Thursley, Hankley & Frensham Commons (Wealden Heaths Phase 1) SPA is 6.6 km south west, and the Thursley & Ockley Bogs Ramsar Site is 8.2 km south west. The Wey Valley Meadows SSSI is 0.01 km east. The Thursley NNR is 7.6 km south west, and the Chinthurst Hill LNR is 1.8 km east. There are 16 SNCIs within 2.5 km, and no areas of Ancient Woodland within 0.5 km.
Landscape	The Surrey Hills AONB is 0.2 km west, and the area lies within the Surrey AGLV.
Flood Risk	The area is subject to a combination of Zone 3 (>1.0% AEP), Zone 2 (0.1% to 1.0% AEP) and Zone 1 (<0.1% AEP) fluvial flood risk.

4.10 Land near Dorking West Station – Curtis Road, Station Road



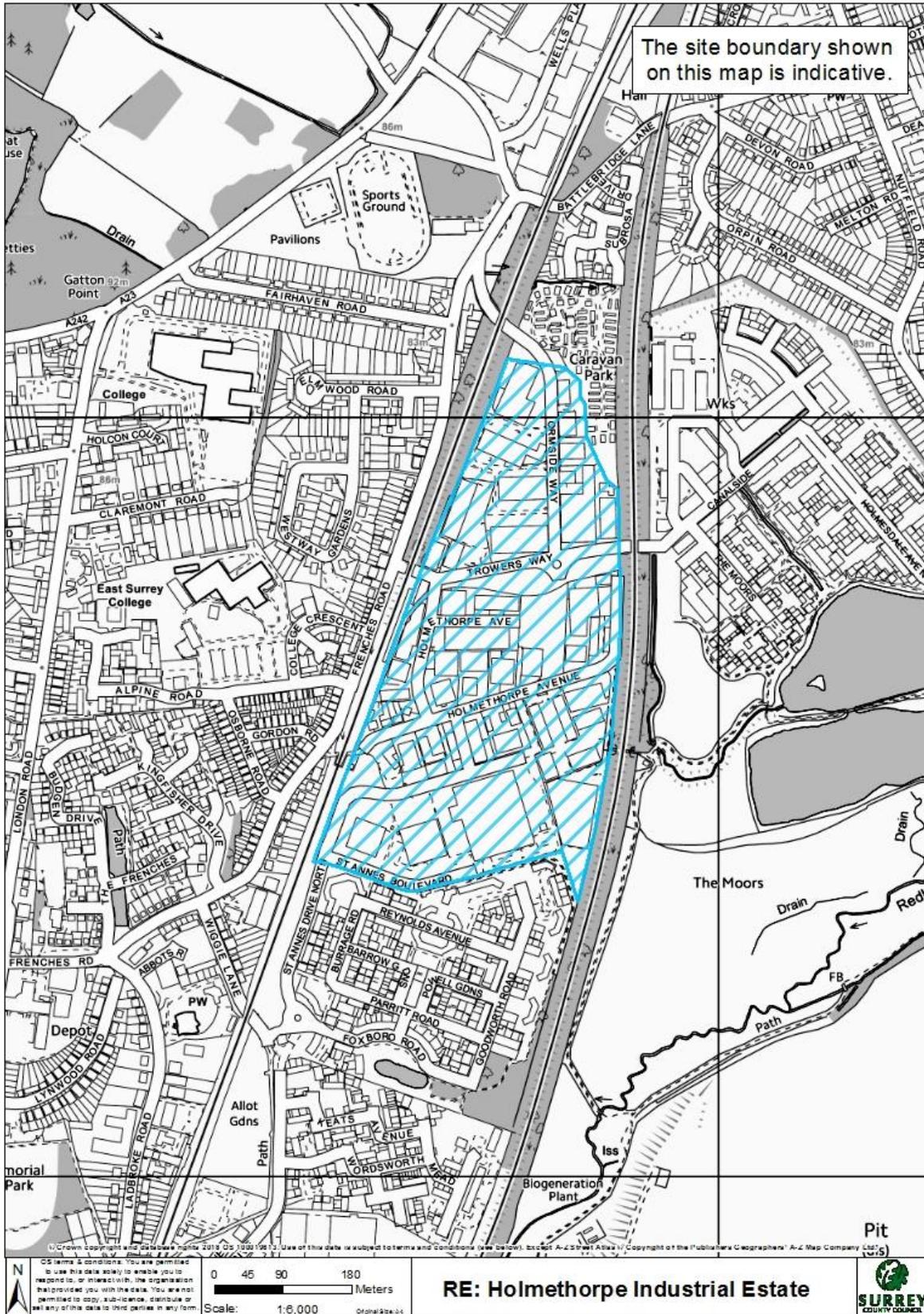
**Land near Dorking West Station – Curtis Road, Station Road, Dorking**

Area	8.6 ha
Description	The area is comprised of a number of industrial estates and business parks located in the west of Dorking, off Curtis Road, Station Road and Ranmore Road. To the north is a rail line, beyond which are a mix of land uses including industrial units, allotments, and equestrian centre and a primary school, to the west and south west is open land in agricultural use, and to the east and south east are areas of predominantly residential development. The area is accessed from the A2003 (Station Road), which links to the A25 (Westcott Road) to the south and to the A24 to the east.
Current Uses	The site is occupied by B2/B8 uses.

**Key environmental sensitivities:**

Heritage	<p>There are 5 Scheduled Monuments (Bowl barrow on Milton Heath; Bowl barrow in the Glory Wood; West Humble Chapel; Box Hill Fort; Bowl barrow on Box Hill) within 2.5 km.</p> <p>There are 4 Grade II* Listed Buildings within 1.0 km, and 86 Grade II Listed Buildings within 0.5 km.</p> <p>The closest Registered Park &amp; Garden is the Grade II* 'The Deepdene (including Chart Park)' (0.9 km south east).</p> <p>The 'Dorking' Conservation Area is 0.03 km south.</p>
Nature Conservation	<p>The Mole Gap to Reigate Escarpment SAC is 1.7 km north east.</p> <p>The Hackhurst &amp; White Downs SSSI is 0.4 km north west, the Ranmore Common SSSI is 1.0 km north east, and the Mole Gap to Reigate Escarpment SAC is 1.7 km north east.</p> <p>The Ashtead Common NNR is 9.1 km north, and the Inholm's Claypit LNR is 2.6 km south east.</p> <p>There are 6 SNCIs within 2.5 km, and no areas of Ancient Woodland within 0.5 km.</p>
Landscape	The Surrey Hills AONB is 0.03 km north, and the Surrey AGLV is 0.03 km north.
Flood Risk	The area is subject to a combination of Zone 3 (>1.0% AEP), Zone 2 (0.1% to 1.0% AEP) and Zone 1 (<0.1% AEP) fluvial flood risk.
Water Quality	The area is underlain by SPZ1 (Inner Protection Zone) and SPZ2 (Outer Protection Zone) designations.

### 4.11 Holmethorpe Industrial Estate, Redhill



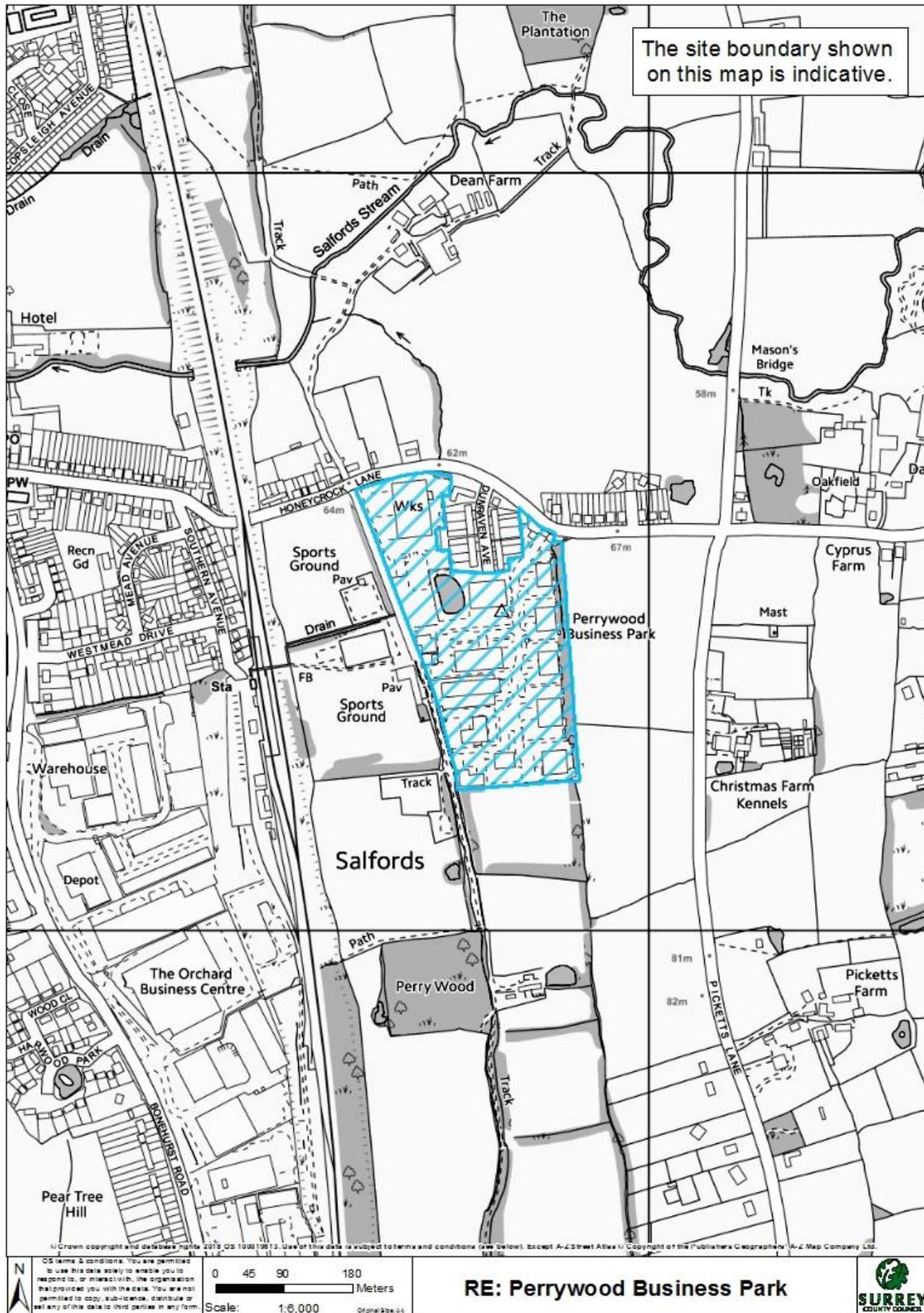
**Holmethorpe Industrial Estate, Redhill**

Area	18.0 ha
Description	The area is an established industrial and trading estate located in the north east of Redhill. The area is bounded to the north, south, west and north east by areas of residential development, and to the south west by an area of open land that has been restored for nature conservation following mineral working. The area is accessed from the west off Frenches Road, which links to the A23 to the south west and north west.
Current Uses	The area is occupied by B1/B8 uses.

**Key environmental sensitivities:**

Heritage	There are 3 Scheduled Monuments (Medieval moated site, Albury Farm; Earthworks of Surrey Iron Railway; Alderstead Fort) within 2.5 km. There are 4 Grade II Listed Buildings within 0.5 km. The closest Registered Park & Garden is the Grade II 'Lower Gatton Park' (0.4 km north west). The 'Redstone Hill, Redhill' Conservation Area is 0.9 km south.
Nature Conservation	The Mole Gap to Reigate Escarpment SAC is 2.5 km west. The Mole Gap to Reigate Escarpment SSSI is 1.6 km west. The Ashtead Common NNR is 12.2 km north west, and the Earlswood Common LNR is 2.3 km south west. There are 5 SNCIs within 2.5 km, and 1 area of Ancient Woodland within 0.5 km.
Landscape	The Surrey Hills AONB is 0.4 km north west, and the Surrey AGLV is 0.4 km north west.
Flood Risk	The area is subject to a combination of Zone 3 (>1.0% AEP), Zone 2 (0.1% to 1.0% AEP) and Zone 1 (<0.1% AEP) fluvial flood risk.
Air Quality	The 'Redhill' AQMA is 0.7 km south west.

### 4.12 Perrywood Business Park



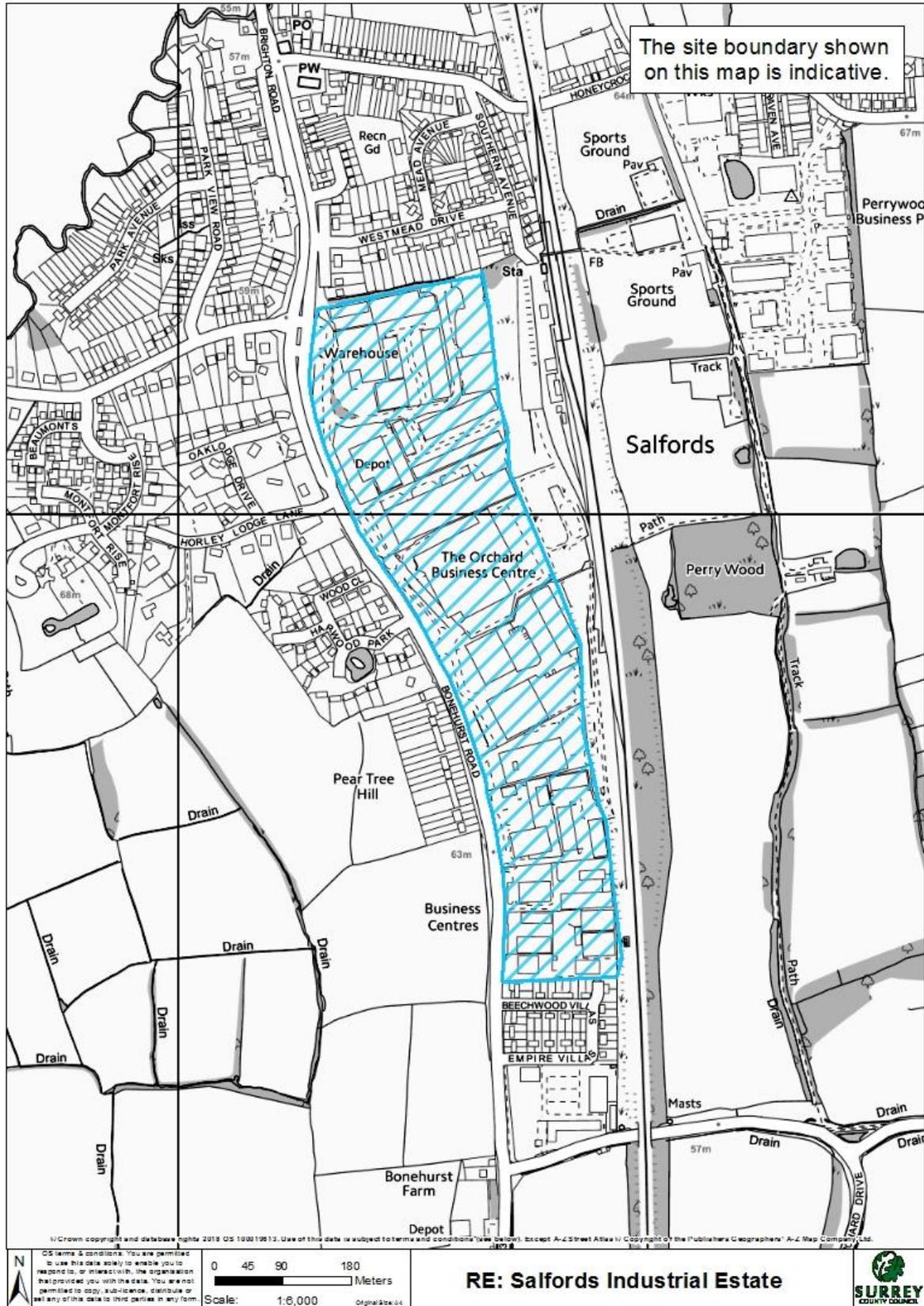
**Perrywood Business Park, Salfords**

Area	6.9 ha
Description	The area is an established business and industrial park located to the east of Salfords, in a rural setting. The area is bounded to the south, east and south west by agricultural land, and to the west by land used for recreational purposes, with residential properties located to the north. The area is accessed from the north, off Honeycrook Lane, which links to the A23 (Bonehurst Road) to the west.
Current Uses	The area is occupied by B1/B2/B8 uses.

**Key environmental sensitivities:**

Heritage	There is 1 Scheduled Monument (Medieval / post-Medieval tannery, Scotchman’s Copse) within 2.5 km. There are 7 Grade II Listed Buildings within 0.5 km. The closest Registered Park & Garden is the Grade II ‘Reigate Priory’ (4.3 km north west). The ‘Cross Oak Lane, Salfords’ Conservation Area is 1.1 km south east.
Nature Conservation	The Mole Gap to Reigate Escarpment SAC is 5.9 km north west. The Reigate Heath SSSI at 5.6 km north west, is the closest such designation. The Ashtead Common NNR is 16.2 km north west, and the Earlswood Common LNR is 2.1 km north west. There are 12 SNCIs within 2.5 km, and 1 area of Ancient Woodland within 0.5 km.
Flood Risk	The area is classed as Zone 1 (<0.1% AEP) fluvial flood risk.

4.13 Salfords Industrial Estate



**Salfords Industrial Estate, Brighton Road / Bonehurst Road, Salfords**

Area	22 ha
Description	Salfords Industrial Estate is the combination of several distinct estates and business centres along the A23. The area has a range of unit types and sizes which attracts a variety of different uses and occupiers. The area is located to the east of the A23 main road and the west of the Horley to Redhill main rail line in the settlement of Salfords. To the north, south and west the area is bounded by residential development, and to the east by open land and woodland, beyond the rail line. The area is accessed from the west, off the A23 (Brighton Road / Bonehurst Road).
Current Uses	The area is occupied by B1/B2/B8 uses.

**Key environmental sensitivities:**

Heritage	<p>There is 1 Scheduled Monument (Medieval / post-Medieval tannery, Scotchman’s Copse) within 2.5 km.</p> <p>There is 1 Grade II Listed Building within 0.5 km.</p> <p>The closest Registered Park &amp; Garden is the Grade II ‘Reigate Priory’ (4.2 km north west).</p> <p>The ‘Cross Oak Lane, Salfords’ Conservation Area is 1.0 km east.</p>
Nature Conservation	<p>The Mole Gap to Reigate Escarpment SAC is 6.1 km north west.</p> <p>The Reigate Heath SSSI at 5.4 km north west, is the closest such designation.</p> <p>The Ashtead Common NNR is 16.2 km north west, and the Earlswood Common LNR is 2.2 km north west.</p> <p>There are 12 SNCIs within 2.5 km, and 2 areas of Ancient Woodland within 0.5 km.</p>
Flood Risk	The area is classed as Zone 1 (<0.1% AEP) fluvial flood risk.



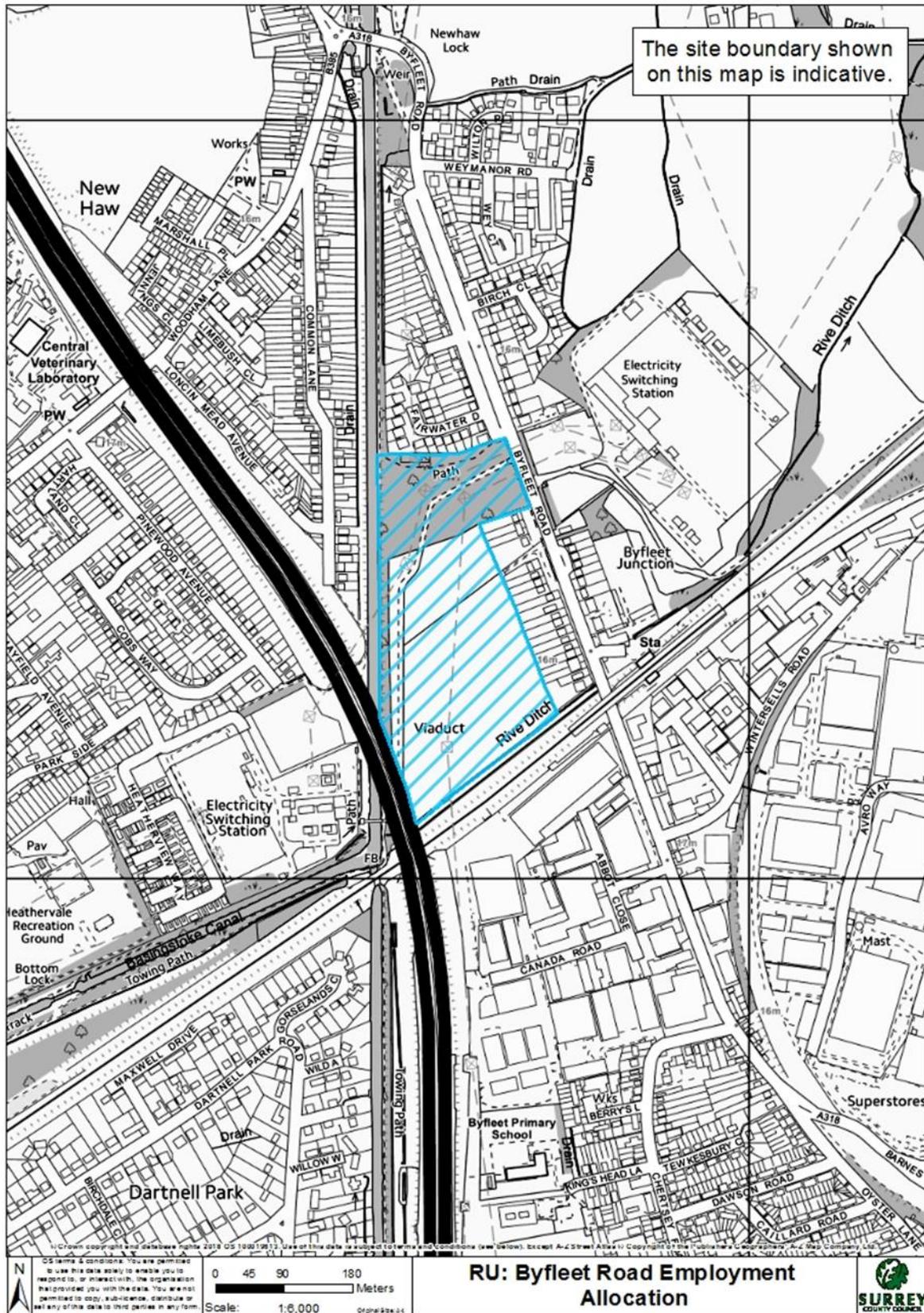
**Thorpe Industrial Estate, Ten Acre Lane, Egham**

Area	18.0 ha
Description	The area is an established industrial and trading estate located in a largely undeveloped area to the north of Thorpe, the south of Thorpe Lea and Egham Hythe, and the west of Staines-upon-Thames. The area is bounded to the north by open land with residential development beyond, to the west by a combination of fishing lakes and agricultural land, and to the east by open land with the Thorpe Hay Meadow SSSI beyond. To the south of the area are the closed former landfill sites of Coldharbour Lane and Norlands Lane, and a number of residential properties. The area is accessed from the west, off Thorpe Lea Road (B388), which links to the A308 and the A320 to the north east, and to the A320 to the south east.
Current Uses	The area is occupied by B2/B8 uses.

**Key environmental sensitivities:**

Heritage	There are 3 Scheduled Monuments (Univallate hillfort & 14th century chapel, St Ann’s Hill; Bronze Age settlement, Runnymede Bridge; Earthworks on Laleham Burway) within 2.5 km. There is 1 Grade I Listed Building and 4 Grade II* Listed Buildings within 1.0 km, and 3 Grade II Listed Buildings within 0.5 km. The closest Registered Park & Garden is the Grade II* ‘Great Fosters’ (0.4 km west). The ‘Thorpe’ Conservation Area is 0.1 km south.
Nature Conservation	The South West London Waterbodies SPA and Ramsar Site is 0.65 km south, the Windsor Forest & Great Park SAC is 4.8 km west, the Thames Basin Heaths SPA is 5.5 km south west, and the Thursley, Ash, Pirbright & Chobham SAC is 5.5 km south west. The Thorpe Hay Meadow SSSI is 0.4 km north east, the Thorpe Park No.1 Gravel Pit SSSI is 0.7 km south, and the Langham Pond SSSI is 2.4 km north west. The Chobham Common NNR is 5.5 km south west, and the Riverside Walk, Virginia Water LNR is 2.5 km south west. There are 14 SNCIs within 2.5 km, and 1 area of Ancient Woodland within 0.5 km.
Flood Risk	The area is subject to a combination Zone 2 (0.1% to 1.0% AEP) and Zone 1 (<0.1% AEP) fluvial flood risk.
Water Quality	The area is underlain by a SPZ3 (Total Catchment) designation.

4.15 Byfleet Road Employment Allocation



**Byfleet Road Employment Allocation, New Haw, Addlestone**

Area	7.9 ha
Description	The area has been proposed by Runnymede Borough Council in their 2030 Submission Local Plan as potentially suitable for industrial use. The area is comprised of undeveloped land situated to the north of the settlements of Byfleet and West Byfleet, to the east of New Haw and west of Addlestone Quarry. The area is bounded to the west by the route of the River Wey Navigation, and to the east and north by residential development, with the Rive Ditch and a rail line forming the southern perimeter. The area is accessed from the east off Byfleet Road (A318).
Current Uses	The area is currently undeveloped.

**Key environmental sensitivities:**

Heritage	<p>There is 1 Scheduled Monument (Brooklands racing circuit &amp; former aerodrome) within 2.5 km.</p> <p>There are no Grade I or II* Listed Buildings within 1.0 km, and no Grade II Listed Buildings within 0.5 km.</p> <p>The closest Registered Park &amp; Garden is the Grade II* 'Royal Horticultural Society Gardens, Wisley' (2.9 km south).</p> <p>The 'Wey Navigation' Conservation Area adjoins the area to the west.</p>
Nature Conservation	<p>The Thames Basin Heaths SPA is 2.9 km south east, the South West London Waterbodies SPA and Ramsar Site is 5.5 km north west, and the Thursley, Ash, Pirbright &amp; Chobham SAC is 6.0 km north west.</p> <p>The Basingstoke Canal is 1.1 km south west.</p> <p>The Chobham Common NNR is 6.0 km north west, and the Ockham &amp; Wisley LNR is 2.8 km south east.</p> <p>There are 13 SNCIs within 2.5 km, and 1 area of Ancient Woodland within 0.5 km.</p>
Flood Risk	The area is subject to a combination Zone 2 (0.1% to 1.0% AEP) and Zone 1 (<0.1% AEP) fluvial flood risk.
Air Quality	The Runnymede M25 AQMA is immediately west.



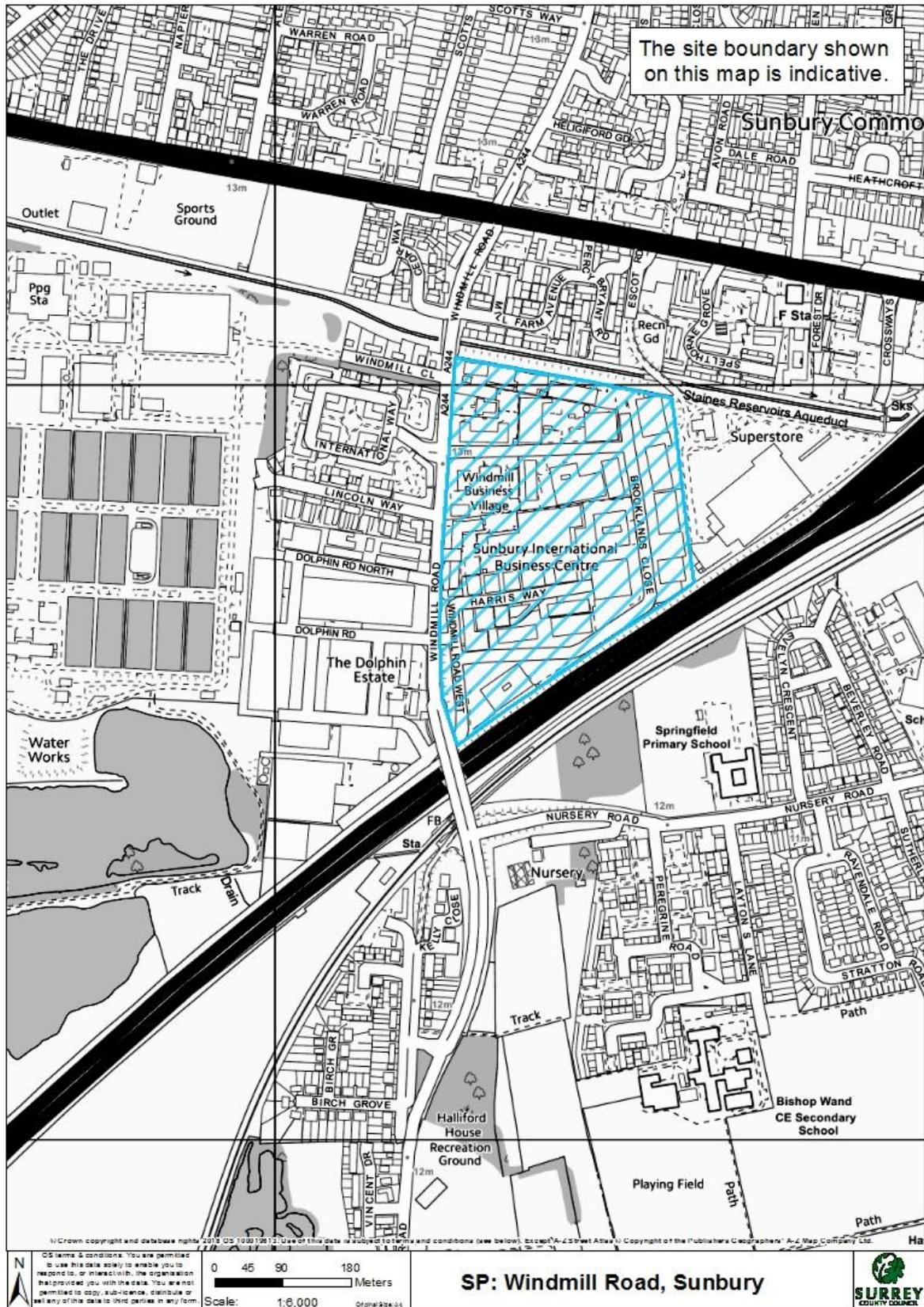
**York Town Industrial Estate, Doman Road and Stanhope Road**

Area	30.0 ha approx.
Description	The area is an established industrial and trading estate located in the north west of Camberley, close to the border with Hampshire. To the north of the area is the A30 (London Road), and to the immediate west is the A331 (Blackwater Valley Road) with the Blackwater River beyond. To the south are the Camberley sewage treatment works, further business and commercial development, and a rail line. To the east is residential development.
Current Uses	The site is occupied by B1/B2/B8 uses.

**Key environmental sensitivities:**

Heritage	The closest Scheduled Monument ('Bowl barrow on Hornley Common') is 2.9 km west. There is 1 Grade II* Listed Building within 1.0 km, and 20 Grade II Listed Buildings within 0.5 km. The closest Registered Park & Garden is the Grade II 'Minley Manor' is 0.6 km south west. The 'Royal Military Academy/Staff College/A30 London Road Frontage' Conservation Area is 0.05 km north.
Nature Conservation	The Thames Basin Heaths SPA is 0.6 km west and the Thursley, Ash, Pirbright & Chobham SAC is 4.4 km east. The Blackwater Valley SSSI is 0.1 km north west, the Castle Bottom to Yateley & Hawley Commons SSSI is 0.6 km west, and the Broadmoor to Bagshot Woods & Heaths SSSI is 1.35 km north east. The Castle Bottom NNR is 5.4 km west, and the Edgebarrow Woods LNR is 3.2 km north west. There are 6 SNCIs in Surrey within 2.5 km, and 2 areas of Ancient Woodland within 0.5 km.
Flood Risk	The area is subject to a combination of Zone 3 (>1.0% AEP), Zone 2 (0.1% to 1.0% AEP) and Zone 1 (<0.1% AEP) fluvial flood risk.
Air Quality	The Camberley M3 AQMA is 1.1 km south.

4.17 Windmill Road Industrial Area, Sunbury



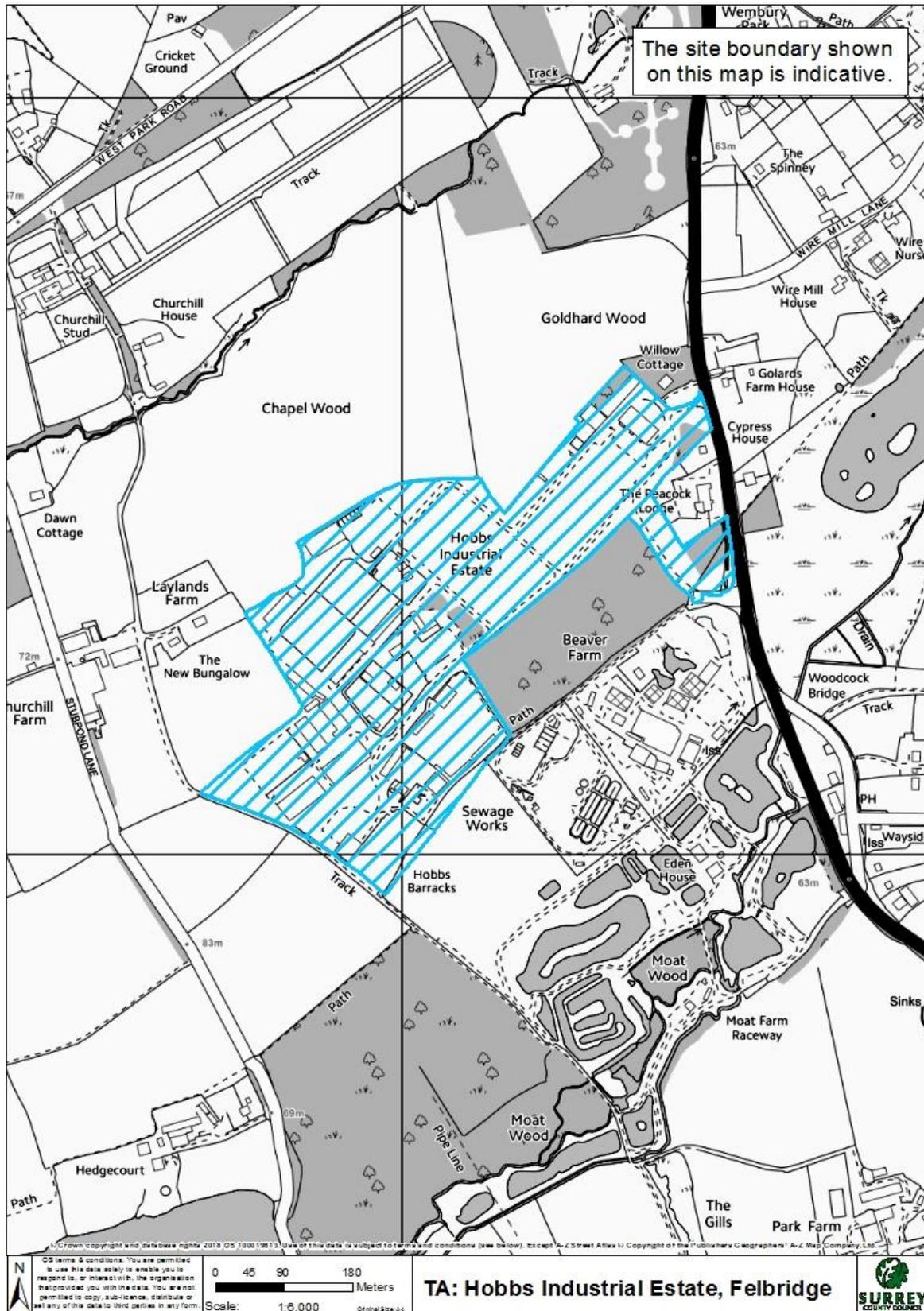
**Windmill Road Industrial Area, Sunbury on Thames**

Area	12.2 ha
Description	The area comprises of industrial and commercial development located to the west of Windmill Road (A244), to the south of its junction with the A308 (Staines Road West), and to the north of the M3 motorway. The area is located to the north west of Sunbury on Thames, and to the north east of Charlton.
Current Uses	The site is occupied by B2/B8 uses.

**Key environmental sensitivities:**

Heritage	<p>There are 2 Scheduled Monuments (Cloven Barrow, Sunbury; Kempton Park Pumping Station) within 2.5 km.</p> <p>There are no Grade I or II* Listed Buildings within 1.0 km, and no Grade II Listed Buildings within 0.5 km.</p> <p>The closest Registered Park &amp; Garden is the Grade II 'Oatlands' (3.7 km south).</p> <p>The 'Upper Halliford' Conservation Area is 1.25 km south.</p>
Nature Conservation	<p>The South West London Waterbodies SPA and Ramsar Site is 2.2 km north east, the Richmond Park SAC is 9.7 km east, and the Thames Basin Heaths SPA is 9.8 km south.</p> <p>The Kempton Park Reservoirs SSSI is 2.2 km north east, and the Dumsey Meadows SSSI is 4.35 km south west.</p> <p>The Chobham Common NNR is 11.2 km south west and the Chertsey Meads LNR is 4.2 km south west.</p> <p>There are 13 SNCIs within 2.5 km, and no areas of Ancient Woodland within 0.5 km.</p>
Flood Risk	The area is classed as Zone 1 (<0.1% AEP) fluvial flood risk.
Air Quality	The area is within the Spelthorne AQMA.

4.18 Hobbs Industrial Estate, Felbridge



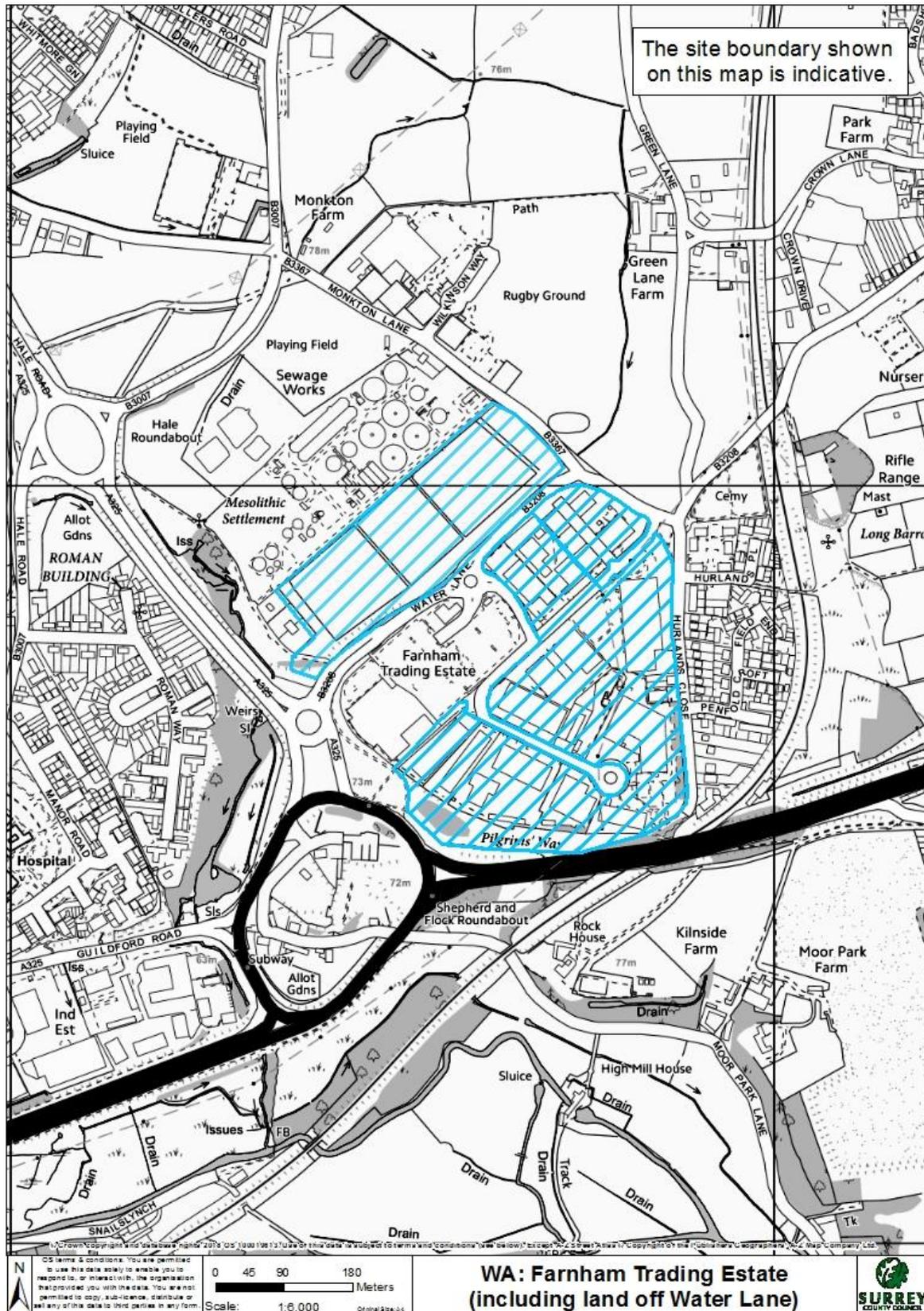
**Hobbs Industrial Estate, Eastbourne Road, Felbridge**

Area	18.2 ha
Description	The area is an established industrial estate located to the south of and the north of Felbridge, close to the boundary with West Sussex. The area is surrounded by agricultural land, horticultural development, woodlands, open waterbodies and a sewage treatment works which is located immediately to the south.
Current Uses	The area is occupied by B1/B2/B8 uses.

**Key environmental sensitivities:**

Heritage	There are 2 Scheduled Monuments (Moated site, Felbridge; Warren Furnace) within 2.5 km. There is 1 Grade II* Listed Building within 1.0 km, but no Grade II Listed Buildings within 0.5 km. The closest Registered Park & Garden is the Grade II 'Greathed Manor' 4.5 km east. The 'Lingfield (High Street / Gun Pond / Church Town)' Conservation Area is 2.9 km north east.
Nature Conservation	The Ashdown Forest SPA and the Ashdown Forest are 8.6 km south. The Hedgecourt SSSI is 0.30 km south. The Ashtead Common NNR is 24.9 km north west, and the Blindley Heath LNR is 2.9 km north. There are 2 SNCIs within 2.5 km, and 3 areas of Ancient Woodland within 0.5 km including 1 that lies within the perimeter of the area (for which a minimum buffer of 15m would be required).
Flood Risk	The area is classed as Zone 1 (<0.1% AEP) fluvial flood risk.

### 4.19 Farnham Trading Estate including land north of Water lane, Farnham



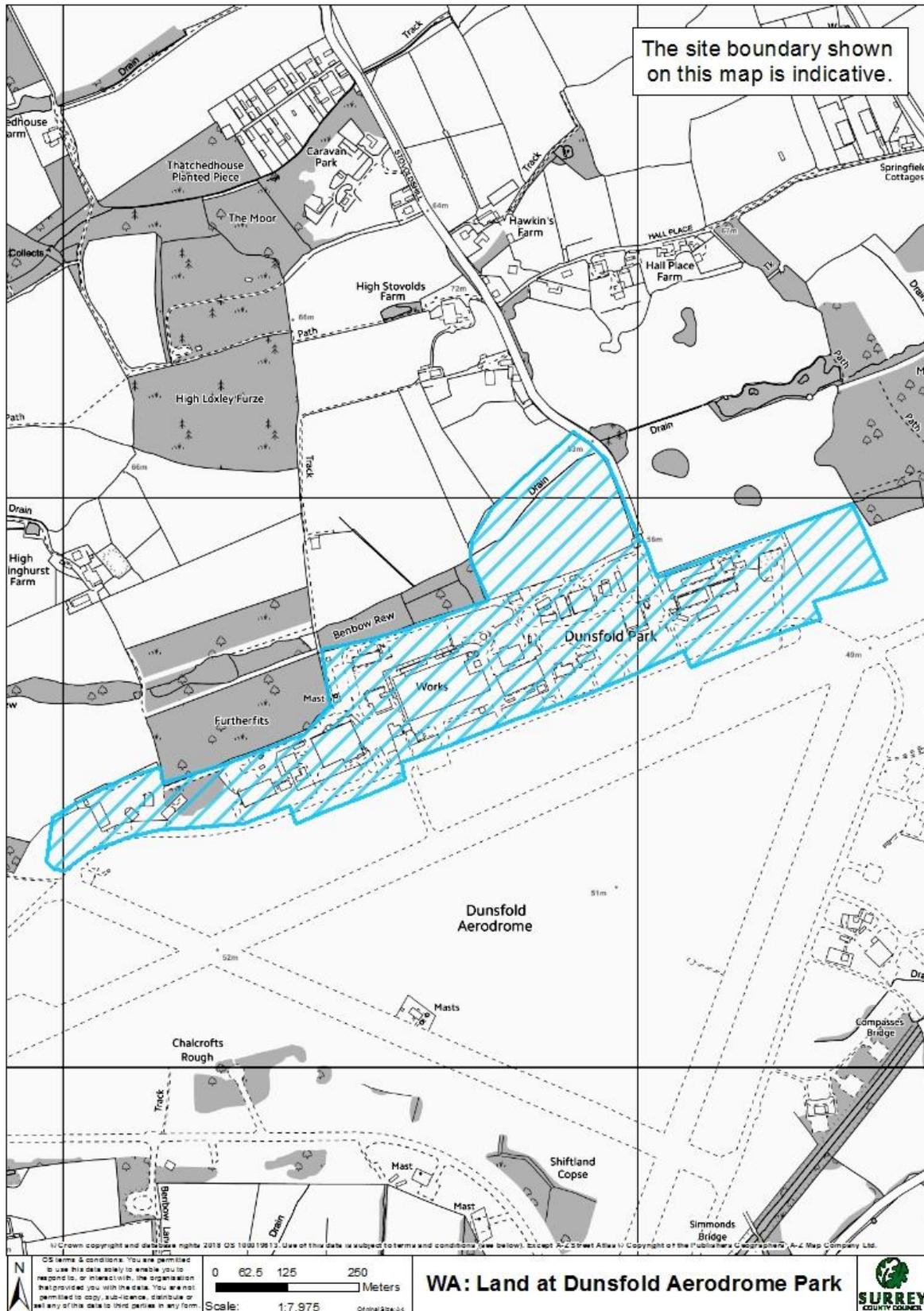
**Farnham Trading Estate (including land north of Water Lane), Water Lane, Farnham**

Area	16.2 ha
Description	This area is made up of an established trading estate and land which has been proposed by Waverley Borough Council as a suitable Strategic Employment Site in the Adopted Local Plan Part 1 (2018). The area is located to the north east of Farnham, immediately south of the Farnham sewage treatment works, and the north of the junction of the A31 and the A325. To the immediate east is an area of residential development.
Current Uses	B2/B8 uses are present in the established trading estate, and the undeveloped land to the north of Water Lane is currently retained operational land for sewage treatment works.

**Key environmental sensitivities:**

Heritage	There are 5 Scheduled Monuments (Roman Site, Roman Way Estate; Farnham Castle; Botany Hill Earthwork; Waverley Abbey; Soldiers Ring Hillfort) within 2.5 km. There is 1 Grade II* Listed Building within 1.0 km, and 7 Grade II Listed Building within 0.5 km. The closest Registered Park & Garden is the Grade II 'Farnham Park' (0.63 km west). The 'Farnham' Conservation Area is 1.5 km south west.
Nature Conservation	The Thames Basin Heaths SPA is 2.1 km north west, the Thursley, Ash, Pirbright & Chobham SAC is 4.8 km south, the Thursley, Hankley & Frensham Commons (Wealden Heaths Phase I) SPA is 4.8 km south, the Thursley & Ockley Bogs Ramsar Site is 6.9 km south east, the East Hampshire Hangers SAC is 9.5 km south west, and the Wealden Heaths Phase 2 SPA is 9.7 km south east. The Moor Park SSSI is 1.8 km south east, and the Bourley & Long Valley SSSI is 2.1 km north west. The Thursley NNR is 7.3 km south east, and the Weybourne LNR is 0.35 km north. There are 7 SNCIs within 2.5 km, and 2 areas of Ancient Woodland within 0.5 km.
Landscape	The Surrey Hills AONB is 0.9 km south east, and the Surrey AGLV is 0.1 km south.
Flood Risk	The area is classed as Zone 1 (<0.1% AEP) fluvial flood risk.
Water Quality	The northern part of the area is underlain by a SPZ3 (Total Catchment) designation.
Air Quality	The Farnham AQMA is 0.8 km south west.

4.20 Land at Dunsfold Park (As part of new settlement)



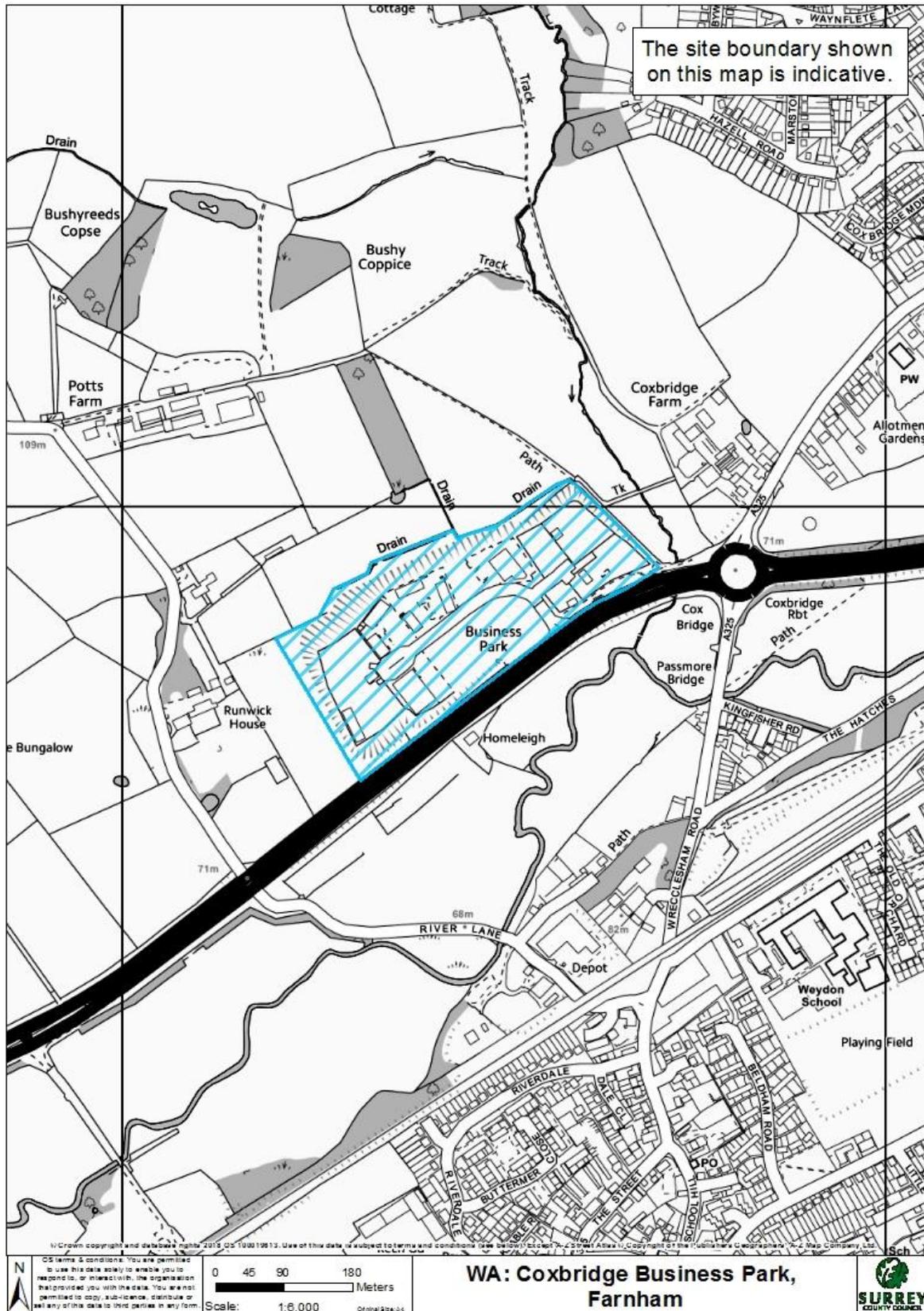
**Land at Dunsfold Aerodrome (As part of new settlement)**

Area	28 ha
Description	The area is situated within the northern part of a former airfield, now used for a range of industrial and commercial purposes, and located in a rural setting to the east of Dunsfold and the north west of Alfold Crossways. The area is bounded to the north by agricultural land, land in equestrian use, and woodland, and to the south by the open grassland, runways and taxiways of the former airfield. To the north west is an established solar farm, and to the east is further agricultural land. The area is accessed from the north from Stovolds Hill, which links to the A281 (Horsham Road) to the east.
Current Uses	The majority of the area is occupied by B1/B2/B8 uses, and also includes an anaerobic digestion (AD) facility.

**Key environmental sensitivities:**

Heritage	<p>There is 1 Scheduled Monument (Medieval moated site &amp; pillow mound, Wildwood Copse) within 2.5 km.</p> <p>There are 9 Grade II Listed Buildings within 0.5 km, including 2 within the area.</p> <p>The closest Registered Park &amp; Garden is the Grade II* 'Vann' (3.6 km north west).</p> <p>The 'Dunsfold' Conservation Area is 1.2 km west.</p>
Nature Conservation	<p>The Thursley, Hankley &amp; Frensham Commons (Wealden Heaths Phase 1) SPA is 8.7 km north west, the Thursley, Ash, Pirbright &amp; Chobham SAC is 8.7 km north west, and the Ebernoe Common SAC is 8.8 km south west.</p> <p>The Chiddingfold Forest SSSI is 1.1 km south west.</p> <p>The Ebernoe Common NNR is 9.8 km south west, and the Sayers Croft LNR is 5.8 km north east.</p> <p>There are 18 SNCIs within 2.5 km, and 10 areas of Ancient Woodland within 0.5 km including 2 that adjoin the area (for which a minimum buffer of 15m would be required).</p>
Landscape	The Surrey Hills AONB is 1.3 km north, and the Surrey AGLV adjoins the area to the north.
Flood Risk	The area is classed as Zone 1 (<0.1% AEP) fluvial flood risk.

4.21 Coxbridge Business Park, Farnham



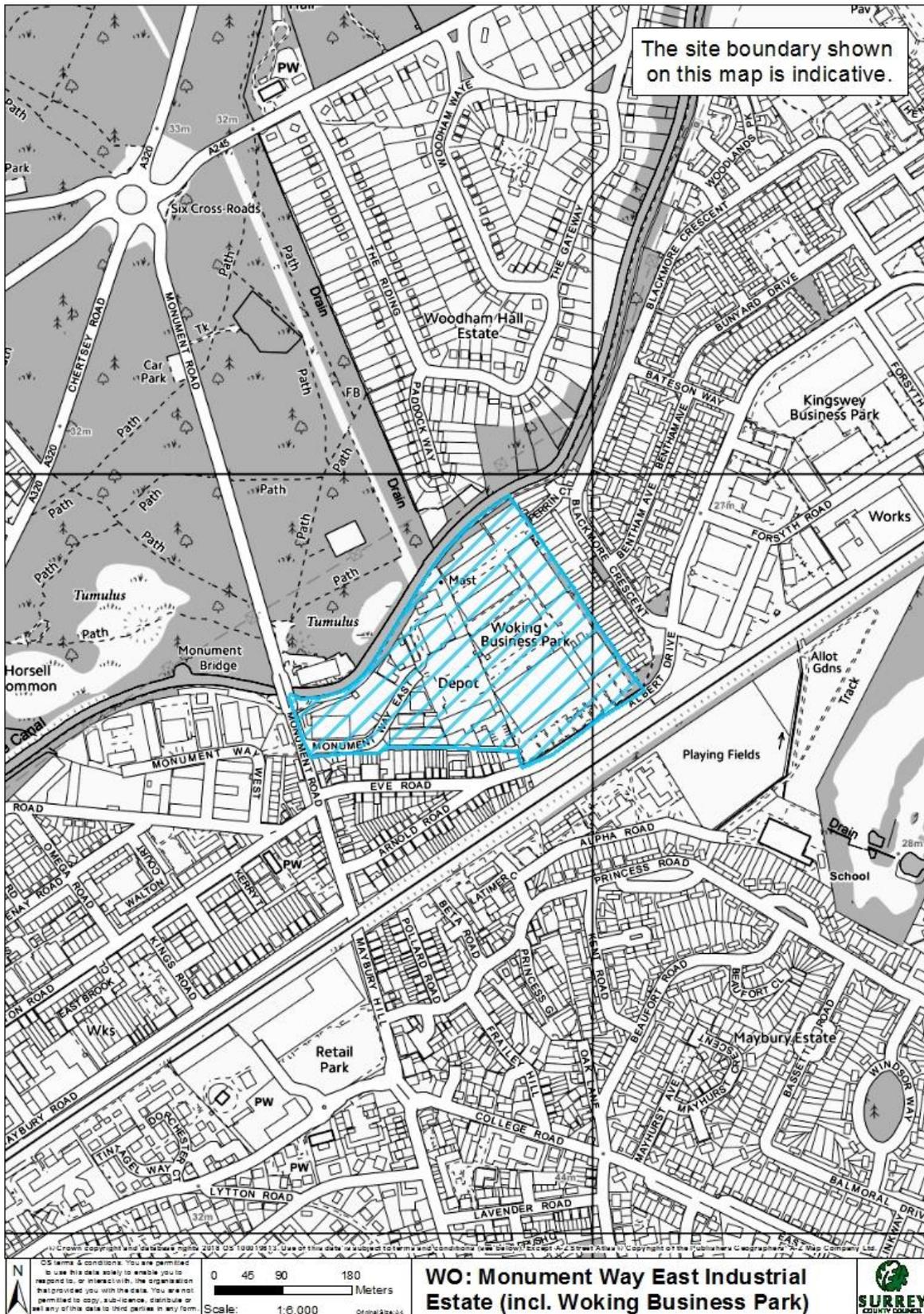
**Coxbridge Business Park, Farnham**

Area	7.7 ha
Description	The area is currently occupied by an established business and industrial park. The area is located in a rural setting to the west of Farnham and north of Wrecclesham, and is surrounded by agricultural land. The area is accessed from the south, direct from the A31 (Alton Road).
Current Uses	The area is occupied by B1/B2/B8 uses.

**Key environmental sensitivities:**

Heritage	There are 2 Scheduled Monuments (Powderham Castle; Farnham Castle) within 2.5 km. There are 5 Grade II Listed Buildings within 0.5 km. The closest Registered Park & Garden is the Grade II 'Farnham Park' (1.6 km north east). The 'Wrecclesham, Farnham' Conservation Area is 0.55 km south.
Nature Conservation	The Thames Basin Heaths SPA is 3.2 km north, the Thursley, Ash, Pirbright & Chobham SAC is 4.8 km south east, the Thursley, Hankley & Frensham Commons (Wealden Heaths Phase 1) SPA is 4.8 km south east, the East Hampshire Hangers SAC is 6.0 km south west, the Thursley & Ockley Bogs Ramsar Site is 8.6 km south east, and the Shortheath Common SAC is 9.4 km south west. The Bourley & Long Valley SSSI is 3.2 km north. The Thursley NNR is 8.5 km south east, and the Farnham Park LNR is 1.8 km north east There are 4 SNCIs in Surrey within 2.5 km, and 3 areas of Ancient Woodland within 0.5 km.
Flood Risk	The area is subject to a combination of Zone 3 (>1.0% AEP), Zone 2 (0.1% to 1.0% AEP) and Zone 1 (<0.1% AEP) fluvial flood risk.
Air Quality	The Farnham AQMA is 1.3 km north east.

### 4.22 Monument Way East Industrial Estate (includes Woking Business Park)



**Monument Way East Industrial Estate (includes Woking Business Park), Woking**

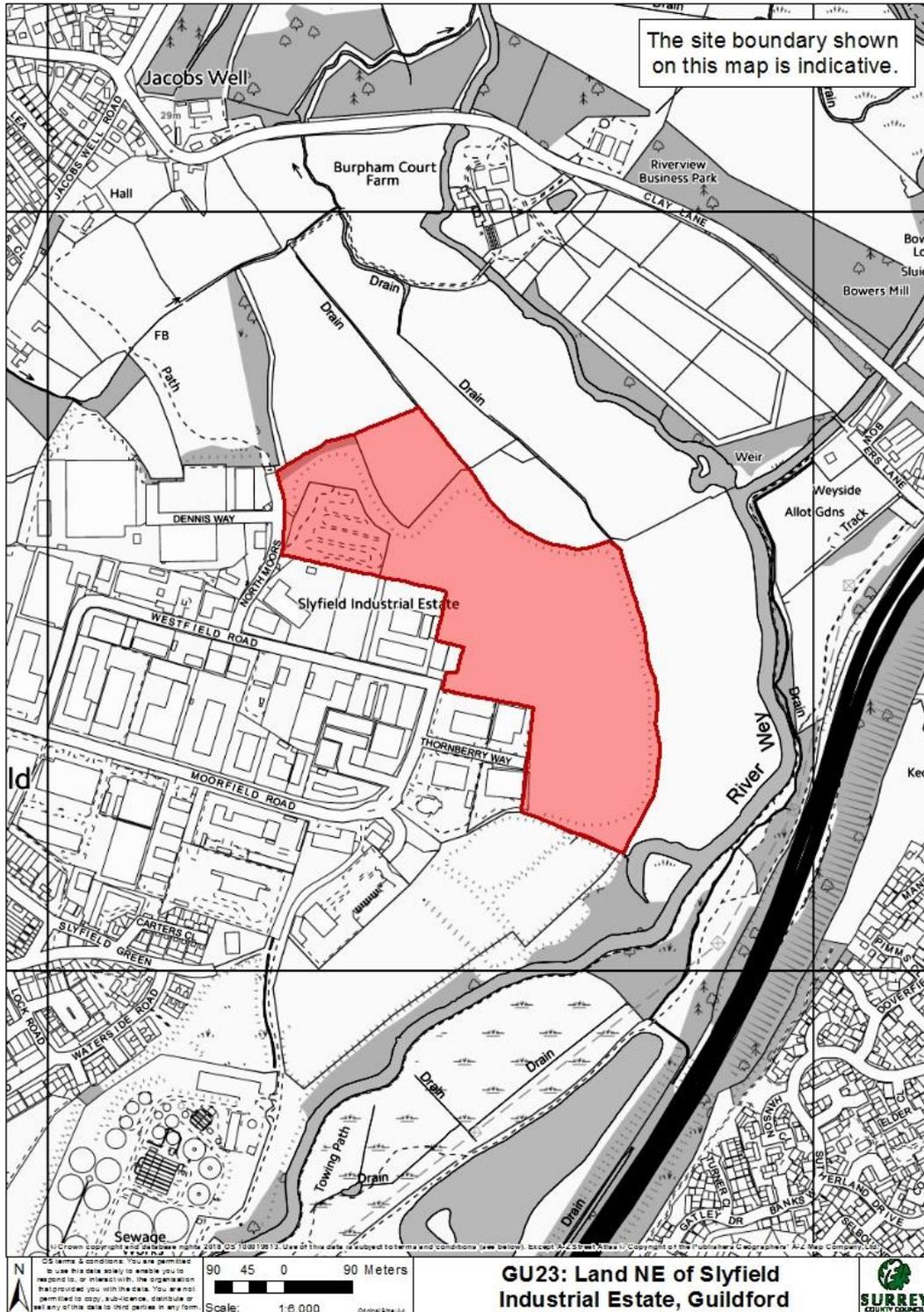
Area	8.0 ha
Description	The area is an established industrial estate located in central Woking, to the east of Monument Road (C144), the south of the Basingstoke Canal, and to the north of the main rail lines that pass through the town. The area is surrounded by a mixture of residential properties, open land, woodland, scrub and heath.
Current Uses	The area is occupied by B1/B2/B8 uses.

**Key environmental sensitivities:**

Heritage	<p>There are 2 Scheduled Monuments (Bell barrow on Horsell Common; Bell barrow &amp; disc barrow on Horsell Common) within 2.5 km.</p> <p>There is 1 Grade I Listed Building and 1 Grade II* Listed Building within 1.0 km, and 2 Grade II Listed Buildings within 0.5 km.</p> <p>The closest Registered Park &amp; Garden is the Grade II 'Pyrford Court' (1.1 km south east).</p> <p>The 'Basingstoke Canal (East &amp; West)' Conservation Area adjoins the area to the north.</p>
Nature Conservation	<p>The Thames Basin Heaths SPA is 0.7 km north, the Thursley, Ash, Pirbright &amp; Chobham SAC is 4.1 km north west, the South West London Waterbodies SPA and Ramsar Site is 8.3 km north, and the Windsor Forest &amp; Great Park SAC is 9.3 km north west.</p> <p>The Basingstoke Canal SSSI adjoins the area to the north, and the Horsell Common SSSI is 0.7 km north.</p> <p>The Chobham Common NNR is 4.1 km north west, and the White Rose Lane LNR is 1.85 km south.</p> <p>There are 12 SNCIs within 2.5 km, and no areas of Ancient Woodland within 0.5 km.</p>
Flood Risk	The area is classed as Zone 1 (<0.1% AEP) fluvial flood risk.
Air Quality	The Guildford Road, Woking AQMA is 1.9 km south west.

### 5 Allocated sites

#### 5.1 Land to the north east of Slyfield Industrial Estate, Moorfield Road, Guildford



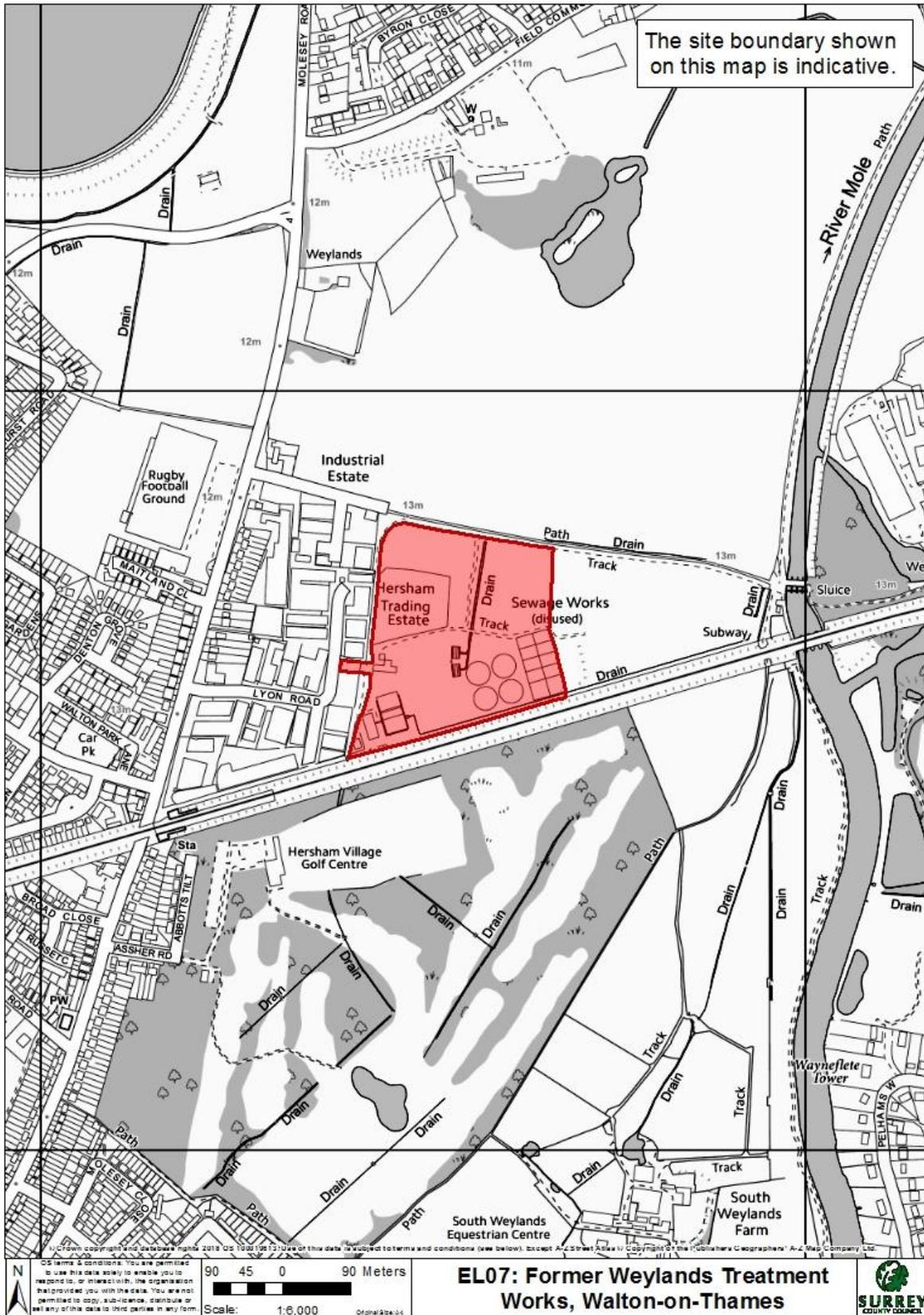
**Land to the north east of Slyfield Industrial Estate, Moorfield Road, Guildford**

Area	12.7 ha
Site Description	<p>The site is an area of predominantly undeveloped land located to the north east of the Slyfield Industrial Estate.</p> <p>Two areas have been previously used for the landfilling of a range of waste materials. Part of the western area is also used for open storage purposes.</p> <p>The south west and west of the site is bounded by industrial development, and to the south, east and north is undeveloped land.</p>
Indicative scale	Medium – large scale
Type of facility	<p>Suitable for a range of potential waste management facilities.</p> <p>Based on the findings of the HRA for the Plan, the site is considered unlikely to be suited to the development of any scale of thermal treatment facility.</p> <p>The allocated site forms part of the wider area covered by the Slyfield Area Regeneration Project (SARP) being led by Guildford Borough Council. To enable the proposed mixed use re-development of the SARP area, the allocated site would facilitate replacements for the existing community recycling centre, waste transfer station and sewage treatment works.</p>

**Key development issues:**

Green Belt	The majority of the site is within the urban area of Guildford. A small area of land at the northern end of the site is within the Green Belt.
Transport	The site is accessed from the A320 (Woking Road) to the west. The junction of Moorfield Road and the A320 may require improvements.
Biodiversity	<p>The Thames Basin Heaths SPA, and the Thursley, Ash, Pirbright &amp; Chobham SAC both lie within 10km of the site.</p> <p>Whitmoor Common SSSI is 1.2 km north west, Riverside Park LNR and the Slyfield Meadow &amp; Riverside Park (Slyfield Meadow) SNCI adjoin the site to the east.</p> <p>The site may host reptiles, including protected and priority species.</p>
Heritage	<p>The Wey &amp; Godalming Navigation Conservation Area is 0.1km east.</p> <p>The Sutton Place Grade II* Registered Park &amp; Garden is 0.75km north.</p>
Water Resources	<p>The southern part of the site is underlain by Source Protection Zone 3 (SPZ3).</p> <p>The site is 160m west of the River Wey.</p>
General Amenity	The site is situated within 250m of sensitive receptors (residential and a community centre).
Flood Risk	The site is classified as Flood Zone 1 and Flood Zone 2/3 for fluvial flood risk.
Land and soil	Part of the site is identified as a historic landfill (Slyfield Emergency Landfill) used for the disposal of a range of wastes.

5.2 Former Weylands Treatment Works, Walton-on-Thames



**Former Weylands Treatment Works, Walton-on-Thames**

Available Area	5.6 ha
Site Description	The site is located to the east of Lyon Road and the Hershams Industrial Estate on the eastern edge of Walton-on-Thames. The site currently hosts a range of activities, including construction and demolition waste processing, skip and scaffolding hire, open and closed storage, metal recycling and industrial units.
Indicative scale	Medium – large scale.
Type of facility	Suitable for a range of potential waste management facilities. Based on the findings of the HRA for the Plan, the site may be suited to the development of a small scale thermal treatment facility <sup>5</sup> .

**Key development issues:**

Green Belt	The site is within the Green Belt.
Transport	The site is accessed from Molesey Road. This existing site access is unsuitable. Any new development should include a new access via Lyon Road.
Air Quality	The site is linked via the highways network to a number of AQMAs (designated for nitrogen dioxide), including those at Walton on Thames and Molesey.
Biodiversity	The Richmond Park SAC, the South West London Waterbodies SPA and Ramsar Site, the Thames Basin Heaths SPA, and the Wimbledon Common SAC all lie within 10km of the site. Esher Commons SSSI is 1.7 km south, Molesey Heath LNR is 1.2 km north, and the Field Common/Hershams Pits SNCI is <0.1km north. Potential for ecological enhancement of land to the east of the site – the River Mole BOA is relevant.
Flood Risk	The site is classified as Flood Zone 1 for fluvial flood risk.
Water resources	The site is 260m west of the River Mole.
General Amenity	The site is situated within 250 metres of sensitive receptors (residential properties).
Land and soil	The site has a history of waste use including the treatment of sewage.
Rights of Way	Bridleway 10 runs along the northern boundary of the site and is joined by Footpath 9 which runs alongside the River Mole.

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<sup>5</sup> Subject to it being demonstrated by a project level Appropriate Assessment that emissions of nutrient nitrogen from the proposed facility would contribute no more than 1% of the site relevant Critical Load for the most sensitive habitat of the Thames Basin Heaths SPA or the most sensitive habitat of the Wimbledon Common SAC, or that there would be no significant adverse impact on the ecological integrity of the SPA or the SAC. The Site Improvement Plans for the South West London Waterbodies SPA and Ramsar Site, and for the Richmond Park SAC did not identify nutrient nitrogen deposition as an issue of concern for either of those designated sites.



**Land adjoining Leatherhead Sewage Treatment Works, Randalls Road, Leatherhead**

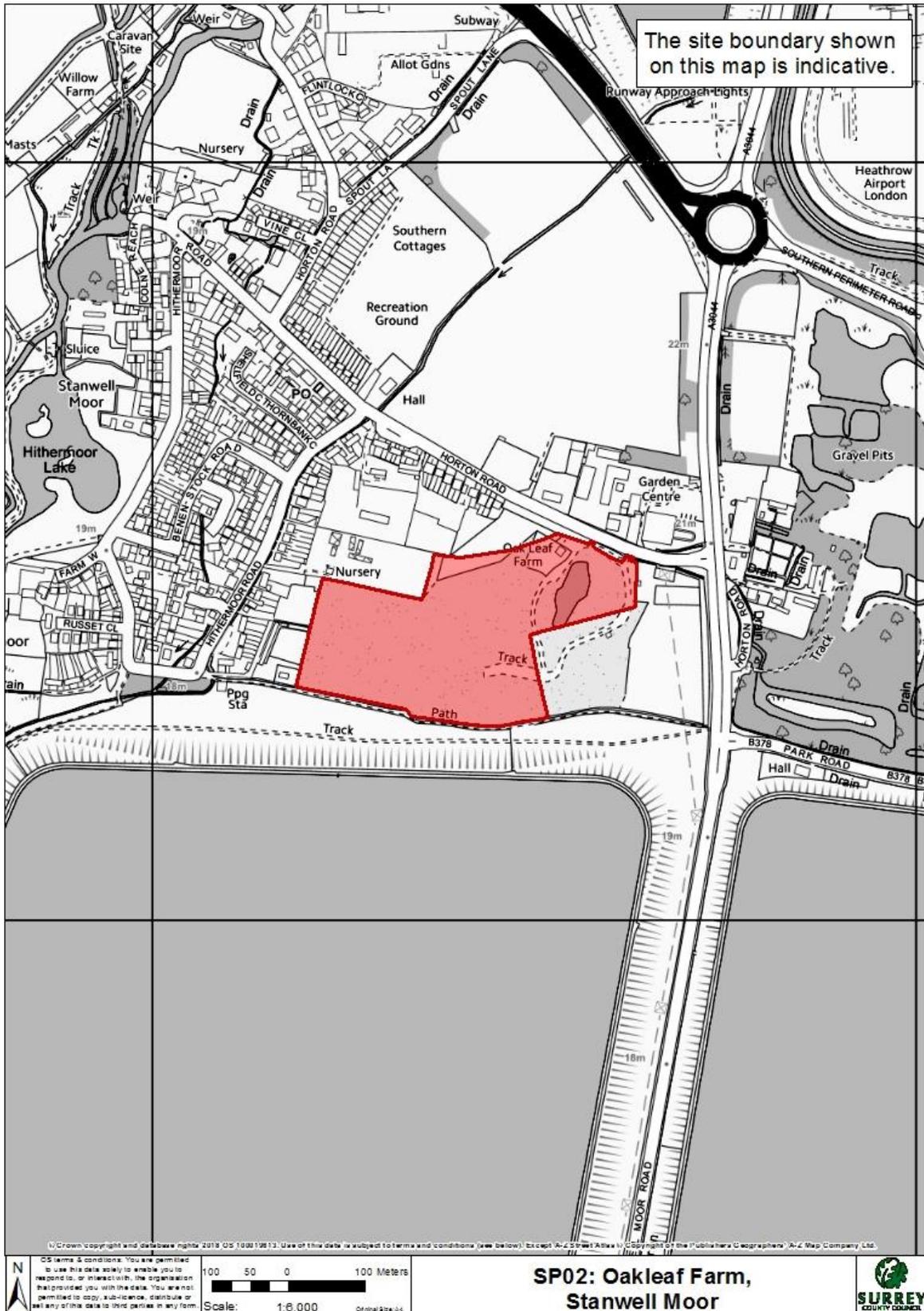
Available Area	3.4 ha
Site Description	The site is comprised of a former landfill site and adjoining land. It is located adjacent to an established materials recovery facility, community recycling centre, waste transfer station and sewage treatment works. The site is located in a rural setting to the north west of Leatherhead, and the north of Great Bookham, with the M25 motorway to the north.
Indicative scale	Medium – large scale
Type of facility	Suitable for a range of potential waste management facilities Based on the findings of the HRA for the Plan, the site may be suited to the development of a small scale thermal treatment facility <sup>6</sup> .

**Key development issues:**

Green Belt	The site is within the Green Belt.
Transport	The site is accessed from the east, off the A245 (Randalls Road/Woodlands Road) along with adjoin waste facilities. The site is likely to be able to accommodate all facility types, including those of a larger scale, subject to appropriate improvements to the site access road and improvements at the junction of the A245 Randalls Road and Oaklawn Road.
Biodiversity	The Mole Gap to Reigate Escarpment SAC and the Thames Basin Heaths SPA both lie within 10km of the site. Bookham Common SSSI is 1.1km south west, and the Epsom & Ashted Commons SSSI is 2.2km to the north east of the site. The River Lane Fields SNCI and the River Mole LNR adjoin the site, and the Ashted Common NNR is located 2.2km to the north east.
Heritage	A Scheduled Monument (Medieval moated site, The Mounts, Pachesham Farm) is 0.6km east. Four Grade II Listed Buildings are within 0.5km of the site.
Water Resources	Water Resources: Southern part of site underlain by groundwater SPZ3. River Mole lies within 100m of the site
General Amenity	There are sensitive receptors (residential properties) alongside the site access road and also within 250m of the site.
Flood Risk	The site is classified as Flood Zone 1 and Flood Zone 2 for fluvial flood risk and a combination of mainly 'very low' and 'low' risks of surface water flooding.
Land and soil	The site includes an historic landfill site (Leatherhead Landfill)

<sup>6</sup> Subject to it being demonstrated by a project level Appropriate Assessment that emissions of nutrient nitrogen from the proposed facility would contribute no more than 1% of the site relevant Critical Load for the most sensitive habitat of the Mole Gap to Reigate Escarpment SAC or the most sensitive habitat within the Thames Basin Heaths SPA, or that there would be no significant adverse impact on the ecological integrity of the SAC or the SPA.

5.4 Oakleaf Farm, Stanwell Moor



**Oakleaf Farm, Stanwell Moor**

Available Area	6.8 ha
Site Description	The site is an operational waste recovery and recycling operation with scope for a significant increase in capacity. The site is located to the south east of the settlement of Stanwell Moor and the west of the settlement of Stanwell, with the King George VI Reservoir to the immediate south.
Indicative scale	Medium – large size.
Type	Suitable for a full range of potential waste management facilities Based on the findings of the HRA for the Plan the site may be suitable for a small, medium, or large scale thermal treatment facility <sup>7</sup> .

**Key development issues:**

Green Belt	The site is within the Green Belt.
Transport	The site is accessed via Horton Road (C237), which provides access to the A3044 (Stanwell Moor Road). The site is likely to be able to accommodate medium sized facility types. If suitable mitigation can be implemented, by allowing all movements at the Horton Road/Stanwell Moor Road junction, a larger facility may be accommodated.
Biodiversity	The South West London Waterbodies SPA & Ramsar Site and the Windsor Forest Great Park SAC both lie within 10 km of the site. The Staines Moor SSSI is some 0.1km to the south, and the Wraysbury Reservoir SSSI is some 1.2km west. The Stanwell II SNCI lies 0.1km to the east and the River Colne SNCI is 0.4m west.
Heritage	Hithermoor Farmhouse Grade II Listed Building is located 0.4km south west of the site.
Air Quality	The site is located within the borough of Spelthorne, which is covered by a borough-wide Air Quality Management Area for nitrogen dioxide concentrations.
Flood Risk	The site is classified as Flood Zone 1 for fluvial flood risk.
General Amenity	There is sensitive receptors (housing) within 150 metres to the west of the site.
Public Rights of Way	A public right of way, Bridleway 3 and Footpath 3 run along the southern boundary of the site.
Aerodrome Safeguarding	This site falls within the airport safeguarding zone of Heathrow Airport. There may be height restrictions for development. In addition, if any tall flues or chimneys are proposed an Instrument Flight Procedure (IFP) Assessment may also need to be carried out.

<sup>7</sup> Subject to it being demonstrated by a project level Appropriate Assessment that emissions of nutrient nitrogen from the proposed facility would contribute no more than 1% of the site relevant Critical Load for the most sensitive habitat of the Windsor Forest & Great Park SAC or that there would be no significant adverse impact on the ecological integrity of the SAC. The Site Improvement Plan for the South West London Waterbodies SPA and Ramsar Site did not identify nutrient nitrogen deposition as an issue of concern for the designated site.

5.5 Lambs Business Park, Terra Cotta Road, Tillburstow Hill Road, South Godstone



Lambs Business Park, Terra Cotta Road, Tillburstow Hill Road, South Godstone

Available Area	Approximately 3.0 ha (this is a minimum and could be extended) )
Site Description and context	The site comprises former clay pits to the west of South Godstone. The clay pits are in the process of being restored in accordance with an approved restoration scheme. The site shares an access with the adjacent business park located on the site of the former brickwork buildings. The site is bounded to the north by the Redhill to Tonbridge railway and includes a disused rail siding.  Through the emerging Local Plan the site (along with the land to the south and the adjoining business park) is being proposed for release from the Green Belt as suitable for employment development.
Type	Suitable for a full range of potential waste management facilities.  Based on the findings of the HRA for the plan the site may be suited for a small, medium or large scale thermal treatment <sup>8</sup> .
Indicative scale	Medium size unless rail sidings can be utilised in which case a large scale facility may be suitable.

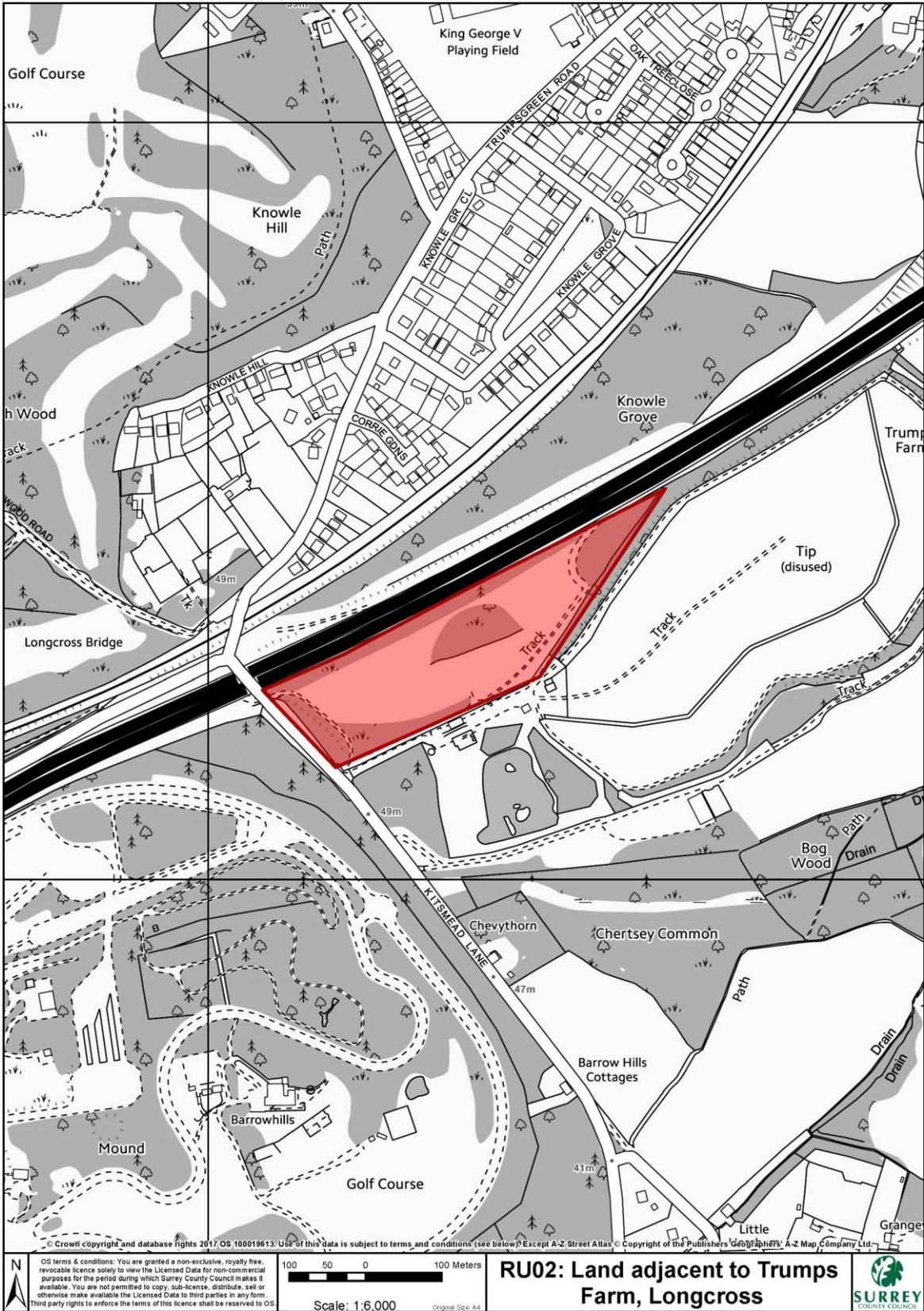
**Key development issues:**

Green Belt	The site is within the Green Belt but proposed to be removed through the emerging Tandridge Local Plan.
Transport	The site is accessed from Tilburstow Hill Road (D395), which links to the A22 (Eastbourne Road) to the south, east and north.  Proposals that seek to utilise the existing rail network and siding in order to support sustainable transport patterns will be encouraged.
Biodiversity	The Mole Gap to Reigate Escarpment SAC is located within 10km of the site.  The Godstone Ponds SSSI is located 2.5km from the site, and the Mole Gap to Reigate Escarpment SSSI is located 8.4km from the site.  Maple Wood SNCI (an Ancient Woodland) adjoins the site and Furze Wood SNCI is 0.2 km north of the site.  Great crested newts are recorded nearby and likely to be present on the site.
Landscape	The Surrey Area of Great Landscape Value designation commences immediately to the north of the site, and the site is sensitive in terms of landscape character and visual amenity.
Heritage	The South Park Conservation Area is 0.4km north east, and a Scheduled Monument (Medieval moated site, Lagham Manor, South Godstone) is 0.75km east.
Aerodrome Safeguarding	This site falls within the airport safeguarding zone of Gatwick Airport.

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<sup>8</sup> Subject to it being demonstrated by a project level Appropriate Assessment that emissions of nutrient nitrogen from the proposed facility would contribute no more than 1% of the site relevant Critical Load for the most sensitive habitat of the Mole Gap to Reigate Escarpment SAC or that there would be no significant adverse impact on the ecological integrity of the SAC.

5.6 Land adjacent to Trumps Farm, Kitsmead Lane, Longcross



Land adjacent to Trumps Farm, Kitsmead Lane, Longcross

Available Area	6.2 ha
Site Description and context	<p>The site is an area of rough grass and scrub with some woodland bounded to the north by the M3 motorway, to the south and east by a former landfill site. On the opposite side of Kitsmead Lane there is the former DERA tank testing track. To the south, beyond the former landfill are existing green waste recycling and food waste anaerobic digestion (AD) was facilities.</p> <p>The former tank testing track is being promoted as a Garden Village by Runnymede Borough Council through its emerging Local Plan.</p>
Type	Suitable only as a recycling facility for dry mixed recyclables (DMR) from households.
Indicative scale	Small size (up to 50,000 tpa) but potentially medium size (up to 120,000 tpa) with improvements to the highway network.

**Key development issues:**

Green Belt	The site is within the Green Belt.
Transport	<p>Access to the site is gained from the west, off Kitsmead Lane, which links to the A320 to the south east, via the B386.</p> <p>The site is likely to be able to accommodate small scale facility types (with capacities of up to 50,000 tpa) without wider improvements to the highway network.</p>
Air Quality	The closest AQMA to the site is the 'M25' AQMA, 2.5 km east designated for nitrogen dioxide concentrations and particulate matter (PM10) concentrations.
Flood Risk	The site is classified as Flood Zone 1 for fluvial flood risk.
Biodiversity	<p>Thames Basin Heaths SPA, Thursley, Ash, Pirbright &amp; Chobham SAC, South West London Waterbodies &amp; Ramsar site and Windsor Forest &amp; Great Park SAC all lie within 10 km of the site.</p> <p>The Chobham Common SSSI, which is also designated a NNR, is 1.4 km to the south west of the site, and the Riverside Walk, Virginia Water LNR is 0.9 km north.</p> <p>The site contains two small areas of ancient woodland.</p>
General Amenity	There are houses within 150 metres of the site on the opposite side of the M3 and also on Kitsmead Lane.
Land and Soil	The site adjoins an historic landfill and potentially could have issues with contaminated land.
Aerodrome Safeguarding	This site falls within the airport safeguarding zone of Heathrow Airport.

# Surrey Minerals and Waste Development Scheme

December 2018

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Minerals and Waste Development Scheme

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# 1 Introduction

- 1.1.1 The Local Planning Authority is required to produce a Local Development Scheme.<sup>1</sup> Surrey County Council is the Minerals and Waste Planning Authority and has produced a Minerals and Waste Development Scheme (MWDS) for Surrey.
- 1.1.2 The MWDS is a public statement identifying which local development documents will be produced and when they will be reviewed. The MWDS will be made available publically on the Surrey County Council website and will be kept up-to-date.
- 1.1.3 The MWDS:
- Provides a brief description of the adopted minerals and waste local plans and the relationship between them.
  - Sets out the planned timetable for reviewing each development plan document and the key milestones in the process.
  - Indicates which supplementary planning guidance will continue to be used as a material consideration in determining planning applications.
  - Indicates how Sustainability Appraisal (SA) and Strategic Environmental Assessment (SEA) are integrated into the preparation of the Minerals and Waste Development Framework (MWDF).

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<sup>1</sup> Under section 15 of the Planning and Compulsory Purchase Act 2004 (as amended by the Localism Act 2011).

## 2 Minerals and Waste Development Framework

### 2.1 Content of the Minerals and Waste Development Framework

2.1.1 The minerals and waste development framework for Surrey consists of a number of local development documents:

- Surrey Waste Plan (SWP)
- Surrey Minerals Plan (SMP)
- Minerals Site Restoration Supplementary Planning Document (SPD)
- Aggregates Recycling Joint DPD (ARJDPD)
- Statement of Community Involvement (SCI)
- Annual Monitoring Reports (AMR) including an annual Local Aggregates Assessment (LAA)

2.1.2 A full description of each document and details of adoption are provided in Appendix 1. The relationship between the documents that make up the Minerals and Waste Local Development Framework is illustrated in Appendix 2.

## 3 Arrangements for Review

### 3.1 Monitoring

3.1.1 An AMR is prepared as part of the framework documentation. Part of the role of the AMR will be to monitor implementation of the MWDS. This Includes:

- Reporting on the progress made and whether the authority has met targets and milestones
- Where the authority has or will not meet targets, the reasons behind this and what steps will be taken to address these problems.
- Monitor the extent to which policies in the MWDF are being implemented and any policy areas where change is needed.
- Identify any significant changes to the evidence base which might affect the targets or policies in adopted plans.

3.1.2 The authority will also carry out any surveys and produce an LAA to monitor the supply of aggregates. Recognising the role that the authority has in planning for a steady and adequate supply of minerals (NPPF, Paragraph 146).

3.1.3 All minerals and waste local development documents are complete and have been adopted. Information on how and when minerals and waste local development documents will be reviewed is provided in Appendix 3. The authority will indicate if it is necessary to amend the LDS in the light of any assessment or ongoing monitoring.

## 4 Other documents and guidance

### 4.1 Minerals and Waste Submission Proposals Maps

4.1.1 A Proposals Map has been prepared for the:

- Surrey Waste Plan Core Strategy
- Surrey Minerals Plan Core Strategy
- Surrey Minerals Plan Primary Aggregates DPD
- Aggregates Recycling Joint DPD

4.1.2 These maps will be updated annually by the authority and maintained on the Surrey County Council webpages.

### 4.2 Minerals and Waste Planning Annual Monitoring Report

4.2.1 Authorities are required to prepare an AMR to assess the implementation of the LDS and the extent to which policies in Local Plans are being achieved. The Surrey AMR monitors the indicators and targets in the adopted minerals and waste development documents.

4.2.2 The AMR will contain the relevant information required under the regulations<sup>2</sup>, and an annual Local Aggregates Assessment. Recent reports will be available on the Surrey County Council webpages.

### 4.3 Statement of Community Involvement

4.3.1 The Statement of Community Involvement (SCI) sets out how local communities and stakeholders will be involved in the preparation of the Minerals and Waste Development Framework and in the consideration of planning applications and the steps that the authority will take to facilitate this.

### 4.4 Supplementary Planning Documents

4.4.1 Supplementary Planning Documents (SPDs) are intended to expand upon policy or provide further detail to policies in development plan documents. Restoration of mineral workings is covered in the *Minerals Site Restoration SPD* which was formally adopted in July 2011.

4.4.2 The Minerals Site Restoration SPD document sets out best practice in restoration techniques and presents indicative restoration schemes for all of the preferred areas for working of primary aggregates and silica sand as identified in the Surrey Minerals Plan and is kept under review.

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<sup>2</sup> The Town and County Planning (Local Planning)(England) Regulations 2012

## 5 Sustainability Appraisal (SA) and Strategic Environmental Assessment (SEA)

### 5.1 Sustainability Appraisal

- 5.1.1 The Local Plan is subject to Sustainability Appraisal<sup>3</sup> (SA) as part of the plan preparation process. The SWP and SMP have been subject to Sustainability Appraisal and Habitats Regulations Assessment. SPDs are no longer subject to sustainability appraisal.
- 5.1.2 The SA will be carried out alongside the preparation of any plan, and the conclusions and recommendations of the assessment and appraisal will be fed into that process prior to the finalisation of the proposals set out in the plan.

### 5.2 Strategic Environmental Assessment

- 5.2.1 The authority is required<sup>4</sup> to undertake a systematic assessment and evaluation of the impacts that certain plans and programmes may have on the environment, as part of the plan preparation and decision making process.
- 5.2.2 The SEA for any Local Plan documents will be provided as a full report which includes technical detail, and a non-technical summary that sets out the key findings and conclusions of the assessment in non-technical language.

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<sup>3</sup> Under section 19(5) of the Planning & Compulsory Purchase Act 2004.

<sup>4</sup> Under Directive 2001/42/EC on the assessment of the effects of certain plans and programmes on the environment.

## APPENDIX 1 – Minerals and Waste Development Framework

Table 1 Profiles of Minerals and Waste Local Development Documents

Document	Description	Status
Surrey Waste Plan (SWP)	<p>Core Strategy: Sets out the authority's vision, objectives and waste development spatial strategy for Surrey and provides the policy framework for development management</p> <p>Waste Development: Policy framework to address need for waste facilities and identification of sites for such facilities</p> <p>Development Control Policies: Policy framework for the consideration of planning applications for waste development in Surrey</p>	<p>Adopted May 2008</p> <p>Currently being reviewed</p>
Surrey Minerals Plan (SMP)	<p>Core Strategy: Sets out the vision, objectives and spatial strategy for mineral development to 2026 incorporating specific policies on silica sand, brick clay and oil and gas, together with generic policies to determine planning applications for mineral development.</p> <p>Primary Aggregates: Policy framework to address the need for and provision of sharp sand, gravel and soft sand in Surrey. The document identifies preferred areas to meet need for aggregates and contains policies for controlling primary aggregate extraction.</p>	Adopted July 2011
Minerals Site Restoration Supplementary Planning Document (SPD)	The purpose of the SPD is to set out the County Council's vision of how existing and proposed mineral workings should be restored in Surrey during the period to 2026.	Adopted July 2011

Aggregates Recycling Joint DPD (ARJDPD)	Aggregates Recycling Joint Development Plan Document: Sets out delivery of the visions and aims of the Surrey Minerals and Waste Plans for aggregates recycling. The document identifies sites to meet the targets set out in the Surrey Minerals Plan.	Adopted February 2013
Statement of Community Involvement (SCI)	Sets the Council's service level agreement with stakeholders and the community and their involvement in preparation of the Minerals and Waste Development Framework.	Agreed May 2015
Annual Monitoring Reports (AMR) including an annual Local Aggregates Assessment (LAA).	These reports measures performance of the Minerals and Waste Plans against their strategic objectives and Key Performance Indicators.	Published annually

## APPENDIX 2 – Minerals and Waste Development Framework



## APPENDIX 3 – Review of Minerals and Waste Local Development Documents

*Table 2 Profiles of Minerals and Waste Local Plan Documents*

Document	Trigger for Review	Timetable for Review (if applicable)	
		Stage	Timescale
Surrey Waste Plan (SWP)	The AMR assesses each year how the objectives and policies in the Waste Plan are being implemented, indicating whether the policies need to be updated or replaced.	Issues and Options Consultation	Sept - Nov 2016
		Draft Plan Consultation	Nov 2017 - Feb 2018
		Submission plan Consultation	Jan 2019 - Feb 2019
		Submission to SoS	April 2019
		Examination in Public	June/July 2019
		Consultation on any modifications	Sept 2019
		Adoption	Dec 2019

Surrey Minerals Plan (SMP)	<p>The AMR and LAA will identify when a review is required in relation to changing circumstances, the demand for aggregates and other minerals and availability of sites suitable for mineral development.</p> <p>A review of the conformity of the Surrey Minerals Plan with the National Planning Policy Framework (NPPF) was carried out in 2014.</p> <p>The current anticipated programme for future review (or partial review) and adoption of the Surrey Minerals Plan is shown here. This review will also include any related SPDs or DPDs.</p>	<p>Issues and Options Consultation / Initial review</p> <p>Adoption</p>	<p>Spring 2020</p> <p>Summer 2023</p>
Aggregates Recycling Joint DPD (ARJDPD)	<p>The AMR will identify when a review is required, particularly in relation to changing circumstances and availability of sites suitable for aggregates recycling development.</p>	<p>Some aspects will be updated as part of the new SWLP.</p> <p>However, a complete review is anticipated alongside the SMP. The timetable for this review will be the same as for the SMP.</p>	
Statement of Community Involvement (SCI)	<p>The AMR will identify when a review is required, based on changes to legislation or relevant government guidance.</p>	<p>Consultation on a revised SCI</p>	<p>Summer 2019</p>

## 1. Topic of assessment

<b>EIA title:</b>	Surrey Waste Local Plan 2018 - 2033
<b>EIA author:</b>	Maureen Prescott

## 2. Approval

	<b>Name</b>	<b>Date approved</b>
<b>Approved by</b>	Paul Sanderson	26 November 2018

## 3. Quality control

<b>Version number</b>	v.0.2	<b>EIA completed</b>	26 November 2018
<b>Date saved</b>		<b>EIA published</b>	

## 4. EIA team

<b>Name</b>	<b>Job title (if applicable)</b>	<b>Organisation</b>	<b>Role</b>
Kate Symington	Principal Planning Policy Officer	Surrey County Council	Waste Plan project manager
Maureen Prescott	Planning Technician	Surrey County Council	EqIA author

## 5. Explaining the matter being assessed

<p><b>What policy, function or service is being introduced or reviewed by the county council?</b></p> <p><b>What proposals are you assessing?</b></p>	<p><b>Surrey Waste Local Plan 2018 – 2033</b></p> <ol style="list-style-type: none"> <li>1. Surrey County Council as the Waste Planning Authority (WPA) has identified a need to review and update the current Surrey Waste Plan which was adopted in 2008.</li> <li>2. Waste Planning is a statutory function of Surrey County Council that aims to ensure that Surrey has sufficient land supply and facilities to manage its waste in a sustainable way preventing any significant adverse impacts on the environment and communities.</li> </ol>
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	<p>3. The new Surrey Waste Local Plan (SWLP) will:</p> <ul style="list-style-type: none"> <li>• Quantify the amount of land required to provide waste management infrastructure to support growth up to 2033.</li> <li>• Identify and allocate where appropriate sites and areas that are considered suitable for waste management facilities.</li> <li>• Set out detailed policies against which planning applications for waste development will be determined.</li> </ul> <p>4. The adopted SWLP will include a vision, objectives, spatial strategy, detailed policies for waste development, site allocations and proposals map document.</p>
<p><b>Who is affected by the proposals outlined above?</b></p>	<p>5. The new SWLP will affect all residents, businesses and other individuals and organisations who produce waste.</p> <p>6. The county council expect the SWLP to benefit communities including people with protected characteristics by:</p> <ul style="list-style-type: none"> <li>• Providing information for residents as to where future waste development is likely to be located.</li> <li>• Providing waste operators with criteria to guide them to locations where planning permission is likely to be granted.</li> <li>• Making provision for the facilities needed to manage the waste produced in Surrey in a sustainable way based on the waste hierarchy.</li> </ul> <p>7. The county council does not expect the SWLP to have significant adverse impacts on communities including people with protected characteristics. To facilitate this, the county council has:</p> <ul style="list-style-type: none"> <li>• Used plan making and consultation processes that comply with legislation and national guidance.</li> <li>• Taken account of consultation responses to help shape the SWLP.</li> <li>• Taken account of sensitive land uses such as housing when considering sites that may be suitable for waste-related development.</li> </ul>

- Identified in the Submission SWLP only those sites where it is considered that potential adverse impacts can be mitigated to an acceptable level.
  - Included key development issues for all sites proposed for allocated in the SWLP; the issues specify particular aspects of the site that are required to be addressed by planning applications.
8. Following adoption of the SWLP, any planning applications for waste development will be subject to the development management process. This will involve further consultation. Planning applications will also require the submission of technical documents addressing potential impacts and proposed mitigation as appropriate<sup>1</sup>. Formal Environmental Impact Assessment may also be required in accordance with legislation<sup>2</sup>.

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<sup>1</sup> See the 'Local List for the validation of county planning applications' available on the county council's website.

<sup>2</sup> See the [Town and Country Planning \(Environmental Impact Assessment\) Regulations 2017](#).

## 6. Sources of information

### Engagement carried out

#### Statement of Community Involvement

9. In 2015 Surrey County Council as the Waste Planning Authority adopted a Statement of Community Involvement which sets out how and when the county council will consult residents. The SCI takes forward the County Council's Commitment to Public Involvement and conforms to statutory requirements and plan making guidance.
10. The Issues and Options and Draft Plan consultations have been undertaken in accordance with the 2015 SCI.
11. The SCI is currently being updated in light of new requirements under the Neighbourhood Planning Act 2017.

#### Public Consultations

12. In order to inform the Submission SWLP, the county council has carried out several stages of plan preparation including two public consultations.
13. Between 2 September and 25 November 2016 the council consulted on an 'Issues and Options Paper' which sought views on the strategic context, vision and objectives for sustainable waste management in Surrey.
14. Between 1 November 2017 and 7 February 2018 Surrey County Council consulted on the Draft Surrey Waste Local Plan and its supporting documents. The consultation sought views on the plan's vision and objectives, spatial strategy, policies, sites and site identification process, environmental and sustainability report and on the WPAs Duty to Cooperate update statement.
15. In the case of both the Issues and Options Paper and the Draft Surrey Waste Local Plan, the county council consulted residents, businesses, industry operators, district and borough planning authorities, and other statutory and non-statutory stakeholders.
16. The council used a wide range of media (newsletters, website, and twitter), as well as emails, letters and meetings to notify individuals and organisations and seek their comments.
17. The consultations were supported via dedicated webpages on Surrey County Council's website, including links to PDF copies of documents.
18. Consultees were encouraged to respond to the consultation using an online survey. A dedicated email address and postal address were also provided.
19. Printed copies of the documents were provided in the district and borough council offices.

## Data used

### Consultation Responses

20. Over six hundred responses were received during the Issues and Options consultation, many of which were from the public. Only three parish councils and/or residents associations responded and one action group.
21. A total of 322 responses were received during the Draft Plan consultation, of which 266 were from the public.
22. Any new organisations or individuals identified through the Issues and Options and Draft Plan consultations have been added to the SWLP consultation database where they have indicated they wish to be contacted in future.
23. The Issues & Options Summary of Responses Report December 2016 summarises the consultation responses and explains how the information gained would be used to shape the Draft SWLP. This report was taken to the Economic Prosperity, Environment and Highways Board (now the Environment and Infrastructure Select Committee) at their meeting on 12 January 2017.
24. A Draft Plan Consultation Summary Report is due to be taken to Cabinet at their meeting on 18 December 2018. This report sets out the responses to the Draft Plan consultation and the changes that have been made to the plan as a result.

### Equality Analysis

25. Following the Draft Plan consultation an equality analysis was carried out to assess how well we had reached residents.
26. As part of the analysis the proportion of responses from residents within protected groups was compared to the demography of Surrey.
27. The analysis suggests that engagement with residents was broadly successful.
28. The level of engagement with residents from younger age groups and some ethnic groups was low:
  - Only 2% of responses were received from residents aged 18-34 and no responses were received from those aged under 18.
  - Very few respondents identified themselves as being from ethnic groups other than White British. In particular, no responses were received from individuals that identified themselves as from Black or Black British or from Mixed other backgrounds (as opposed to White any other backgrounds).

29. It should be noted that in Surrey historically it has proved difficult to engage younger people and people from some ethnic groups on waste local plans.
30. In terms of age, it is worth noting that 14 of the 266 residents who responded to the survey indicated that they were choosing not to reveal their age and 125 residents skipped the question.
31. In terms of ethnic origin, it is worth noting that 12% of respondents chose not to share their ethnicity status and also that people from Black or Black British or Mixed other backgrounds constitute in total only 3% of Surrey's population.
32. Following the Draft Plan consultation the SWLP communications plan was reviewed to try to ensure that future engagement is as good as can reasonably be expected.

### **Assessment reports**

33. The county council commissioned assessment work to be undertaken to consider the potential impact of waste related development at each site being proposed for allocation in the Submission Plan.
34. The assessments include:
  - Air Quality Impact Assessment
  - Habitats Regulations Assessment
  - Health Impact Assessment
  - Landscape and Visual Sensitivity Study
  - Strategic Flood Risk Assessment
35. The Submission Plan has also been subject to Strategic Environmental Assessment and Sustainability Appraisal which can be found in the Environmental and Sustainability Report.

## 7a. Impact of the proposals on residents and service users with protected characteristics

Protected characteristic <sup>3</sup>	Potential positive impacts	Potential negative impacts	Evidence
All.	<p>Land made available for the facilities needed to manage the waste produced in Surrey in a sustainable way.</p> <p>Additional information about potential waste related development is made available to residents and waste operators.</p> <p><b>See Para. 6 above for more detail.</b></p>	<p>No significant negative impacts are expected that cannot be mitigated to an acceptable level.</p> <p><b>See Paras. 7 &amp; 8 above for more detail.</b></p>	<p>The county council has:</p> <ul style="list-style-type: none"> <li>Used plan making and consultation processes that comply with legal requirements and national guidance.</li> <li>Taken account of consultation responses to help shape the SWLP.</li> </ul> <p><b>See Paras. 9 to 36 for more detail.</b></p>

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

Protected characteristic	Potential positive impacts	Potential negative impacts	Evidence
All.	As above	As above	As above

<sup>3</sup> More information on the definitions of these groups can be found [here](#).

## 8. Amendments to the proposals

Change	Reason for change
None proposed.	

## 9. Action plan

Potential impact (positive or negative)	Action needed to maximise positive impact or mitigate negative impact	By when	Owner
None	No changes needed.		

## 10. Potential negative impacts that cannot be mitigated

Potential negative impact	Protected characteristic(s) that could be affected
None expected.	

## 11. Summary of key impacts and actions

<p><b>Information and engagement underpinning equalities analysis</b></p>	<p>Issues and Options Paper and public consultation                  Draft SWLP and public consultation                  Consultation responses                  Equality analysis - How well did we reach people?                  Assessment reports                  Draft Environmental and Sustainability Report which incorporates a Strategic Environmental Assessment and a Sustainability Appraisal.</p>
<p><b>Key impacts (positive and/or negative) on people with protected characteristics</b></p>	<p><b>Positive Impacts:</b></p> <ul style="list-style-type: none"> <li>• Information will be provided for residents as to where future waste development is likely to be located.</li> <li>• Waste operators will be provided with criteria to help them judge where planning permission is likely to be granted.</li> <li>• Provision will be made for the facilities needed to manage the waste produced in Surrey in a sustainable way</li> </ul> <p><b>Negative Impacts:</b></p> <ul style="list-style-type: none"> <li>• The council does not expect any significant negative impacts that cannot be mitigated to an acceptable level.</li> </ul>
<p><b>Changes you have made to the proposal as a result of the EIA</b></p>	<p>No changes needed.</p>
<p><b>Key mitigating actions planned to address any outstanding negative impacts</b></p>	<p>No changes needed.</p>
<p><b>Potential negative impacts that cannot be mitigated</b></p>	<p>None expected.</p>

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## Surrey Waste Local Plan - Q &amp; As to accompany Cabinet report

Why is the Plan being reviewed?	We need to have an up to date plan based on the latest evidence. The current plan is over 10 years old. There is a new Government requirement that Local Plans are reviewed at least every five years.
How do we know how much waste to plan for?	We have forecast the amount of waste likely to be produced up to 2035. The 'Waste Needs Assessment' as it is called takes into account the number of new homes likely to be built and economic growth. Each year we will monitor waste produced and this will be taken into account when assessing applications for new waste management facilities.
We plan to be net self-sufficient. What does this mean?	This means we plan for capacity able to manage the <b>equivalent</b> of the amount of waste we produce in Surrey. This reflects the fact that waste movements are driven by commercial considerations which means they cross local authority and national boundaries. This approach is taken by all waste planning authorities and is accepted by Government.
Are we planning for management of waste from other areas?	Waste crosses administrative boundaries. However we plan to be net self-sufficient which means that we plan to manage the equivalent of the waste we produce in Surrey. Other areas are planning on same basis.
How is future need for waste management facilities calculated?	We look at the likely future amount of waste produced and consider how this would be managed if certain recycling and other recovery targets are to be met. We then consider whether the existing and future management capacity available at current built facilities is sufficient to ensure the targets will be met. If there is insufficient capacity this is known as the 'capacity gap'.
What sort of waste management facilities are needed?	Our assessments show that although we are technically self-sufficient overall this is largely due to having a relatively large landfill capacity at Redhill which we are not planning to replace. As we need to plan to manage waste that is disposed of by landfill in a more sustainable way there is capacity gap in Surrey for facilities that will enable this. This could be through additional recycling facilities or recovery (such as turning waste into a fuel or energy).

<p>How is the construction, demolition and excavation waste (C, D &amp; E) recycling capacity gap being dealt with?</p>	<p>The Aggregates Recycling Joint DPD already addresses this issue and a full review of C, D &amp; E recycling will take place when the Minerals Plan is reviewed.</p>
<p>Do we need more energy from waste facilities (or incinerators) especially when:</p> <ul style="list-style-type: none"> <li>• The site at Charlton Lane is nearing completion?</li> <li>• Recycling is increasing?</li> <li>• There is to be a ban on single use plastics?</li> </ul>	<p>Our assessment shows that even if we meet the highest level of recycling there will still be the need to manage waste that cannot be recycled.</p> <p>But the plan is flexible and does not <b>require</b> more incinerators as a solution – waste can be turned into fuel and sent elsewhere for example and if more waste is recycled there will be less need.</p> <p>Any new facility will always be expected to demonstrate need at the time of a planning application.</p>
<p>What are the county council's plans for more energy from waste (EfW) following the completion of the Eco Park?</p>	<p>The county council does not have any current plans for building further energy from waste capacity to deal with waste that is has responsibility for managing (household waste).</p>
<p>Where will new waste facilities be located?</p>	<p>The plan protects existing waste facilities and encourages improvements and enhancements to appropriate existing sites. Ideally new facilities will be located in sites and areas outside the Green Belt, including: allocated waste sites, existing waste sites, Industrial Land Areas of Search (ILAS) and other suitable sites. This may include sites within urban areas and within existing industrial areas. Only if it can be shown that there is no available land outside the Green Belt should a site within the Green Belt be considered.</p>
<p>All but one of the allocated sites are in the Green Belt. How can this be justified?</p>	<p>A thorough site selection process which looked at over 200 sites concluded that it was necessary to look at sites within the Green Belt to meet our forecasted need for additional waste facilities. The process and the outcome is set out in the Site Identification and Evaluation Report.</p> <p>However, the plan makes it clear that allocated sites in the Green Belt are not preferred over sites that may come forward outside of the Green Belt and any planning application will need to show that there are no alternative opportunities outside the Green Belt.</p>

How will the quality of residents' environment be protected?	Modern waste management facilities are designed not to cause unacceptable impacts on communities. Any new facility will have to meet strict environmental criteria. Policies in the plan require transport impact assessments and a range of potential environmental impacts to be addressed such as noise, dust, odour and air quality.
How can people make their views known?	People will have the opportunity to make a representation on the Submission Plan that will be available for 6 weeks between 14 January and 24 February 2019. Comments may be made via <a href="#">Surrey Says</a> on Surrey County Council's website. All comments will be forwarded to an independent inspector.
This is a complex subject? Is there a less detailed report	A non-technical summary of the plan has been prepared and will be available during the 6 week period for representations. FAQs will be revisited as necessary.
In what ways does the plan align with the Waste Disposal Authority's strategy - the Joint Municipal Waste Strategy (JMWS)	The Plan has taken the JMWMS into account. Both the Plan and the JMWS seek to: <ul style="list-style-type: none"> <li>• Encourage sustainable waste management</li> <li>• Manage disposal of waste as an option of last resort</li> <li>• Encourage Innovation and minimise impact on communities and environment</li> </ul>
How does the plan take account of recycling targets?	Recycling targets are ambitious but need to be realistic. The target is for 70% of local authority collected waste to be recycled by 2030 and 75% by 2035.  Targets are set based on: <ul style="list-style-type: none"> <li>• Circular Economy Action Plan (EU) (65% household waste by 2030)</li> <li>• Build upon SWP 2008 targets (60% municipal &amp; 65% C &amp; I by 2025)</li> <li>• JMWMS (70% by 2019/20)</li> </ul>

<p>How will the new resources and waste strategy affect things?</p>	<p>This strategy follows on from the Government's 25 Year Environment Plan and will likely reflect the EU Circular Economy Package that was adopted by member states in May 2018. The Government has said it will honour commitments in this circular economy package post Brexit which amongst other things includes targets for recycling and diversion from landfill that have been taken into account in the Plan. The Strategy is expected to include measures to incentivise manufacturers of goods, including packaging, to use recycled materials and ensure their products can be more easily re-used and recycled. While it is not expected that the new Strategy will require changes to the Plan, its publication will be closely monitored - if major changes are required these will be reported to Cabinet.</p>
<p>How will Brexit change things?</p>	<p>Depends on the terms of final agreement.</p> <p>Brexit might affect export of residual waste for recovery at EfW facilities in mainland Europe for example.</p> <p>At this stage we cannot say so we have prepared the plan to be flexible and be able to cope with changes.</p> <p>The monitoring of the Plan will indicate when a review of the Plan is needed.</p>
<p>If council agrees to publish the Plan what are the next stages?</p>	<p>Following receipt of representations, the Submission Plan, supporting evidence and the representations will be submitted to the Secretary of State who will then appoint a planning inspector to hold an independent examination to consider the soundness and legality of the plan. During the examination, the planning inspector will consider all representations received and may choose to convene public hearings which would take place at County Hall.</p> <p>If changes to the Plan are necessary, these will be reported to Cabinet for agreement prior to being published for representations. Ultimately the Plan can only be adopted by the county council following receipt of an Inspector's report that finds the Plan sound and legally compliant. Adoption of the Plan would be a decision for Council.</p>

**SURREY COUNTY COUNCIL****CABINET****DATE: 18 DECEMBER 2018****LEAD OFFICER: JASON RUSSELL – EXECUTIVE DIRECTOR FOR HIGHWAYS,  
TRANSPORT & ENVIRONMENT****COMMUNITY PLACE  
VISION  
OUTCOME:****SUBJECT: UPDATED HIGHWAY ASSET MANAGEMENT STRATEGY AND  
POLICIES****SUMMARY OF ISSUE:**

A new Code of Practice (referred to as the 'Code' in this document) for Highway Maintenance, [Well Managed Highway Infrastructure](#), was released in October 2016. The Code is intended to apply throughout the UK and remains valid until October 2018 when local authorities need to have adopted their own integrated asset management approach to highway infrastructure.

Surrey Highways has good risk based approaches already in place for its activities. Routinely reviewing the effectiveness of each activity and planning improvements is an ongoing Business as Usual (BAU) activity. Senior Management & Politicians' support and recognition of this was documented on [Surrey's website](#) in October 2018.

Over the past two years since the new code was released, workshops and project groups have met to discuss each of the 36 recommendations in the code. These discussions captured good practice as well as identifying opportunities for operational improvements. Our officers have worked with other Local Authorities in the South East in order to benchmark each other's policies and procedures.

As a result of this work, we are satisfied that our policies and methods of operation align with the risk-based approach within the new code's 36 recommendations.

We have put in place enhanced data collection and have scheduled regular evidence review procedures in order to monitor risk and identify any changing trends over time to see if any update in policy is required.

While we are satisfied that our policies align with the recommended risk-based approach, this report is brought to Cabinet to make some updates to existing policy documents that were identified as being beneficial during the review. These will update and improve our existing policies.

These policy updates are brought along with the updated Asset Strategy, which has been reviewed and updated 2 years after it was published in 2016 as recommended by the "Highway Infrastructure Asset Management Guidance" (HIAMG) document.

## **RECOMMENDATIONS:**

1. It is recommended that Cabinet approves:
  - a) the Capital Scheme Prioritisation Policy (Annex 1).
  - b) the Skid Resistance Policy (Annex 2).
  - c) the Hierarchy Definition Policy (Annex 3).
  - d) the Highway Safety Inspection Policy (Annex 4).
  - e) the revised Highway Asset Management Strategy
2. That Cabinet delegates authority to the Cabinet Member for Highways to review and update Policies as set out in a) to e) in response to changes in legislation, guidance or practice in the future.

## **REASON FOR RECOMMENDATIONS:**

These recommendations are made to ensure that these policy documents are updated to accurately and clearly explain to elected Members and the public how Surrey County Council Highways:

- Prioritises its capital highway works,
- Monitors and reviews skid resistance of the highway
- Defines its network hierarchy
- Undertakes Highway Safety Inspections
- Manages its Highway Assets with consideration to risk and value for money

## **DETAILS:**

This section summarises the changes being made in each of the 5 attached documents.

### **Capital Scheme Prioritisation Policy (Annex 1)**

1. The existing prioritisation policy is on the public website here:
  - a. [https://www.surreycc.gov.uk/\\_data/assets/pdf\\_file/0016/45052/Prioritisation-Policy-and-Criteria-v3.pdf](https://www.surreycc.gov.uk/_data/assets/pdf_file/0016/45052/Prioritisation-Policy-and-Criteria-v3.pdf)
2. The existing prioritisation policy was reviewed in line with the new Code of Practice, a gap analysis undertaken and discussed at workshops with relevant officers to review existing systems and process.
3. The policy has been benchmarked and discussed with other South East Local Authorities.
4. The following changes have been made in this update:
  - a. The Roads and Footway prioritisation scoring has been modified. The mechanical survey score will no longer influence overall scheme priority rank, as it did previously. The mechanical survey score will still be one of the ways a scheme can be promoted for consideration, along with schemes put forward by Area Highway Teams or Members. This change means that schemes generated from mechanical surveys will not be given a greater weighting in prioritisation scoring, and it will give the same weighting to schemes

generated by Local and Joint Committees to those promoted by Highway Teams.

- b. The Roads 'Value for money split' has been changed from 30:70 split for preventative (surface treatment): needs based (Major Maintenance) work types, to a 40:60 split. This split gives a higher % allocation for preventative maintenance and will treat greater lengths of road in moderate condition. This approach is recommended best practice set out in the Department for Transport's (DfT) Pothole Report and slows deterioration, giving better value for money, rather than treating worst areas first. This reduces risk across the network during a period of managed decline and when there are ongoing pressures on budgets.
- c. The Roads member influence criteria has been re-worded to reflect local committee feedback. This will allow a more flexible approach to be taken to engagement with Local and Joint Committees when additional funding is made available, for instance the severe weather funding approved by cabinet for 2018-19 and 2019-20. This will better suit the immediate needs of local committees.
- d. The Structures section has had formatting and layout updated but the methodology remains broadly in line with the previous policy.
- e. The Drainage methodology has been clarified to explain the 'wet spots' list and how schemes are progressed by working through priorities.
- f. The Safety Barrier methodology has been altered in the notes section to reflect the approach of decluttering in accordance with the Code of Practice. Infrastructure that no longer meets current standards will be assessed and where possible replaced with alternative cost effective solutions or removed altogether.

### **Skid Resistance Policy (Annex 2)**

5. This policy states how the Council will monitor skid resistance on its network, and how sites are prioritised for further investigation
6. The policy will be published on our website and forms part of the Asset Management Framework.
7. The policy is based on the Design Manual for Roads and Bridges HD28/15 and the RSTA Guidance on Road Skid Resistance Policy Issue 1:2015.
8. Locally determined variations have been established through workshops with relevant officers and benchmarking against other South Eastern authorities.
9. The SCRIM network will include all 'A' classification roads plus non A road SPN 1&2 roads. The SCRIM network is approx. 900Km.

### Highway Hierarchy Definition Policy (Annex 3)

10. The existing hierarchy definition is part of the Highway Safety Inspection (HSI) Policy found here:
  - a. [https://www.surreycc.gov.uk/\\_\\_data/assets/pdf\\_file/0005/34547/Highway-Safety-Inspection-Policy-Nov13.pdf](https://www.surreycc.gov.uk/__data/assets/pdf_file/0005/34547/Highway-Safety-Inspection-Policy-Nov13.pdf)
11. It is proposed to separate the hierarchy definition into a new policy separate from the HSI Policy
12. The reason for separating the two policies is because although the hierarchy is integral to defining inspection frequencies, it is also an important part of other highway activities – for example the Capital Prioritisation Policy, Salting Routes, Tree Inspections.
13. The new Hierarchy Policy includes the following changes:
  - a. Improved introduction and explanation of how hierarchies were created, how they are managed and updated, and how they are used
  - b. Improved clarity of SPN 4b definition in response to disputed enquiries
  - c. Improved clarity on categorisation of un-metalled roads and footways - SPN 5 and Rights of Way
  - d. Paragraph added describing how the footway hierarchy considers vulnerable users
  - e. Cycle routes definition has been updated to align with revised Code of Practice definition and cycle inventory dataset owned by Surrey's Transport Policy Team

### Highway Safety Inspection (HSI) Policy (Annex 4)

14. The existing Highway Safety Inspection Policy can be found here:
  - a. [https://www.surreycc.gov.uk/\\_\\_data/assets/pdf\\_file/0005/34547/Highway-Safety-Inspection-Policy-Nov13.pdf](https://www.surreycc.gov.uk/__data/assets/pdf_file/0005/34547/Highway-Safety-Inspection-Policy-Nov13.pdf)
15. The HSI Policy has been updated to separate the hierarchy definition into a new policy as explained in the Hierarchy Policy section above
16. The annex 'Highway Safety Inspection Policy Annex B - November 2013' was previously shown on the public website describing the SPN Review of 2013. This will be removed. Relevant information from this annex has been added to the new HIS and Hierarchy policies

## Highways & Transport Asset Management Strategy

17. Our existing Asset Management Strategy was published in 2016 and sets out how we manage our highway assets.
18. The strategy describes how we:
  - a. Develop our forward works programmes
  - b. How we collect and analyse data
  - c. Our Asset Management Policy
  - d. monitor and manage risk
  - e. Set our service Levels
  - f. Benchmark against other Local Authorities
19. The existing Highways & Transport Asset Management Strategy was published in June 2016 and can be found here:
  - a. [https://www.surreycc.gov.uk/\\_\\_data/assets/pdf\\_file/0011/98336/Asset-Management-Strategy-June-2016.pdf](https://www.surreycc.gov.uk/__data/assets/pdf_file/0011/98336/Asset-Management-Strategy-June-2016.pdf)
20. The revised strategy sets out the data we collect and how we use it to analyse the overall condition of our assets and produce the following supporting documents:
  - a. Investment Plans
  - b. Lifecycle Plans
  - c. Deterioration Models
  - d. Short & Medium Term Programmes
  - e. Asset Summaries
21. In 2016 the above supporting documents listed in item 19 were included in the Asset Strategy but in this updated version they have been separated into standalone documents that will form part of our Asset Management Framework. This updated 2018 Asset Strategy describes the methodologies we use to develop these plans, models and programmes.

### **CONSULTATION:**

22. Workshops have been held internally with relevant officers to gather feedback on Surrey's existing activities when reviewing the new Code of Practice. The updated policy documents in this report have been shared for comment with relevant officers.
23. Benchmarking of Surrey's policies and procedures has been undertaken against other South East Local Authorities through regular and ongoing workshops.
24. The Cabinet Member for Place was consulted during Summer 2018 to update him on the proposed changes and the work that had been undertaken.
25. The Chair of the Highways & Growth Select Committee was consulted with regard to this report coming to the committee for scrutiny. It was agreed that given the subject matter it would be sufficient to share the report with the committee but it will not feature on the agenda.

## **RISK MANAGEMENT AND IMPLICATIONS:**

26. As section A1.1.5 of the Code states:
- a. “The intention of this Code is that Authorities will develop their own levels of service and the Code therefore provides guidance for authorities to consider when developing their approach in accordance with local needs, priorities and affordability.”
27. Surrey already monitors risk in relation to our activities. Where opportunities for improved risk monitoring have been identified we have put in place enhanced data collection and have scheduled regular evidence review procedures in order to monitor risk and identify any changing trends over time.
28. Through this data collection, analysis and review officers will identify changing risks (reducing or increasing) and consider where further updates to policy could be recommended in response to the evidence.

## **Financial and Value for Money Implications**

29. None of the updated policy documents are considered to have a negative financial impact compared to existing policy
30. The Asset Strategy and Capital Scheme Prioritisation Policy both describe how Surrey undertakes an Asset Management approach. This helps provide value for money by identifying assets that are most in need of treatment and most risk to network users. Intervening to extend asset life with lifecycle treatments wherever possible helps reduce lifetime cost of assets by intervening at optimum time to extend life and deliver value for money.
31. The changes to the carriageway scoring in the Capital Prioritisation Policy will further improve how maintenance funding is targeted to roads that provide best value to residents and roads users wherever possible.
32. The Highway Hierarchy Definition identifies roads and footways that are used most, and is used to prioritise our works where they will benefit (and reduce risk to) the highest number of road users, therefore helping to deliver value for money.

## **Section 151 Officer Commentary**

33. The policies and strategy presented in this report do not commit the council to additional expenditure. Instead, they are expected to improve identification and prioritisation of highway assets in need of treatment, thereby allowing the council to make best use of existing resources and improve value for money to residents. The Highway Safety Inspection Policy, which sets out the nature and frequency of inspections, is expected to be delivered within existing service budgets.

### **Legal Implications – Monitoring Officer**

34. The County Council has a statutory duty under s41 of the Highways Act 1980 to maintain the fabric of the publicly maintainable highway, which includes drainage.
35. The County also has a duty under s130 of that Act to assert and protect the right of the public to the use and enjoyment of any highway.
36. The new national Code of Practice for Highway Maintenance seeks to be useful guidance for authorities to incorporate when developing their approach in accordance with local needs, priorities and affordability. While its status is guidance and adoption of the recommendations within the document is a matter for each Highway Authority. Such guidance informs best practice nationally and is persuasive.
37. The County's updated Highways and Transport Asset Management Strategy seeks to determine how the County will of necessity prioritise and deliver the work required to satisfy these statutory duties. This is also necessary in order to demonstrate that DfT requirements for funding are met.

### **Equalities and Diversity**

38. Equality Impact Assessment (EQIA) checklist has been completed for all policies.
39. The checklist indicated that a Full EQIA was necessary only for the Highway Safety Inspection Policy. This has been carried out.

### **Environmental sustainability implications**

40. An Environmental Sustainability Assessment is not required for these policy changes.

### **WHAT HAPPENS NEXT:**

41. All policies will be updated on the web site, and any older versions will be removed. Data collection and analysis to support the risk based approach, and any recommendations for further policy updates resulting from this will be progressed through the Cabinet Member for Place once recommendations for delegation have been approved by Cabinet

#### **Contact Officer:**

Dan Squibb, Asset Planning Team Manager, 07800 734179

#### **Consulted:**

Lucy Monie – Head of Highways  
 Amanda Richards – Network & Asset Management Group Manager  
 Matthew Gallop – Asset Policy & Programme Team Leader  
 Jane Young – Highway Engineering Manager  
 Neil Smith – Network Safety Team Leader  
 Sharon Williams – Principal Insurance Officer

Zena Curry – South East Area Highway Manager  
 Andrew Milne – North West Area Highway Manager  
 Nick Healey – North East Area Highway Manager  
 Dan Robinson – Asset Programme Manager (Structures & Slopes)  
 Steve Mitchell – Countryside Access Team Manager  
 Alan McLean - Asset Policy & Programme Project Manager  
 Other neighbouring South East Local Authority officers  
 Various other officers attended workshops also

**Annexes:**

Annex 1 Prioritisation Policy Criteria (FINAL) - Dec 2018 v4.0  
 Annex 2 Skid Resistance Policy (FINAL) - Dec 2018 v1.0  
 Annex 3 SCC Highway Hierarchy Definition Policy Dec 2018 v1.0  
 Annex 4 SCC Highway Safety Inspection Policy Dec 2018 v6.0  
 Annex 5 Asset Strategy (FINAL) Dec 2018 v2.0

**Sources/background papers:**

- Wee-managed Highway Infrastructure – A Code of Practice
  - <http://www.ukroadsliaisongroup.org/en/utilities/document-summary.cfm?docid=4F93BA10-D3B0-4222-827A8C48401B26AC>
- HMEP UKRLG Highway Infrastructure Asset Management Guidance
  - <http://www.ukroadsliaisongroup.org/en/utilities/document-summary.cfm?docid=5C49F48E-1CE0-477F-933ACBFA169AF8CB>
- Design Manual for Roads and Bridges (DMRB)
  - <http://www.standardsforhighways.co.uk/ha/standards/dmr/>

# **Capital Prioritisation Policy for Highway Assets**

## **Roads, Footways, Structures, Drainage & Safety Barriers**

**December 2018 – Version 4**

## Capital Prioritisation Policy for Highway Assets Roads, Footways, Structures, Drainage & Safety Barriers

Surrey Roads have among the highest levels of road use in the UK. They provide access to jobs, schools, services and businesses. It is essential that we spend our Capital funds in the most cost effective way possible in the current economic climate so that the highway network can be used to help make Surrey's economy strong and effective and can help to fulfill the Council's purpose;

**To ensure good quality public services for the residents of Surrey so they remain healthy, safe and confident about the future.**

Despite the reductions in overall council funding in recent years, Surrey has maintained its highways maintenance budgets at historic levels. However current funding is not at a level to properly address the maintenance backlog across all of our highway asset.

It is necessary that whatever funds are available are spent on the right schemes at the right time and that schemes are prioritised using optimisation methodologies to maximise risk reduction and minimise whole life costs.

The Highway Infrastructure Asset Management Guidance document describes the programme development process as shown:



Figure 6 – Developing a Programme of Works

The methods that we use to optimise our programme have been developed from best practice methods found in “Well-Managed Highway Infrastructure – A Code of Practice” and through discussions within National Forums and with other Local Highway Authorities,

- **Highway Maintenance/Improvement Issues** – we will analyse condition data available for each asset to identify need for maintenance and/or improvement.
- **Network Hierarchy** - we will ensure that greater priority is given to roads and key assets on roads that have the greatest usage or need.
- **Risk** – we will give a higher priority to schemes that pose a risk to public safety.
- **Value for Money** – we will use the right treatments at the right time in order to produce cost effective solutions.

- **Network Management** - we will ensure works are programmed to minimise disruption to users and maximise benefits to the community by combining schemes for different assets together where possible.

Each asset has its own set of prioritisation criteria and weighting sets based on the principles above which take into account the unique attributes and requirements of each asset. These criteria will be reviewed and approved by the Cabinet Member for Place every 2 years (in line with the Asset Strategy update frequency) so that they can take account of changing requirements and priorities.

## Prioritisation Glossary

<b>BCI</b>	<b>Bridge Condition Index</b>
	This is the industry standard measurement of bridge condition derived from inspections. Inspections are carried out in accordance with The Inspection Manual for Highways Structures 2007 by trained bridge inspectors. General Inspections (visual) are carried out every 2 years, principal inspections (detailed/tactile) every 6 years and at risk structures are inspected at a frequency determined based on the level of risk.
<b>BMS</b>	<b>Bridge Management System</b>
	A System use to store, manipulate, manage and retrieve data and information related to Bridges.
<b>CIPFA</b>	<b>Chartered Institute of Public Finance and Accountancy</b>
	The CIPFA code of Transport and Infrastructure Assets provides details of how Local Authorities should value their Highway Assets in order to provide information required by HM Treasury for Whole of Government Accounting.
<b>CVI</b>	<b>Course Visual Survey</b>
	This is the industry standard survey used to measure road condition on the unclassified road network. The data is derived from a visual inspection carried out by trained inspectors.
-	<b>Engineers Visual Assessment</b>
	Engineers from Asset Planning Group make a visual assessment of a site and score the site based on a list of defined criteria.
-	<b>Parapet</b>
	A wall/rail/fence that runs along the outside edges of the bridge deck, or retaining wall, parallel to the direction of traffic flow. The purpose of the parapet is to prevent users from accidentally falling off the bridge or retaining wall.
<b>FDC</b>	<b>Flow Duration Curve</b>
	Graph that shows the proportion of time during which discharges of water equal or exceed a specified measure
<b>FNS</b>	<b>Footway Network Survey</b>
	An industry standard survey used to measure footway (pavement) condition. Data is collected by trained survey technicians.
<b>HSI</b>	<b>Highway Safety Inspection</b>
	Inspections of the highway are carried out at specified intervals based on the road hierarchy to identify safety defects and order works that fit into the inspection matrix.
-	<b>Lifecycle Planning</b>
	By considering an asset over its whole lifecycle, it is possible to select the optimum point to intervene with the optimum treatment. Surrey County Council is using tools newly developed by the Highway Industry to carry out this work on key highway assets to better inform future programmes of work.
-	<b>Major Maintenance</b>
	Significant structural work to an asset. For roads or pavements this generally involves removing one or more layers of the existing surface and replacing them, for bridges, safety barriers or drainage assets this could involve replacing all or significant parts of the structure.
-	<b>Planned Maintenance</b>
	Programmes of work that make permanent long term improvements to highway assets. This type of work is more cost effective than reactive maintenance as it allows time for the most appropriate and cost effective treatments to be identified and allows for co-ordination of works on different highway assets.
-	<b>Preventative Maintenance</b>

	<p>Preventative Maintenance treatments are used in a similar way as varnish is used to preserve and prolong the life of a window frame. Unlike Major Maintenance they generally don't involve removing and replacing, but instead are applied on top of what is existing to preserve where the underlying structure is still intact. On roads treatments such as surface dressing are used to reinstate skid resistance and seal against the ingress of water to the lower layers of the road structure.</p> <p>Although it may not seem like an obviously sensible use of resources to treat a road that is still in fairly good condition when other worse roads are left untreated, spending money on preventative maintenance improves the resilience of the highway network and prolongs the life of highway assets in a cost efficient way, leading to an overall long term improvement.</p>
-	<b>Horizon</b>
	Surrey's long term planned maintenance programme covering the main asset types. It is compiled based on 5 year funding projections although the final list cannot be guaranteed.
<b>RCI</b>	<b>Road Condition Indicator</b>
	This is the industry standard measure of road condition used. It is derived from machine surveys carried out on the Classified Road Network (A, B & C roads).
-	<b>Reactive Maintenance</b>
	<p>Maintenance that is carried out due to an imminent safety risk. This could include pothole repair on roads, pavements (footways) or cycle routes, replacement of regulatory white lines, broken or missing ironwork, repair of bent or out of shape rails, barriers, road signs or traffic signals, and trees or vegetation with an obvious danger of falling.</p> <p>Although the intent is to make permanent first time fixes this is not always possible and temporary fixes are sometimes required with a permanent fix to follow.</p> <p>Reactive Maintenance costs more in the long term than Planned Maintenance.</p>
<b>RRRAP</b>	<b>Road Restraint Risk Assessment Process</b>
	Tool to assist assessing the need for a vehicle restraint (safety barrier) and, if so, its performance requirements.
<b>SCRIM</b>	<b>Sideway-force Coefficient Routine Investigation Machine</b>
	Vehicle that measures the Skid Resistance of the road surface.
<b>SV/SOV</b>	<b>Special Vehicle / Special Order Vehicle</b>
	These relate to the load capacity of highway structures. They are abnormal load vehicles, such as mobile cranes and large construction plant on low loaders, which are heavier than normal 40/44t vehicles permitted on the highway.
<b>SPN</b>	<b>Surrey Priority Network</b>
	The network by which Surrey manages and maintains the public highway within the county. The SPN defines hierarchies for all elements of the highway network including roads, pavements and cycle routes. It reflects the needs, priorities and actual use of each element of the network and is used to identify needs based provision of services and identify appropriate levels of service.
-	<b>Wetspot</b>
	"Wetspot" is a term used by the lead local flood authority (Surrey County Council) to describe the location of a flood incident that has been reported.

# Roads Prioritisation Value Management Scoring

## 1. Highway Maintenance/Improvement Issues

Condition	Score
Engineers Visual Assessment	Max 278

## 2. Network Hierarchy

Hierarchy of road	Score
SPN1&2	100
SPN3	50
SPN4a	25
SPN4b	10

## 3. Risk

Prioritise potential risk to public and take account of varying rates of deterioration between HSI visits

Risk	Score
SCRIM	100
Skid Accidents	40
Claims history	100
Number of reactive gang visits to repair pothole defects	Max 100*

## 4. Value for Money

Budget will ideally be split at a ratio of 40/60 for preventative maintenance schemes and needs based schemes in order to achieve a cost effective balance of preserving roads that have not yet fully deteriorated and fixing those that have.

A long term programme of work 'Horizon' will be published giving opportunity to achieve efficiency through cross asset priority. Early contractor engagement can then seek to achieve innovative solutions for further cost savings.

## 5. Network Management

No score is currently proposed, and the value will be determined during the work's programming phase on scheme by scheme basis.

## 6. Member Influence

In order that local priorities are reflected in the annual planned maintenance programme Local Committees will be consulted and updated on progress of delivery. Consideration can be given to local concerns depending on risks to programme delivery.

## Footway Prioritisation Value Management Scoring

### 1. Highway Maintenance/Improvement Issues

Condition	Score
Engineers Visual Assessment	Max 200

### 2. Network Hierarchy

Hierarchy of footway	Score
Footway Cat 1	100
Footway Cat 2	50
Footway Cat 3	25
Footway Cat 4	10

### 3. Risk

Prioritise potential risk to public and take account of varying rates of deterioration between HSI visits

Risk	Score
Claims history	100
Footway defects recorded 1-5	10
Footway defects recorded 6-20	25
Footway defects recorded 21-50	50
Footway defects recorded 51-100	100

### 4. Value for Money

Budget will ideally be split at a ratio of 40/60 for preventative maintenance schemes and needs based schemes in order to achieve a cost effective balance of preserving Footways that have not yet fully deteriorated and fixing those that have.

A long term programme of work 'Horizon' will be published giving opportunity to achieve efficiency through cross asset priority. Early contractor engagement can then seek to achieve innovative solutions for further cost savings.

### 5. Network Management

No score is currently proposed, and the value will be determined during the work's programming phase on scheme by scheme basis

### 6. Member Influence

In order that local priorities are reflected, schemes promoted by county councillors will receive an additional 50 points.

# Structures Prioritisation Value Management Scoring

## 1. Highway Maintenance/Improvement Issues

The Bridge Condition Index is the industry standard measurement of bridge condition derived from inspections. Inspections are carried in accordance with The Inspection Manual for Highway Structures 2007 by trained bridge inspectors.

BCI Range	Average Stock Condition	Critical Stock Condition
100 → 90 Very Good	Bridge stock is in a <b>very good</b> condition.	Represents <b>very low risk</b> to public safety.
90 → 80 Good	Bridge stock is in a <b>good</b> condition.	Represents a <b>low risk</b> to public safety.
80 → 65 Fair	Bridge stock is in a <b>fair</b> condition.	Some structures may represent a <b>moderate risk</b> to public safety.
65 → 40 Poor	Bridge stock is in a <b>poor/substandard</b> condition.	Some structures may represent a <b>significant risk</b> to public safety.
40 → 0 Very Poor	Bridge stock is in a <b>very poor/substandard</b> condition.	Some structures may represent a <b>high risk</b> to public safety.

- Condition Factors

f1	<p><b>Assessment rating</b>                      Score 0 for 40T and full SV/SOV or for meeting long term ad carrying aspiration for this route                      Score 1 for 40T assessment rating with insufficient SV capacity                      Score 8 for 17T &amp; 7.5T assessment rating                      Score 10 for 3T assessment rating                      Score 15 for &lt; 3T assessment rating</p>
f2	<p><b>Condition Score (BCI)</b>                      Score 1 for BCI score 90 - 100                      Score 3 for BCI score 80 - 90                      Score 5 for BCI score 66 - 80                      Score 8 for BCI score 40 - 65                      Score 12 for BCI score 0 - 39</p>
f3	<p><b>Heritage Factor</b>                      Score 1 for no heritage or local interest                      Score 3 for not listed but has local interest                      Score 5 for listed structure</p>

- Improvement Factors

f4	<b>Substandard features of bridge</b> Score 1 for adequate road & footway widths Score 4 for bottleneck (road on bridge narrower than on approaches) or humpback bridge Score 6 for inadequate or non-existent footway provision if there is scope to improve Score 8 for multiple sub-standard features
f5	<b>Parapet Resilience</b> Score 1 for H4a parapet or welded steel half through type Score 2 for N1 to N2 parapet or riveted steel/wrought iron half through type Score 4 for brickwork/masonry parapet Score 5 for any BACO parapet system Score 8 for cast iron, corrugated sheet parapet, timber post & rail or concrete post/steel rail
f6	<b>Substandard features of bridge that could be improved</b> Score 1 for adequate road width & at least 1.2m footways or verges at each side Score 4 for single sub-standard feature that can be addressed Score 8 for multiple sub-standard features which can be addressed

## 2. Network Hierarchy

The network hierarchy reflects the impact of disruption caused by lane or road closures for construction work.

f7	<b>Road Classification</b> Score 1 for SPN 4a or 4b Score 4 for SPN 3 Score 6 for SPN2 Score 10 for SPN1
f8	<b>Network impact of failure/closure</b> Score 1 if adequate alternative is available with short diversion Score 3 if diversion adds less than 4 miles to journeys Score 6 if diversion route is longer than 4 miles Score 8 if there is no alternative route
f9	<b>Effect of Weight Restriction</b> Score 1 for little or no inconvenience Score 4 for significant inconvenience (no alternative route)
f10	<b>Integrated Transport</b> Score 1 for no bus route and/or not strategically important route Score 5 for bus route or strategically important route

### 3. Risk

This section includes project risk, due to programming issues and the interests of third parties.

f11	<p><b>Likelihood of Failure</b>          Score 1 for no signs of distress if failure will be gradual &amp; preceded by extensive cracking          Score 4 for no signs of distress if the failure mode predicted would be sudden          Score 8 for signs of distress such as cracking, deflection or delamination</p>
f12	<p><b>Consequence of failure</b>          Score 1 for road over non-navigable watercourse or stream low risk of casualties          Score 4 for road over river or canal          Score 8 for road over road or railway</p>
f13	<p><b>Accident History</b>          Score 1 for no accident history in vicinity of bridge in past 10 years          Score 5 for 1 to 3 accidents in the vicinity of the bridge in the past 10 years          Score 10 for more than 3 accidents in the vicinity of the bridge in the past 10 years</p>
f14	<p><b>Risk of Scour</b>          Score 1 for Low Risk – structures with good flood resilience / piled foundations          Score 5 for Medium Risk – structures with good flood resilience / shallow foundations          Score 10 for High Risk – structures with poor flood resilience / unknown foundation type</p>

### 4. Value for Money

Our Bridge Management System (Bridgestation) will enable lifecycle planning to indicate if intervention maintenance will reduce costs over the life a structure.

A long term programme of work 'Horizon' will be published giving opportunity to achieve efficiency through cross asset priority. Early contractor engagement can then seek to achieve innovative solutions for further cost savings.

### 5. Network Management

No score is currently proposed and the value will be determined during the work's programming phase on scheme by scheme basis.

## Drainage Prioritisation Value Management Scoring

### Works to resolve Wetspots

The Wetspot database is used to prioritise, plan and programme future works efficiently, so that our limited resources can be used to best effect. We pass on information relating to Wetspots which fall outside SCC's remit to the responsible 3<sup>rd</sup> party organisations or individuals such as landowners.

For the remaining sites the Wetspot scoring system is used to prioritise whether works are carried out to try and reduce the risk; the higher the score the more likely that works will be done. Scores range from 400 for very high risk sites to 1 for exceptionally low risk areas.

The scoring thresholds depend on the available budget and resource but currently:

#### **Over 150**

Wetspots with a score of over 150 are further investigated with a view to developing mitigation actions, and those with the highest scores are prioritised. These works could be carried out by the local areas highways team as part of local Highways revenue budgets or included in wider Capital works programme for the current or future years. Those Wetspots with no immediate capital solution are kept on the list and reviewed regularly to identify risk reduction measures.

#### **50-150**

Wetspots with a score between 150 and 50 are regularly reviewed with local officers to ensure the score hasn't increased and if the site is still at risk. It is unlikely that Wetspots with these scores will have specific works budget allocated out to address them, however if other works are being carried out in the area these sites may be included in those works.

#### **Below 50**

Wetspots with a score lower than 50 are considered low risk and are included for information only. Wetspots with a score this low represent only minor nuisance and are unlikely to present significant inconvenience to the public. If new information becomes available the Wetspot may get rescored or we may try to address the problem if we are carrying out other works in the area. If the flooding does not reoccur within 2 years the Wetspot may be classed as dormant and although not removed from the database, it is considered resolved.

Estimated Max score = 400

## SCORING FACTORS

### 1. Network Hierarchy and Road Type

Hierarchy of Road	Points
SPN 1	40
SPN 2	20
SPN 3	10
SPN 4a	5
SPN 4b	5
Speed limit (mph)	Points
30 or less	0
40	5
50	10
60	20
70	35
N/A	0
Footway Hierarchy	Points
1	5
2	3
3	1
4/ None	0
N/A	0

### 2. Risk Frequency

Estimated frequency of flooding	Points
<once a year	1
Once a year	10
1-2 times a year	15
3-5 times a year	20
>5 times a year	30
Does flood water remain on road for more than 12 hours?	
No	0
Yes	20

### 3. Risk Impact

Extent of flood	Points
It does not flood the highway	0
In the carriageway channel or similar	2
Half way across road	20
Completely across road	30
Only floods adjacent land	1

<b>Maximum depth of water in road</b>	<b>Points</b>
N/A	0
<50mm	0
50mm-100mm	5
100mm-200mm	10
>200mm	15

<b>Footway flooding</b>	<b>Points</b>
There is no footway	0
Footway is not affected	0
Footway not affected but vehicle splash affects pedestrian access	2
1 of footways is flooded	2
Both footway's flooded (or there is only 1 footway)	5

<b>Safety*</b>	<b>Points</b>
Confirmed minor injury due to/exacerbated by Wetspot	30
Confirmed major casualty accident due to/exacerbated by Wetspot	100
Emergency Services highlighted area as High Risk	30
<b>Forward driver visibility (considering bends/dips)</b>	<b>Points</b>
<20m	15
20m-50m	10
50m-100m	5
>100m	0

<b>Internal Property Flood numbers</b>	<b>Points</b>
0	0
1	20
2	40
3	60
4	80
5+	100
<b>Repeated internal property floods (in last 5 years)</b>	<b>Points</b>
0	0

1	30
2	60
3	90
4	120
5+	150
<b>External Property Floods - Only applies if property not internally flooded</b>	<b>Points</b>
0	0
1	5
2	10
3	15
4	20
5+	25
<b>Repeated external property floods (in the last 5 years)</b>	<b>Points</b>
0	0
1	10
2	20
3	30
4	40
5+	50

<b>Causes major congestion</b>	<b>Points</b>
No	0
Moderately affected	8
Yes- severely affected	15
<b>Did the road have to be closed?</b>	
No	0
Yes	20

<b>Residential damage.</b> Impact of external flooding- including garages & outbuildings (only applies if property not internally flooded)	<b>Points</b>
None	0
Low- minor flooding, does not cause any damage or affect access e.g. garden flooding and contents only damage or temporary superficial damage to structure	5
Medium- Moderate flooding, causes little damage/ some access may be hindered e.g. permanent non-structural damage	10
High- Large flooding, damage caused/ affects some access e.g. permanent structural damage	15

<b>Economic/ social Impact of flooding.</b> (Internal/ external non-residential properties when a flood is in a position to directly affect the operation of, or the access to a business or social organisation including but not limited to; places of worship, community centres and shopping centres)	<b>Points</b>
None	0
Low	1
Medium	5
High	10

<b>Damage to the highway:</b> Is there evidence that flooding is damaging the highway	<b>Points</b>
No	0
Yes- Slight damage, no action necessary	1
Yes- Some damage, may need repair at some point	10
Yes- Damage evident, will need repair very soon	20
Yes- Major damage, repair urgent	40

<b>Additional Resource:</b> Has the problem resulted in a callout (tankers/ sandbags/ flood boards) or does the location require additional regular maintenance? Please detail in textbox (question 35/36).	<b>Points</b>
No	0
Yes- Once	5
Yes- More than once	10
Yes- Every time it rains	20

<b>Critical Services:</b> Severely restricts access to/ functionality of services and/ or infrastructure (e.g. schools, surgeries, care homes, hospitals, etc.)	<b>Points.</b>
None	0
Low- e.g. public transport/ village hall	5
Medium- e.g. day centres/ schools	10
High- e.g. care homes/ GPs/ schools	20
Very High- e.g. hospitals	30

Miscellaneous	Points
Foul Sewage Surcharge	20

\* Safety scores allocated during the desktop exercise used to produce the wetspot list will be validated by site safety assessments on each site by drainage engineers. They will use an agreed checklist to ensure that subjectivity is not a factor in the scoring system to ensure consistency of scores across the county. If an engineer carrying out a site safety assessment identifies that a site poses a significant and immediate safety risk they will highlight this the Drainage Asset Team Leader to “boost” the scheme to the current years’ programme.

#### 4. Value for Money

The budget will be prioritised based primarily on the risk score of wetspots as this is a reactive service. Around 10% of the annual capital budget for the year is reserved for investigatory work for the programme pipeline and for contributions to other capital programmes which are able to address drainage issues as part of their works. Typically these minor schemes would have a total value of less than £25,000.

#### 5. Network Management

No score is currently proposed and the value will be determined during the works’ programming phase on scheme by scheme basis.

#### Notes;

Given the low number of wetspots with confirmed accidents, repeated property flooding, and the importance of issues with a threat to life, the “Confirmed injury due to/exacerbated by wetspot” score is set high enough to ensure that these wetspots sit at the top of the list or thereabouts. The “Risk” element of schemes with no accident history or specific perceived risk, will be reflected in the SPN score.

Due to the importance of acknowledging safety concerns from emergency services, an official report on safety risk from one of these agencies will be acknowledged via a score in the miscellaneous section.

## Safety Barrier Prioritisation Value Management Scoring

### 1. Highway Maintenance/Improvement Issues

Condition	Score
Red - Very Poor - Unlikely to perform as designed/known accident site	Priority 1 programme
High Amber - Poor - Might perform as intended	Priority 2 programme
Low Amber – Isolated minor defects – sufficient integrity and likely to perform as intended	Priority 3 programme
Good - All elements satisfactory, expected to perform	None

### 2. Network Hierarchy

Hierarchy of road	Score
SPN 1	3
SPN2	3
SPN3	2
SPN4a	1
SPN4b	1
High speed roads (70 mph)	Score x 1.5

### 3. Risk

Prioritise risk to public (if barrier is protecting from more than one hazard then the most aggressive is taken into account)

Risk	Score
Bridge or retaining wall above 3m without parapet protection	7
Bridge – Rail	7
Bridge – Motorway	5
Known Accident Location (*New Safety Barrier Scheme)	5
Central Reservation	4
Structure	4
Bridge – Road/River/Canal/Subway	3
Slipway road	2
Parallel Carriageway (not central reservation)	2
Junction Box/Electrics	1
Hazard other	1
Verge	1
Embankment	1
Bridge – Stream	1
Road Sign/post	1
Private Property/Access	1

#### 4. Value for Money

A long term programme of work 'Horizon' will be published giving opportunity to achieve efficiency through cross asset priority. Early contractor engagement can then seek to achieve innovative solutions for further cost savings.

#### 5. Network Management

No score is currently proposed and the value will be determined during the works programming phase on scheme by scheme basis.

#### Notes

Safety barrier in red condition are to be treated ahead of safety barrier in amber condition. Red schemes will be programmed first using the Asset Priority Index in descending order, followed by amber schemes programmed second in descending order.

$$\text{Asset Priority Index} = \text{Network Hierarchy} \times \text{Risk} + \text{Value for Money}$$

Whilst it is recognised that the safety barriers provide an additional protection historically a number of safety barriers have been erected that under current assessment would not meet with the criteria for new infrastructure. At these sites the works scheme may not replace a barrier as a barrier may not be assessed to be required, or it may not be possible to install a new barrier compliant with standards at the location. Instead the approach referred to in the UK Roads Boards Liaison Groups "Provision of Road Restraint Systems for Local Authorities" would be used and alternative measures may be installed if the level of risk justifies it. These alternative measures could include installing containment kerbing, bollards or additional signing/lining.

# Skid Resistance Policy

## December 2018 – Version 1

# Surrey County Council Policy for Skid Resistance

## 1. Introduction

1.1 The provision of adequate levels of skidding resistance is a very important aspect of highway maintenance and one that contributes significantly to network safety particularly for cyclists, motorcyclists and equestrians. Whilst the frequency of accidents may increase as skidding resistance falls, there is no clear boundary at which a surface passes from being safe to dangerous.

1.2 Many factors can affect the rate and extent to which a road surface will wear and or polish. There is a need to monitor skid resistance, particularly on 'difficult sites', to ensure risks are managed effectively. Difficult sites are those where the geometry, for example bends, junctions, steep gradients, pedestrian crossings and traffic signals increase the risks of skidding accidents. This document outlines Surrey County Council's policy for monitoring and maintaining the skid resistance of the road network.

## 2. Policy

2.1 Surrey County Council's policy on Skid Resistance<sup>1</sup> follows the requirements of the Design Manual for Roads and Bridges, HD28/15. However, as these standards have been written for Trunk roads they have been amended where required to reflect the needs of Surrey County Council roads. The procedures adopted to monitor skid resistance on the network are risk based and rely on an integrated approach involving Pavement, Maintenance and Safety Engineers.

## 3. Site Testing

3.1 The SCRIM network is approx. 900Km and comprises all principal roads (A roads) and the rest of the Surrey Priority Network Level 1 & 2 but excludes traffic-calmed sections.

3.2 All routine skidding resistance survey tests shall be carried out using Surrey County Council's Sideways Force Coefficient Routine Investigation Machine (SCRIM).

3.3 In exceptional circumstances and for specific locations additional localised testing using the SCRIM vehicle or a portable skid resistance tester may be carried out to identify site specific skid resistance properties.

3.4 If for any reason part of the identified network cannot be surveyed as scheduled, the reasons for the omission must be approved and recorded.

<sup>1</sup>In this document the term 'skid resistance' refers to the frictional properties of the road surface measured using a specified device under standard conditions.

3.4 Routes or sections with a known accident history shall be considered for site-specific assessment irrespective of their network designation or traffic volume.

#### **4. Data Processing**

4.1 Raw data from the SCRIM machine is processed against the referenced network and factored to adjust for seasonal variation using the most appropriate correction method defined in HD28/15 Annexes.

4.2 Results are compared with defined Investigatory Levels (IL) of skid resistance to assess their importance.

4.3 Following data processing a list of prioritised sites is produced for further investigation and action as appropriate. Initial investigation sites will be determined using the Alternative method set out in HD28/15 Annex 7.

#### **5. Risk Assessment**

5.1 All concerns about skid resistance will be examined to an appropriate level of detail. Annual condition survey data will be the basis for responding to an enquiry about any road which is not on the defined network.

5.2 The following should be considered:

- Determine whether the current IL is appropriate
- Determine whether some sort of action may be required
- Determine not to carry out any works, but to keep the site under review
- Determine whether a surface treatment is justified to reduce the risk of accidents in wet/damp conditions

5.3 When the need for remedial measures has been established these measures will be prioritised for inclusion into the appropriate works programme.

5.4 At all sites where a surface treatment has been recommended 'slippery road' warning signs should be erected as a matter of urgency.

## 6. Investigatory Levels

6.1 The approach for setting investigatory levels will follow guidance set out in The RSTA Guidance on Road Skid Resistance Policy Issue 1: August 2015 Appendix 1. The tables are based on HD28/04 and have been amended to give consideration to road speed and better reflect conditions associated with county networks.

6.2 Investigatory levels will be reviewed to reflect when significant changes are made of layout or traffic volumes on any of the routes in the identified network. The review will take place every 4 years (quarter of the network per annum).

## 7. References

- UK Roads Liaison Group: Well-managed Highway Infrastructure - A Code of Practice October 2016
- The RSTA Guidance on Road Skid Resistance Policy Issue 1: August 2015
- Design Manual for Roads and Bridges:
  - Vol 7, Section 3, Part 1. HD28/15 Skid Resistance.
  - Vol 7, Section 5, Part 1. HD36/06 Surfacing Materials for New and Maintenance Construction

# Highway Hierarchy Definition Policy

## Roads, Footways, Cycle Routes

December 2018 - Version 1

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# 1. HIGHWAY NETWORK HIERARCHY - INTRODUCTION

The Surrey County Council (SCC) Highway Hierarchy is well established, the carriageway definition has been in use since around 1989. Hierarchies are in place for Roads, Footways (Pavements) and Cycle Routes.

The hierarchy of a road, footway or cycle route is decided by the Asset Planning Team based on how it scores against stated criteria. Those criteria are defined in this document. Each road, footway or cycle route is scored using the criteria in the definition, and a record kept of why it has been given that hierarchy category. Routine changes are made to the road and footway hierarchy every 3 months as roads are adopted or information about usage is updated. Larger reviews are undertaken every two years to update traffic and bus route data. A history is maintained when changes are made.

Local officers, inspectors, and members of the public provide feedback challenging the road and footway hierarchy, each of which is reviewed on a case by case basis and updates made where appropriate.

The cycle route hierarchy is based on a dataset managed by the Surrey County Council Transport Policy Team

Where roads cross from Surrey into neighbouring Local Authorities, hierarchies have been compared to identify significant differences between safety inspection regimes or winter treatment routes, and adjusted where considered necessary.

The hierarchies are in line with the recommendation for a functional network hierarchy as described in 'Well-Managed Highway Infrastructure: A Code of Practice' (October 2016).

The hierarchy is based on information about how a road, footway or cycle route is used. This helps indicate how important that part of the network is to Surrey's highway users, such as schools, businesses, residents, vulnerable users, shops, waste centres, bus users and emergency services. Understanding how people use the network helps Surrey to plan work that benefits the most network users and vulnerable users, as well as identify where the greatest risk is likely to occur.

Some examples of how Network Hierarchies are used by SCC in providing a resilient network:

- Highway Safety Inspection (HSI) frequencies are based on the hierarchies, as outlined in the policy found [here](#)
- Surrey's winter salting and ploughing treatment routes are prioritised based on the road hierarchy. Information about them can be found [here](#).
- SCC use the hierarchies to help score and prioritise capital work programmes, information about prioritisation can be found [here](#).
- SCC's Network Resilience Team use the road hierarchy to identify and prioritise roads at risk from flooding
- SCC use the road hierarchy to help decide on Levels of Service for maintenance contracts

## 2. Carriageways

The Surrey County Council road hierarchy is called the Surrey Priority Network, or SPN. The SPN is a risk based prioritisation of every road that SCC is responsible for. Each hard surfaced road is assigned one of 5 SPN categories as detailed in the table below– SPN 1, 2, 3, 4a or 4b. The SPN 5 category is used to identify roads that are un-metalled (do not have a maintained hard surface) that vehicles can still use.

The SPN dataset can be viewed in the [Surrey Interactive Map](#) on the SCC website.

CoP for Maintenance Management		Surrey Priority Network (SPN)	
Hierarchy description	Type of road General description	Surrey Priority Network Level	Type of road General description
Motorway	Limited access - motorway regulations apply  Routes for fast moving long distance traffic. Fully grade separated and restrictions on use.	Not applicable	Not applicable
Strategic Route	Trunk and some Principal "A" roads between Primary destinations	<b>SPN Level 1</b>	Mainly Principal "A" class roads but including some strategically important Non-Principal roads  Speed limits are usually in excess of 40 mph and there are few junctions. Pedestrian crossings are either segregated or controlled and parked vehicles are generally prohibited.  >18,000 AADT.
Main Distributor	Major Urban Network and inter-Primary Links. Short – medium distance traffic	<b>SPN Level 2</b>	Remaining Principal "A" class roads, together with other important Non-Principal roads  In street lit urban areas speed limits are usually 40 mph or less and there may be restricted parking at peak times with positive pedestrian safety measures.  Population centres typically > 15,000 properties and network based on >12,000 AADT and/or >650 HGV/day on >25% of route. Highways England Agreed Diversion Routes.

<p>Secondary Distributor</p>	<p>B and C class roads and some unclassified urban routes carrying bus, HGV and local traffic with frontage access and frequent junctions</p>	<p><b>SPN Level 3</b></p>	<p>Mainly “B” class roads, some “C” roads and limited number of unclassified “D” roads carrying local traffic with frontage access.</p> <p>They include access roads to A&amp;E hospitals, large industrial areas, waste disposal and household waste sites.</p> <p>Population centres typically &gt; 5,000 and network based on &gt;8,000 AADT and/or &gt;600 HGV/day on &lt;25% of route</p>
<p>Link Road</p>	<p>Roads linking between the main and secondary distributor Network with frontage access and frequent junctions</p>	<p><b>SPN Level 4a</b></p>	<p>In rural areas these roads link the smaller and isolated communities to the distributor roads network. Population centres are typically &gt; 200 properties.</p> <p>In urban areas they are residential or industrial interconnecting roads with 30 mph speed limits often with random pedestrian movements and uncontrolled parking. Population centres are typically &gt; 500 properties.</p> <p>They will include major bus routes (50 per day urban and 25 per day rural).</p>
<p>Local Access Road</p>	<p>Roads serving limited numbers of properties carrying only access traffic</p>	<p><b>SPN Level 4b</b></p>	<p>All remaining roads not qualifying for a higher category.</p>
<p>Minor Road</p>	<p>Little used roads serving very limited numbers of properties</p>		
		<p><b>SPN Level 5</b></p>	<p>Unmetalled roads and Rights of Way</p>

### 3. Footways

The Surrey County Council footway hierarchy is managed by the Asset Planning Team in a similar way to the road hierarchy. The footway hierarchy is a risk based prioritisation of every hard surfaced footway that SCC is responsible for. Each footway is assigned one of 4 categories as detailed in the table below– Footway hierarchy category number 1, 2, 3 or 4

The dataset is maintained and updated by the Highways Asset Planning Team to the same frequency as the SPN – 3 monthly routine updates and 2 yearly review of the datasets that support the criteria. The footway hierarchy dataset was created at a detailed local level - the dataset was built by assessing each footway in Surrey against the listed policy criteria. The dataset was consulted upon with local engineers for each district to validate the decisions. Local officers, inspectors, and members of the public provide feedback challenging the hierarchy, each of which is reviewed on a case by case basis and updates made where appropriate.

As shown in the table below, the Footway Hierarchy categories are based on the key drivers of high footfall and therefore increased risk

- Shops
- Transport Hubs
- Pedestrian Routes
- Schools
- and Industrial outlets.

Vulnerable users usage of footways was given consideration while assigning hierarchy based on the above criteria. Footway hierarchy was increased where possible in order to link walking routes between the key drivers listed above and facilities likely to draw footfall of vulnerable users such as doctors surgeries, hospitals and homes for the elderly or visually impaired

The SPN dataset can be viewed in the Surrey Interactive Map on the SCC website.

Surrey Footway Hierarchy		
Category number	Category Name	Brief description
1a	<i>Prestige Walking Zone</i>	<i>Prestige Areas in towns and cities<sup>1</sup></i>
1	Primary Walking Route	Busy urban shopping and business areas and main pedestrian routes - major shopping outlets typically +100 number shops.
2	Secondary Walking Route	Secondary Walking - Medium usage routes through local areas feeding into primary routes, local shopping centers typically +20 shops, Town centre links to transport hubs.
3	Link Footway	Link Footways – Linking local access footways, small retail shopping outlets typically +5 shops, large schools and Industrial outlets, +500 pupils or equivalent pedestrian movements.
4	Local Access Footway	All remaining footways not qualifying for a higher category. Rural footways, Town paths, non-link footways in housing estates.

<sup>1</sup> Not applicable in Surrey.

## 4 Cycle Routes

Surrey Highways Cycle Route Hierarchy is aligned with the categories of cycle infrastructure as shown in the dataset owned by the Surrey Transport Policy Team. The categories of facilities can be found on the website [here](#).

An online map of the cycle infrastructure can be found [here](#).

Category		Surrey Hierarchy Description adopted from CoP
<b>A</b>	Cycle Lanes (Mandatory / Advisory)	Cycle lane forming part of the carriageway, commonly a strip adjacent to the nearside kerb. Cycle gaps at road closure point (no entry to traffic, but allowing cycle access).
<b>B</b>	Cycle Tracks	Cycle track - a route for cyclists not contiguous with the public footway or carriageway. Shared cycle/pedestrian paths, either segregated by a white line or other physical segregation, or unsegregated.
<b>C</b>	Greenway	Cycle trails, leisure routes through open spaces. These are not necessarily the responsibility of the highway authority, but may be maintained by an authority under other powers or duties.
<b>D</b>	Signed Advisory Route	Cycle provision on carriageway, other than a marked cycle lane or marked cycle provision, where cycle flows are significant.
<b>E</b>	Cycle-friendly traffic management	As identified on traffic regulation order (TRO)

# Highway Safety Inspection Policy

December 2018 - Version 6

## CONTENTS

### Highway Safety Inspections – Policy

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## 1. OBJECTIVES

The Highway Safety Inspection regime has been developed in accordance with the recommendations contained in the Code of Practice for Well Managed Highway Infrastructure (2016). Our regime is set out within a practical and reasonable framework of risk assessment and inspection frequency, which takes account of all road users, including those who are most vulnerable.

Our main objectives are:

- To locate and identify defects on the highway, and where appropriate, adjacent to the highway.
- To assess the potential risks of damage and/or injury to highway users that may result from these defects.
- To ensure that appropriate measures are put in place to manage the risk.
- To ensure that the measures are effective in eliminating, or at least minimising the risk.

**In practice, making safe, signing and/or repairs should be carried out within the designated time constraints, in order that, as far as is reasonably practicable, the condition of the highways is what a reasonable person would expect to find.**

## 2 INSPECTION FREQUENCIES

This Policy sets out the inspection frequencies and repair response times that the authority will apply to maintain the highway in a safe condition, as required under the Highways Act 1980.

Inspection frequencies are aligned with the asset hierarchy categories detailed in the Highway Hierarchy Definition Policy and are set out in the tables below.

### Carriageways

Surrey Priority Network level	Safety Inspection Frequency
SPN Level 1	1 Month
SPN Level 2	1 Month

SPN Level 3	1 Month
SPN Level 4a	3 Months
SPN Level 4b	12 Months
SPN Level 5 (ROW)	See Public Rights of Way table on page 5

## Footways

Surrey Footway Hierarchy	Safety Inspection Frequency
Primary Walking Route	1 Month
Secondary Walking Route	3 Months
Link Footway	6 months
Local Access Footway	12 months

## Cycle Routes

Category		Surrey Hierarchy Description adopted from CoP	Safety Inspection Frequency
A	Cycle Lanes (Mandatory / Advisory)	Cycle lane forming part of the carriageway, commonly a strip adjacent to the nearside kerb. Cycle gaps at road closure point (no entry to traffic, but allowing cycle access).	As for carriageway
B	Cycle Tracks	Cycle track - a route for cyclists not contiguous with the public footway or carriageway. Shared cycle/pedestrian paths, either segregated by a white line or other physical segregation, or unsegregated.	As for walked inspection frequency
C	Greenway	Cycle trails, leisure routes through open spaces. These are not necessarily the responsibility of the highway authority, but may be maintained by an authority under other powers or duties.	As for Rights of Way
D	Signed Advisory Route	Cycle provision on carriageway, other than a marked cycle lane or marked cycle provision, where cycle flows are significant.	As for carriageway
E	Cycle-friendly traffic management	As identified on traffic regulation order (TRO)	

**Public Rights of Way – Surrey Priority Network Level 5 [carried out under separate inspection]**

Category	Inspection Frequency
All Public Rights of Way (ROW)	Responding to notification
Hard Surfaced Rights of Way (Not including where they form part of a private road)	As per hierarchy of that section – footway or carriageway

## 4 RESPONSE CATEGORIES

All defects identified during safety inspections are to be categorised as **Immediate** or **Safety**.

The categories can be defined as follows:

**Immediate Response (Priority 1)** – defects presenting the highest risk of harm to the public, thus requiring immediate attention to secure, guard, warn or make safe. Response will be within two hours of the defect being reported.

**Safety Priority 2** – defects will be repaired or made safe within 5 working days. If it is not possible to permanently correct/repair defect within 5 working days, a permanent repair should be carried out within 20 working days, where appropriate i.e. unless maintenance/improvement works are planned within a timescale not exceeding 6 months. This timescale should be appropriate to the defect type, location road/footway classification and usage. The defect will be kept safe pending permanent repair as part of planned works.

**Safety Priority 3** – defects that are deemed not to represent an immediate or imminent hazard or not as risk of short-term structural deterioration. A permanent repair will be carried out within 20 working days, where appropriate i.e. unless maintenance/improvement works are planned within a timescale not exceeding 6 months. This timescale should be appropriate to the defect type, location road/footway classification and usage. The defect will be kept safe pending permanent repair as part of planned works.

Note: working days for the purposes of this policy are Monday to Friday, excluding bank holidays.

## 5 IDENTIFICATION OF DEFECTS

The table below sets out the various defects to be identified in a safety inspection. The defects are arranged in groups according to the element of the highway in which they occur. The list is not exhaustive and persons carrying out the safety inspections are requested to record any defect that might create a hazard to users of the highway.

Element	Defect
<b>Carriageway</b>	Potholes Loose material (to include debris, spillages or contamination) Regulatory markings faded and worn Ironwork, missing, broken, tilted, sunken or projecting Displaced road studs Edge damage on un-kerbed roads Unevenness due to rutting, humps, corrugations
<b>Kerbing</b>	Loose, tilted, projecting
<b>Footways</b>	Pre-formed unit paving rocking, trips or missing Potholes General surface defects – trips, bumps, depressions etc Ironwork, broken, tilted, rocking, missing or projecting
<b>Furniture**</b>	Rails, barriers, safety fencing, fences, posts - excessive defects Road signs and signals - excessive defects Unlawful signs – safety hazard
<b>Trees and Vegetation</b>	On the highway – diseased, dead, dangerous all or part about to fall Off highway – safety hazard
<b>Verges*</b>	Surface defects Ironwork/covers, broken, missing or projecting
<b>No defects</b>	No relevant defects found
<b>External defect</b>	Third party, statutory undertaker defect

\* Verges primarily consist of soft soil/material and will also contain natural undulations, depressions, ditches, shrubs, branches, tree stumps and the like. They cannot be maintained to the same specifications and standards as the metalled carriageway.

\*\* For a large number of street furniture elements some form of prefabrication would be required to achieve a permanent repair which may not be possible within 20 working days. Under these circumstances the defect would be made safe until a permanent repair was possible.

The response categories referred to in Section 4 are included as a separate appendix to this document. The three elements of the matrix are:

1. Carriageway inspections
2. Footway and kerb inspections
3. Street furniture, verges, vegetation and structural inspections (on or adjacent to the highway) – *normally done in conjunction with the footway inspections*

The risk matrix is intended as a guide for inspectors to enable them to identify **defects, which present a foreseeable risk of injury or damage to users of the highway**. It is important to remember that these are recommended standards, and there may be occasions where it is necessary to select a different response level appropriate to the defect type and its location, road/footway classification and usage.

Appropriate record keeping measures will be taken to ensure that permanent records of safety inspections are maintained, from the data logged during the inspection and of the

action taken to make safe or repair etc. This includes for recording of nil returns and defects associated with third party statutory undertakers.

## 6 ADDITIONAL INFORMATION ON INSPECTION AND RESPONSE ARRANGEMENTS

### Other inspection regimes

Trees, Street lamps and columns, internally illuminated road signs and external lighting units, together with traffic signals, pedestrian signals and other control and monitoring installations are generally included for inspection purposes in other maintenance regimes. Nevertheless, the highway inspector is expected to note and report a potential hazard found during a safety inspection.

### Other inspection information

The inspector is expected to carry out the highway safety inspection in reference to the matrix but is also expected to note and report any potential highway hazard found during a safety inspection.

### Defects reported by the public

Immediate response defects reported by the public will be actioned in accordance with the immediate response category. Safety defects reported by the public will be reviewed within 5 working days and actioned where necessary, in accordance with the above response categories.

### Severe Weather Events

The following may be implemented during periods of severe weather in response to operational considerations;

- An increase or reduction in the frequency of safety inspections
- An increase or reduction in the response times for defects

Category	Severe Weather Response Time
Immediate (Priority 1)	A response time of four hours
Safety Priority 2	A response time of 7 working days on all parts of the network (Permanent repair within 40 calendar days)
Safety Priority 3	A response time of 40 calendar days

The Severe Weather response times will be implemented on agreement by Network and Asset Management Group Manager (or nominated deputy).

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# Highways and Transport Asset Management Strategy

December 2018

## 11 Purpose of this strategy:

As a Highway Authority, we have a duty of care to maintain the safety and accessibility of highway infrastructure that is kept at public expense. As stewards and custodians of the highway infrastructure assets, in accordance with the Highways Act 1980, we must demonstrate that we have provided adequate provision for their upkeep and safety as can be reasonably expected. We shall maintain the highway infrastructure assets with consideration to whole life costs, associated risks and alignment with our corporate objectives. This strategy sets out how we will deliver a service level against the Council's key priorities set out in our Organisational Strategy and Highways & Transport's role in helping deliver the Community Vision for Surrey in 2030.

## Foreword

Managing a highways network the size of Surrey is complex and challenging. As Highway Authority and Lead Local Flood Authority, we are responsible for assets with a gross replacement cost of £9.7 billion (excluding land), including over 3,000 miles of roads, 1,800 bridges and structures and 3,262 miles of pavement. Most of the assets we look after are obvious to users (roads, pavements, bridges, tunnels, street lights and so on). However we also manage assets that are less visible, such as embankments and safety barriers. Few of our assets are in an 'as new' state and with a limited budget we have to prioritise our work to achieve best value.

The network is heavily trafficked reflecting Surrey's high economic output, used daily by the majority of the travelling public for commuting, business, social and leisure activities. At a local level it also helps to shape the character and quality of the environment. The successful management of our highway infrastructure therefore plays a vital role in delivering the broader outcomes set out in the Council's overarching goals.

Our response to this has been to develop a 5 year strategic business plan, with a place based approach and a strong focus on partnerships – particularly with the district, boroughs and parishes. It has the needs of residents and users at its heart, to align everything we do. It sets out our priorities, how we will drive continuous improvement, maximise our opportunities and ensure we deliver the Council's current overarching strategic goals of wellbeing, economic prosperity and resident experience.



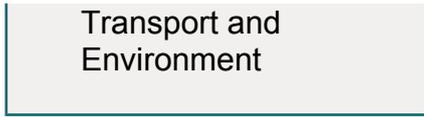
**Lucy Monie**  
Head of Service,  
Highways and  
Transport



**Colin Kemp**  
Cabinet Member  
for Place



**Jason Russell**  
Executive Director,  
Highways,



# 11 Asset Management Policy

## Policy

The highway asset is the most valuable one under our control and is crucial to facilitate safe movement, which enables Surrey to be the largest net contributor to the UK economy outside of London. We have a key role to play in meeting the strategic goals set out in our corporate strategy. We will therefore ensure that we are supporting the Council's overarching aims, as detailed below. We will continually review our progress in this and take actions through our review mechanisms to identify improvement initiatives where necessary.

## Supporting Wellbeing

Our network is relied on by thousands of people and businesses every day. Our service supports the people of Surrey by making streets safe and reliable, offering more travel choices, making them sustainable and providing residents with access to schools, health services and care. The quality of the highways can have a direct impact on people's ability to live independently and on the choices people make in moving around the county.

## Supporting Economic Prosperity

The highways and transport infrastructure we build and maintain provides the foundation of a strong economy in Surrey, creates routes in to businesses, jobs for residents and access to homes and communities where people want to live. Improving Surrey's highway network is one of the Council's key objectives in building the local economy. This includes capital investment in new schemes, as well as a more network oriented approach to asset management. We aim to deliver value today whilst planning and investing for the future.

## Supporting Resident Experience

Residents are at the heart of how services are designed and delivered; with appropriate influence, control and choice on issues that are important to them. Our professional service provides high quality, innovative solutions that ensure Surrey residents get value from the network now and in the future. We aim to work closely with partners to deliver the best outcomes for our residents, delivering to their needs and priorities. We will utilise new technologies to improve the way services are delivered and communicated.

# Introduction

## Introduction to Asset Management Strategy

An Asset Management Strategy sets out an informed and considered approach to the maintenance and future investment decisions for all infrastructure we have responsible for within the highway boundary.

Surrey's aim is to consider the needs and manage the expectations of our stakeholders. We will give consideration to optimal allocation of resources and operational delivery required to achieve expectations over the asset lifecycle.

This strategy will outline and endorse the commitment to asset management principles required to deliver our strategic goals and the key improvement activities that need to take place to enable this.

## Asset Management Objectives

Surrey County Council's Vision for Surrey in 2030 sets out our vision for people and places. These are:

- Our ambitions for people are;
  - ❖ Children and young people are safe and feel safe and confident
  - ❖ Everyone benefits from education, skills and employment opportunities that help them succeed in life
  - ❖ Everyone lives healthy, active and fulfilling lives, and makes good choices about their wellbeing
  - ❖ Everyone gets the health and social care support and information they need at the right time and place
  - ❖ Communities are welcoming and supportive, especially of those most in need, and people feel able to contribute to community life
- Our ambitions for our place are;
  - ❖ Residents live in clean, safe and green communities, where people and organisations embrace their environmental responsibilities
  - ❖ Journeys across the county are easier, more predictable and safer
  - ❖ Everyone has a place they can call home, with appropriate housing for all
  - ❖ Businesses in Surrey thrive
  - ❖ Well-connected communities, with effective infrastructure, that grow sustainably

This vision needs to be delivered against the backdrop of increasing demand and reductions in funding.

- *Our Statutory Obligations and National Good Practice*

We will develop our road & transport policies and plans to meet our statutory obligations. [Well-Managed Highways Infrastructure: A Code of Practice](#) describes a number of legal requirements and Surrey has endorsed its use. This includes ensuring, so far as is reasonably practicable, that safe passage along Surrey's highway is maintained in accordance with Section 41 of the Highways Act 1980. In addition the Traffic Management Act 2004 requirement to facilitate and secure efficient movement of traffic along our highway network.

In alignment with the Highways Infrastructure Asset Management Guidance document published by the UK Roads Liaison Group (UKRLG) and the Highways Maintenance Efficiency Programme (HMEP) in 2013, our approach brings together a range of factors that influence asset management priorities.

- *Desired outcomes*

The desired outcome of an asset management approach is continuous benefits from efficiencies. We will achieve our aim through effective record making and retention monitoring outcomes and longevity of completed works. This provides us with real world performance data to better inform decision makers.

- *Timescale / Process*

Condition data and scheme construction records are recorded throughout the year so that we understand the condition of our assets. We use this data to understand how our assets are performing, and produce deterioration models that forecast how the overall network condition will change based on different funding scenarios and treatment types. This modelling is used to inform budget setting conversations and helps us understand the impact of funding decisions.

.How we prioritise our capital programmes is detailed in our Capital Prioritisation Criteria Policy.

For each asset we identify a 5 year provisional forward programme of potential schemes. We first established this 5 year programme in 2013 and called it Horizon, this was a success and we have developed a second version called Horizon 2 – more information can be found on the Surrey website [here](#)

Ahead of each financial year these programmes are confirmed and published. Identifying these provisional programmes 5 years in advance helps improve communication between stakeholders and co-ordination of different work types. While this transparency benefits the public, it should be noted that programmes may be subject to change at any time if there are road space or co-ordination issues, or due to re-prioritisation of other works, or unexpected cost increases of other schemes.

We also need to ensure that what we do is aligned with the Council's Vision and delivering the broader outcomes contained within it. Our [5 year business plan](#) sets out our high level aspirations and shows how what we do will ensure that Surrey's highway assets support the strategic objectives for the entire county.

- *The Case for Asset Management*

When we talk about highway assets we are most commonly referring to the roads, pavements, bridges, traffic signals and street lights<sup>1</sup> that you can see as you move around Surrey. We also manage a number of assets that are less visible to users, although they still play a very important role in the efficient operation of the highway network. These assets include embankments, safety barriers and drainage. If the condition of any of these assets deteriorates significantly there will be a significant impact to the network. There are a number of smaller assets that we also focus on, for instance traffic signs; we will analyse these using the same approach going forward.

Asset Management helps us to predict when each asset will deteriorate, and to identify when to intervene with lower cost preventative maintenance that will reduce lifetime costs, or alternatively

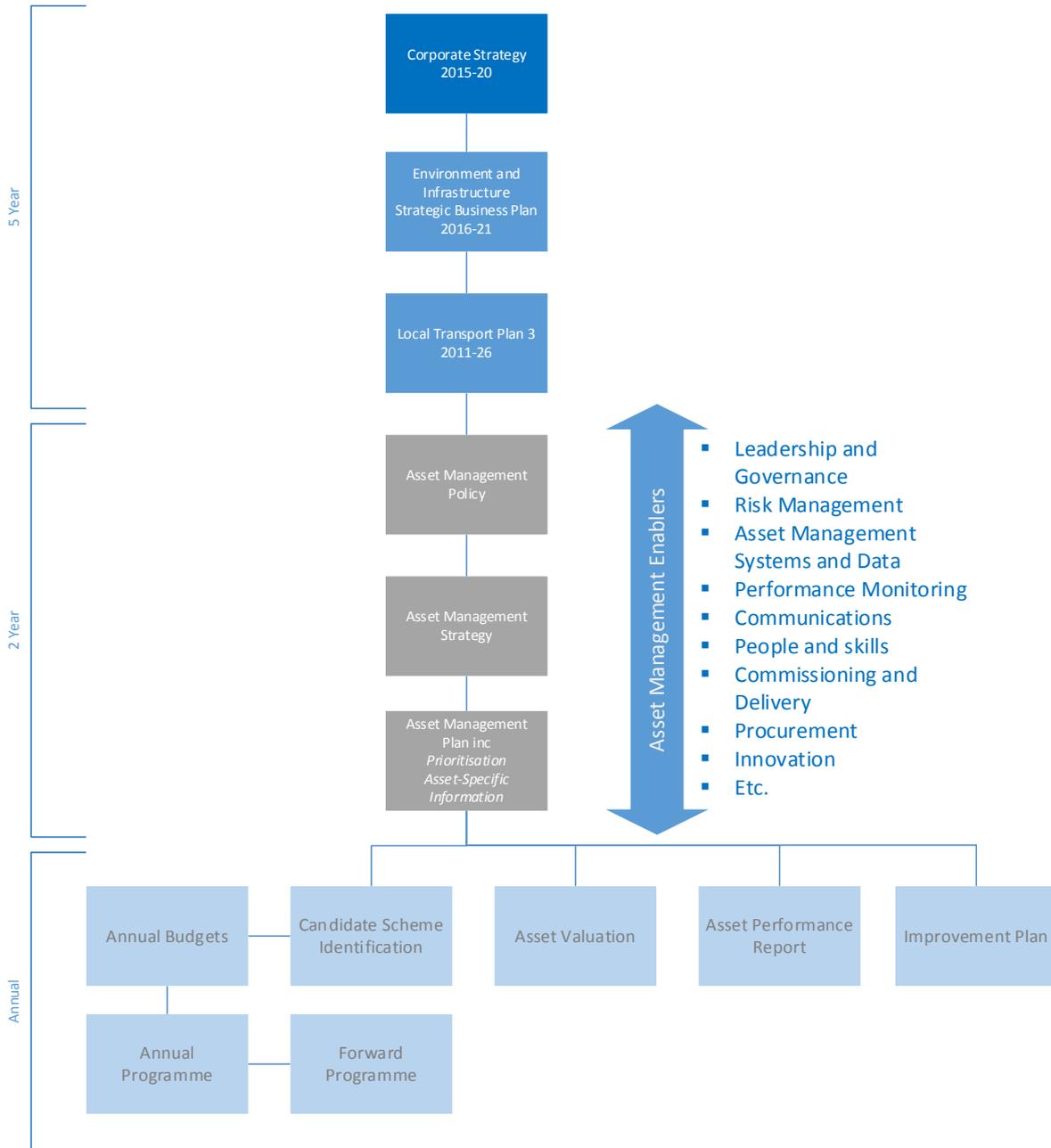
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<sup>1</sup> street lights have not been modelled as part of this strategy as they are managed by SKANSKA by way of a private finance initiative (PFI)

when to replace the asset. Lifecycle planning tools for each asset are one of the mechanisms we use to achieve this.

## Asset Management Framework / Relationship to other documents

In accordance with the guidance stated above, we have aligned our strategy to key documentation within the organisation to ensure that not only are we aligned to the corporate vision and strategic goals, but that the planning and enablers required are in place and operating effectively. Figure 1.0 below identifies these key elements and how they are aligned with one another.



**Figure 1.0 Asset Management Document Hierarchy**

The Surrey Vision for 2030 sets the direction and context of the organisation and defines the Council’s priorities. The strategic business plan sets out how our activities align to the delivery of the corporate priorities and ensures that this drives what we do. The asset management strategy and policy support the delivery of the business plan and our Local Transport Plan in terms of the management of highway assets. They set out our approach to asset management, performance, data and lifecycle planning. We also provide links to supporting documentation where relevant.

<https://www.surreycc.gov.uk/roads-and-transport/policies-plans-consultations/policies-and-plans>

<https://www.surreycc.gov.uk/roads-and-transport/roadworks-and-maintenance/maintaining-our-roads-and-pavements/how-we-prioritise-road-maintenance>

## Context

### About Surrey

- *Asset value, expenditure and backlog*

Since 2013 Surrey County Council have carried out annual Valuation of our highway infrastructure assets based on the Chartered Institute of Public Finance & Accountancy (CIPFA) Code of Practice using the calculations developed by the Highways Asset Management Financial Information Group (HAMFIG). Using this methodology the Gross and Depreciated Replacement Cost for Surrey's assets will be published in our Asset Summaries which are included in the individual Asset Plans kept on operational Information Management Systems.

### Future Opportunities and Demands

- *Changes in use patterns e.g. increased cycling*

Surrey's highways are used daily by the majority of the travelling public for commuting, business, social and leisure activities. How we prioritise our investment must take our users' needs into account

Our Transport Studies and Sustainable Transport Teams monitor the changing use of our network by each user group. This data, along with records managed by our Road Safety and Insurance Teams, is used to understand changing use of the network and identify any changing risks.

The Highway Hierarchy Definition Policy defines how important we think each road, footway or cycleway is based on usage. This includes giving consideration to vulnerable users and their changing propensity to access our infrastructure.

- *New technology, information sources, Innovation*

The ever-changing technological landscape means that new technologies are always emerging. These will be monitored, tested and implemented where possible to help enable service enhancements, cost reduction. Examples outlined in Surrey's Digital Business Case include:

- Establish cross-cutting digital solutions for staff, residents, and partners
- Implement technical solutions identified and co-designed with services which support the realisation of benefits detailed in other transformation business cases
- Exploit opportunities to join-up data, scale solutions and improve sustainability of services
- This will be enabled by developing a number of the capabilities and dimensions of a digital council;
- Online/web, automation/Artificial Intelligence/Robotics, Information and insights from data and analytics, Tech/app enabled new business, Tech-enabled services for residents, Social media platforms and content

Surrey is in a unique position of having our own materials laboratory who works collaboratively with external & internal partners to facilitate the trial of new innovations. We will seek to maximise various industry related opportunities with partners and will provide enablers when procuring works or services to allow the development of technologies such as AI (Artificial Intelligence).

### How is the service funded?

- *DfT funding mechanisms*

Maintenance and improvements to our highway assets are funded from our capital budget, which is largely made up of two grants from central government – the Maintenance Block Grant and the

Integrated Transport Grant. The current method of allocating the maintenance block grant has resulted in more certainty over the funding we can expect to receive over the course of the parliament however grant alone is not sufficient to halt the deterioration of all of our highway network assets.

The government has introduced an Incentive Fund element to the grant which directly links our funding to the ability to demonstrate sound asset management. Highway Authorities are ranked as Band 1, Band 2 or Band 3, with Band 1 being those judged to be the worst performing. Band 1 authorities will receive a 15.5% reduction in highway maintenance funding by 2021. In terms of the funding Surrey receives this would mean a reduction in funding of nearly £8 million over this period if we are rated as Band 1 and £4.3 million as Band 2. Surrey have achieved Band 3 status in 2017 and 2018 and therefore have maximised the grant funding available.

- *Revenue vs capital*

By having a clear understanding of the forecast asset deterioration we are able to assess how different levels of funding can impact on this condition forecast. Some assets will require significantly greater investment to improve their condition than others. The balance between capital investment (work that provides long term maintenance/improvement e.g. resurfacing a road) and ongoing revenue investment (shorter term improvement e.g. filling potholes) must also be understood.

By providing initial capital investment the longer term revenue investment is likely to be reduced, potentially reducing the whole life cost of the asset. Conversely, if the asset is deteriorating but does not receive capital investment, it is more likely that ongoing revenue costs are greater, leading to a potentially greater whole life asset cost.

We must ensure that we balance the revenue and capital spend to ensure we are delivering the best value for the residents of Surrey. If capital investment is not supported by adequate ongoing revenue spend then the initial investment value may be reduced. Similarly, high levels of revenue spend needed to maintain assets that require capital investment may lead to disruption on the network, in the way that regular patching of roads does.

- *Other borrowing*

The overall financial position of Surrey County Council means that unlike when we carried out Horizon 1, we are no longer in a position to make the long term commitments to borrowing that were made in the Strategic Partnership for Horizon 1. There are some competition based aspects of funding and we aim to maximise our available funding through any bidding opportunities available to us, however there is less certainty of funding in this area.

We also consider wider priorities set by national and local bodies. Local Enterprise Partnerships (LEPs) present one of the most significant sources of capital funding. Their priorities reflect the national policies set by the Department of Transport and Highways England. It is important that, where appropriate, we align ourselves with these priorities, ensuring that we act at the forefront of best practice.

The council will assess on an individual basis the various merits of further borrowing to support 'Local Contribution' requirements needed to support the bid process whilst continuing to access this type of funding.

- *Commercial funding sources*

Surrey will explore and include mechanisms within our procurement systems to maximise potential and share proceeds of innovation.

## How are we organised?

- *Leadership – including AM governance and processes*

In support of our core asset management activities, we will be undertaking a number of internal activities to enable our asset management team to deliver effectively. In using the Highways Infrastructure Asset Management Guidance document published by the UK Roads Liaison Group (UKRLG) and the Highways Maintenance Efficiency Programme (HMEP) we have identified a number of opportunities for improvement and will also utilise standards set out in ISO 55000, which identifies key principles to consider in implementing an effective approach to asset management.

Our projects and initiatives to deliver this are focused on the following outcomes:

- ❖ Creating clear lines of decision making and delegated responsibilities
- ❖ Having a clear and agreed plan in place, with changes justified through a controlled process
- ❖ Measuring performance against a set of benefits and monitoring using detailed and regular KPIs
- ❖ Ensuring the asset management team is linked up effectively to internal and external stakeholders
- ❖ Maximising utility gained from the systems across the organisation

- *Skills, competencies and Resources*

The service is also undergoing a change programme to ensure it has the capability and skills that supports the delivery of its 5 year Strategic Business Plan. This includes:

- ❖ Functional organisational design based on a commissioning approach to create more outcome based services
- ❖ Directorate wide performance framework and benefits mapping to evidence the delivery of our business plan and the Council's vision
- ❖ Development of a skills strategy that is tailored to our long term business needs, creates opportunities for development recognises talent and improves staff retention
- ❖ Customer Service Excellence accreditation
- ❖ Create a culture of continuous improvement, collaboration and joint working
- ❖ Support our managers to ensure staff are committed to the councils values and behaviours.

These initiatives support a range of improvement activities identified by the asset team, including (ranked in order in terms of the magnitude of change required):

- ❖ Performance – benefits mapping aligned to performance measures and realisation, audit programmes and link to others
- ❖ Investment & Budgeting – Create SLAs, integrate budgets together, base decisions on whole life capital costs, exert more change control, justify decision making, bidding for future funding, asset teams to control budgets
- ❖ Capability – collaboration, flexible and dedicated resource, more control
- ❖ Process – senior engagement, agreement, consistency, link teams together, action list, change control, processes
- ❖ Communications – web page, Q&As, workshops, meetings, communicate remits of each team, wider stakeholder engagement, champions of the network
- ❖ AM Systems/Technology – integrate asset systems to link together, records, simple system
- ❖ Policy & Strategy – Allow for changes, define responsibilities, ensure senior support

- ❖ Data – conduct more surveys and actually use the data in decision making

We conducted a Maturity Assessment with the team to support the identification of these initiatives and identify the key areas of priority for improvement in the short to medium term.

## How is the service delivered?

- *Review and improvement of delivery arrangements*

Delivery of our service is continually monitored and improved by the asset and delivery teams in partnership with our contractors. Scrutiny Boards are held monthly to monitor performance under the following titles:

- Making the Network Safe
- Keeping the Network in Good Condition
- Improving Network Availability
- Winter Service
- Resident Engagement

22 KPI (Key Performance Indicators) are reported each month by the scrutiny boards. These boards scrutinise the KPI results to ensure that each service is being delivered as it should be. The boards also do financial monitoring each month to identify any in-year risks to spend, as well as updating an Early Warning and Programme Risk Registers to identify risks requiring escalation through the governance structure. Failures are discussed and analysed and remediation plans are put in place and monitored where identified. Failures over time and recorded and tracked to help identify any ongoing trends that need addressing. These scrutiny boards play a key role not only in monitoring KPIs but also planning and implementing improvements to the systems and processes used to deliver the service.

Each board produced a summary report each month that is reviewed by the Monthly Contract Review (MCR) Board.

The Performance Framework measures the performance of each activity that Highways & Transport undertake. Each team is responsible for reporting data against metrics assigned to them at either quarterly, 6 monthly or annual frequency. The results of these metrics are scrutinised by the Service Scrutiny Board each quarter. Performance is scrutinised, and plans put in place should any area of the service be falling below the intended performance.

## Communication and Engagement?

- *How do we consider stakeholder needs?*

Public opinion of our assets is shaped by the experience they provide to residents, communities and businesses. It is important to strike a balance between meeting customer needs and applying good engineering principles to achieve best value and maximise the life of Surrey's assets.

The 2016 15 year Asset Strategy undertook extensive engagement with Council Members, public and private sector partners and Surrey residents to understand their respective priorities. This helped us decide how to best allocate our asset maintenance budget and identify where there are opportunities to improve outcomes for Surrey.

We will continue to consult with stakeholders, and the extent of future engagement will be determined based on scope of forthcoming reviews.

- *Engagement and feedback*

National Highways and Transport Public Satisfaction Survey (NHT) data is invaluable in identifying the preferences of customers, with analysis conducted to identify key drivers for overall levels of satisfaction with the Highways network. The survey is conducted across residents of a number of councils on an annual basis. We recognise the value of this feedback and the ability to understand how we are performing relative to others. The results provide indicative themes of where the council is making a positive impact and where further work is required. Surrey's overall satisfaction levels with regards to highway maintenance and condition issues within the survey are generally below the national average and have shown a decrease since the end of Horizon 1 following a period of improvement during Horizon 1. This could be seen to demonstrate that while our overall strategy may be ensuring that we are spending the funding levels we have in the most appropriate way, the levels of funding available are not providing the level of investment that our customers would like.

In the latest survey we ranked 20<sup>th</sup> out of 27 County Councils that took part for overall satisfaction across the survey which so there are improvements that we need to make.

Highways maintenance comes out as a clear priority, with drainage, pavements and road safety also high priorities for maintaining service levels.

This is important to understand in managing the asset network as a whole. Budget constraints limit what can be spent across the entire network. Invariably, when funding is required to increase in one area it must reduce elsewhere to make up for this. By having a clear view of what level of service is required of each asset we are able to make more informed views on how best to allocate funding across the network.

- *Role of elected members*

We regularly engage with our senior Members and officers through attendance at Local Committees and Scrutiny Boards allowing their views to act as another factor in shaping our strategy. It is important to balance both sources of information against each other as well as using empirical data such as condition data and knowledge of deterioration patterns in order to make the most appropriate decisions for the highway network.

- *How this informs setting service level targets and decision making*

Putting the needs of service users first is central to asset management. In practice, this means prioritising our efforts based on those activities that provide the greatest value to Surrey residents. In developing Surrey's Highways Maintenance Asset Management Strategy, we have sought to engage with as wide an audience as possible and obtain information from a range of sources in order to better understand how highways assets contribute to achieving better outcomes for Surrey.

These sources include:

- ❖ Customer insight and resident satisfaction surveys undertaken by Surrey Council – including customer contact centre trends
- ❖ Member's feedback on local priorities
- ❖ Feedback from Local Highways Officers and area teams

- ❖ National Policy and Priorities from partners such as the Department for Transport and Highways England
- ❖ Regional Priorities set out by District and Borough Councils, Local Enterprise Partnerships
  - and neighbouring County Councils
- ❖ National and Regional highways surveys (e.g. NHT)
- ❖ Surrey County Council's Corporate Goals

## **How do we manage risk?**

We have adopted a risk based approach to all aspects of highway asset management as recommended in Well-managed Highways Infrastructure: A Code of Practice (October 2016). Our method requires the gathering and processing of evidence to inform further investigation when quantifying risk.

## **Considering the environment?**

Consideration to the environment is achieved through the use of Environmental Impact Assessments as part of scheme project management. Our aim is to develop Asset Management Plans with asset leads engaging in a collaborative process to agree policies & standards for routine activities.

The effects of climate change on our highway assets have already been seen during several wet and windy weather events in recent years. Our longer term approach to highway asset management will also need to consider what effect climate change may have on investment priorities and lifecycle costs of our highway assets.

# Our Asset Management Process

## Asset Management process overview – timescales, annual cycle (diagram)

One of the key drivers to the successful delivery of the business plan is the service wide embedding of our 15 year Asset Management Strategy. Surrey was one of the first authorities to develop an Asset Management Plan in 2005 (STAMP) and it was refreshed again in 2014 and 2016. This strategy is aligned with best practice set out in the Highways Infrastructure Asset Management Guidance published by the UK Roads Liaison Group (UKRLG) and the Highways Maintenance Efficiency Programme (HMEP), including

- ❖ Consulting with members and users to determine their priorities
- ❖ Continuing with the completion of a physical network inventory and assessment of current condition
- ❖ Undertaking depreciation modelling of all our assets over a 15 year period
- ❖ Assessing the impact of different states of condition of our assets on the Council's key priorities

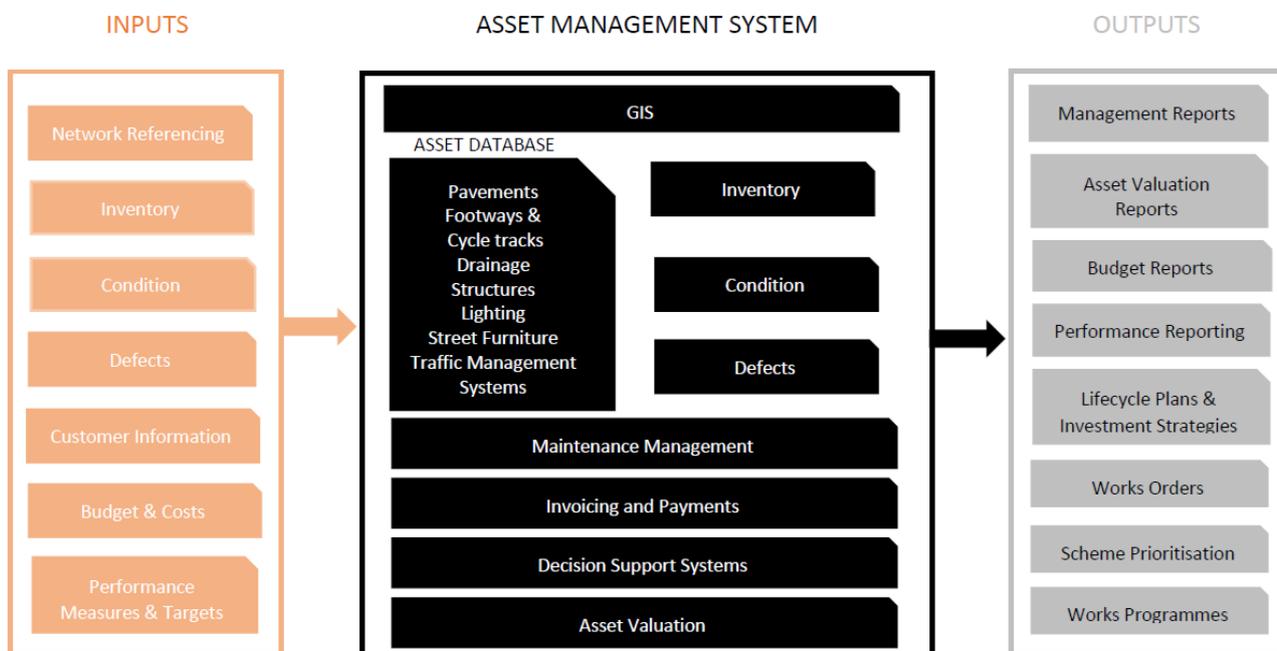


Figure 2.0 Asset Management Process

## How do we plan investment?

- *Forward work programme – short, medium and long term*

We already have a proven track record of the application of sound asset management principles delivering value for money. In 2012 17% of Surrey's road network was in need of structural repair. We developed the innovative Horizon programme to reduce the length of the network in need of structural repair to 12% over 5 years by resurfacing around 10% of the worst condition roads. At the time that Horizon was conceived, annual programmes of work were the norm in the highways industry; working in partnership with our Highways contractor we recognised the benefits that a long term programme of works would bring. For example, contractors would be able to give discounts due to long term continuity of works and specialist programmes of work could be developed. Horizon 1 delivered its critical success factors and with Horizon 2 which began in 2017 we were able to consider a different investment strategy applying the same successful procurement

principles but looking at longer term programmes for other key assets such as bridges, traffic signals and pavement. What we are able to achieve is of course dependent on the level of funding we receive.

- *Service level targets*

Service levels will be determined through monitoring and reacting to feedback and performance statistics. Surrey will strive to sustain a high level insurance claim repudiation rate. This will be used as an important driver in setting service levels.

- *Funding and Budget allocation*

The strategy is modelled over a 15-year period, but we recognise that things can change over time; we could get a greater or lesser budget share than anticipated from the DfT competition based elements of the Maintenance Grant or council priorities could change. In our 2016 strategy we stated that we would review our budgets annually in line with corporate budget setting arrangements and will refresh our modelling every 5 years in line with our strategic business plan review timetable. Due to ongoing financial pressures and the potential for no further additional borrowing we will present to members new modelling scenarios in early 2019 to demonstrate the impact of different funding choices on future asset condition.

The modelling we carry out assumes normal deterioration patterns, and no allowance has been made for any significant damage caused by severe weather events so in the event of a severe weather event, if central government and/or the council do not provide additional funds the programmes of work described in this plan will be suspended to deal with any unforeseen damage to the network.

- *Risk Management*

We have developed and maintain risk registers at a corporate level for the Directorate and at an operational level again for teams. These risk registers are maintained and recorded on our Information Management System (IMS) with regular reviews.

## How do we decide how, where and when to do maintenance?

- *Includes planned, cyclic and reactive maintenance*

In delivering our strategy, we have developed a series of documents that set out how we will allocate funding to target the areas that require the most focus. The documents discussed below support the achievement of this objective and are updated annually to ensure we are adapting to ongoing changes in the condition of our network and the priorities of users.

**Scheme Identification** To ensure capital funds are spent in the most effective way, robust systems for scheme identification and assessment are required. The Capital Prioritisation Policy is part of the Asset Management Framework (AMF) and sets out the criteria used for scheme selection. We decide how to utilise the allocated budget using this approach to prioritisation, ensuring that we remain focused on delivering the goals and objectives set out in this strategy.

**Annual Programmes** Surrey's major maintenance is planned in advance and several programmes have been devised to support our strategic aims to maintain our highways assets. Our annual programme sets out all planned work for the year ahead and provides a baseline against which we can periodically assess performance to ensure we are delivering as required. We have made available our annual programmes on a borough-by-borough basis on the [Horizon web page](#).

**Forward Programmes** Forward programmes look to build greater resilience in to the network, providing a preventative approach to highways asset maintenance. We have taken an innovative approach to plan further in advance than just for the year ahead, setting out the schemes we are currently considering in a provisional programme across the next five years. This ensures that we are proactive in our approach and can make informed decisions for the future. Of course the programme will be subject to change dependent on how far we are achieving our goals, and being flexible is a key element in delivering our strategy.

- *Inspections/survey and other condition and performance data*

As the authority responsible for the condition of Surrey's Highways network, our primary duty is to protect users of our network, by keeping the network safe and ensuring appropriate protections are in place to reduce the risk of harm. This can mean conducting proactive work that may not be seen as a priority to residents in order to reduce risk and costs. Some assets are more visible than others. For example, people tend to notice defects in the highways more regularly than safety barriers or drainage. Drainage defects only become apparent when there is a situation requiring their efficient operation. However, this does not mean that they should be deprioritised. It is important that all assets meet, at the very minimum, statutory safety conditions.

To understand how much work we need to do to maintain Surrey's assets requires a good understanding of the current condition and how this is expected to change over the short, medium and longer term. We have used a wide range of asset condition modelling tools to analyse and understand what the demand will look like for each asset class.

- *Risk-based hierarchies and resilient network*

In order to adopt a risk based approach Surrey has defined its network hierarchy to inform priorities. Our policy for allocating Hierarchy status and review has been approved by cabinet.

- *Lifecycle analysis*

In order to ensure that we are spending the funding available for highways most efficiently, we carry out lifecycle modelling for all of our key assets. This information is used alongside information we collect from stakeholders including county council members and the public to propose budget strategies to the council's Cabinet.

- *Prioritisation including cross-asset trade-offs, risk management and softer factors*

We use analysis of the priorities of highways service users alongside current and forecast condition of our assets in order to determine what service levels Surrey Highways and Transport needs to provide.

To support our decision making, as previously described we engage with council Members, public and private sector partners and Surrey residents on their priorities. We use this analysis to identify which parts of the network require the most attention from a service user's perspective, the priority areas for further investment and the level of service that residents want from the network. All of these things are essential in shaping the asset management strategy and funding plans.

The allocation of our asset maintenance budget is based on this analysis and also on opportunities to improve outcomes for Surrey i.e. improving wellbeing or resident experience by effectively allocating our funding across the asset network.

In prioritising the funding applied to each asset we must also understand the impact different levels of funding will have on each asset. Some assets will only require a relatively small amount of funding to significantly improve their condition. Whilst this may be a large percentage increase in funding the actual amount required may be small in comparison to other assets. In the same way,

other assets may require significant amounts of investment to drive any tangible improvement in condition, but this may be seen as a relatively low percentage increase due to the already high budget.

We must also understand where we are able to reduce funding without having a significantly adverse effect in order to improve condition in other areas.

## Performance Management Framework

- *Service Levels, performance measure and targets*

How we plan our maintenance work is a key element of our asset management strategy. To do this effectively we need to understand the varying needs and expectations of our residents and service users as these will reflect our service delivery standards.

To keep the whole network in its current condition will cost £30m capital investment per year over the next 15 years. However, standards for highways assets will vary according to their use and the risks involved.

If, for example, the condition of well used pavements needs to improve to ensure safe passage and encourage sustainable transport for commuters, school children, leisure walkers; the allocation of funding to this asset will also need to increase, which will mean having to reduce spending elsewhere. By setting standards appropriate to the use of specific parts of the network we are better equipped to understand and meet the demand and user priorities for each asset type in the most efficient way.

- *Benchmarking and efficiency (MSIG)*

Surrey is committed to the development and implementation of good practice and benefits from lessons learnt at National, Regional and Local levels. Officers from Surrey County Council regularly contribute to and attend:

- ❖ National and regional conferences;
- ❖ The Chartered Institute of Public Finance and Accountancy (CIPFA) Highways Asset Management Planning Network
- ❖ SEASIG (South East Area Service Improvement Group) Customer Service Group
- ❖ The South East 7 Alliance
- ❖ National Traffic Managers Forum
- ❖ Annual Local Authority Road Maintenance Survey
- ❖ Local Authority Bridges Groups

Furthermore, Surrey is committed to the sharing of knowledge and experiences in implementing asset management with other Highway Authorities across the Country. To this end, officers from Surrey present examples of good practice nationally at workshops and conferences and are active members of many knowledge sharing and improvement forums;

- ❖ UK Roads Board
- ❖ Road Condition Management Group (SCC Chair)
- ❖ HMEP Advocate – our Assistant Director has lead work on improving Client/Contractor/Supplier relationships, and on business change, including the development of a strategic peer review for highway authorities.
- ❖ Case study on Asset Data included in UKRLG Highway Infrastructure Asset Management Guidance

- ❖ MSc in Highway Engineering – Surrey played a key role in the development of this Brighton University course and provide ongoing input with colleagues leading modules and presenting lectures
- ❖ South East Traffic Managers Group (SCC Chair)
- ❖ South East Permit Scheme Governance Board (SCC Chair)

- *Annual AM assessment and progress report*

Using the baseline developed in our asset data, we will develop forecasts for future condition based on the level of investment provided. This will then be reviewed on a 5 yearly basis (or more regularly if there are significant changes to available budget levels) to assess any under- or over-performance for each asset against the needs of the users. Where this is the case, lessons learned will be gathered to understand why this has occurred and suggested activities to either improve the situation or maximise an opportunity with a view to reducing whole life costs of the asset.

This will enable future forecasting to be completed more effectively with a view to improving accuracy in the longer term. Where assets are shown to be consistently underperforming, more detailed diagnostics will be completed to understand why and to develop remedial activities specific to that asset. We will continue to work with partners to identify innovative solutions to these challenges, constantly seeking to increase the value to the residents of Surrey.

There will be monthly works scheduling progress meetings to review the delivery to plan and the updated condition forecasts will be reviewed at board level annually, where changes will be agreed. Any changes to the strategy will also be reflected in adjustments in investment priority.

## Asset Systems and Data Management

Surrey's Data Management Strategy outlines our approach to Information Management, Data, and Systems.

## Continuous Improvement

- *Management Reviews*

We will continue to understand the user needs for highways to ensure the strategy is correctly focused, as well as remaining aligned to wider Council and corporate priorities. We will work to prioritise those activities understood to increase public satisfaction, maintain our customer focus and ensuring that everything we do is aligned to the needs of highways users.

We will take an engaging approach to delivering our plans and updating the strategy, ensuring we hear your views before making significant changes. The strategy will be reviewed annually and aligned to the 5 year business plans developed for the service. We will continue to integrate into our thinking information from the NHT survey, customer satisfaction surveys, the customer contact centre and other sources of engagement. By doing so the asset management strategy will remain relevant and aligned to the changing needs of Surrey. Progress will be published on our website and all users will be able to actively engage in the formation of the ongoing strategy.

- *Performance monitoring, review and improvement of the AM framework*

The business plan for the service is underpinned by a Performance Management Framework. This sets out a series of performance measures across all our activities which will be used to demonstrate that we are achieving the objectives of the business plan and delivering the Council's corporate goals. It will allow us to identify risks to service delivery and highlight opportunities.

Progress against the framework will be scrutinised on a regular basis with quarterly reporting to the Service Leadership Team. Implementing this framework is an ongoing process and we will continue to adapt our approach as we mature.

Included within the framework is a series of measures against the delivery of the asset management strategy. These will be used to monitor our progress against the delivery of the objectives set out in the strategy on a number of levels.

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**SURREY COUNTY COUNCIL****CABINET****DATE: 18 DECEMBER 2018****LEAD OFFICER: TRACIE EVANS, EXECUTIVE DIRECTOR, EGC****COMMUNITY COUNCIL VISION OUTCOME:****SUBJECT: WATER AND WASTE WATER SERVICES****SUMMARY OF ISSUE:**

This report sets out recommendations arising from work on options for the provision of water and waste water services to premises owned or operated by the county council and outlines a competitive tender procurement process in order to select a supplier to deliver the service.

Water and waste water services are defined as the billing, meter reading and customer service provided in connection with the supply of mains water to and the removal of waste water from sites or premises under the control of the county council. Also, each school in Surrey will be able to make use of the procurement arrangements put in place, allowing it to take advantage of the agreed rates for these services should it wish to do so.

The procurement process is at the stage where Cabinet approval is required in order to award the contract to Castle Water Limited to commence the service from 1 February 2019.

Because of the commercial sensitivity the details of assessment results have been circulated as a confidential Part 2 of this report.

**RECOMMENDATION:**

It is recommended that Cabinet approves the award of a 2 Year plus 1 Year optional contract to Castle Water Limited for the provision of water and waste water services to Surrey County Council.

**REASON FOR RECOMMENDATION:**

Water and waste water services are essential in order for the council to continue operating its premises in a way which is compliant to relevant standards of health and safety.

The award of this contract will enable uninterrupted provision of the service while reducing the current number of providers and the processing of multiple invoices. It will also generate pricing reductions of an estimated £26,000 per annum for the Council against current costs. A summary of the procurement process is circulated in Annex 1 Procurement process and in confidential Part 2 of the report.

A mini-competition and e-auction process in compliance with the requirements of Public Contract Regulations and Procurement Standing Orders has been completed. The recommended supplier offered overall best value for money in the procurement process which was carried out by Crown Commercial Services on behalf of Orbis partners: Surrey County Council, East Sussex County Council and Brighton and Hove City Council.

#### **DETAILS:**

##### **Business Case**

1. Surrey County Council (SCC) currently has five different suppliers of water and waste water services.
2. The water supply industry in the UK was previously comprised of a number of regionally based water companies responsible for the supply of water and the treatment of waste water to all consumers in their area. The county of Surrey stretches across the geographical areas of five different water companies; Affinity Water, Business Stream, Castle Water, SES Water and South East Water. The supply of water to each building in Surrey is therefore provided by the local water based on geographical location.
3. Each water provider also provides meter reading and billing services and with five different providers it means multiple invoices, multiple checking and multiple queries being processed by Surrey staff.
4. Following de-regulation in 2017 a new retail market was established for water service provision to non-domestic customers. This provides the opportunity to rationalise the number of suppliers and deliver improved service levels. It is also important for the council to have an appropriate contractual arrangement in place so that is not subject to legal challenge.
5. In the new market licensed retailers buy water and waste water services from the wholesalers and operate the retail services which include:
  - billing
  - meter reading
  - customer services
6. In the months preceding de-regulation, a decision was taken to remain with its current suppliers for a period of time whilst the new market established itself. The market has now settled enough for the SCC to establish a new contractual arrangement for the services.
7. A joint Orbis-wide approach has been undertaken combining the volumes of Surrey County Council with East Sussex County Council (ESCC) and Brighton and Hove City Council (BHCC) to obtain economies of scale and price reductions.
8. The benefits of the new arrangement, including lower prices, will be available to schools in Surrey if they choose to sign up to the contract. Once Surrey County Council has signed the call off agreement with Castle Water, any maintained school in Surrey will be able to enjoy similar benefits by signing their own call off agreement with Castle under the same terms and conditions.

9. Each council will sign an individual framework call-off contract with the service provider.

### Procurement Strategy

10. This project offered the opportunity to consolidate volumes and requirements across the Orbis Partners so that to take advantage of economies of scale and standardisation.
11. Procurement and Property Services have worked with Crown Commercial Services (CCS) who undertook an aggregated tender and e-auction on our behalf. CCS Framework was chosen to assess this new market and to establish a best value contract that maximises value for money and efficiency.
12. Combining the three council's volume of spend and standardising their requirements with a single supplier led to an opportunity to reduce costs and secure efficiencies by not having to deal with multiple vendors and multiple invoices.
13. Of the eight Suppliers within the selected Lot, CCS confirmed there were five responses received from tenderers who were all invited to an e-auction following compliance with set quality criteria as part of the evaluation process. Details of supplier's can be found in the Part 2 Report.

Following the e- auction Property and Procurement Services recommend that the contract is awarded to Castle Water Limited.

14. Benefits which will be generated by the implementation of the new contract with the recommended supplier Castle Water Limited are as follows:
  - a. **SCC Cash releasing benefits** – Can be found in the Part 2 Report. The contract price is fixed for the potential 2 Year plus 1 Year Contract term.
  - b. **Social Value** – The Crown Commercial Services framework being considered for this procurement does not provide the scope to include Social Value in mini-competitions. The types of services being procured (Meter reading and billing) are also unlikely to be able to provide Social Value directly within the respective Council areas. However, Castle Water is a national provider who carries out these services across the country for various clients. They will be using sub-contractors in the SCC area who will use local employees to carry out the water meter readings in Surrey.
  - c. **Other benefits** – The consolidation of Orbis partner volumes and requirements has resulted in a single provider across the three partner sites. This will reduce the number of supplier invoices and queries currently being processed by Surrey staff in the energy teams. The detailed information about the procurement process is contained within background paper Annex 1.

### **CONSULTATION:**

15. The Stakeholders that have been consulted in relation to this project are as follows:-
- Paul Hasley – Orbis Energy Manager, Property
  - Crown Commercial Services
  - Wendy McRea- Smith – Orbis Public Law
  - Claire Sibley – Acting Head of Procurement, SCC
  - Louise Lawson – Senior Principal Accountant, Orbis & Business Services Finance

### **RISK MANAGEMENT AND IMPLICATIONS:**

16. The award will be to a provider via a public procurement framework, which means that that they will have successfully completed satisfactory financial checks as well as competency in delivery of similar contracts at the pre-qualification stage.
17. In addition financial checks have been carried out internally for the winning bidder Castle Water Ltd. These checks have been classified as acceptable.
18. Due to the current direction of the transformation programme at SCC, risks were assessed that may impact on future provision of these services. Although it is unlikely to affect these services the contract includes the following 'Termination Clause' :-
- Termination without Cause "The Customer shall have the right to terminate this Call Off Contract at any time by issuing a Termination Notice to the Supplier giving at least thirty (30) Working Days written notice (unless stated differently in the Call Off Order Form)".
19. This will allow the Council to terminate the contract with 30 days' notice.
20. The following key risks associated with the contract have been identified, along with mitigation activities:

<b>Category</b>	<b>Risk Description</b>	<b>Mitigation Activity</b>
Financial	Increase in costs during the term.	Prices are fixed for contract term.
	Provider has poor financial standing	Internal Financial checks carried out – status of Acceptable.
Performance	Previous experience of customer service issues.	Specific quality questions included in tender documentation that cover specific concerns.  Termination without cause clause provides 30 day notice of termination in the event of consistent poor performance not improved by dialogue with vendor.

Personal data	General Data Protection Regulation (GDPR)	CCS confirmed that GDPR is low risk due to nature of services being provided i.e. no customer names or personal details will be processed. Details held are meter readings, volumes and premise addresses.
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### **Financial and Value for Money Implications**

21. The overall [estimated] value of the contract for SCC over the potential 2 Years plus 1 Year is currently £1,050,000.
22. The procurement activity has delivered a solution with identified savings of £78k (£26k per annum) for SCC.
23. Award of the new contract will result in a decrease in the cost of the contract with estimated value of the contract reduced to £972k over the 2 Year plus 1 Year term.
24. Benchmarking information regionally and nationally on the cost of the delivery of the services required under the contract show that Castle Water currently provide the most competitive value for money offer for monthly and quarterly billing services.

### **Section 151 Officer Commentary**

25. The estimated level of expenditure and savings in this report are included in the current Medium Term Financial Plan.
26. Property Services is expected to have in place appropriate controls to ensure that water and waste water services purchased through the optional contract are necessary within the context of the Council's financial situation.
27. The procurement exercise to establish the optional contract ensures that water and waste water services are market tested and provide value for money.

### **Legal Implications – Monitoring Officer**

28. In order to comply with the 'Key Principles' set out in paragraph 1.2 of the Procurement Standing Orders, the Council has a duty to secure Best Value.
29. The Council's Legal officers will advise during the procurement to ensure that it complies with all relevant public procurement legislation as well as the Council's Procurement Standing Orders.

### **Equalities and Diversity**

30. The Council has been mindful of its equalities duties under the Equality Act 2010 in carrying out the tender process and letting the contract with due regard to the need to eliminate discrimination in age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex and sexual orientation.

31. The Council is committed to providing its services in a way, which promotes equality of opportunity at every possibility. The contract document stipulates that the supplier will comply with the relevant Equality and Diversity legislation. It is expected that the appointed supplier will be fully committed to equality and diversity in their service provision and will ensure compliance with all anti-discrimination legislation.
32. There are no TUPE implications as a result of this contract.

<b>WHAT HAPPENS NEXT:</b>
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33. The timetable for implementation is as follows:

Action	Date
Cabinet decision to award (including the end of 'call in' period)	18 December 2018
Contract Signature	31 December 2018
Contract Commencement Date	1 February 2019

**Contact Officers:**

Paul Hasley, Orbis Energy Manager – 07813 363432  
 William Johnstone, Procurement Specialist, Orbis Procurement – 07701 020239

**Consulted:**

Claire Sibley – Head of Procurement SCC  
 Wendy Mcree-Smith, Orbis Public Law (OPL)  
 Paul Hasley – Energy Manager SCC

**Annexes:**

Annex 1 – Procurement process  
 Confidential Part 2

**Sources/background papers:**

**SURREY COUNTY COUNCIL****CABINET****DATE: 18 DECEMBER 2018****LEAD OFFICER: LEIGH WHITEHOUSE, EXECUTIVE DIRECTOR OF FINANCE****COMMUNITY VISION  
OUTCOME:****SUBJECT: FEES & CHARGES POLICY****SUMMARY OF ISSUE:**

Surrey County Council (the Council) has seen a steady and sustained reduction in its core funding which is putting increased pressure on its finances.

Despite achieving savings over the last eight years of £540m, the Council has had to use its reserves and deliver one-off measures to balance the budget in 2018/19. As a result the Council is undertaking a significant transformation programme to ensure that it continues to deliver vital services within its resources.

A review of fees & charges is part of this transformation programme. The proposed fees & charges policy is an essential element of this review and provides guidance on the setting of new charges and the policy context within which existing charges are to be reviewed. It confirms the Council's approach to cost recovery and income generation and the governance processes.

**RECOMMENDATIONS:**

It is recommended that the Cabinet agrees that:

1. the proposed fees & charges policy is adopted; and
2. any discretionary services, whether currently provided free of charge or with some element of subsidy will be subject to a full review including appropriate consultation before a decision is taken on whether the subsidy is to continue.

**REASON FOR RECOMMENDATIONS:**

The Council is facing a serious financial situation which means that its approach to the delivery of discretionary services, for which a charge is permissible, needs to be appropriate. The fees & charges policy ensures that a consistent, transparent and policy based approach is adopted by the Council in order to eliminate unintentional subsidies or reconsider subsidies that may no longer be supportable within the current financial context.

**DETAILS:**

1. Recovering all the Council's costs from the provision of discretionary services is essential to ensure that the Council is able to fulfil its statutory duties while not placing an additional burden on the Surrey taxpayer. Fees & charges are currently set by each service and are subject to annual inflationary reviews as part of the financial planning process, reviews of charges are undertaken in different ways within each service resulting in inconsistent approaches throughout the Council.
2. Benchmarking undertaken by the Council indicates that the overall gross income raised from fees & charges is in line with the average for County Councils but there are some significant differences on a service by service basis.
3. This benchmarking exercise informed the first phase of the transformation project which focussed upon charges made in the Highways, Transport and Planning functions and identified a number of opportunities which are being further explored and targeted for additional income as part of the wider Highway and Transport transformation programme.
4. The proposed fees & charges policy is an essential underpinning activity to deliver this and further reviews across the Council. The policy sets its preferred position that the Council will charge for all its discretionary services where it is appropriate and cost effective to do so, unless there are contrary policies approved by the Council or legal constraints.
5. The policy provides guidance on the setting of fees & charges, the requirement to seek approval for changes to subsidies and the grounds upon which a subsidy may be approved. The policy confirms the requirement to undertake annual and periodic in-depth reviews that consider the cost of delivering services, the requirement to benchmark against other local authorities and the relevant factors to be considered when setting charges.

**CONSULTATION:**

6. A review of fees & charges and the requirement for an agreed policy formed part of the transformation proposals approved by Council at its November meeting.
7. Any new charges for services that are currently being provided for free or material increases to existing charges as a result of this policy will require specific consultation in accordance with the governance arrangements set out in the policy.

**RISK MANAGEMENT AND IMPLICATIONS:**

8. Establishing a fees & charges policy mitigates risks since it facilitates a consistent approach to charging for the delivery of discretionary Council services. The policy complies with the relevant legislation and ensures that a policy led approach is taken regarding the provision of subsidy for services that are supplied at a cost to the general taxpayer rather than to the individual user.

### **Financial and Value for Money Implications**

9. The policy enables the Council to take a consistent and robust approach to the setting of fees & charges and complements the delivery of income targets that form part of the Preliminary Financial Strategy and the Council's Medium Term Financial Plan.
10. Upon review, all fees & charges for discretionary services are preferred to be set in order to fully recover the cost of delivery, unless there is a specific decision by a Cabinet Member or Cabinet (depending upon value) to provide a subsidy on policy grounds. In some instances, where a subsidy is no longer supported on policy grounds, this may mean a material increase to the fee which the service user may not be able to bear and may therefore mean that some discretionary services cease.
11. Heads of Service are accountable for ensuring compliance with the policy in their area of responsibility and will be supported in the setting of fees & charges by the Finance Service, who will follow the procedures set out in the policy to ensure consistency of approach and which will introduce a new quality assurance framework.

### **Section 151 Officer Commentary**

12. A review of fees & charges forms part of the transformation programme which is in place to ensure that the Council is able to deliver its services within the resources available. Adopting the policy will provide the basis for a consistent and policy led approach to the delivery of discretionary services and will aid the Council's ability to deliver services.

### **Legal Implications – Monitoring Officer**

13. In general terms, discretionary services are those which the Council has the power to provide but is not legally required to provide. Discretionary services are distinct from statutory services, which the Council must provide. Unlike for statutory services, the Council may, under Section 93 of the Local Government Act 2003 and Section 3 of the Localism Act 2011, levy a charge for discretionary services.
14. The levying of a charge must meet the requirements of those Sections. The charges, taking one year with another, cannot exceed the cost of providing each type of service i.e. the charges cannot be set to produce a surplus.
15. Cabinet will note that adopting the proposed fees & charges policy does not change any existing subsidies. Before an existing subsidy can be materially altered the Council will need to undertake a full review and options analysis. Consultation and an equalities impact assessment will also likely be required prior to any decision being taken.

### **Equalities and Diversity**

16. There are no immediate equalities and diversity issues arising from the implementation of the fees & charges policy. Any new charges implemented as a result of the policy will potentially require consultation and/or an Equalities

Impact Assessment to consider the likelihood of any disproportionate adverse impact on vulnerable groups.

**WHAT HAPPENS NEXT:**

17. Following Cabinet approval:

- Services will be required to review their fees & charges and the provision of discretionary services.
- Where such reviews are constrained by the availability of resources, changes with the highest expected financial impact will be prioritised as part of the transformation programme.

**Contact Officer:**

Susan Smyth, Head of Strategic Finance (Business Development & Investment), Tel 020 8541 7588

**Annex:**

Annex 1 - Fees & Charges Policy

**Sources/background papers:**

Council Papers 13 November 2018: Organisation Strategy, Preliminary Financial Strategy, Transformation Programme and People Strategy

Annex

# **Surrey County Council Fees & Charges Policy**

**December 2018**



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## 1. INTRODUCTION

- 1.1. The decisions made by councils about charging for discretionary local public services can affect everyone. When councils charge for services their users pay directly for some or all of the costs of the services they use. Where no charges are made, or where charges do not recover the full cost of providing a discretionary service, council taxpayers in general subsidise individual users, often at the expense of other services.
- 1.2. Fees and charges are an important source of income, providing funds to assist in achieving the corporate objectives of Surrey County Council. The purpose of this policy is to establish a framework within which fees and charges levied by the council are agreed and regularly reviewed.
- 1.3. This framework confirms the Council's preferred position, being that charges for discretionary services are expected to be set in order to fully recover their costs unless there is a specific decision by Cabinet or Cabinet Member to subsidise the service provision for policy reasons.
- 1.4. The decision on whether to make a charge (and the amount to charge) is not always in the control of the council; the level of some charges is set by government nationally. But where it is, it is important that the implications of the charging decisions being taken are fully understood and that the appropriate information is available for the council to make informed decisions.
- 1.5. This policy therefore provides guidance to heads of service and service managers on;
  - The setting of new charges and the policy context within which existing charges should be reviewed, including consultation and equality impact assessments, as required.
  - The council's approach to cost recovery and the generation of income from charging for services.
  - The governance processes to follow to gain approval for services to be provided at subsidy – whether this be a subsidy to all users or in the form of concessions for users meeting a qualifying criteria.
- 1.6. The policy should allow the council to have a properly considered, consistent and informed approach to all charges it makes for its discretionary services in support of the delivery of its corporate objectives and the protection of statutory services.
- 1.7. The policy will be reviewed at least every 3 years or as required following legislative changes. The policy and its application is subject to the normal scrutiny arrangements.

## 2. SCOPE

- 2.1. This policy relates to fees and charges currently being levied by the council and those that are permissible (but not currently being levied) under its general powers to provide and charge as defined by legislation. Statutory charges, i.e. charges that are set nationally by government, are included within the scope of the policy to ensure consistency of approach and to enable changes to the national legislation to be considered as part of periodic reviews. Charges for statutory services, where these are permissible within the relevant legislation, and for which the level of charge is determined locally by the Council are within the scope of the policy.
- 2.2. The policy does not apply to services provided to other public bodies under contract as this type of activity is undertaken in accordance with different legislation and different considerations are relevant. The Local Authority (Goods and Services) Act 1970 enables Local Authorities and other public bodies to provide goods and services to each other under mutually agreed arrangements. The cost of providing such services is not limited to cost recovery and therefore it is permissible to make a surplus. However, many such services are undertaken on the grounds of cost-sharing between public sector partners. This type of arrangement is however expected to be undertaken in line with the key principles of the fees & charges policy – for example, in terms of an expectation that all costs of delivery will be recovered by the arrangements and that any exceptions will follow a similar approval process.
- 2.3. The policy does not apply to services provided on a commercial basis, which are undertaken in accordance with different legislative provisions and as such are delivered by the Council's wholly owned trading companies, which are overseen by the Shareholder Board. Similarly this policy does not cover rental income since this is also undertaken in accordance with different legislative provisions and is described more fully in a separate strategy.
- 2.4. The policy does not apply to services delivered under the Care Act 2014. This Act determines the maximum amount a local authority can charge for the provision of social care based upon an overarching principle that people should only be required to pay what they afford. Further details are to be found on the Council's public website and in the "Charging Policy for Adult Social Care Services" document.

## 3. KEY PRINCIPLES

Users of discretionary services are expected to pay for the full cost of the service being received rather than the general tax payer

Approval for services to be provided at subsidy or the provision of concessions must follow the governance set out in this policy and align with corporate priorities

Approval for new charges must follow the governance set out in this policy

Users of discretionary services must be aware of the charge prior to purchase and prior to delivery

Charges will be collected in advance of service delivery, unless there is an explicit rationale for collecting the income in arrears

Charges will be subject to annual inflationary increase where permissible

All charges will be subject to periodic indepth review (at least once every 3 years)

## 4. LEGISLATION

- 4.1. Discretionary services are those which an authority has the power to but is not obliged to provide. Section 3 of the Localism Act 2011 allows authorities to charge for discretionary services offered under their general power of competence and sits alongside the powers already available to local authorities to charge for discretionary services in function-related areas under Section 93 of the Local Government Act 2003. Authorities cannot charge for services that they have a statutory duty to provide.
- 4.2. Additions or enhancements to mandatory services above the standard that an authority has a duty to provide may be provided as discretionary services.

- 4.3. This Act introduced the following key points-
- Authorities are under a duty to ensure that, taking one year with another, the income from charges do not exceed the costs of provision.
  - The recipient of the discretionary service must have agreed to its provision and agreed to pay for it.
  - Charges may be set differentially, so that different people are charged different amounts.
- 4.4. In using the phrase “taking one year with another” the legislation recognises the practical difficulties a council may face in estimating the charges, since to a large extent this is highly dependent upon the demand for the services concerned. This enables the council to “balance their books” over a period of time (not less than a year but no more than 3 years) such that any under-recovery of cost can be addressed in setting charges for future years so that over time income equates to costs.
- 4.5. In setting charges, the legislation makes reference to CIFPA’s definition of total cost. This provides the ability to recover all costs in the organisation, including a proportion of all central and unallocated overheads including democratic costs, depreciation, interest and working capital costs and any pensions back-funding.
- 4.6. The law is complex and some services and charges are bound by further specific legislation. Services are expected to be aware of the legislative context that applies to their area of responsibility and seek advice as required from Legal Services.

### **5. CHARGING POLICY: COST OF DELIVERY**

- 5.1. Subject to the governance processes set out below, it is proposed that fees & charges for discretionary services are to be set in order to fully recover the cost of delivery, unless there is a specific decision by Cabinet or Cabinet Member to subsidise the service provision for policy reasons.
- 5.2. Each charge should be identified as belonging to one of the categories in the table below and the appropriate charging policy adopted in establishing and reviewing the level of the charge. In determining the appropriate charging policy, proper consideration should be given to the wider equalities implications which may be involved affecting accessibility of all groups to council services.

Type	Objective	Approval
Full cost recovery (This is the preferred position- discretionary services are anticipated to fall into this category unless otherwise agreed)	The council wishes to make the service generally available, but there is no policy rationale for providing a subsidy from general taxation.	Heads of Service in accordance with the Scheme of Delegation – noting that new charges and material changes to existing charges will require Cabinet or Cabinet Member approval.
Full cost recovery with concessionary discounts	The council wishes to make the service generally available and is prepared to subsidise the service to ensure disadvantaged groups have access to the service.	Cabinet or Cabinet Member
Subsidised	The council wishes to make the service widely accessible and therefore provides a subsidy from general taxation however users of the service are expected to make some contribution to the cost.	Cabinet or Cabinet Member
Nominal	The council wishes the service to be fully available but sets a charge to discourage frivolous use.	Cabinet or Cabinet Member
Free	The council's policy is to make the service fully available and "free at the point of delivery". The service is funded from general taxation.	Cabinet or Cabinet Member
Statutory	Charges are set in line with legal obligations and national government charging policy.	NA

5.3. Adopting a method of full cost recovery means that the total cost of delivery, together with an apportionment of department and corporate overheads, is calculated and charged to the service user– it involves taking a look at the whole process and ensuring that all the stages involved are taken into account, for example the cost of handling the initial enquiry through to the collection of the payment. It includes costs such as-

Employment costs	<ul style="list-style-type: none"><li>•The cost of staff who deliver the service - their</li><li>•Salary, employer national insurance and pension costs.</li><li>•Including an allocation of pension back-funding if this is a cost to the Council.</li></ul>
Department costs	<ul style="list-style-type: none"><li>•Costs incurred by the department to deliver the service for example;</li><li>•Travel</li><li>•Specialised equipment</li><li>•Administration and management</li></ul>
Corporate costs	<ul style="list-style-type: none"><li>•Costs incurred by other departments, Accomodation, IT and Insurance</li><li>•Back-office services such as Finance, Human Resources, Business Operations (accounts payable and payroll etc)</li><li>•Democratic costs</li></ul>
Financial	<ul style="list-style-type: none"><li>•Depreciation</li><li>•Interest on loans</li><li>•The cost of payment collection fees incurred by the Council</li><li>•Debt collection and bad debt write-off</li></ul>

- 5.4. The Finance team will provide support to Heads of Service to prepare the cost analysis required for the setting of fees & charges and in doing so, will follow the procedures set out in a "Finance Note of Practice" to ensure consistency of approach across the Council.

## 6. GOVERNANCE

- 6.1. The Council may decide to provide discretionary services without charge or at a level that does not fully recover the cost of delivery – in doing so, the general council tax payer will be subsidising service users as the impact of such a decision could be to divert funding from other services. Such decisions should support the delivery of the Council's Corporate Plan, its priorities and its objectives. Prior to introducing any new fees for charges or making any changes to existing subsidies, the Council will undertake a full review of the discretionary service, including consultation and an equalities impact assessment where required.
- 6.2. In some circumstances it may be appropriate to provide a partial subsidy if charging the full cost discourages or prevents usage.

- 6.3. When considering a subsidy, the following should be taken into account:
- That the subsidy supports a corporate priority, objective or policy
  - That it is reasonable to assume that the impact of the policy can be measured
  - The cost of the subsidy can be estimated and is affordable within the council's budget
  - That the proposed subsidy is the most effective approach available to deliver the policy objective, and
  - Any other relevant information.
- 6.4. A subsidy could be for all users or in the form of concessions for users that meet a qualifying criteria. Definitions of qualifying criteria for concessionary target groups should be consistent across the council. Any application for a concession will be considered on its own merits. The following are examples of groups, subject to the approval mechanisms noted below, which may be considered for concessions-
- Young people of less than 16 years of age,
  - Full time Students
  - People with a disability in receipt of a means tested benefit
  - Individuals in receipt of a means tested benefit
  - Senior citizens.
- 6.5. Heads of Service are responsible for ensuring that the fees & charges within their area of responsibility comply with the policy and for ensuring that the policy is applied to all discretionary services and not just those for which a charge is currently made.
- 6.6. All subsidies, whether in the form of reduced charges or concessions require approval from Cabinet or Cabinet Member depending upon value of the expected cost to deliver the service. A Cabinet Member may approve subsidies that apply to fees & charges that have a total cost of under £1m in aggregate per annum. Subsidies that apply to fees and charge with an aggregate cost of over £1m are to be taken by Cabinet. In both cases, the reason for the provision of subsidy is to be recorded and is to be reviewed every 3 years.
- 6.7. If the Cabinet Member or Cabinet do not approve a subsidy, the head of service is required to charge the full cost to the user, and, subject to appropriate governance processes, if such a service becomes unviable it should cease to be provided.

## 7. NEW FEES & CHARGES

- 7.1. Services are responsible for reviewing their services and ensuring that appropriate decisions are taken for all discretionary services. Proposals for new fees & charges must be considered by Cabinet in accordance with the Council's constitution and take into account the outcome of any consultation and equalities impact assessment.
- 7.2. Reasonable notice should be given to service users after any decision is taken to significantly amend or introduce a new fee or charge for a service that was previously

delivered for free or at a higher subsidy. Reasonable notice for these purposes is deemed to be one month.

- 7.3. An Equalities Impact Assessment is required to be carried out for all new charges to consider the likelihood of any disproportionate adverse impact on vulnerable groups.
- 7.4. No consultation or notice is required, but may be desirable, before the implementation of a new discretionary service not previously provided by the Council.
- 7.5. Proposals should be made using the guidance in the Annex – this provides a brief rationale and business case for the introduction of the fee or charge or the introduction of the new discretionary service.

## 8. ADMINISTRATION / NOTIFICATION OF CHARGES

- 8.1. Users of discretionary services must be aware of the charge prior to the ordering and delivery of services requested. Charges that are ordinarily paid by residents are expected to be quoted inclusive of VAT. Charges that are paid by businesses may be quoted excluding VAT in line with normal business practice.
- 8.2. Arrangements for the charging and collection of payments should be efficient, practical and simple to understand by users. It is expected that payment will be collected in advance of service delivery unless there is an explicit rationale for collecting the income in arrears. In these exceptional circumstances, Services are expected to issue invoices promptly and comply with debt management processes. Charges for services that are to be paid in arrears will include the cost of debt recovery and an allowance for bad debt write-offs.
- 8.3. Once set and in accordance with the policy, Heads of Service are required to ensure that fees & charges are applied to all service users and that waiving of fees is only applied in exceptional circumstances. Heads of Service are required to keep a record of any exceptions granted in these circumstances for review.

## 9. PERIODIC REVIEW

- 9.1. Charges, and decisions not to charge, will be reviewed by Services annually in sufficient time for the impact of any revisions to be included in the budget setting process. All charges are expected to be increased by at least inflation each year unless there are exceptional reasons not to do so.
- 9.2. Heads of Services are expected to undertake a thorough review every 3 years – such a review is necessary to ensure that there are no material changes since the last review and to provide assurance that all costs are being recovered. The Finance service will monitor the cost recovery position. Heads of Service are expected to build and maintain a record of activity data relevant to the service they provide.

- 9.3. Heads of Service have delegated authority to implement increases to existing charges but should however follow the process for the introduction of new charges if these changes are material or have a particular EIA requirement or impact. It may be appropriate in certain circumstances to implement a material increase in a phased approach however this will require approval from the Cabinet Member or Cabinet since a subsidy is being provided.
- 9.4. Charges must also be reviewed during the year if there are any significant changes, such as cost, market changes, demand or service levels which materially affect the current charges and cost recovery with any changes required approved by Cabinet or through delegated authority as above.
- 9.5. The reasons behind any significant change to charges should be communicated to service users, providing reasonable notice which is deemed to be one month.
- 9.6. The guidance in the Annex should be used to record the outcome of the periodic in-depth review. The Finance team will provide support to Heads of Service to undertake this in-depth review and may require that such a review is undertaken where there is evidence that the current fees & charges are below comparable benchmarks or where there is evidence confirming that a subsidy is being provided. In undertaking this review, the Finance team will follow the procedures set out in the "Finance Note of Practice" document to ensure consistency of approach.

### 10. RECORDING OF FEES AND CHANGES

- 10.1. Services are expected to maintain a schedule of all fees & charges levied. These schedules should include, identified separately, charges that are set nationally. The schedule should record the date of the last in-depth review and the date of any relevant Cabinet Member or Cabinet decision to provide a subsidy or concession.
- 10.2. The council's fees & charges are ordinarily set prior to each financial year and published as part of setting the Medium Term Financial Plan. Users of discretionary services must be made aware of any charges prior to using services and this may be achieved by publishing information alongside service information on the council's website.

## ANNEX: GUIDANCE FOR NEW FEES & CHARGES AND THE PERIODIC IN-DEPTH REVIEW OF FEES & CHARGES

### Charging Policy

The charging policy must be stated, together with an explanation of why this is being proposed (for example full cost recovery, subsidised or nominal as defined in the policy at paragraph 5.2)

### Comparative Information

Include details of comparative charges levied by other local authorities.

Financial	
Level of charge	Proposed new level of charge
Start Date	Implementation date for the new charge or new level of charge
Income	Expected gross income to be generated by the new charge (per annum)
Costs	The estimated cost of supplying the service including all administrative and overhead costs.
Subsidy	The amount of subsidy (if relevant) - <b>subject to approval</b>
Concessions	The type and amount (if any) of any proposed concessions – <b>subject to approval</b>

### Impact Assessment

Identify the likely impact on service users including those that currently benefit from the service, the effects of the changes proposed and the impact of any proposed subsidies or concessions. Equality issues must specifically be considered and reported.

### Council Impact

Note any consequences that the services or charge may have on other council services

### Method of Collection

Proposals for new charges (or the periodic in-depth review of existing charges) must identify what collection methods will be used. This should be in accordance with the policy as noted in paragraph 8.2.

### Consultation

Include a summary of the consultation conducted and the results of consultation including any adjustments that have been made as a result of the consultation.

**SURREY COUNTY COUNCIL****CABINET****DATE: 18 DECEMBER 2018****REPORT OF: SARAH BAKER, MONITORING OFFICER****SUBJECT: LOCAL GOVERNMENT OMBUDSMAN REPORT WITH A FINDING OF MALADMINISTRATION****SUMMARY OF ISSUE:**

This report concerns the findings of the Local Government and Social Care Ombudsman (the Ombudsman) in response to a complaint concerning the service provided to a Surrey family.

The production of this Monitoring Officer report is a statutory requirement under Section 5A of the Local Government and Housing Act 1989. The Council's Monitoring Officer has to report to the Council's executive body (Cabinet) when the Ombudsman has conducted an investigation into a complaint against the Council and has found that maladministration causing injustice has occurred.

The Council has apologised to the family for failing to provide the agreed remedy following a previous complaint with regard to failings in their son's educational provision, and for failing to honour its commitments to the Ombudsman. A plan is now in place to provide a consistently high standard of response to enquiries from the Ombudsman. In addition, the Council has taken steps to check that the family now receives the provision needed for their son, and whether other children who may have been affected by a general shortfall in occupational therapy provision needed additional therapy.

**RECOMMENDATIONS:**

It is recommended that that Cabinet:

1. consider the Ombudsman's report and the steps taken by the service to address the findings,
2. consider whether any other action should be taken, and
3. note that the Monitoring Officer will be bringing her report to the attention of all councillors.

**REASON FOR RECOMMENDATIONS:**

There is a statutory requirement for the Monitoring Office to bring to Members' attention any Ombudsman report on the Council that identifies it is at fault and has caused injustice as a result.

**DETAILS:**

1. The Local Government Ombudsman has investigated a complaint made by parents of a child with special needs that the Council failed to provide the agreed

remedy for his previous complaint to the Ombudsman. A report into the investigation (Annex 1) was published on 14 November 2018.

2. The identity of the family in question is not made publicly available and the Ombudsman refers to the complainant as 'Mr B' in his report, and his son as 'C'. In May 2018, the Ombudsman upheld Mr B's previous complaint that the Council was at fault for failing to meet C's educational needs properly, including for C having no school place for half a school year in 2016/17 and for not receiving the therapy his education, health and care plan said he needed. The Council agreed to the Ombudsman's recommendations to put matters right, so the investigation was ended.
3. When the timescale for the Council's agreed actions passed, it appeared that the Council had not carried out any of them. The Ombudsman therefore investigated a new complaint from Mr B that the Council had not provided the agreed remedy for the previous complaint.
4. The Council had agreed to do the following to resolve the previous complaint:
  - Apologise.
  - Obtain assessments from relevant professionals of whether C needs any extra educational provision, Occupational Therapy (OT), or Speech & Language Therapy (SLT) to reach the points he would be likely to have reached if he had been in school. If he does, the Council should ensure C receives this, at the Council's expense.
  - Pay Mr B £2,200 in respect of C's missed educational provision.
  - Pay Mr and Mrs B an additional £750 each (£1,500 altogether) to acknowledge the injustice the Council's faults caused the family.
  - Obtain assessments from relevant professionals of whether other children affected by the problems with the Council's OT provision need any extra OT to make up for what they lost. If they do need this, the Council should ensure they receive it, at the Council's expense.
5. The Council sent the apology over two weeks late, after the Ombudsman had chased, and was two months late in making the agreed payment. The Ombudsman finds that these delays were fault on the part of the Council and that overall, that the Council's dealings with the Ombudsman's office were inadequate.
6. The Ombudsman finds that the Council did not honour its previous agreement with Mr B and the Ombudsman in this regard, and concludes that the Council's failure to provide the agreed remedy, which caused Mr B to go to additional time and trouble making the second complaint, was injustice. He recommends a further apology and a further payment of £250 to remedy this. The full report is appended to this report and has been published on the Ombudsman website.
7. Surrey County Council has an existing process for managing Ombudsman enquiries and complaints. For the majority of cases, this process results in accurate, timely and effective responses. However, the Service has acknowledged that in this case, these processes were not followed. There was not a sufficient level of oversight with regard to managing the timescales for implementing the remedies proposed by the Ombudsman.

8. Due to the complexity of the situation and the period of time that had passed (the original concerns were raised in 2016), it is evident that this enquiry would have benefited from a more experienced officer overseeing the process for this complaint. This would have supported with ensuring the Ombudsman's enquiries were responded to accurately and in a timely manner.
9. In line with the recommendations from the Ombudsman, the Service has initiated a plan to align its processes with the corporate processes, to provide a consistently high standard of response to Ombudsman enquiries.
10. C's current education is in a specialised provision tailored to his needs. He has received additional occupational therapy sessions to catch up on missed provision, and it has been assessed that the effect on his speech and language from his time out of school is unlikely to have been adverse. The Ombudsman has acknowledged that the Council's position is based on an understanding of C's needs and appropriate professional judgments, and does not consider that any more need be done in terms of assessing the impact of any previous shortfall in C's educational provision.
11. In relation to whether any other children affected by problems with the Council's provision needed extra occupational therapy, the Ombudsman acknowledged the Council had already taken remedial action by implementing a recovery plan in April 2017. This included a risk assessment for each child, updates and the use of locums to provide occupational therapy. The Council established in March 2018 that all provision was up to date. The Ombudsman does not consider that the Council needs to do more on this point.
12. In accordance with statutory requirements on this matter, Surrey County Council placed notices in the *Surrey Mirror* (22 November 2018) & the *Surrey Advertiser* (23 November 2018).

#### **CONSULTATION:**

13. The Chief Executive and S151 Officer have been consulted on this report in accordance with the statutory requirements.

#### **RISK MANAGEMENT AND IMPLICATIONS:**

14. The LGO findings highlight service failures that caused injustice to a vulnerable child and his family. An action plan is now in place to provide a consistently high standard of response to enquiries from the Ombudsman.

#### **Financial and Value for Money Implications**

15. The Council has paid I of £3,700 compensation to the complainants as recommended by the Ombudsman, and will make payment of a further £250 immediately after this meeting.

### **Section 151 Officer Commentary**

16. The Section 151 Officer confirms that there are no material financial implications regarding the matters raised in this paper.

### **Legal Implications – Monitoring Officer**

17. The Local Government and Housing Act 1989 places a duty on the Monitoring Officer to report the Ombudsman's findings to the Cabinet and draw her report to the attention of each Member of the Council.
18. Ombudsman's recommendations are not legally enforceable although it is extremely unusual for an authority not to accept them. If the Ombudsman is not satisfied with a council's response he can publish a further report and can compel an Authority to publicise his views. In this instance Officers have accepted the findings of the Ombudsman, agreed to pay the amounts recommended by the Ombudsman and have agreed to make an apology.

### **Equalities and Diversity**

19. The Council has to have due regard to its equality duties under the Equality Act 2010 and to consider the impact of its decisions and actions on individuals with protected characteristics. Particularly relevant here are the characteristics of disability and age (in so far as this concerns a disabled child). The duties relating to special educational needs are enshrined in law to ensure that such children get the support that they require to help them with their education. Members will no doubt wish to consider whether there are any other lessons to learn to avoid any future similar adverse impact on children with disabilities, those who care for them and on their families.

### **Corporate Parenting/Looked After Children implications**

20. There are no implications for corporate parenting/looked after children arising from this report.

### **Safeguarding responsibilities for vulnerable children and adults implications**

21. There are no implications for safeguarding responsibilities for vulnerable children and adults arising from this report.

### **Public Health implications**

22. There are no implications for public health arising from this report.

### **Climate change/carbon emissions implications**

23. There are no implications for climate change and carbon emissions arising from this report.

### **WHAT HAPPENS NEXT:**

24. A report of the Cabinet's response to the Ombudsman's recommendations will be produced and sent to all Members and to the Ombudsman.

25. The matter will be reported to the Council for it to note.

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**Contact Officer:**

Sarah Baker, Monitoring Officer  
020 8541 7981  
Sarah.baker@surreycc.gov.uk

**Consulted:**

See paragraph 12 above

**Informed:**

See paragraph 12 above

**Annexes**

Annex 1- Report of the Local Government Ombudsman no 18 005 5

**Sources/background papers:**

Report of the Local Government Ombudsman no 18 005 543

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## **Report by the Local Government and Social Care Ombudsman**

### **Investigation into a complaint against Surrey County Council (reference number: 18 005 543)**

**23 October 2018**

## The Ombudsman's role

For 40 years the Ombudsman has independently and impartially investigated complaints. We effectively resolve disputes about councils and other bodies in our jurisdiction by recommending redress which is proportionate, appropriate and reasonable based on all the facts of the complaint. Our service is free of charge.

Each case which comes to the Ombudsman is different and we take the individual needs and circumstances of the person complaining to us into account when we make recommendations to remedy injustice caused by fault.

We have no legal power to force councils to follow our recommendations, but they almost always do. Some of the things we might ask a council to do are:

- > apologise
- > pay a financial remedy
- > improve its procedures so similar problems don't happen again.

Section 30 of the 1974 Local Government Act says that a report should not normally name or identify any person. The people involved in this complaint are referred to by a letter or job role.

### Key to names used

Mr B	The complainant
Mrs B	The complainant's wife
C	Mr and Mrs B's son

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## Report summary

### Children's Services

Mr B complains the Council failed properly to provide the agreed remedy for his previous complaint to the Ombudsman.

### Finding

Fault found causing injustice and recommendations made.

### Recommendations

To remedy the injustice caused, we recommend the Council:

- send Mr B a further written apology, covering its delays sending the previously agreed apology and payment; and
- pay Mr B £250 to recognise the injustice to him.

The Council should also report to the Ombudsman, with evidence, to show it has reviewed its processes to ensure:

- it responds promptly, fully and accurately to our enquiries, draft decisions and other communications; and
- it checks full and prompt completion of each part of a complaint remedy it agrees with us and then updates us promptly.

## The complaint

1. Mr B complains the Council failed properly to provide the agreed remedy for his previous complaint to the Ombudsman.

## The law relevant to this complaint

2. We investigate complaints about ‘maladministration’ and ‘service failure’. In this report, we have used the word ‘fault’ to refer to these. We must also consider whether any fault has had an adverse impact on the person making the complaint. We refer to this as ‘injustice’. If there has been fault which has caused an injustice, we may suggest a remedy. (*Local Government Act 1974, sections 26(1) and 26A(1), as amended*)
3. We cannot question whether a council’s decision is right or wrong simply because the complainant disagrees with it. We must consider whether there was fault in the way the decision was reached. (*Local Government Act 1974, section 34(3), as amended*)
4. If we are satisfied with a council’s actions or proposed actions, we can complete our investigation and issue a decision statement. (*Local Government Act 1974, section 30(1B) and 34H(i)*)
5. Our investigation of Mr B’s previous complaint ended on this basis as we were satisfied with the Council’s agreement to take certain actions.
6. Under the information sharing agreement between the Local Government and Social Care Ombudsman and the Office for Standards in Education, Children’s Services and Skills (Ofsted), we will share this decision with Ofsted.

## How we considered this complaint

7. We produced this report after examining relevant documents and considering information from Mr B and the Council.
8. We gave Mr B and the Council a confidential draft of this report and invited their comments. The comments received were taken into account before the report was finalised.

## What we found

### Background

9. Mr B’s son, C, has special educational needs and disabilities. In May 2018, we upheld Mr B’s previous complaint. We did not publish that decision on our website because the contents risked identifying the family. The Council agreed to our recommendations to put matters right so we ended our investigation.
10. When the timescale for the Council to complete the agreed actions passed, it appeared the Council had not carried out any of those actions. We therefore investigated a new complaint from Mr B that the Council had not provided the agreed remedy for the previous complaint.

### Our consideration of Mr B’s previous complaint

11. Our previous investigation found the Council was at fault for failing to meet C’s educational needs properly, including for C having no school place for half a school year in 2016/17. C also did not receive the speech and language therapy

(SLT) and occupational therapy (OT) the Council's education, health and care plan (EHCP) said he needed. In addition, we found that, even once C was at school, problems with the Council's OT provision meant C and other children did not receive the OT the Council said they needed.

12. We found those faults caused uncertainty about the impact on C's education and caused C's family considerable inconvenience, time and trouble pursuing matters, avoidable distress, anxiety and a justified sense of anger. There was also the possibility that other children's progress had been set back by not having OT.
13. At our recommendation, the Council agreed to do the following to resolve the complaint.
  - Apologise.
  - Obtain assessments from relevant professionals of whether C needs any extra educational provision, OT, or SLT to reach the points he would be likely to have reached if he had been in school. If he does, the Council should ensure C receives this, at the Council's expense.
  - Pay Mr B £2,200 in respect of C's missed educational provision.
  - Pay Mr and Mrs B an additional £750 each (£1,500 altogether) to acknowledge the injustice the Council's faults caused the family.
  - Obtain assessments from relevant professionals of whether other children affected by the problems with the Council's OT provision need any extra OT to make up for what they lost. If they do need this, the Council should ensure they receive it, at the Council's expense.
14. Before our final decision, we set out these recommended actions and timescales in a draft decision and invited the Council and Mr B to comment. The Council accepted the draft recommendations without suggesting there would be any problem with either the actions or the timescales.
15. The Council agreed to send the apology and payments by 17 June 2018 (one month after our final decision). It agreed to obtain the assessments by 17 June 2018 and begin any necessary catch-up provision as soon as possible after that.
16. The Council's usual procedure after agreeing our draft recommendations is to share our final decision with relevant Council managers, highlighting the agreed actions and timescale. Those managers should then complete the remedy. We have considered what the Council did on each point it had agreed.

### **Apology**

17. The Council drafted an apology letter within a week of our final decision. However, it did not issue the letter, seemingly having overlooked this due to staff changes. It sent the apology on 4 July 2018. That was over two weeks late and evidently only happened because we had asked the Council what it had done about our recommendations. The Council was at fault for the delay.

### **Payments**

18. The Council agreed to pay by 17 June 2018. It did nothing until early July. Then, prompted by us, it asked Mr B for his bank details, which he provided promptly. The Council then told us it had paid Mr B in July. This was not true, which the Council admitted after Mr B and we pursued the point. We do not suggest the Council deliberately misled us. Rather, the inaccuracy appears to have resulted from poor communications within the Council. The Council eventually paid the money in mid-August, two months late.

19. The Council could reasonably have sought the bank account details and made the payment well within the one-month period it had agreed. Its delay was fault. That fault was compounded, and further time wasted, by the Council wrongly telling us it had already paid.
20. These events suggest an unfocussed approach to dealing with us on this matter, even when the Council knew it had already failed to pay on time. We should not have had to chase the Council repeatedly to make it pay.

### **Whether C needs any extra educational provision, occupational therapy or speech and language therapy**

21. On 11 July 2018, the Council told us it had not yet done anything about obtaining and acting on the assessments. It apologised to us.
22. The purpose of these recommendations was to establish whether the Council's earlier faults had set back C's progress. It was important to do this promptly so any remedial action could follow soon, minimising any effect on C's progress. Failing to do this as agreed was significant fault.
23. We asked the Council what it has now done about our previous recommendations regarding C's progress in education, OT and SLT.

### **Educational provision**

24. Regarding C's general educational progress, the Council now says that, given C's complex special educational needs, '*...it is not possible in 2018, to assess damage caused from the period of time [when C had no school place]...*'
25. If it is 'not possible in 2018' to assess this, it is not clear why the Council agreed to do precisely this as part of the remedy for Mr B's previous complaint. This response implies the Council did not properly consider our recommendation before agreeing it. This point adds to the general impression of an unfocussed approach to remedying the complaint and to dealing with us.
26. The Council also now states that C is in a suitable school with highly specialised provision specifically tailored to his needs. It therefore says the education C has received since starting there automatically takes account of his needs, including any needs caused by his previously missing some schooling. Essentially, the Council's position is that C's current education is taking account of all his needs on a continuing basis.
27. Given the nature of C's needs, the nature of the school he attends, and the reviews of his needs that the school and Council undertake in the normal course of events, the Council's comments here seem likely to be accurate. So, we do not consider the Council needs to do more now in terms of assessing the impact of any previous shortfall in C's educational provision. Nevertheless, the Council must ensure it properly considers our draft recommendations rather than agreeing points it is unable to deliver.

### **Occupational therapy**

28. We now understand that, before our previous investigation ended, C received additional OT sessions to catch up on what he missed. C's most recent annual review also suggested an increase in his OT provision. The Council believes it is providing everything that is appropriate in terms of OT.
29. The purpose of our recommendation was to ensure C received any necessary and possible catch-up provision if his progress had suffered during the period when the Council's faults had left him without OT. The Council's position is based

on its understanding of C's needs and on appropriate professional judgements. So, as paragraph 3 explained, we cannot criticise the Council's position. Also, the substantive position in terms of action to help C would have been the same even had the Council reacted promptly to our previous recommendations.

30. However, as the Council took some of the relevant steps before our previous investigation ended, it is surprising the Council did not tell us this when we sent our draft decision on the previous complaint. Again, there seems to be a lack of a joined-up approach within the Council and in its dealings with us.

### **Speech and language therapy**

31. A speech and language therapist who has observed C recently has now considered C's circumstances and liaised with C's previous school. In July 2018 the therapist judged it unlikely a formal assessment of C would help because of his difficulty engaging with an assessment. That was a professional judgement the therapist was entitled to make. It was properly reached based on recent knowledge of C.
32. The speech and language therapist therefore reported based on observing C recently and on knowledge of his history before and since starting his current school. The therapist concluded: C's communication skills have deteriorated but this is in line with his overall presentation over time; C's time out of school may have affected his routine and his access to a more communication-rich environment; but it is unlikely C's time out of school directly impacted his communication skills.
33. Those points are professional judgements, properly reached based on considering C's circumstances. Also, it is likely those judgements would have been the same had the Council acted promptly on our previous recommendations and considered the situation sooner. So, we cannot criticise those judgements.
34. The Council has achieved the aim of our recommendation, namely establishing, as far as possible, the effect of C's time out of school on his speech and language. The Council properly reached its view that there was unlikely to have been an adverse effect. Therefore, the Council need not do more on this point.

### **Whether any other children affected need extra occupational therapy**

35. During the 2016/17 school year, the Council failed to provide some OT in parts of Surrey. It told Mr B in June 2017 this was affecting some OT services in schools and to children living in the affected areas. Our draft decision on Mr B's previous complaint recommended the Council assess the affected children by 17 June 2018 then begin any catch-up work as soon as possible. The Council agreed.
36. However, it now appears the Council had already taken remedial action before our previous draft decision. The Council has now explained that a recovery plan started in April 2017, including risk assessments for each child, updates and the use of locums to provide OT. While not all children (including C) were receiving their OT by June 2017, as the Council told Mr B then, we understand the Council established in March 2018 that all OT provision was now up to date.
37. The Council now accepts it did not properly consider our draft recommendations on the previous complaint, which asked the Council to identify and assist children who had missed OT. If the Council had considered this properly, it would have been able to tell us then that it had just finished resolving the problem. Therefore, we would not have recommended the Council now deal with that point. The Council also did not explain the position fully earlier in the current investigation.

38. The Council's failure to explain the position properly to us was fault. It acknowledges it should learn from this. On the information we now have, we do not consider we need to ask the Council to do more on the underlying point about other children having missed OT.

### **The Council's dealings with our office**

39. The time for the Council to implement the agreed actions on Mr B's previous complaint and update us passed but we heard nothing. On 22 June 2018, we emailed the Council seeking an update. The Council received this email but did not forward it to the relevant officers and did not reply. That was fault.
40. We chased the Council again on 2 July, asking what had happened. The Council did not reply until 9 July, it says partly due to confusion about which officer would reply. It says it has revised its processes to prevent such confusion happening again. The confusion and delayed reply were faults.
41. The Council's reply on 9 July said it had now sent the apology and would make the payments. The reply, from the Council's complaints section, also said that section had been unable to obtain an update from the Council's operational teams about the other agreed actions. The Council accepted this was not satisfactory.
42. The Council was at fault for its inability even to tell us what had happened on each of our recommendations. It is concerning that different sections of the Council were not communicating with each other properly.
43. On 12 July, the Council admitted to us it had done nothing about assessing whether C needed any further provision. By then, we had started investigating Mr B's new complaint about the Council's failure to provide the agreed resolution for his previous complaint.
44. We sent the Council some enquiries. The Council's response did not answer some of our enquiries and did not provide the requested supporting documentary evidence for all of the points it did answer. The inadequate response was fault, which necessitated further enquiries to obtain the relevant information.
45. Overall, the Council's dealings with us about this complaint were inadequate. This, and the seemingly poor communications between sections of the Council, implies the Council did not give sufficient priority to implementing our recommendations on the previous complaint promptly enough and to communicating fully with us about it.

### **Conclusions**

46. The Council failed to honour its agreement with us and Mr B. That was fault, as the Council accepts. We should not have had to chase the Council repeatedly for it to do what it previously agreed.
47. We take seriously any breach of an agreement resulting from our findings. Parliament has given us wide discretion to investigate complaints and make recommendations. Implicit in this is the expectation that, if a council freely agrees our recommendations, it will do what it has agreed. The Council's failure to honour its commitments is a significant fault.

### **Injustice**

48. Mr B had a reasonable expectation the Council's agreement to remedy his complaint showed the Council took the matter seriously and intended to make amends. The Council's failure to do that properly caused Mr B justified frustration,

anger and avoidable uncertainty. Mr B also had to go to more time and trouble complaining to us again. These are all injustices, which compound the injustice from the Council's faults that our previous investigation found.

49. The Council's faults in its dealings with us meant Mr B had to wait longer for an answer to his new complaint. Those faults also caused unnecessary additional work for our office.

## Recommendations

50. The Council must consider the report and confirm within three months the action it has taken or proposes to take. The Council should consider the report at its full Council, Cabinet or other appropriately delegated committee of elected members and we will require evidence of this. (*Local Government Act 1974, section 31(2), as amended*)
51. To remedy the injustice caused by its faults, we recommend the Council should:
- send Mr B a further written apology, covering its delays sending the previously agreed apology and payment; and
  - pay Mr B £250 to recognise the injustice to him identified paragraphs 48 and 49 above. Responding to a draft of this report, the Council suggested £250 was excessive. We do not agree. The Council's faults providing the previously agreed remedy meant Mr B had to make a second complaint to the Ombudsman, correct inaccurate information the Council then sent us and wait longer to receive the payment the Council previously agreed. He should not have had to do any of that.
52. The Council should carry out the actions in paragraph 51 within one month of the date it considers the report.
53. The Council should also report to us, with evidence, to show it has reviewed its processes to ensure:
- it responds promptly, fully and accurately to our enquiries, draft decisions and other communications; and
  - it checks full and prompt completion of each part of a complaint remedy it agrees with us and then updates us promptly.

The Council should carry out the actions in paragraph 53 within three months of the date it considers this report.

## Decision

54. We have completed our investigation of this complaint. We have found evidence of fault causing injustice. We have recommended action to remedy the injustice caused.

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**SURREY COUNTY COUNCIL**

**CABINET**

**DATE: 18 DECEMBER 2018**



**REPORT OF: LEIGH WHITEHOUSE, EXECUTIVE DIRECTOR OF FINANCE**

**LEAD OFFICER: CHIEF EXECUTIVE AND EXECUTIVE DIRECTORS**

**SUBJECT: FINANCE AND BUDGET MONITORING REPORT TO 31 OCTOBER 2018**

**SUMMARY OF ISSUE:**

Surrey County Council faces a very significant financial challenge. The combination of eight years of successive reductions in Central Government and rising demand for services have placed unprecedented pressure on our ability to deliver year on year savings sufficient to offset these two issues.

This report summarises the most significant issues for the Council's 2018/19 financial position as at 31 October 2018. This is for both revenue and capital budgets, plus performance in achieving planned Medium Term Financial Plan (MTFP) savings and progress on in-year cost reductions. It has five annexes, which provide further details.

The 2018/19 budget set by the Council in February 2018, relied on significant use of one-off resources, including drawing £21m from reserves. Material additional spending pressures in Special Education Needs & Disabilities (SEND) identified in the early part of this financial year, would, without action, have resulted in the County Council's reserves falling below an acceptable level, particularly given the funding uncertainties the Council faces from 2019/20 onwards. In response, the Council set the £40m in year cost reduction programme, with two objectives:

- achieve sufficient in year cost reductions to prevent unplanned use of reserves to off-set overspent budgets; and
- avoid the need to draw down any of the planned £21m contribution from reserves this year to be in a more resilient position for 2019/20.

As at 31 October 2018, we are forecasting that the in-year reductions will have contributed to a position whereby we can avoid any unplanned use of reserves, and can reduce the planned use of reserves to from £21m to £13m. This would mean that the Council would have delivered a £7.9m underspend against the original budget, despite significant pressures emerging during the year.

The forecast outturn has improved by £4m since last month. This is predominantly due to an increasing number of the proposed budget reductions being progressed to the point that they can be reflected in the forecast, offset by a worsening position in relation to SEND.

In future months, Executive Directors and Cabinet Members will progress further towards completing the in year cost reduction programme, meaning the Council will have to draw less money from its reserves than it planned to in the 2018/19 budget. This will enhance financial resilience in line with the Organisational Strategy and Preliminary Financial Strategy.

#### **RECOMMENDATIONS:**

1. Cabinet is asked to note the Council's overall revenue and capital budget positions as at 31 October 2018:
  - -£8m forecast reduction in the need to use reserves;
  - £63m savings forecast against the £66m MTFP target;
  - £29m completed actions towards achieving £40m in year cost reductions;
  - The additional in-year government grant funding for winter pressures in adult social care (Annex 2 para 13), and
  - £133m forecast service capital programme outturn against £135m budget.

#### **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:**

##### **Revenue budget overview**

1. The Council is making progress in meeting its aim of reducing the use of reserves this year. As at 31 October 2018, the Council forecasts a -£8m underspend against the MTFP budget, which reduces the Council's forecast need to draw from reserves in 2018/19 from £21m to £13m.
2. This is an improvement of £4m from last month. The most significant changes to the forecast outturn from that reported last month are;
  - £5.0m in Adult Social Care from successful completion of management actions to reduce in year spending;
  - £1.4m improvement in Central Income & Expenditure through a variety of savings.
  - Offset by £5.1m increase in cost in Education, Lifelong Learning & Culture. This is due to a £3.0m reduction in the forecast achievement of the SEND cost containment plan and £2.1m increase in SEND transport costs.
  - The remainder of the improvement is due to underspendings across the other services.

3. Table 1 shows: gross and net expenditure budgets, forecast outturn position and forecast variance by the Council's main service groups. Annex 2 provides a commentary on the most significant variances.

Table 1 Summary forecast 2018/19 revenue budget as at 31 October 2018

	<b>Gross budget</b>	<b>Net budget</b>	<b>Net forecast</b>	<b>Forecast variance</b>	<b>Last Month variance</b>
<b>Directorate</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>	<b>£m</b>
Delegated Schools	315.3	0.0	0.0	0.0	0.0
Education, Lifelong Learning & Culture	323.9	70.8	89.7	18.9	13.8
Safeguarding & Family Resilience	44.7	42.2	42.6	0.4	0.9
Corporate Parenting	114.8	100.8	99.3	-1.5	-1.2
Quality Assurance	6.6	5.5	5.9	0.4	0.4
Commissioning	12.4	11.2	11.4	0.2	0.2
<b>Children, Families, learning &amp; Communities (CFLC)</b>	<b>817.7</b>	<b>230.5</b>	<b>249.0</b>	<b>18.4</b>	<b>14.1</b>
Adult Social Care	500.6	382.0	371.3	-10.7	-5.0
Public Health	37.3	0.7	0.5	-0.1	-0.1
<b>Health, Wellbeing &amp; Adult Social Care (HWA)</b>	<b>538.0</b>	<b>382.7</b>	<b>371.8</b>	<b>-10.9</b>	<b>-5.1</b>
<b>Economy, Growth &amp; Commercial (EGC)</b>	<b>41.1</b>	<b>30.5</b>	<b>27.1</b>	<b>-3.4</b>	<b>-3.1</b>
Highways & Transport	79.7	67.1	64.8	-2.3	-1.8
Environment	73.5	69.2	69.2	0.0	0.2
Surrey Fire & Rescue Service	45.7	31.5	31.2	-0.3	-0.3
Communities	5.1	3.0	2.6	-0.4	-0.4
<b>Highways, Transport &amp; Environment (HTE)</b>	<b>204.1</b>	<b>170.8</b>	<b>167.9</b>	<b>-3.0</b>	<b>-2.3</b>
Customer & Performance	7.4	7.0	6.5	-0.5	-0.5
Orbis HR&OD, IT&D and JOB	52.4	51.8	48.2	-3.6	-3.2
Coroner	2.4	1.7	2.0	0.3	0.2
<b>Customer, Digital &amp; Transformation (CDT)</b>	<b>62.1</b>	<b>60.6</b>	<b>56.6</b>	<b>-3.9</b>	<b>-3.6</b>
<b>Finance (Fin)</b>	<b>4.3</b>	<b>2.6</b>	<b>2.6</b>	<b>0.0</b>	<b>0.0</b>
<b>Central Income &amp; Expenditure (CIE)</b>	<b>54.1</b>	<b>49.9</b>	<b>39.2</b>	<b>-10.7</b>	<b>-9.4</b>
<b>Total services' net revenue expenditure</b>	<b>1,721.4</b>	<b>927.6</b>	<b>914.2</b>	<b>-13.4</b>	<b>-9.4</b>
General funding		-906.3	-900.9	5.5	5.3
<b>Use of reserves</b>		<b>21.2</b>	<b>13.3</b>	<b>-7.9</b>	<b>-4.1</b>

Note: All numbers have been rounded - which might cause a casting difference

\* Orbis manages budgets on behalf of other directorates. Orbis activities are spread among directorates as follows: Property, Procurement and Business Operations within EGC, Finance within Fin, Human Resources & Organisational Development (HR&OD), Information Technology & Digital (IT&D) and the Orbis Joint Operating Budget (JOB) within CDT.

### Revenue savings and cost reductions

4. To ensure a considered, strategic and corporate approach to financial management and reporting, Corporate Leadership Team: tracks and monitors

delivery of MTFP savings and additional in year cost reductions; and will develop plans for alternative savings as required.

### *MTFP savings*

5. The Council's 2018/19 revenue budget includes £66.0m net ongoing MTFP savings. As at 31 October 2018, directorates forecast to deliver £63.0m against this target, compared to £63.3m forecast last month. The main change is a £3.0m shortfall against the £15.0m SEND cost containment plan offsetting improvements in other services. The forecast includes other smaller shortfalls in some planned savings masking overachievements in other areas. These are reflected in the year end forecast and Annex 3 provides a summary by Directorate in graphical form.
6. Figure 1 shows the risk ratings for the MTFP savings as at 31 October 2018. Directorates assess the achievability risks for the £66.0m planned MTFP savings based on their achievement to date and the forecast profile for achieving the remaining savings over the year. Within the overall savings profile: £56.6m are achieved or on track, £2.9m face potential barriers and £3.6m have a high risk of not being achieved.

Figure 1 Risk ratings for MTFP savings as at 31 October 2018



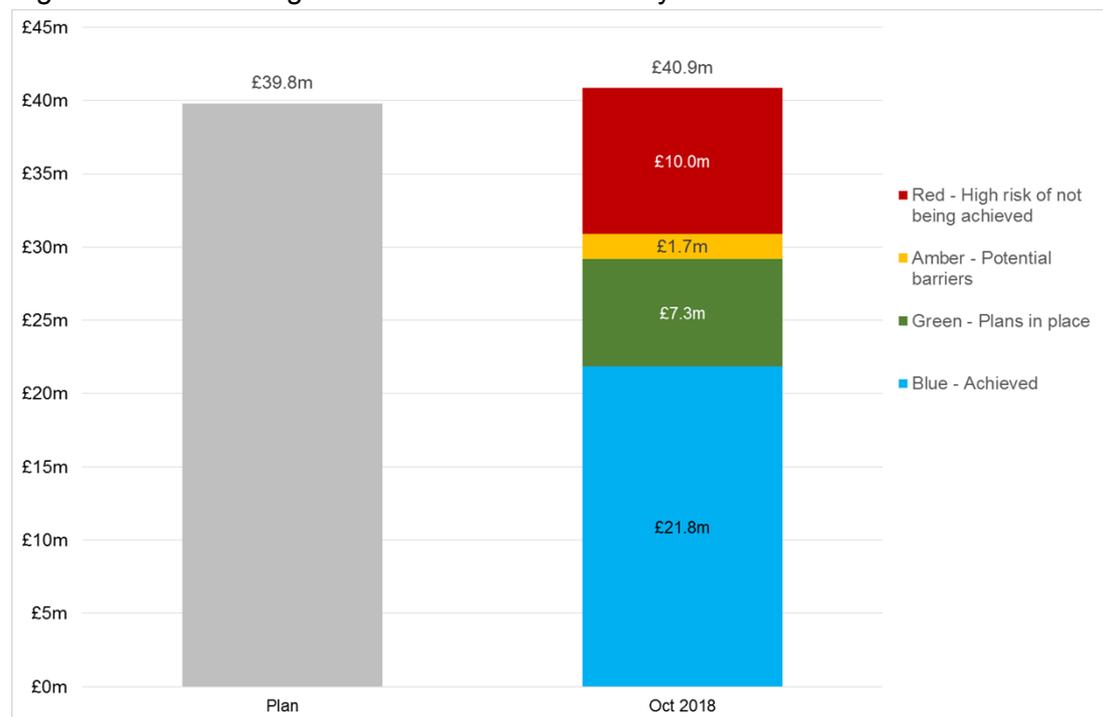
7.

### *In year budget reductions*

8. To improve the Council's financial resilience, Cabinet approved in year budget reductions for all services in September of £40.

9. Figure 2 shows the risk ratings for the management actions to achieve these budget reductions as at 31 October 2018 compared to the plan. The actions achieved, or with plans in place total £29.2m and are included in the forecast outturn position. These are coloured blue and green. The actions facing potential barriers (amber) or at a high risk (red) of not being achieved and therefore still requiring management actions, total £11.7m. These are not included in the forecast outturn position. While no service has a forecast of less than its target, some of the actions achieved or with plans in place are forecast to overachieve against their targets. This accounts for the difference between the total for all of the actions and the £40m overall budget reduction target. Annex 4 provides more details of the achievement of these management actions.

Figure 2 Risk ratings for achievement of the in year cost reductions



### Service transformation

10. Local authority funding remains uncertain, especially around the future of the Business Rates Retention Scheme, the Fair Funding Review, negative Revenue Support Grant and the prospects anticipated in the deferred Green Paper on adult social care. The Chancellor of the Exchequer's Autumn Budget of 29 October 2018 announced some new funding for local government in 2019/20. However, the Chancellor gave no indications of local government funding for years after 2019/20. The Council is not in a position to forecast any significant new or additional government funding to meet the continuing and rising pressures it faces over the medium term.
11. Faced with these uncertainties and pressures, Cabinet is developing a programme of transformational changes to ensure the Council has sustainable

services for residents. This transformation was set out in the County Council report of 22 May 2018, "Developing a Vision for Surrey in 2030". The benefits of the transformation programme will start to flow from 2019/20, with further benefits in 2020/21.

12. At its Budget and Council Tax meeting on 6 February 2018, Council approved a Flexible Use of Capital Receipts Strategy. This enables the Council to use capital receipts to fund the revenue costs of service reform projects. At its meeting on 22 May 2018, Council approved up to £5.0m for interim capacity and project management support for the Transformation Programme. The current spend relating to this is £1.2m and the full £5.0m is currently expected to be required this financial year.
13. Outline Business Cases for the transformation savings were presented for agreement in principle to Cabinet at its meeting on 30 October 2018. These, and the more detailed Full Business Cases for savings, will link to a more robust budget setting process for 2019/20 and the next five year MTFP. The Provisional Finance Strategy and preliminary balanced budget for 2019/20, without the use of reserves were presented to the County Council in November 2018 (subject to any changes resulting from the Local Government Finance Settlement expected on 6 December 2018). This is three months in advance of previous years.

#### **Capital programme overview**

14. The Council has a three year MTFP capital programme of £322m, including £135m in 2018/19. This major investment in Surrey's infrastructure and economy focuses on the growth in pupil numbers and the importance residents place on good roads and services.

#### *Capital programme budget monitoring headlines*

15. Table 2 shows directorates forecast -£1.9m variance against the 2018/19 service capital programme budget. Significant variances within this position include:
  - -£1.0m in Property Services mainly due to the discovery of asbestos causing delays in replacing modular buildings; and
  - -£0.8m IT&D projects due to re-profiling server replacement into future years.
16. As part of increasing its overall financial resilience the Council forecasts making £91m net investment in long term income generating capital assets in 2018/19. This brings total forecast capital spending in 2018/19, to £258m.

Table 2 2018/19 capital programme budget variances as at 31 October 2018

	Current full year budget	Apr – Oct actual	Nov – Mar forecast	Full year forecast	Full year variance
	£m	£m	£m	£m	£m
Schools basic need	27.1	18.4	8.8	27.1	0.0
Property Services	30.8	16.6	13.2	29.8	-1.0
Highways & Transport	57.5	28.0	29.5	57.5	0.0
Environment	2.2	0.8	1.3	2.2	0.0
IT & Digital	4.5	0.6	3.1	3.7	-0.8
Other capital projects	12.8	2.4	10.3	12.7	-0.1
<b>Service capital programme</b>	<b>134.9</b>	<b>66.9</b>	<b>66.1</b>	<b>133.0</b>	<b>-1.9</b>
Long term investments	0.0	33.5	91.2	124.7	124.7
<b>Overall capital programme</b>	<b>134.9</b>	<b>100.4</b>	<b>157.3</b>	<b>257.7</b>	<b>122.8</b>

Note: All numbers have been rounded - which might cause a casting difference

### Investment Strategy

17. Income of £6.7m is forecast to be delivered from investment assets this financial year, of which £5.8m will be from acquisitions made by the Council's property company, Halsey Garton Property group (HGP). This income is comprised of a dividend of £2.0m and £3.8m net interest margin on loans provided to the company by the Council. This is a £0.2m improvement from last month's forecast following Investment Board approval for a new acquisition which is expected to complete in December 2018.

### Risk based approach

18. The Council operates a risk based approach to budget monitoring across all services. The approach ensures the Council focuses on monitoring those higher risk budgets due to their value, volatility or reputational impact.
19. Managers with high risk budgets monitor their budgets monthly, managers with low risk budgets monitor their budgets quarterly (or more frequently on an exception basis, if the year to date budget and actual spend vary by more than 10%, or £50,000, whichever is lower).

### **CONSULTATION:**

20. All Cabinet Members will have consulted their relevant director or head of service on the financial positions of their portfolios.

### **RISK MANAGEMENT AND IMPLICATIONS:**

21. Risk implications are stated throughout the report and each relevant director or head of service 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 and the sustainability of the MTFP. In the light of the increased and significant financial risks faced by the Council, the Leadership Risk Register will be

reviewed to increase confidence in directorate plans to mitigate the risks and issues.

#### **FINANCIAL AND VALUE FOR MONEY IMPLICATIONS**

22. The report considers financial and value for money implications throughout and future budget monitoring reports will continue this focus.

#### **SECTION 151 OFFICER COMMENTARY**

23. The Section 151 Officer confirms 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.
24. The Council has a duty to ensure its expenditure does not exceed resources available. During 2018/19, the Council plans to deliver £66m MTFP savings and to reduce spending by a further £40m as it moves towards a sustainable budget for future years. All services must continue to take all appropriate action to keep costs down and optimise income (e.g. through minimising spending, managing vacancies wherever possible). Adverse variances will require remedial in-year efficiencies and budget reductions.
25. It is drawn to members' attention that the Council's reserves are already at low levels bearing in mind the ongoing uncertainty about: future funding, demand pressures, savings and the transformation programme. For these reasons and to increase the Council's financial resilience, the Council needs to achieve all of its £66m MTFP savings and all of the £40m in year cost reductions Cabinet has approved. Unless the Council achieves these savings and cost reductions in 2018/19, it risks depleting reserves to unacceptable levels.

#### **LEGAL IMPLICATIONS – MONITORING OFFICER**

26. The Council is under a duty to set a balanced and sustainable budget. The Local Government Finance Act requires the Council to take steps to ensure that the Council's expenditure (that is expenditure incurred already in year and anticipated to be incurred) does not exceed the resources available whilst continuing to meet its statutory duties.
27. Cabinet should be aware that if the Section 151 Officer, at any time, is not satisfied that appropriate strategies and controls are in place to manage expenditure within the in-year budget they must formally draw this to the attention of the Cabinet and Council and they must take immediate steps to ensure a balanced in-year budget, whilst complying with its statutory and common law duties.

#### **EQUALITIES AND DIVERSITY**

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

implementing individual management actions, the Council must comply with the Public Sector Equality Duty in section 149 of the Equality Act 2010 which requires it to have due regard to the need to eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act; advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

29. Services will continue to monitor the impact of these actions and will take appropriate action to mitigate additional negative impacts that may emerge as part of this ongoing analysis.

**WHAT HAPPENS NEXT:**

30. The relevant adjustments from the recommendations will be made to the Council's accounts.

**Contact Officer:**

Leigh Whitehouse, Executive Director of Finance  
020 8541 7246

**Consulted:**

Cabinet, executive directors, heads of service.

**Annexes:**

Annex 1 – Overall and directorate revenue budget financial position.  
Annex 2 – Revenue budget monitoring headlines  
Annex 3 – MTFP savings projects 2018/19  
Annex 4 – In year cost reduction programme 2018/19  
Annex 5 – Activity information for the Council's highest risk budgets.

**Sources/background papers:**

Revenue and capital budget movements.

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## Forecast revenue budget as at 31 October 2018

Service	Full year gross budget £m	Full year net budget £m	YTD actual £m	Full year position £m	Full year variance £m
Delegated Schools	315.3	0.0	0.0	0.0	0.0
Education, Lifelong Learning & Culture	323.9	70.8	48.3	89.7	18.9
Safeguarding & Family Resilience	44.7	42.2	24.3	42.6	0.4
Corporate Parenting	114.8	100.8	57.5	99.3	-1.5
Quality Assurance	6.6	5.5	3.4	5.9	0.4
Commissioning	12.4	11.2	6.5	11.4	0.2
<b>Children, Families, Learning &amp; Communities</b>	<b>817.7</b>	<b>230.5</b>	<b>140.1</b>	<b>249.0</b>	<b>18.4</b>
Adult Social Care	500.6	382.0	203.9	371.3	-10.7
Public Health	37.3	0.7	0.0	0.5	-0.1
<b>Health, Wellbeing &amp; Adult Social Care</b>	<b>538.0</b>	<b>382.7</b>	<b>203.9</b>	<b>371.8</b>	<b>-10.9</b>
Economic Growth	1.1	1.0	0.4	1.0	0.0
Property	31.2	21.7	9.3	18.6	-3.1
Procurement	0.0	0.0	0.0	0.0	0.0
Business Operations	-0.1	-0.1	-0.1	-0.1	0.0
Legal Services	4.4	4.0	9.3	4.1	0.1
Democratic Services	4.6	3.9	14.2	3.5	-0.4
<b>Economy, Growth &amp; Commercial</b>	<b>41.1</b>	<b>30.5</b>	<b>33.0</b>	<b>27.1</b>	<b>-3.4</b>
Highways & Transport	79.7	67.1	34.8	64.8	-2.3
Environment	73.5	69.2	32.8	69.2	0.0
Surrey Fire & Rescue Service	45.7	31.5	18.4	31.2	-0.3
Trading Standards	3.9	1.8	1.0	1.7	-0.1
Communities Support function	0.7	0.7	0.3	0.5	-0.2
Emergency Management	0.5	0.5	0.2	0.4	-0.1
<b>Highways, Transport &amp; Environment</b>	<b>204.1</b>	<b>170.8</b>	<b>87.5</b>	<b>167.9</b>	<b>-3.0</b>
Strategic Leadership	0.8	0.8	0.5	0.9	0.1
Communications	1.7	1.7	0.9	1.5	-0.2
Strategy & Performance	1.4	1.2	0.6	0.9	-0.3
Customer Services	3.4	3.3	1.8	3.1	-0.2
Human Resources & Organisational Development	3.9	3.9	1.3	3.1	-0.8
Information Technology & Digital	12.9	12.4	5.9	10.8	-1.6
Joint Operating Budget ORBIS	35.6	35.5	19.9	34.3	-1.2
Coroner	2.4	1.7	1.4	2.0	0.3
<b>Customer, Digital &amp; Transformation</b>	<b>62.1</b>	<b>60.6</b>	<b>32.3</b>	<b>56.6</b>	<b>-3.9</b>
<b>Finance</b>	<b>4.3</b>	<b>2.6</b>	<b>1.5</b>	<b>2.6</b>	<b>0.0</b>
<b>Central Income &amp; Expenditure</b>	<b>54.1</b>	<b>49.9</b>	<b>24.8</b>	<b>38.7</b>	<b>-11.2</b>
<b>Total services' net revenue expenditure</b>	<b>1,721.4</b>	<b>927.6</b>	<b>523.1</b>	<b>913.7</b>	<b>-13.9</b>
General funding sources					
Capital receipts		-15.0	0.0	-9.5	5.5
General Government grants		-58.7	-25.4	-58.3	0.5
Local taxation (council tax & business rates)		-832.6	-501.9	-832.6	0.0
<b>Total general funding</b>		<b>-906.3</b>	<b>-527.3</b>	<b>-900.4</b>	<b>6.0</b>
<b>Total movement in reserves</b>		<b>21.2</b>	<b>-4.2</b>	<b>13.3</b>	<b>-7.9</b>

Note: All numbers have been rounded - which might cause a casting difference

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## Revenue budget monitoring headlines

### Children, Families, Learning & Communities Directorate

#### *Education, Lifelong Learning & Culture*

*+18.9m overspend (+£5.1m deterioration since 30 September)*

*-£0.6m management actions remaining*

1. Education, Lifelong Learning & Culture (ELLC) forecasts +£18.9m overspend at year end. This deterioration is mainly due to the following significant changes:
  - +£3.0m additional cost pressure on the SEND High Needs Block budget;
  - +£2.1m increase in SEND transport costs as more pupils require transport and each route accommodates fewer pupils compared to previous projections; and
  - +£0.3m fall in confirmed cost reductions in Culture.
2. Exceptional demand for services for children with SEND continues, shown by the rising number of Education Health & Social Care Plans (EHCPs). At 31 October 2018 there were 8,689 EHCPs which is a rise of 979 (12.7%) since the SEN2 statutory return to the Department for Education in January 2018.
3. At the start of the financial year the pressure on the SEND service was estimated at £30m (which has now risen to £31m due to the effect of additional placements). ELLC developed a cost containment plan to achieve reductions of £15m, of which £8.9m have been achieved, £1.3m face potential barriers, £2.8m are high risk. A further £3.0m is of very high risk of not being achieved due to increasing ECHPs and while the service will continue to seek to contain costs, this has been included as an additional pressure in the outturn forecast. There is a degree of uncertainty over the cost of the new school and college placements that began in September as the Council has to rely on schools and colleges for information and last academic year this took until January to complete.
4. ELLC's forecast £18.9m overspend remains a significant concern and risk for the Council. As part of the SEND sustainability transformation work the service is looking urgently at how it can minimise the impact on the Council's reserves and services in future years.
5. A significant cost element for ELCC is school agency placements. The forecast overspend for this has reduced slightly from September's projection to +£18.0m. The small forecast reduction is due to 30 fewer placements starting as soon as expected. However, 27 more placements are now forecast to start by the year end. The timing of this means the financial consequences for 2018/19 will be low, but the full year effect could put extra pressure on 2019/20. Under the cost containment plan ELLC will seek: alternative in house provision; that health costs are appropriately funded by health partners; and to negotiate with providers.
6. The forecast for Individual Statemented Pupil Support Budget (ISPSB) rose by +£0.4m. While the actual numbers of supported pupils are consistent with those projected for October, the increased forecast overspend is because the cost of the

new packages are higher than anticipated, and backdated costs are also more than previously projected.

7. Other significant forecast variances include: -£1.0m additional contribution to overheads from Commercial Services; and +£0.5m projected pressure for two sponsored academy conversions that are likely to have deficits.

#### *Corporate Parenting Service*

*-£1.5m forecast underspend (-£0.3m improvement since 30 September)*

*-£0.8m management actions remaining*

8. Corporate Parenting (CP) continues to experience exceptional demand for services however some of these pressure are being offset by savings elsewhere. CP is underspending by -£1.5m and is part achieving the £2.3m in year budget reduction required.
9. The external placement budget was increased by £11m for 2018/19 due to increasing demand. As at 31 October 2018 there were 84 external residential placements and 255 external fostering placements out of a total of 900 looked after children (excluding Unaccompanied Asylum Seeking Children (UASC)). The number of external residential placements is 9 less than planned at this stage in the financial year. However the effect of this is partly offset by the number of external fostering placements being 13 more than planned and by a number of very high cost supported accommodation placements. As shown in Annex 3, if CP achieves its savings plan for external fostering and external residential placements, it would achieve further aggregate cost reductions of £0.9m due to cost and volume differentials.
10. As in previous years, the Council has to subsidise services for UASC, as the grant funding from the Home Office falls £4.5m short of the total £8.9m cost. For 2018/19 the Council increased the budget for this level of subsidy. The Council still awaits the Home Office's revised funding arrangements, which are likely to alter the level of subsidy. As at 31 October 2018 the service was supporting 112 UASC.

#### **Health, Wellbeing & Adult Social Care**

##### *Adult Social Care*

*-£10.7m forecast underspend (-£5.7m improvement since 30 September 2018)*

*no management actions remaining*

11. Adult Social Care (ASC) projects -£10.7m underspend as at 31 October 2018. This meets ASC's in year budget reduction target for 2018/19.
12. The -£5.7m improvement in forecast underspend from last month is mainly due to ASC being on track to deliver fully its final -£5.0m management actions to achieve in year cost reductions. The further -£0.7m improvement is due to continuing under-usage of home based care packages , plus a reduction in projected costs for people expected to transition from CFLC services in the remainder of the year.
13. In October the Government announced additional social care funding for local authorities to support pressures that may emerge over the 2018/19 winter. The Council's allocation is £4.0m, though it is still awaiting formal confirmation of the grant

conditions and receipt of the funding. In a letter sent in October, the Secretary of State for Health & Social Care made it clear that the funding must be spent on adult social care services, including discussions with local NHS partners. Discussions have taken place with local health partners in Surrey and have agreed £1.4m of the Council's winter pressures funding will be allocated across Surrey's local health systems based on population size. The remaining £2.6m funding will be held as a countywide contingency against pressures that may emerge over the winter period. The Chancellor announced further winter pressures funding would be paid to authorities in 2019/20, although full details of this funding will not be confirmed until the Provisional Local Government Finance Settlement is published in December.

### **Economy, Growth & Commercial Directorate**

#### *Property budgets managed by Orbis*

*-£3.0m forecast underspend (no change since 30 September 2018)*

*-£1.9m management actions remaining*

14. Property Services forecasts -£3.0m underspend, due to management action taken to achieve in year cost reductions. The -£1.9m management actions remaining includes -£1.0m budget reductions which are judged to be high risk and -£0.6m from utilities, which will depend on the winter weather.

### **Highways, Transport & Environment Directorate**

#### *Highways & Transport*

*-£2.3m forecast underspend (-£0.5m improvement since 30 September 2018)*

*-£0.0m management actions remaining*

15. As at 31 October 2018, Highways & Transport (H&T) forecasts -£2.3m year end underspend. This meets H&T's in year budget reduction target. Key variations include use of strategic transport grants, income from parking and street works, reduced concessionary fares journeys, plus other underspends. Where management actions have not been fully delivered the shortfall has been made up by other, smaller in-year underspends.
16. Planned highways works are currently under way and generally forecast to spend to budget.

#### *Environment*

*balanced forecast outturn (-£0.2m improvement since 30 September 2018)*

*-£0.5m management actions remaining*

17. Environment forecasts a balanced outturn and has -£0.5m management actions remaining to meet its in year budget reduction target.
18. Waste currently forecasts a balanced outturn. Construction of the Eco Park, while progressing, is delayed. The Council does not start to pay for the facility until it is complete, consequently costs will also be delayed into future years. The Council intends to manage these cost movements among years through the Waste Sinking Fund. The forecast outturn therefore assumes reduced costs in 2018/19 will result in a sinking fund contribution to meet the costs when they arise in future years. Cabinet

approval will be sought for the sinking fund contribution, currently estimated at £13.5m, once the final amount is known.

### **Customer, Digital & Transformation Directorate**

*Human Resources & Organisational Development (HR&OD), Information Technology & Digital Services managed by Orbis and Orbis Joint Operating Budget (JOB)*

*-£3.7m forecast underspend (-£0.4m improvement since 30 September 2018)*

*-£0.5m management actions remaining*

19. HR&OD, IT&D and Orbis JOB forecasts a -£3.7m underspend. The -£0.4m improvement since last month is mainly due to: -£0.1m IT&D improvement from support and delivery; and -£0.3m reduction in investment in and contribution to Orbis expenditure.

### **Finance Directorate**

*Central Income & Expenditure (including General Funding)*

*-£5.2m forecast underspend (-£1.4m improvement since 30 September 2018)*

*-£3.4m management actions remaining*

20. Central Income & Expenditure (CIE) forecasts a -£5.2m underspend overall. This comprises -£10.7m underspending on expenditure and +£5.5m unfavourable variance for General Funding.
21. The forecast expenditure variances are driven by the agreed in-year management actions. These primarily relate to: -£2.2m budgeted contributions to reserves no longer considered necessary; -£4.3m balances no longer needed for their original purpose and can be applied to fund current year expenditure; -£3.3m lower Minimum Revenue Provision (MRP) due to 2017/18 capital programme spending being less than budgeted; and -£1.0m more investment strategy income. These underspendings are partly offset by +£0.5m shadow savings considered unachievable against Dedicated Schools Grant. As reported in May 2018, General Funding has a forecast +£5.5m shortfall due to a lower level of flexible capital receipts to fund service transformation.
22. The year to date variance of +£3.7m year is primarily due to several underspends (as outlined above) against: the Council's redundancy budget, planned contributions to reserves, MRP and historic balances; offset by timing of the £15m application of capital receipts flexibilities to fund service transformation, which will be posted at the financial year end.
23. This budget has -£3.4m management actions remaining, related to efficiencies across non-front line services and a moratorium to discretionary spending. There are significant risks of these being achieved.

### **Investment Strategy**

24. Income of £6.7m is forecast to be delivered from investment assets this financial year, of which £5.8m will be from acquisitions made by the Council's property company, Halsey Garton Property group (HGP). This income is comprised of a dividend of £2.0m and £3.8m net interest margin on loans provided to the company by the Council. This

is a £0.2m improvement from last month's forecast following Investment Board approval for a new acquisition which is expected to complete in December 2018.

25. The net income from investments held directly by the Council is forecast at -£0.9m, and in total investments will therefore provide -£6.7m income this year. Offsetting this is £1.7m development spend, which is the revenue cost, in funding terms, of development activity underway or acquisitions pending development and is predominantly focussed on the former Thales site in Crawley. The Phase 1 office building has completed and is now substantially let to SECAMB and another tenant with a part floor remaining which is being marketed. The second phase building becomes operational in 2019. Once these two phases are completed and fully let, the development will generate an estimated -£1.3m net income each year.
26. The net income of -£5.0m is -£1.0m in excess of the -£4.0m income budget held within Central Income & Expenditure. The current investment portfolio plus future commitments such as the Brightwells Farnham scheme and other development activities are forecast to deliver -£8.6m net income in 2019/20.
27. Forecast capital expenditure in 2018/19 has increased to £91.2m and includes further equity and loans to HGP for approved investments, the completion of development in Crawley and Farnham town centre. The capital outturn for the year is reported net of an estimated -£7.0m in third party contributions.

Investment strategy revenue and capital position as at 31 October 2018

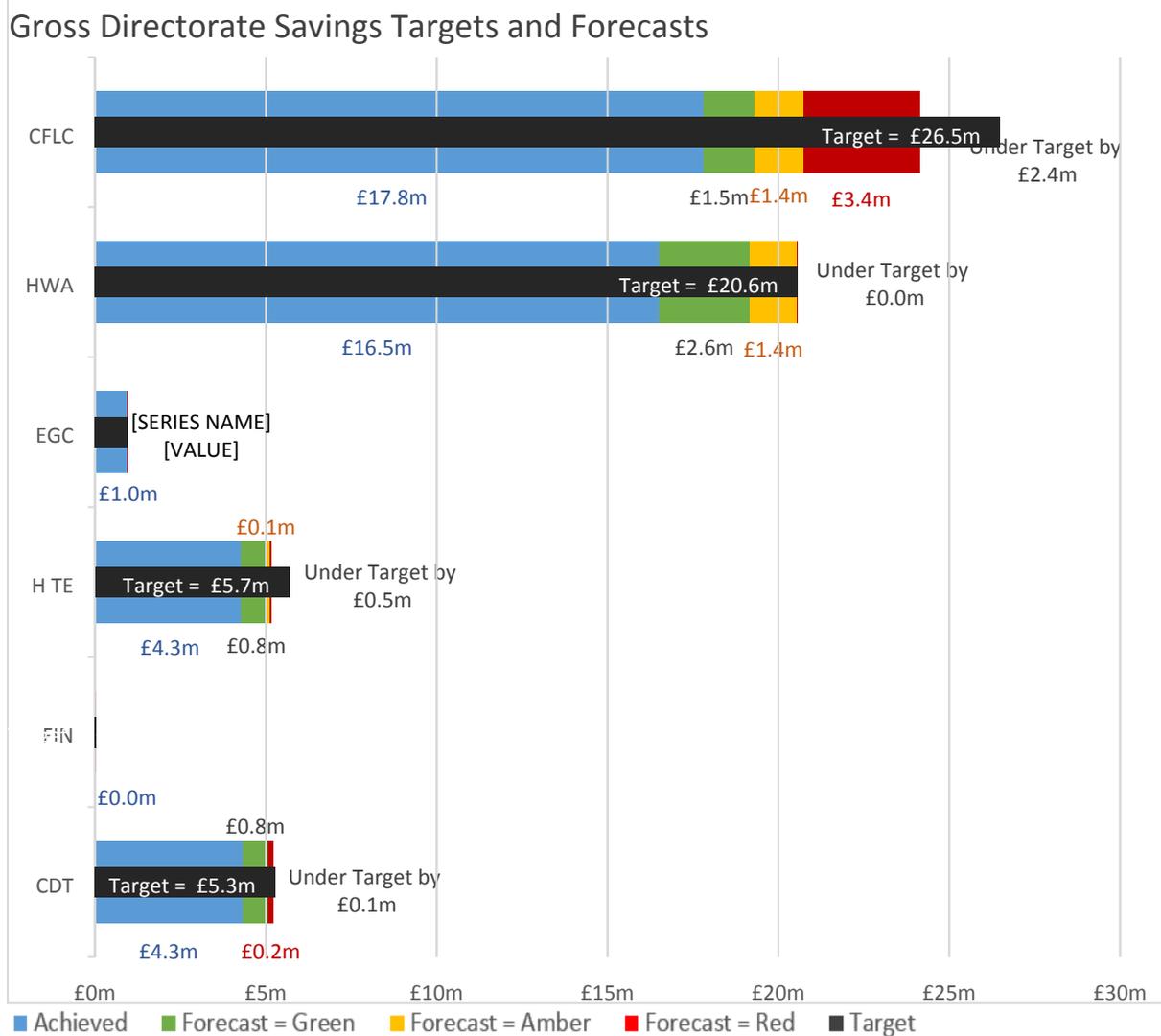
<b>Revenue statement</b>	<b>YTD actual £m</b>	<b>Full year forecast £m</b>
Income from investments	-2.7	-6.7
Less expenditure on developments	1.3	1.7
<b>Total net income</b>	-1.4	-5.0
 <b>Capital expenditure</b>	 <b>33.5</b>	 <b>91.2</b>

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**MTFP savings tracker as at 31 October 2018**

As shown below, the most significant variance from the MTFP savings plan and the savings at high risk are in CFLC. These are around the SEND cost containment plan as discussed in the main report. The other significant variance is £0.5m in HTE related to the single waste approach, due to the volatility in gate fee prices for dry mixed recyclables.

Gross Distribution of MTFP savings schemes			
Number of schemes	Less than £250k = 59	£250k to £1m = 27	Over £1m = 18
Contribution to savings target	£4.5m	£250k to £1m = £14.9m	Over £1m = £52.3m



This annex shows directorates' performance against their individual savings projects on a gross basis. In some cases, non-delivery of prior year savings has resulted in a negative adjustment in the current year. In the other cases, there are partnership arrangements where the savings are inclusive of the all partners and requires a negative adjustment to remove the other partners' contributions. As such, the Council's overall £66m savings target includes -£6m negative adjustments and £72m total gross savings projects.

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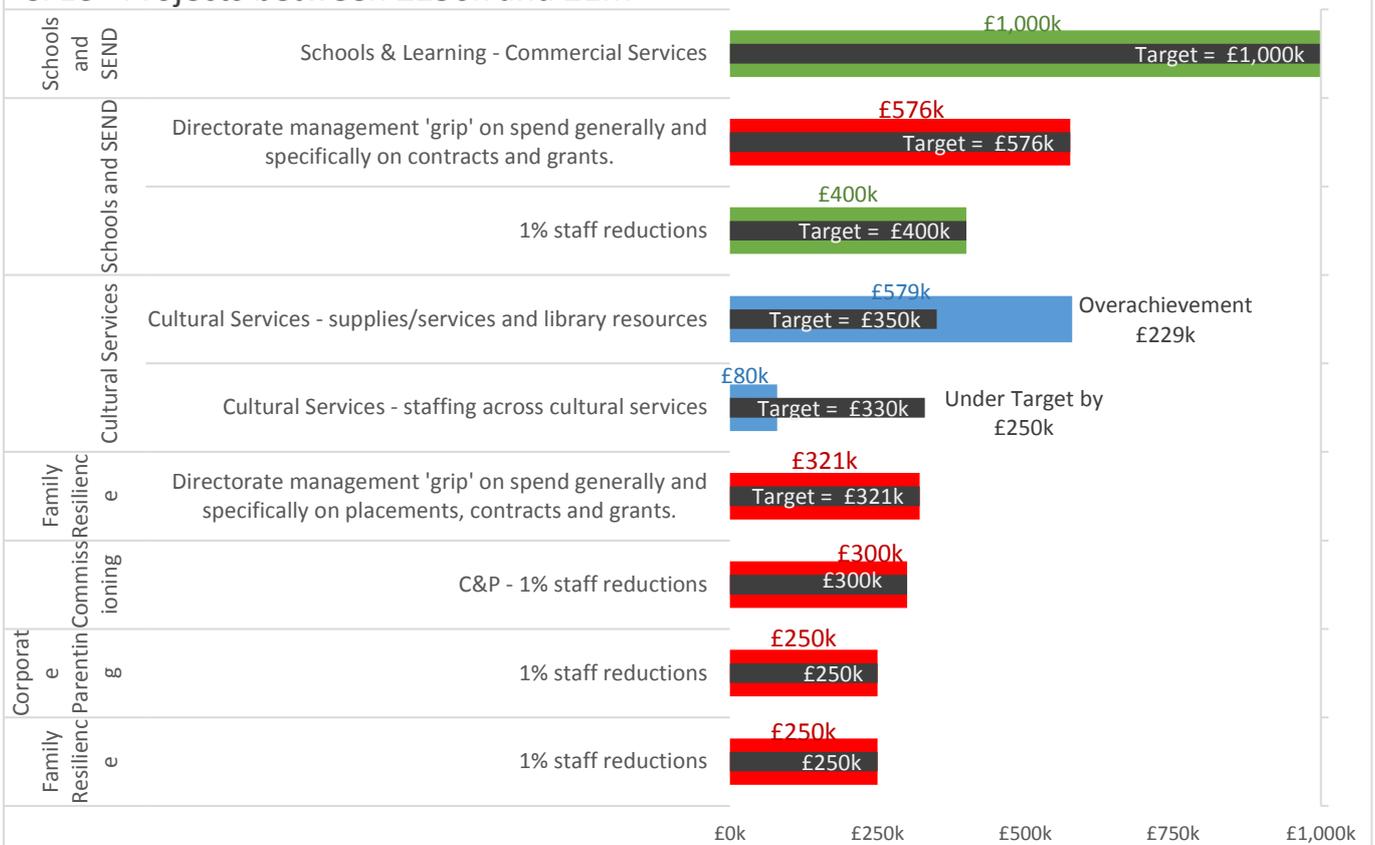
**Annex 4: 2018/19 In Year reductions Tracker as at 31 October 2018**

**CFLC - Children, Families and Learning**

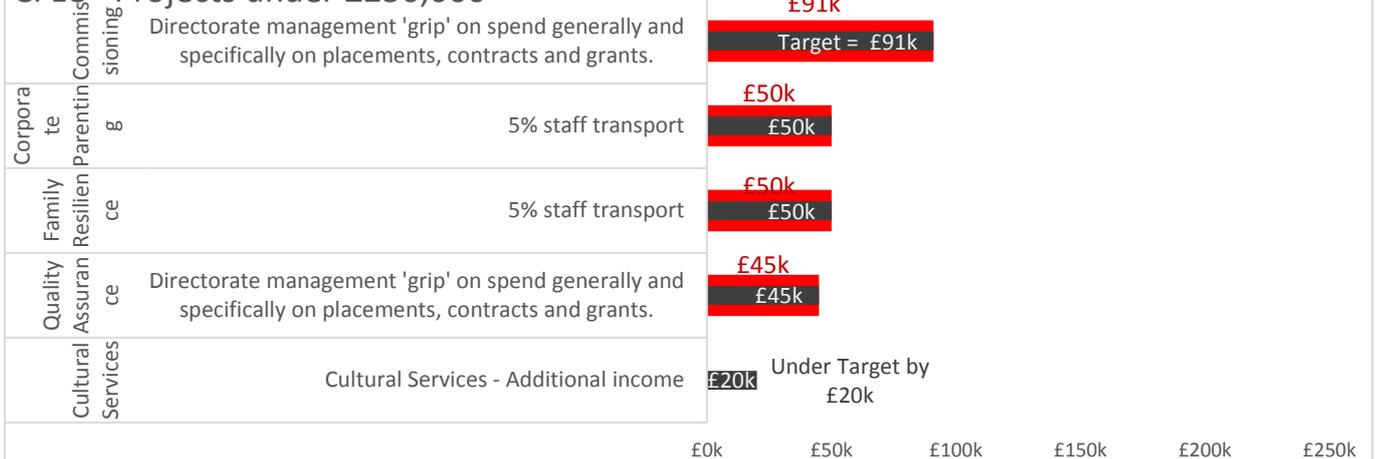
**CFLC - Projects between £1m and £4m**



**CFLC - Projects between £250k and £1m**

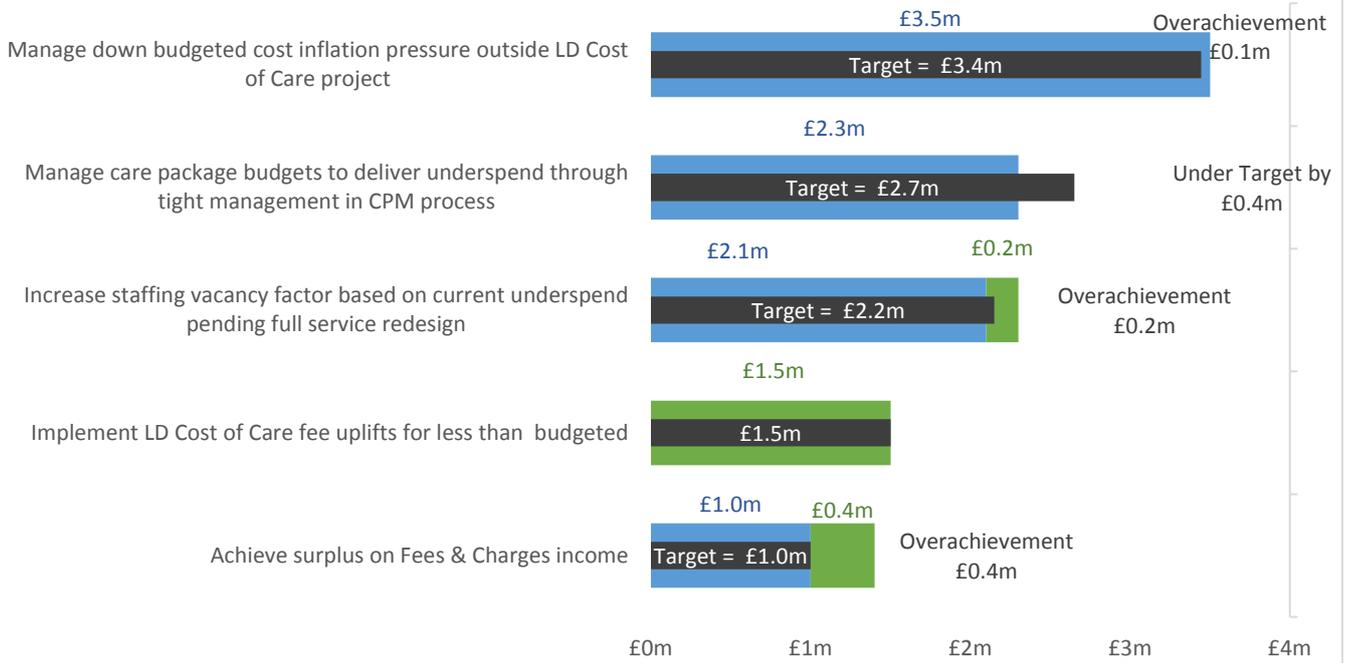


**CFLC - Projects under £250,000**



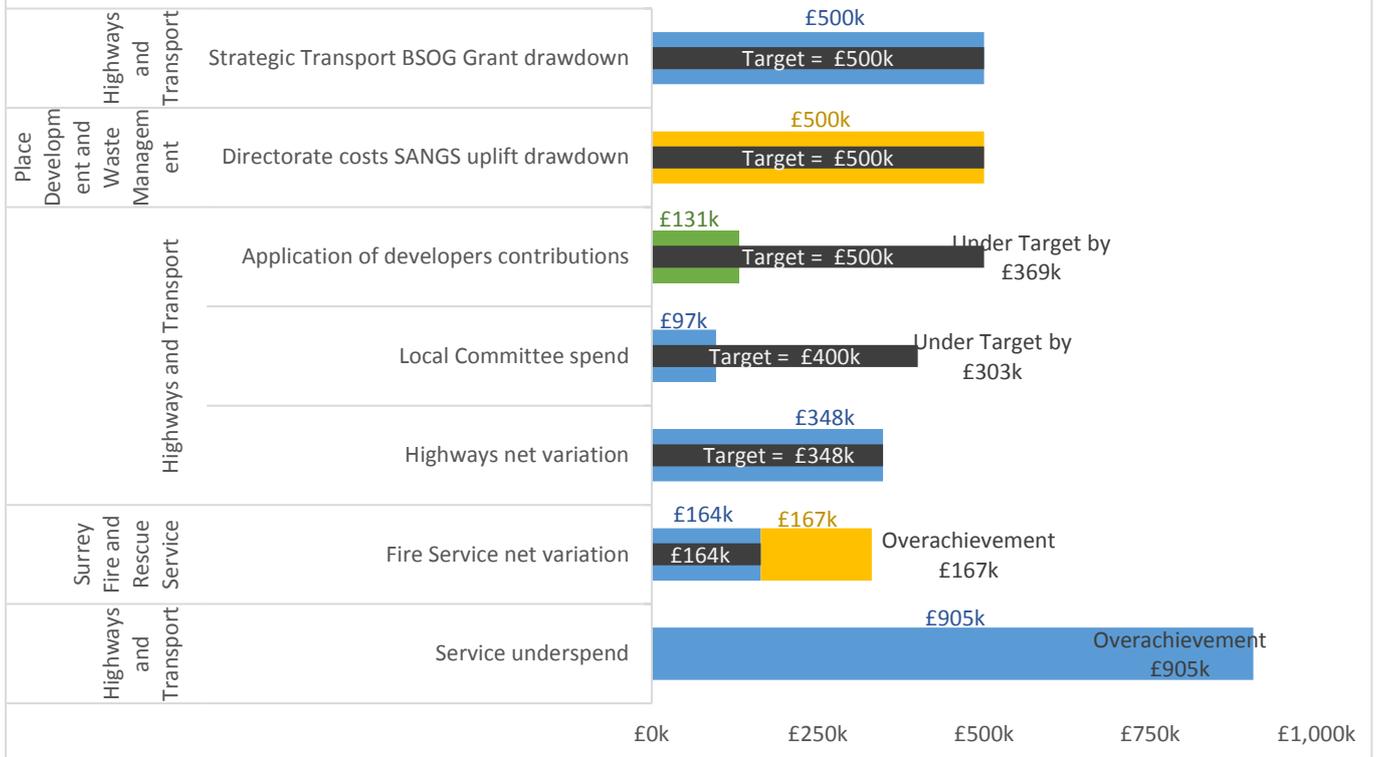
## HWA - Adult Social Care (ASC)

### HWA - ASC - Projects between £1m and £4m

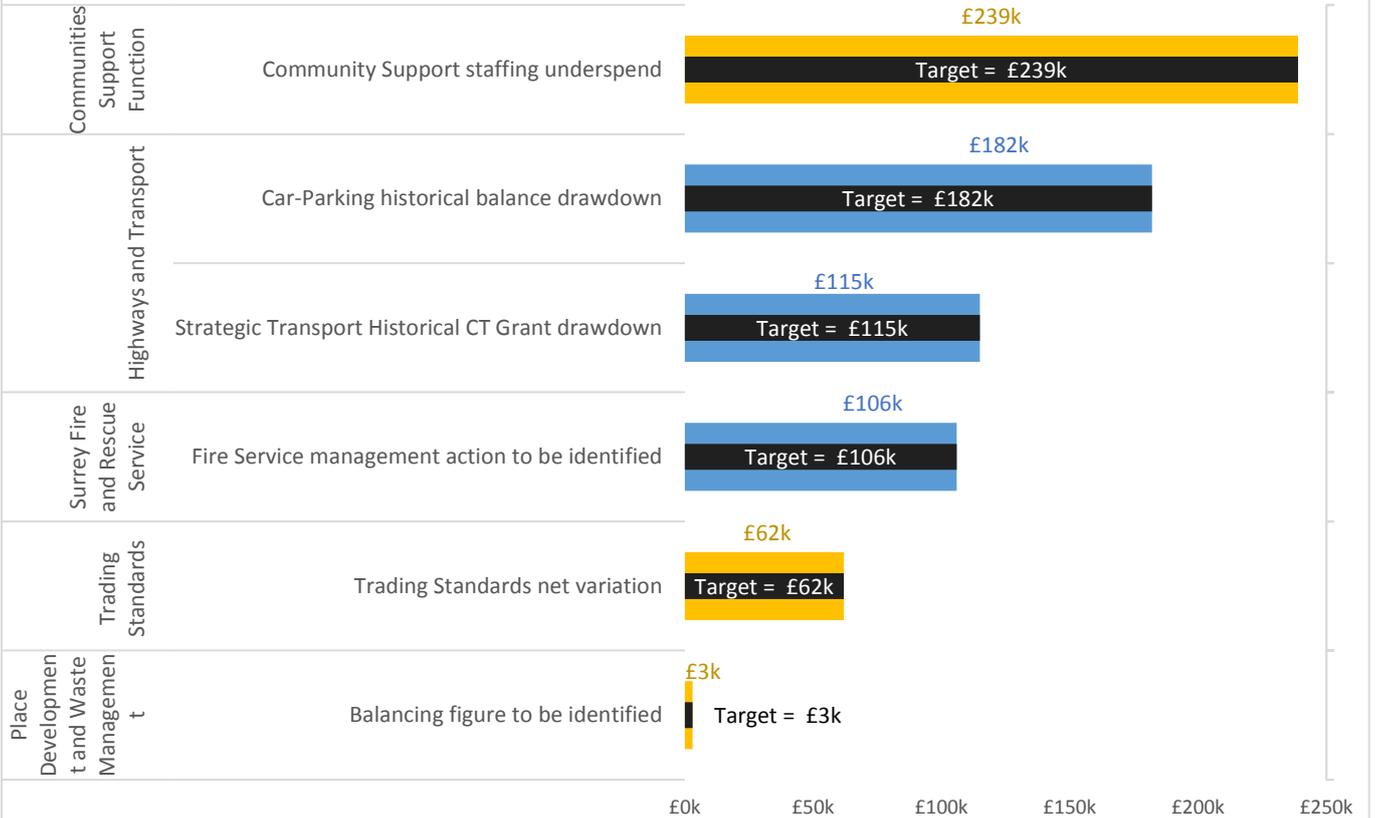


HT & E - Highways, Transport & Environment

HT & E - Projects between £250k and £1m

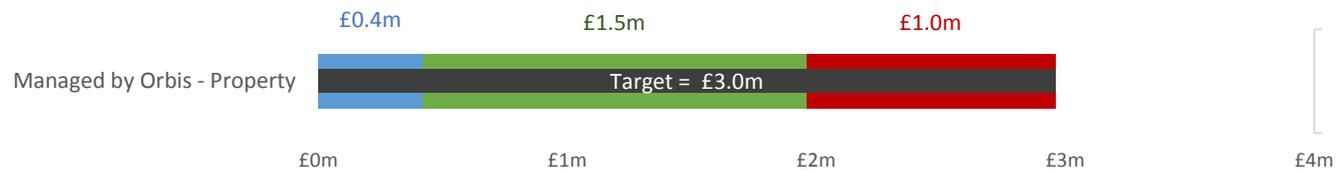


HT & E - Projects under £250,000

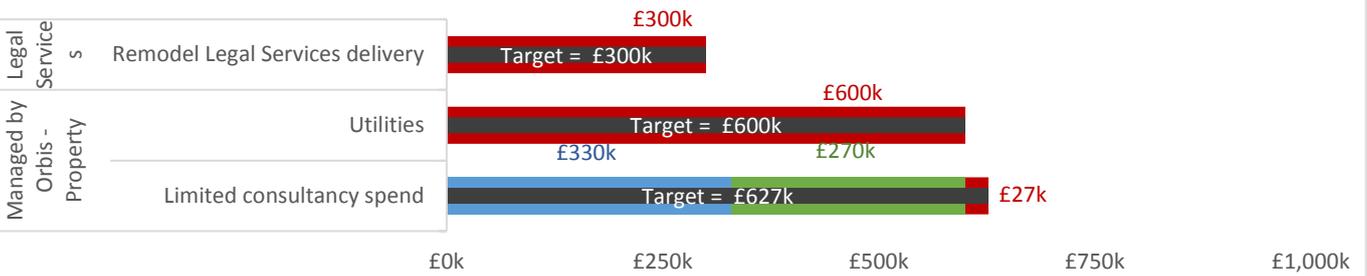


EGC - Economy, Growth & Commercial

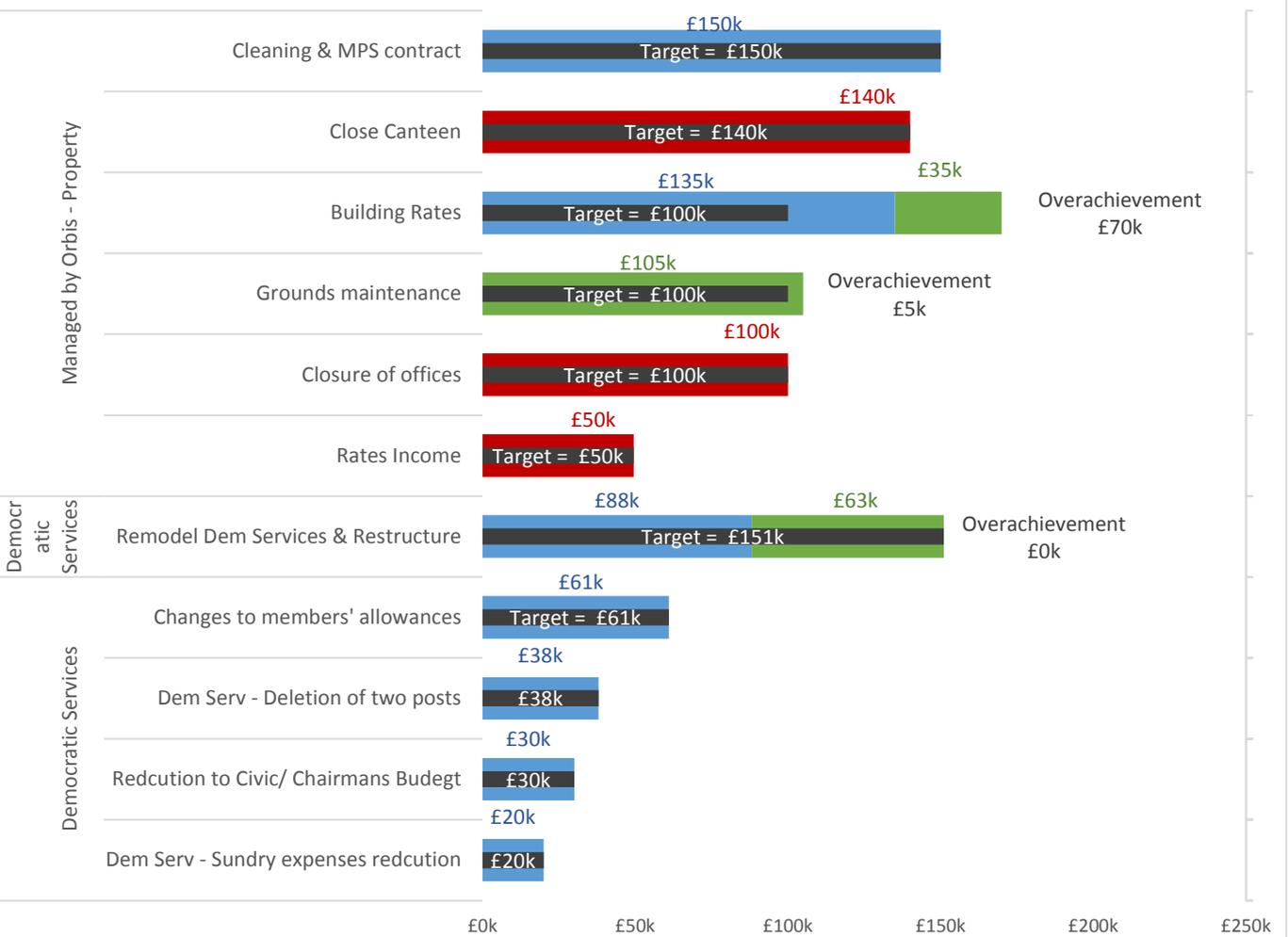
EGC - Projects between £1m and £4m



EGC - Projects between £250k and £1m



EGC - Projects under £250,000



FIN - Finance, Legal & Coronial

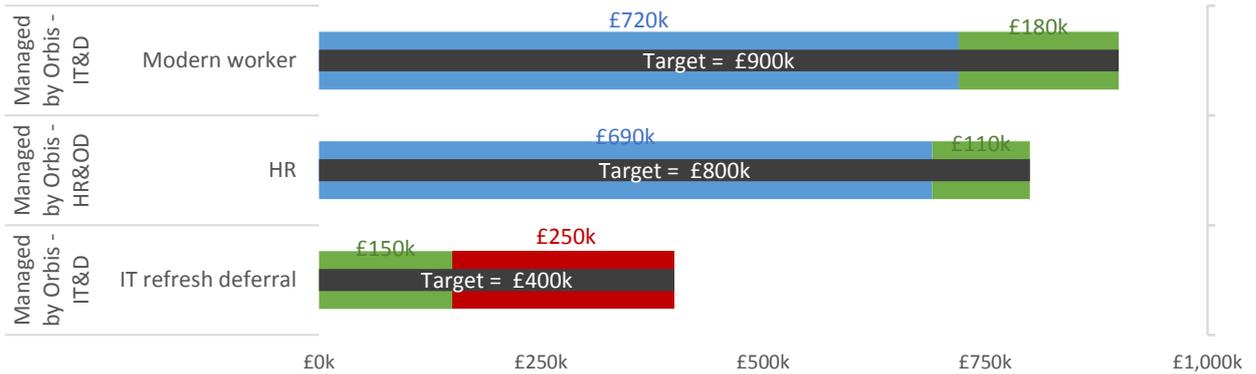


## CDT - Business Services and Orbis (BS &O)

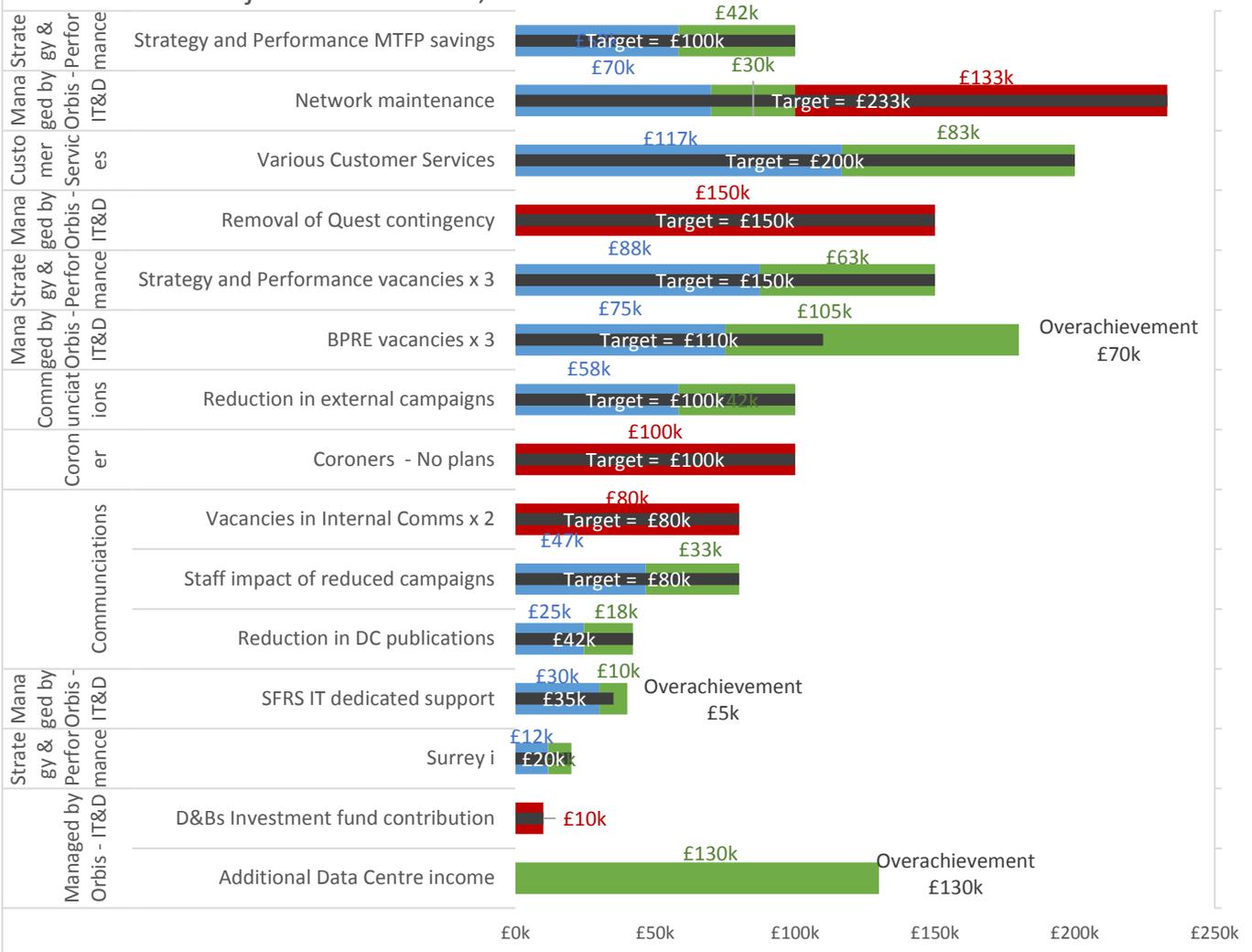
### CDT - BS&O - Projects between £1m and £4m



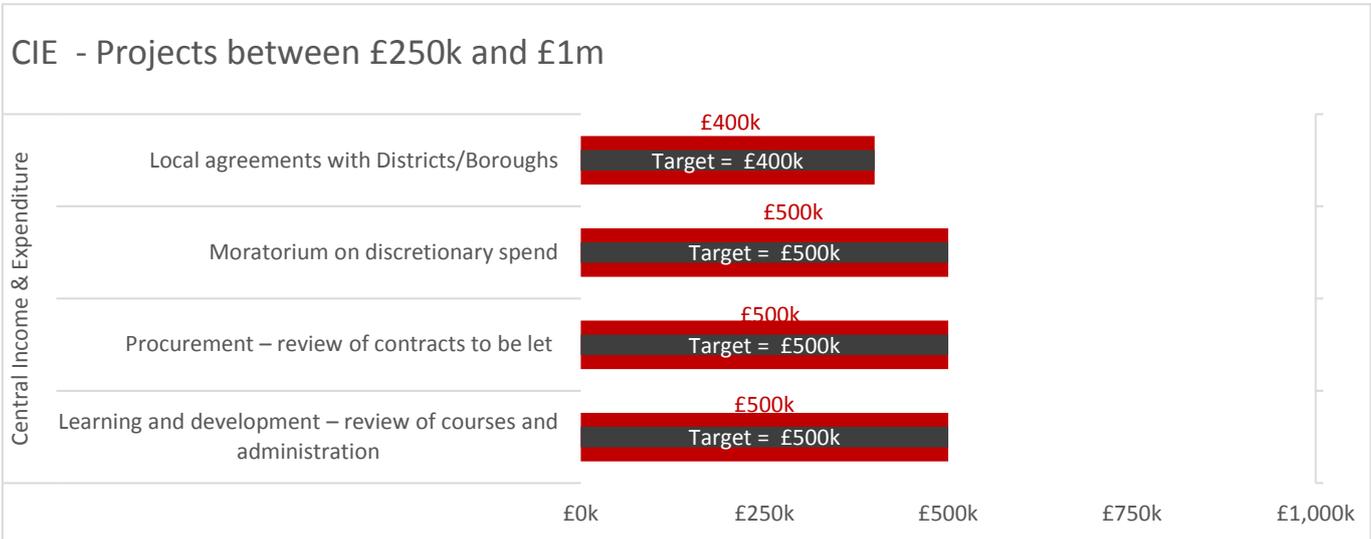
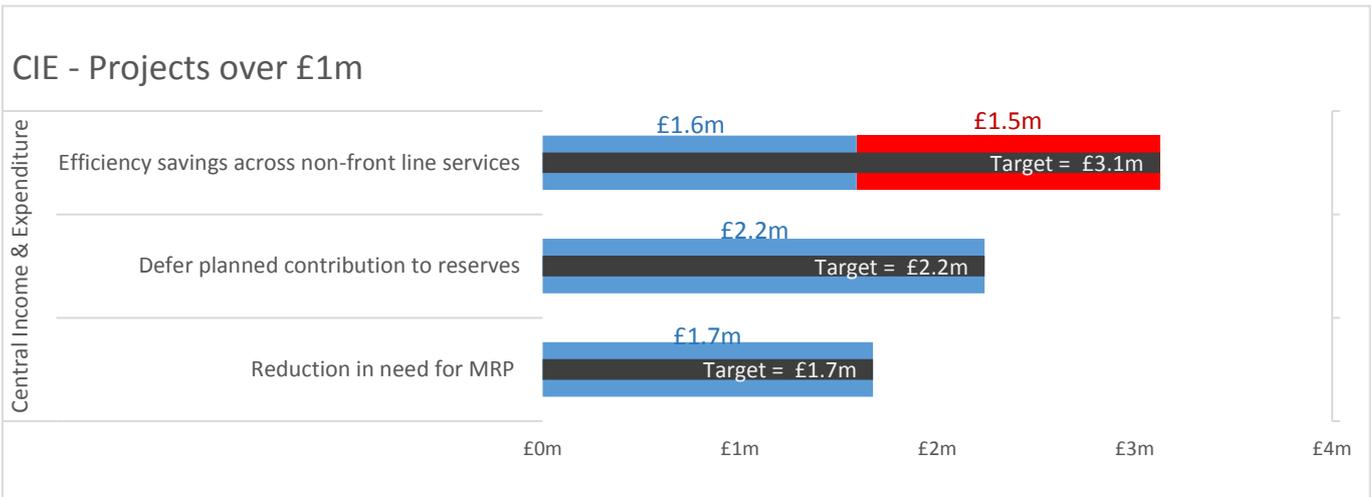
### CDT - BS&O - Projects between £250k and £1m



### CDT - BS&O - Projects under £250,000



# CIE - Central Income & Expenditure



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### Activity information for the Council’s highest risk budgets

Annex 5 provides some additional information about the Council’s most high risk or volatile budgets.

Annex 5 covers the following budgets:

Children, Families, Learning & Culture

Corporate Parenting

Children, Families, Learning & Culture

Education, Lifelong Learning & Culture

Health, Wellbeing & Adult Social Care

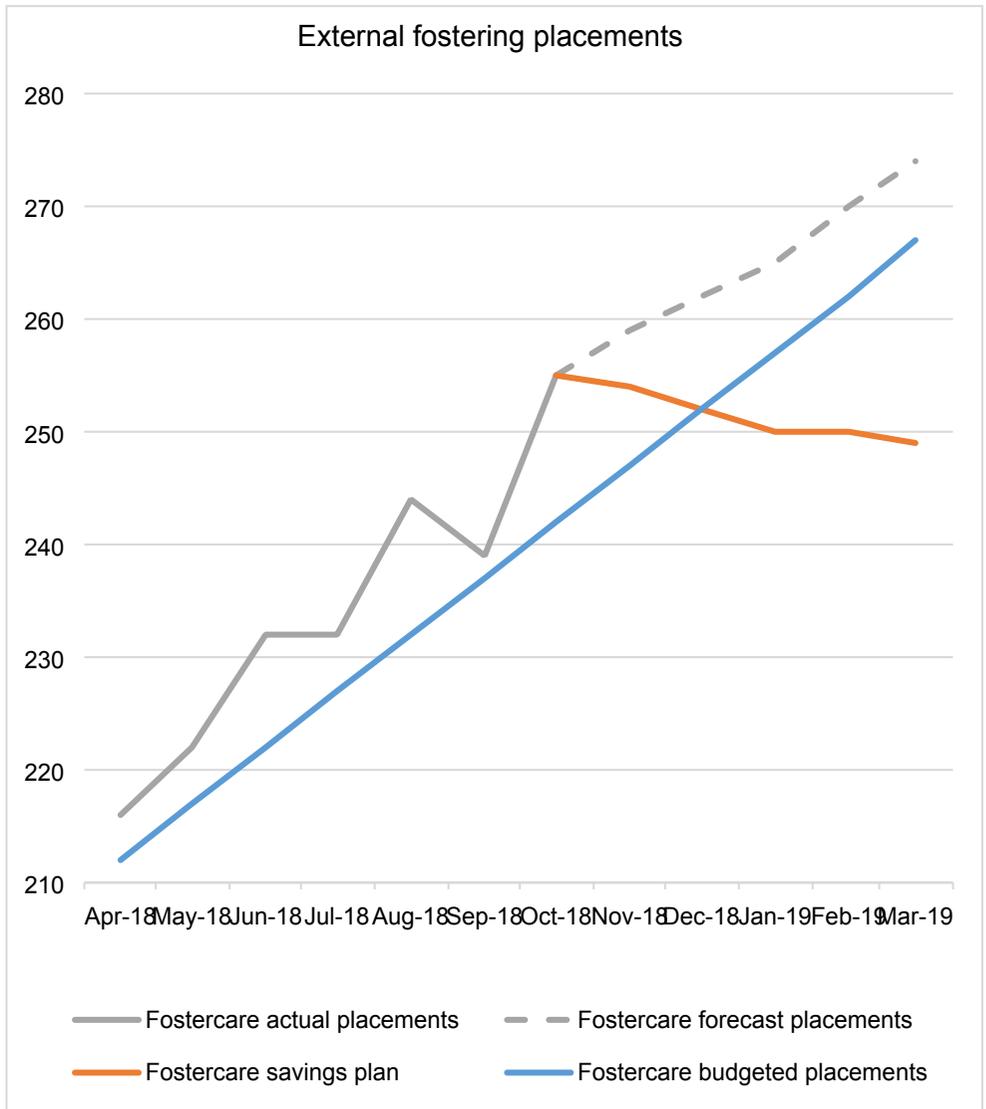
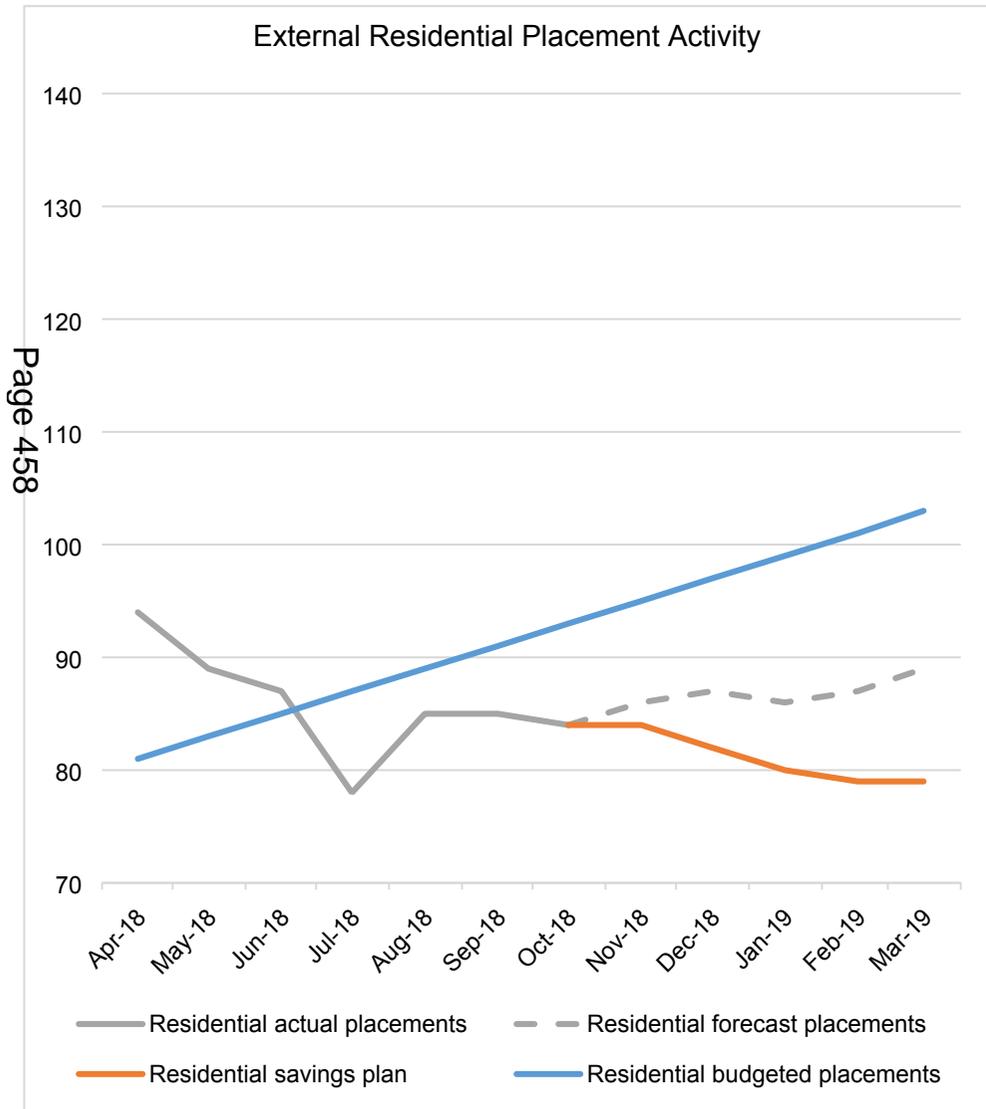
Adult Social Care:

- Older People Nursing Care
- Older People Home Care
- Learning Disabilities 18-64 Residential Care
- Learning Disabilities 18-64 Supported Living

# Children, Families, Learning & Communities

## Corporate Parenting

Children's placements is a key cost driver for Corporate Parenting. If children's placements follow the savings plan (orange) lines below, then the service would achieve further aggregate cost reductions of £0.9m in external fostering and external residential placements due to cost and volume differentials.



**Children, Families, Learning & Communities**

**Education, Lifelong Learning & Culture**

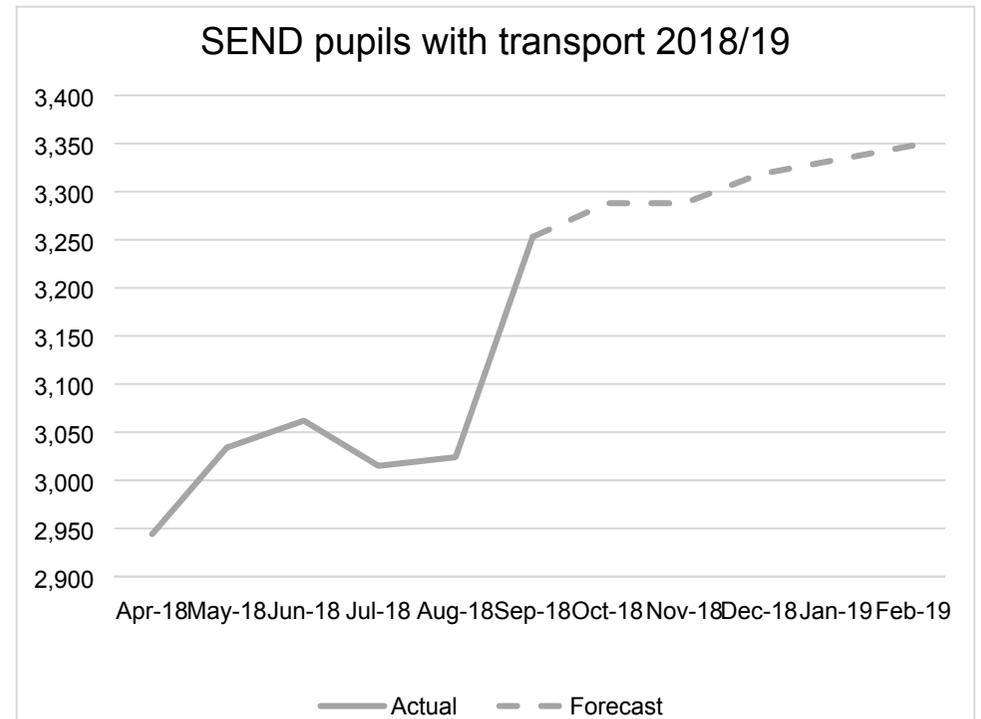
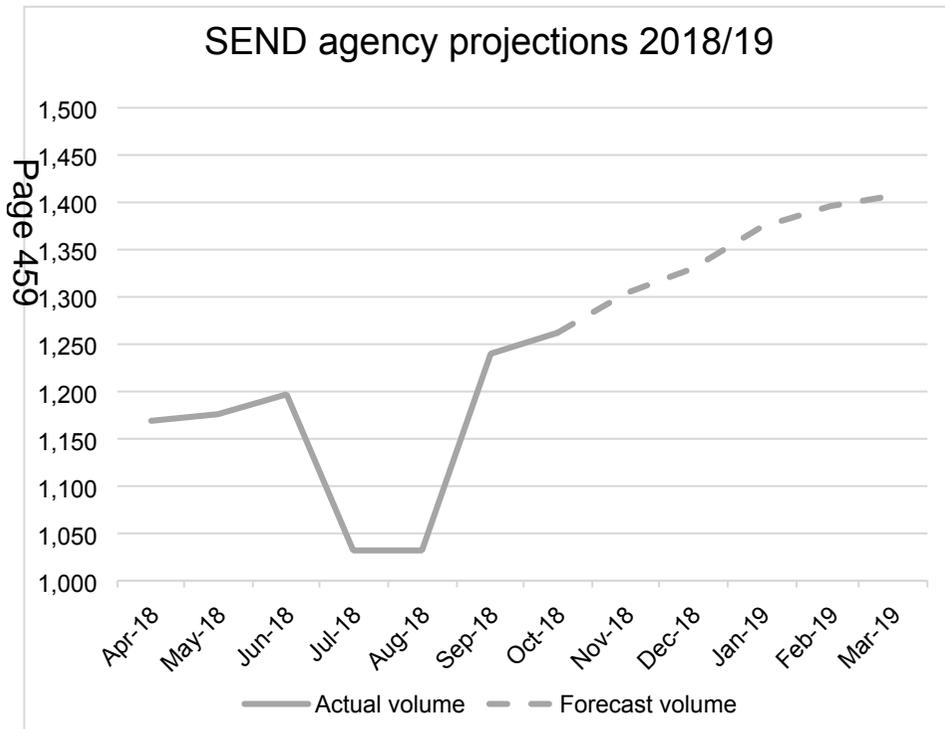
SEND agency placements and SEND transport are key cost driver for Education, Lifelong Learning & Culture.

The number of SEND agency placements rose by 13.9% / year over the two years from April 2016 and by 11.3% during 2017/18.

Because of the rising number of Education Health & Social Care Plans, in 2018/19, SEND agency placements are forecast to increase by 20.4% to 1,407.

The number of SEND pupils with transport rose by 6.0%/year over the two years from April 2016 and by 5.5% during 2017/18.

During 2018/19, the number of SEND pupils with transport is forecast to rise by 9.7% to 3,348. The current average cost of SEND transport so far during 2018/19 is £51.39 / pupil / day.



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## Health, Wellbeing & Adult Social Care

The following pages set out Information for the four most significant areas of ASC care expenditure. The analysis shows how the latest forecast expenditure, service volumes and average costs for these types of care compares to the budgets set for 2018/19 in the 2018-21 Medium Term Financial Plan.

Actual volumes and average costs to date are also shown, which can be compared to the latest forecast for the year to show the changes planned to meet the latest forecast.

The latest 2019/20 budget plans for each type of care are set out and compared to the current 2018/19 forecast to show the changes planned / required to deliver next year's budget. These 2019/20 budget plans take into account the available funding for ASC to ensure that the Council is financially sustainable and ASC's transformation plans to change practice within available resources.

Health, Wellbeing & Adult Social Care - Adult Social Care

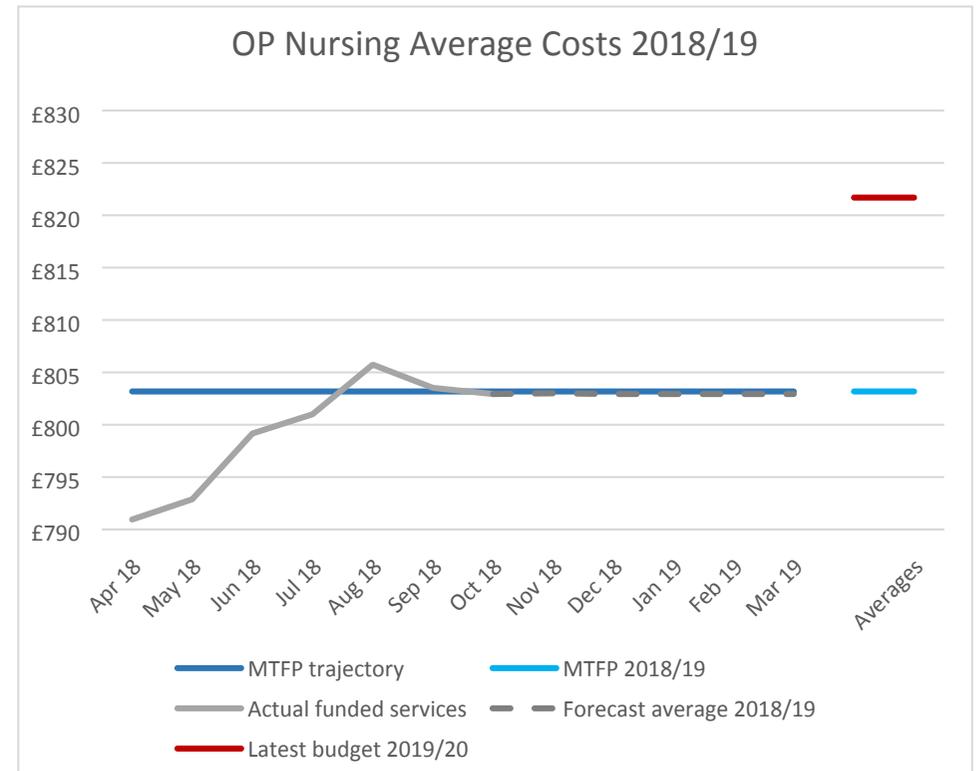
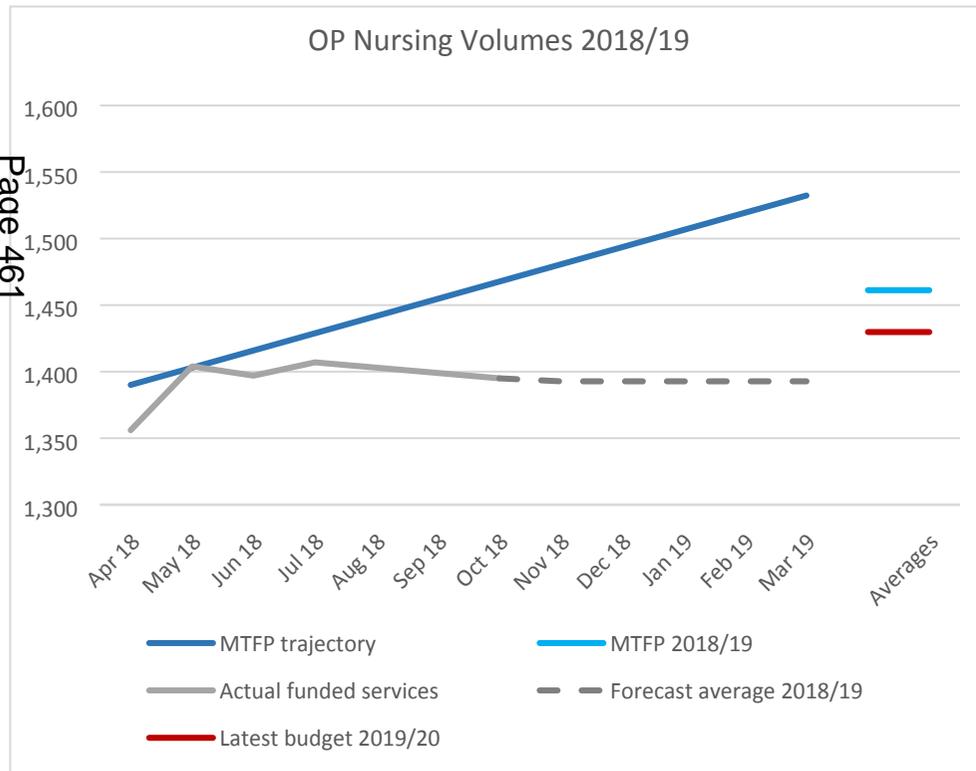
Older People Nursing Care

	Gross budget MTFP 2018/19	Latest forecast 2018/19	Variance 2018/19	% Variance 2018/19	Latest gross budget 2019/20	Change allowable from 2018/19 forecast	
Gross expenditure	£61.2m	£58.3m	-£2.9m	-4.7%	£61.3m	£2.9m	+5.0%
Average no of services across the year	1,461	1,393	-68	-4.7%	1,430	37	+2.7%
Average weekly cost of services	£803	£806	£3	+0.4%	£822	£18	+2.3%

Care volumes have changed little since May, which makes both the 2018/19 and 2019/20 volume forecasts look achievable.

September was the first month this year when average costs reduced following agreement of new practices. This is a positive step in starting to mitigate the costs of care.

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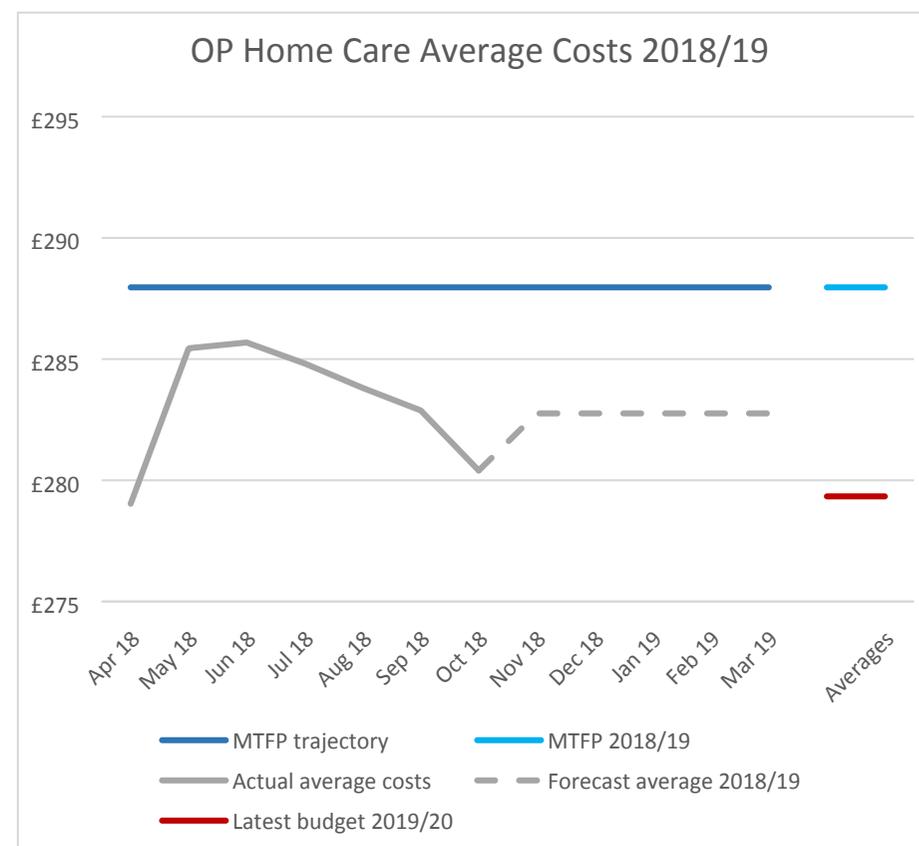
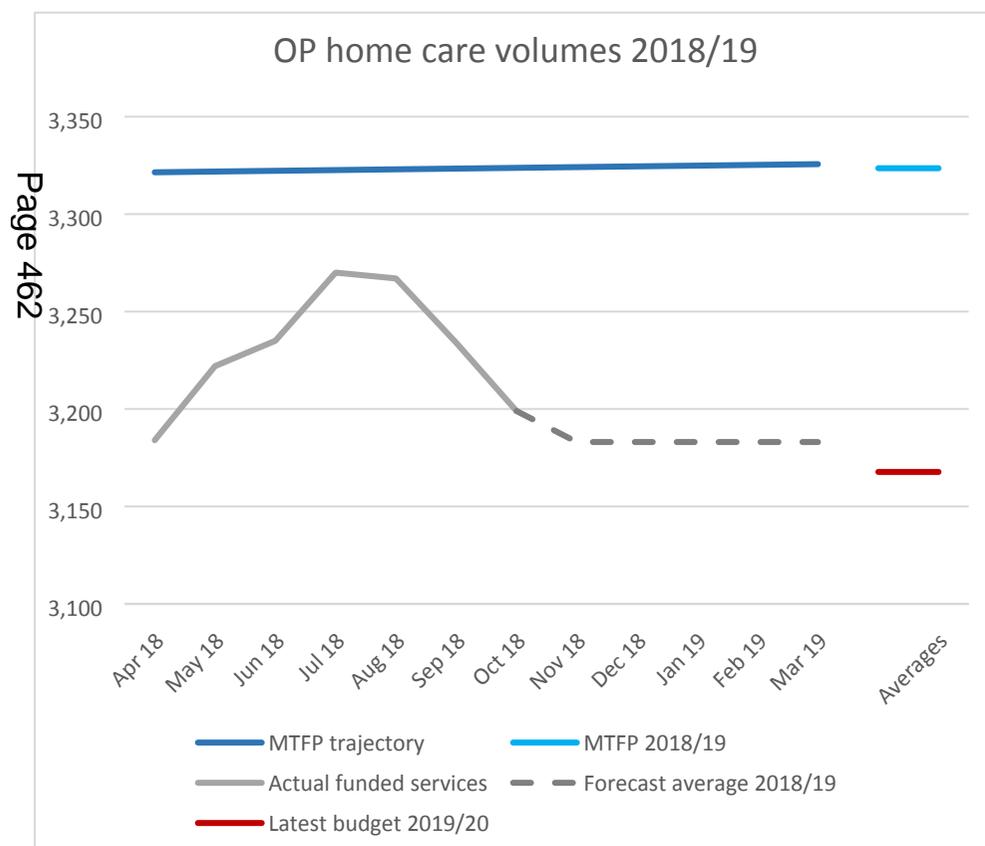
## Health, Wellbeing & Adult Social Care - Adult Social Care

### Older People Home Care

	Gross Budget MTFP 2018/19	Latest Forecast 2018/19	Variance 2018/19	% Variance 2018/19	Latest Gross Budget 2019/20	Change allowable from 2018/19 forecast	
Gross expenditure	£50.0m	£46.9m	-£3.0m	-6.1%	£46.1m	-£0.8m	-1.7%
Average number of services across the year	3,324	3,183	-140	-4.2%	3,168	-15	-0.5%
Average weekly cost of services across year	£288	£283	-£5	-1.8%	£279	-£3	-1.2%

There have been positive reductions in volumes in the last three months. There has also been a positive reduction in average costs in the last quarter.

These trends will need to continue if future budget volume forecasts are to be achieved.



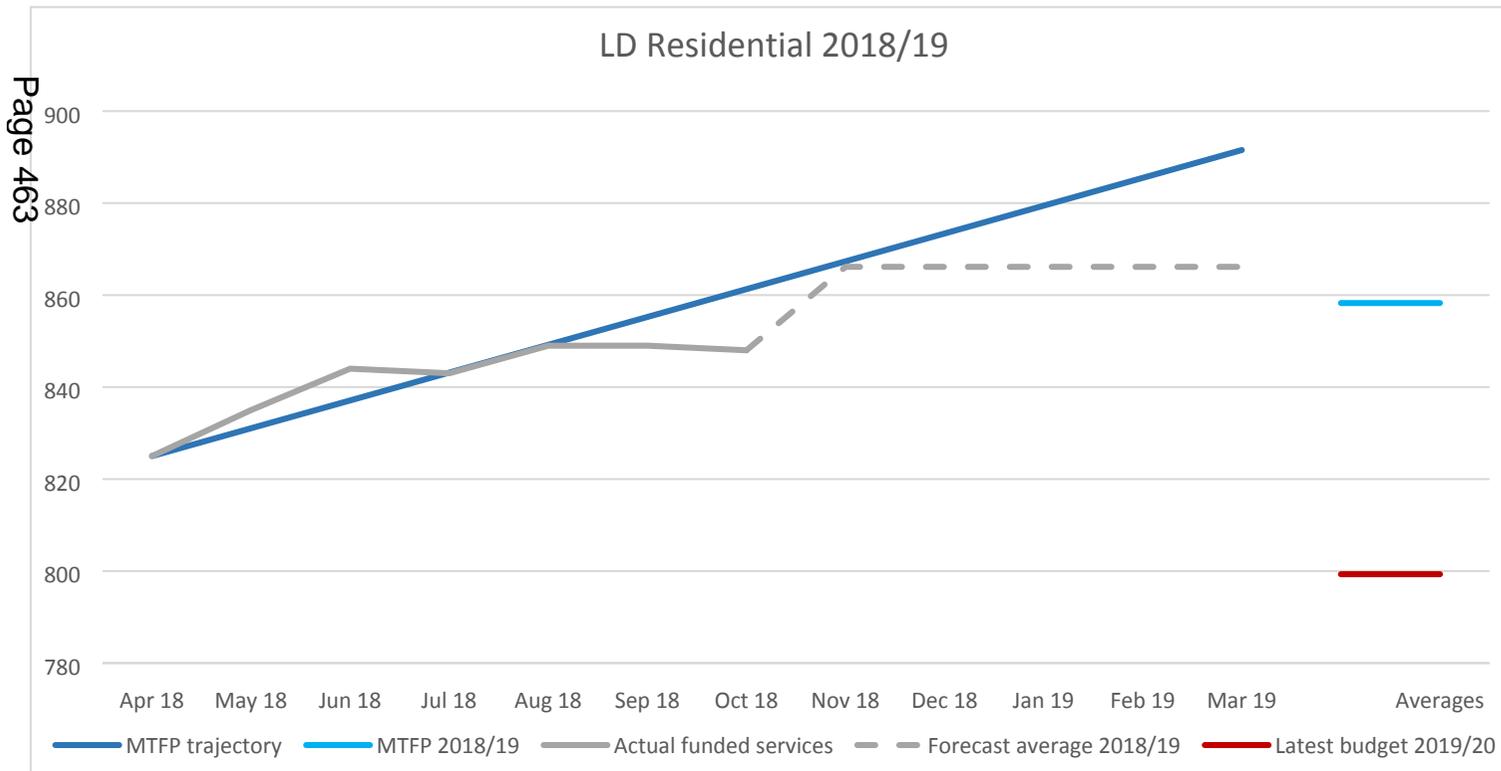
Health, Wellbeing & Adult Social Care - Adult Social Care

Learning Disabilities 18-64 Residential Care

	Gross Budget MTFP 2018/19	Latest Forecast 2018/19	Variance 2018/19	% Variance 2018/19	Latest Gross Budget 2019/20	Change allowable from 2018/19 forecast	
Gross expenditure	£70.7m	£71.3m	£0.6m	+0.9%	£63.3m	-£8.0m	- 11.2%
Average number of services across the year	858	866	8	+0.9%	799	-67	-7.7%
Average weekly cost of services across year	£1,579	TBC*	TBC*	TBC*	£1,520	TBC*	TBC*

Volume changes remain very close to the original budget profile. A very significant reduction in volumes is required to get close to next year's budget assumptions.

\* ASC is currently implementing a new pricing structure for Learning Disability residential and supported living care services including fee uplifts backdated to April 2017. It is not currently possible to assess current average costs accurately until the new pricing structure has been implemented. The ongoing review of sleep in rates following the Court of Appeal ruling in July 2018, means this is not likely to be completed until towards the end of the current financial year.



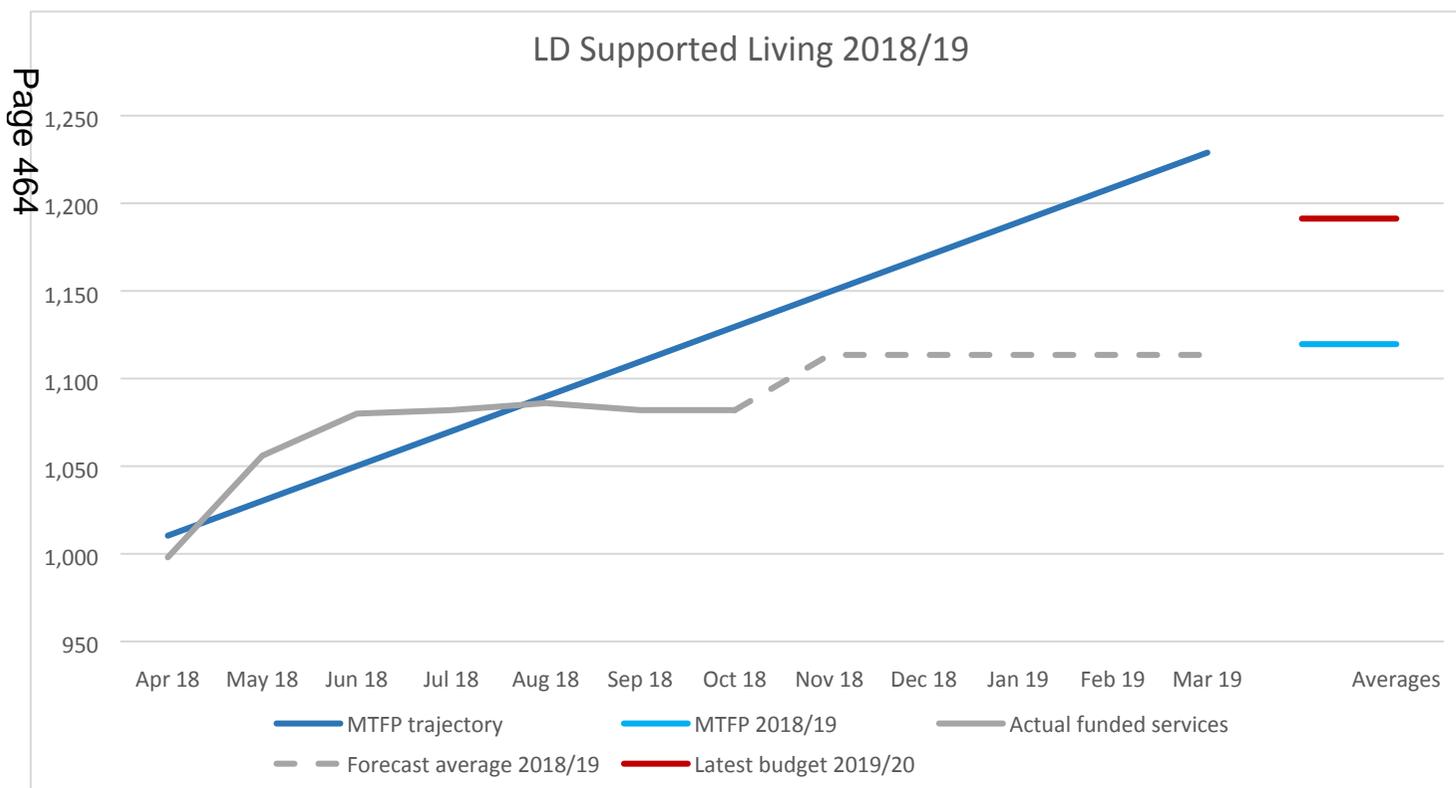
## Health, Wellbeing & Adult Social Care - Adult Social Care

### Learning Disabilities 18-64 Supported Living

	Gross Budget MTFP 2018/19	Latest Forecast 2018/19	Variance 2018/19	% Variance 2018/19	Latest Gross Budget 2019/20	Change allowable from 2018/19 forecast
Gross expenditure	£48.0m	£47.8m	-£0.3m	-0.5%	£50.7m	£3.0m +6.2%
Average number of services across the year	1,120	1,113	-6	-0.5%	1,191	78 +7.0%
Average weekly cost of services across year	£823	TBC*	TBC*	TBC*	£817	TBC* TBC*

A flattening of volume growth in recent months means the increase in care packages is now below the budgeted profile. Growth in the remainder of the year, particularly for those individuals who finished education in the summer, may yet increase the growth rate.

\* ASC is currently implementing a new pricing structure for Learning Disability residential and supported living care services including fee uplifts backdated to April 2017. It is not currently possible to assess current average costs accurately until the new pricing structure has been implemented. The ongoing review of sleep in rates following the Court of Appeal ruling in July 2018, means this is not likely to be completed until towards the end of the current financial year.



**SURREY COUNTY COUNCIL****CABINET****DATE: 18 DECEMBER 2018****LEAD OFFICER: SARAH BAKER, LEGAL SERVICES MANAGER****COMMUNITY COUNCIL VISION OUTCOME:****SUBJECT: AWARD OF FRAMEWORK AGREEMENTS AND CALL OFF CONTRACTS FOR THE PROVISION OF LEGAL SERVICES****SUMMARY OF ISSUE:**

Surrey County Council's legal services department forms part of Orbis Public Law (OPL) which also incorporates the legal services of Brighton and Hove City Council, East Sussex County Council and West Sussex County Council. OPL has a vision to create a single, resilient, sustainable, cost effective legal service to the OPL authorities and the wider public sector where appropriate/feasible.

The other OPL authorities are currently using different arrangements to access external legal advice and support. In order to help achieve the vision, a single tender process has been undertaken that standardises and incorporates all OPL's external legal services requirements.

The new framework agreement will give access to external specialised legal advice and support, from solicitors and barristers in the form of both transactional case work and counsel/advocacy on a wide variety of areas of law including Child Protection, Contracts and Procurement, Property, Environment, Litigation, Adult Social Care, Education, Information Governance and Democratic Advice.

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 framework and call off contract awards deliver best value for money.

Due to the commercial sensitivity involved in the contract award process, the names of the potential providers and their financial details have been circulated as a Part 2 report.

**RECOMMENDATION:**

It is recommended that approval is given for Surrey County Council to award the external legal services framework for 3 years plus a 3 year optional extension period (total 6 year term) and any respective call off contracts, in conjunction with the OPL authorities.

## **REASONS FOR RECOMMENDATION:**

The Council currently has a framework agreement in place for the provision of external legal services (Surrey Provision of External Legal Services (SPELS) Framework), which is due to expire on 28 February 2019.

The new framework agreement brings together the requirements of the OPL authorities and Surrey and Sussex District and Borough Councils. The potential value of spend across all the authorities (approximately £60m) means that the tender offered an attractive opportunity for the market and greater economies of scale.

The framework agreement will enable the OPL authorities to:

- a. cover the provision of external legal services advice and support across Surrey, East Sussex, West Sussex and the city of Brighton & Hove;
- b. ensure an up to date specification that meets OPL's requirements;
- c. deliver a cost effective service and enable instructions to be issued to external legal providers much faster than if no framework existed;
- d. obtain up to date competitive rates;
- e. achieve savings through efficiencies and monitoring usage more closely;
- f. offer OPL staff more flexibility and access to a wider range of specialist expertise.

The new framework agreement have been procured through a full tender procedure with a thorough evaluation process, which has identified that awarding framework agreement and call off contracts to a number of providers will provide Surrey County Council with the best value for money.

## **DETAILS:**

### **Business Case**

1. The tender process has helped to bring together requirements of the different authorities. The current contractual positions for the OPL authorities are summarised below:
  - a. Surrey County Council and East Sussex County Council are calling off from the SPELS Framework;
  - b. Brighton and Hove City Council uses the Crown Commercial Service Legal Services Framework or accesses the temporary agency staff contract for specific lawyer appointments;
  - c. West Sussex County Council had a framework in place, which has now lapsed.
2. OPL agreed to jointly procure a new Legal Services Framework (with Surrey County Council as lead partner with whom providers shall enter into framework agreements). Each OPL authority and the Districts and Borough Councils in their areas may call off from the framework at their discretion.

## Background and options considered

3. Several options were considered in the Strategic Sourcing Plan and presented and approved by the Sourcing Governance Board on 17 July 2018.
4. An open tender process under the Light Touch Regime of the Public Contracts Regulations 2015 to set up the new framework agreement was deemed most appropriate and selected because:
  - a. Surrey County Council and OPL authorities could develop, refine and harmonise their requirements for a joint integrated OPL specification to ensure broad enough specialisms and consistent access to services across the partnership;
  - b. The open tender has provided the opportunity for advertisement of the OPL partnership and sought to welcome bids from a variety of providers as well as incumbents and local firms;
  - c. A tender would encourage best value and innovative solutions from bidders across the market and ensure any framework agreement awarded is to providers demonstrating a high level of technical ability and value for money;
  - d. Setting up the new framework agreement would allow the Council and OPL authorities quick and efficient access to a greater number of providers with agreed pricing and terms and conditions.
  - e. Under the new framework, call offs can be made via prescribed direct award or mini-competition processes. The former is particularly fundamental in emergency situations such as a child protection cases, to ensure our duties to residents and vulnerable people are met swiftly;
  - f. The transparent price model used in the tender process would provide competitive pricing and maximum rates for mini-competitions;
  - g. Social value considerations and social value evaluation criteria were included in the tender process;
5. A joint procurement and project team was set up to include representatives from each of the OPL authorities and the OPL Business Development Manager.
6. Eighty two providers expressed an interest in the advertised tender opportunity. 36 providers then made a formal bid across 12 lots. The resulting tenders were then evaluated against the criteria and weightings set out in the Invitation to Tender documents.

## Key Implications

7. By awarding the OPL framework for the provision of external legal services to commence on 1 March 2019, the Council will be ensuring best value for money as well as meeting its obligations to the public in conjunction with legislation and legal requirements.

8. Performance will be monitored through a series of Key Performance Indicators (KPIs) detailed in the contract and reviewed at quarterly operations meetings. The KPIs set out a framework to monitor and measure key elements of the service to mitigate performance levels going below the quality standard required:
  - a. Timescales on response/acknowledgement of requests for legal support/representation; when the legal support will commence; and progress updates;
  - b. Timescales for case management documentation and finalised orders to be submitted to the courts for hearings;
  - c. Social value delivered in line with the levels offered in the Social Value Charter;
  - d. Monitoring any difference between the price quoted (based on the tendered prices) and the amount billed;
  - e. Meeting of statutory timescales e.g. Land Registry requirements for property transactions.
9. The management responsibility for the contract lies with the OPL authorities and will be managed in line with the contract management process as set out in the framework terms and conditions, which provides for review of performance and costs.
10. The Framework Manager and Key Officers across OPL are extremely knowledgeable in their field and have extensive experience of working with external legal providers. The framework terms and conditions provide processes for performance monitoring and continuous service improvements. If any provider is not meeting the service quality required, the Framework Manager can work with the provider to implement a service improvement plan. If performance does not improve, the supplier can be removed from the framework or simply no call off contracts are granted to them.

<b>CONSULTATION:</b>
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11. A request for information was published to the market to seek feedback from suppliers to ensure the tender was structured in a way that aligned with how the market generally operates and to maximise the response rate. Questions included:
  - a. How to format the fee model for best visibility of costs, transparency and value for money;
  - b. Feedback on how well increasing capacity on a multi-provider framework would work in practice;
  - c. Level of experience in the market on Court of Protection/Inherent jurisdiction; judicial review; immigration and asylum; complex policy advice.

12. The OPL authorities were extensively involved in the scoping and design of the framework requirements using specialists in each area of law to define their needs.
13. Evaluating tenders has been undertaken by a broad set of OPL staff and moderation meetings have been facilitated by Procurement colleagues.

#### **RISK MANAGEMENT AND IMPLICATIONS:**

14. The framework has been prepared jointly by OPL authorities but successful providers will enter into the framework agreement with the Council. The OPL authorities will individually call off from the framework at their discretion for the services as and when required.
15. There is no commitment to any spend or volumes under the framework agreement. Commitment is only made where a call off contract is entered into by an OPL authorities and a provider.
16. The pricing is fixed for an initial period of three years. The pricing will be reviewed as part of the decision making process regarding whether to extend the framework with each provider.
17. The framework terms and conditions set out a cap on the extent to which providers can increase the prices for any potential extension period e.g. no more than the current Index rate (using the most recently available edition)
18. The terms and conditions include a clause allowing the Council to terminate the framework with a provider by giving three months' written notice should priorities change. Additionally, a call off contract may be suspended by an OPL authorities, District or Borough Council by giving written notice.
19. All bidders successfully completed satisfactory financial checks as well as checks on competency in delivery of similar contracts in the Selection Questionnaire.
20. The following key risks associated with the framework and framework award have been identified, along with mitigation activities:

<b>Category</b>	<b>Risk Description</b>	<b>Mitigation Activity</b>
Financial	Not knowing how much work is being done outside of the arrangement.	Central collation of spend data. OPL working with finance leads in each location to track this.
	Not knowing if a provider is taking longer to complete work when being paid a rate per hour in order to charge a higher total cost.	KPIs in place for regular updates on progress of work, particularly for Transactional Casework. Counsel/Advocacy tend to be specific bits of work on a fixed rate.

Reputational	Successful provider does not have necessary skills, experience and technical knowledge to satisfactorily complete the elements of the contract(s)	Tender process included 45% quality and technical element towards overall contract(s) award; Clarification meetings to be held if any officer concerns remain post tender process; Remedies available under the framework terms and conditions.
Reputational	Issuing a framework which is not fit for purpose for internal customers or external providers.	The placement of a new Legal Services Framework through quality, specialist providers following a thorough procurement exercise; Regular contract performance meetings to ensure adherence to works programmes and agree recovery actions if required.

#### **Financial and Value for Money Implications**

21. Full details of the contract value and financial implications are set out in the Part 2 report.

#### **Section 151 Officer Commentary**

22. The estimated level of legal services expenditure in this report is included in the current Medium Term Financial Plan. Services are expected to have in place appropriate controls to ensure that all legal services purchased through this framework are necessary within the context of the Council's financial situation. The procurement exercise to establish a framework ensures that legal fees are market tested and provide value for money.

#### **Legal Implications – Monitoring Officer**

23. External legal services support and complement the Council's in-house offering; enabling better demand management, specialist advice and advocacy services to be sourced quickly and in a cost effective way. External legal services can be sought for any area of work and is often directly linked to the Council's strategic objectives and statutory responsibilities. No value of spend is guaranteed as part of any framework award.
24. The Council is under an obligation in Section 3 of the Local Government Act 1999 to secure best value in all it does, specifically to "...secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness." The new external legal services framework seeks to do this through the benefits highlighted in paragraph 4 of the main report. Failure to put in place a new framework would lead to inefficiency and difficulty in negotiating pricing on individual contract awards.
25. The procurement process was carried out under the light touch regime of the Public Contracts Regulations 2015 (PCRs). Legal services are either exempt from the PCRs (advocacy, litigation advice and statutory functions) or subject to the light touch regime (all others). The process carried out met the legal requirements of the PCRs and the Council's own Procurement Standing

Orders. Successful tenders have been assessed to be the most economically advantageous to the Council.

26. In making its decision, Cabinet will need to satisfy itself that the proposed award is the most appropriate course of action and meets its fiduciary duties to Surrey residents.

#### **Equalities and Diversity**

27. There is no requirement for an Equality Impact Assessment (EIA) as there are no implications for any public sector equalities duty due to the nature of the services being procured. However all providers are required to comply with the Equalities Act 2010 and any relevant codes issued by the Equality and Human Rights Commission. In addition, all providers were assessed on the ability they had to address the requirements of the Equalities Act and to deliver services which would help the Councils meet their statutory duties.

#### **WHAT HAPPENS NEXT:**

28. The timetable for implementation is as follows:

<b>Action</b>	<b>Date</b>
Cabinet decision to award	18/12/2018
Cabinet 'call in' period	18/12/2018 – 27/12/2018
Standstill Period	07/01/2019 – 17/01/2019
Contract Signature	21/01/2019 – 22/02/2019
Framework Commencement Date	01/03/2019

29. The Council has an obligation to allow unsuccessful bidders the opportunity to challenge the proposed contract award. This period is referred to as the standstill period, during which notification of an intention to award is given but entering into the contract may not take place.

#### **Contact Officer:**

Andrea Kilby, Business Development Manager, 07970 458 955

#### **Consulted:**

Orbis Public Law – various representatives  
 Orbis & WSCC Procurement  
 Finance  
 Insurance & Risk Teams  
 Information Governance  
 Information Technology & Digital

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of the Local Government Act 1972.

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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