



Meeting of the

CABINET

Wednesday, 13 March 2013 at 5.30 p.m.

AGENDA – SECTION ONE

VENUE

Committee Room, 1st Floor, Town Hall, Mulberry Place, 5 Clove Crescent, London, E14 2BG

Members:

Mayor Lutfur Rahman	(Mayor)
Councillor Ohid Ahmed	– (Deputy Mayor)
Councillor Rofique U Ahmed	– (Cabinet Member for Regeneration)
Councillor Shahed Ali	– (Cabinet Member for Environment)
Councillor Abdul Asad	– (Cabinet Member for Health and Wellbeing)
Councillor Alibor Choudhury	– (Cabinet Member for Resources)
Councillor Shafiqul Haque	– (Cabinet Member for Jobs and Skills)
Councillor Rabina Khan	– (Cabinet Member for Housing)
Councillor Rania Khan	– (Cabinet Member for Culture)
Councillor Oliur Rahman	– (Cabinet Member for Children's Services)

[Note: The quorum for this body is 3 Members].

Committee Services Contact:

Matthew Mannion, Democratic Services,

Tel: 020 7364 4651, E-mail: matthew.mannion@towerhamlets.gov.uk

Public Information

Attendance at meetings.

The public are welcome to attend meetings of Cabinet. However seating is limited and offered on a first come first served basis.

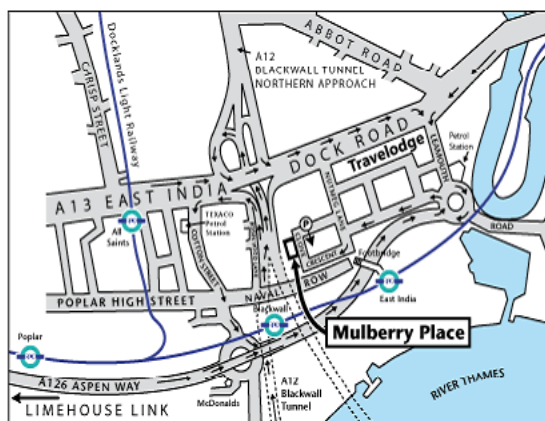
Audio/Visual recording of meetings.

No photography or recording without advanced permission.

Mobile telephones

Please switch your mobile telephone on to silent mode whilst in the meeting.

Access information for the Town Hall, Mulberry Place.



Bus: Routes: 15, 277, 108, D6, D7, D8 all stop near the Town Hall.

Distinct Light Railway: Nearest stations are East India: Head across the bridge and then through complex to the Town Hall, Mulberry Place Blackwall station. Across the bus station then turn right to the back of the Town Hall complex, through the gates and archway to the Town Hall.

Tube: The closet tube stations are Canning Town and Canary Wharf .

Car Parking: There is limited visitor pay and display parking at the Town Hall (free from 6pm)

If you are viewing this on line:(http://www.towerhamlets.gov.uk/content_pages/contact_us.aspx)

Meeting access/special requirements.

The Town Hall is accessible to people with special needs. There are accessible toilets, lifts to venues. Disabled parking bays and an induction loop system for people with hearing difficulties are available. Documents can be made available in large print, Brail or audio version. For further information, contact the Officers shown on the front of the agenda.



Fire alarm

If the fire alarm sounds please leave the building immediately by the nearest available fire exit without deviating to collect belongings. Fire wardens will direct you to the exits and to the fire assembly point. If you are unable to use the stairs, a member of staff will direct you to a safe area. The meeting will reconvene if it is safe to do so, otherwise it will stand adjourned.

Electronic agendas reports and minutes.

Copies of agendas, reports and minutes for council meetings can also be found on our website from day of publication.

To access this, click www.towerhamlets.gov.uk, 'Council and Democracy' (left hand column of page), 'Council Minutes Agendas and Reports' then choose committee and then relevant meeting date.

Agendas are available at the Town Hall, Libraries, Idea Centres and One Stop Shops and on the Mod.Gov, iPad and Android apps.



QR code for smart phone users

LONDON BOROUGH OF TOWER HAMLETS

CABINET

WEDNESDAY, 13 MARCH 2013

5.30 p.m.

1. APOLOGIES FOR ABSENCE

To receive any apologies for absence.

PUBLIC QUESTION AND ANSWER SESSION

There will be an opportunity (up to 15 minutes) for members of the public to put questions to Cabinet members before the Cabinet commences its consideration of the substantive business set out in the agenda.

Questions can be submitted in advance to the Town Hall or be asked on the evening.

Send any questions to Matthew Mannion, Democratic Services, Town Hall, Mulberry Place, Poplar, E14 2BG or email matthew.mannion@towerhamlets.gov.uk by 5pm Tuesday 12 March 2013.

2. DECLARATIONS OF DISCLOSABLE PECUNIARY INTERESTS (Pages 1 - 4)

To note any declarations of interest made by Members, including those restricting Members from voting on the questions detailed in Section 106 of the Local Government Finance Act, 1992. See attached note from the Monitoring Officer.

3. UNRESTRICTED MINUTES

PAGE NUMBER	WARD(S) AFFECTED
5 - 18	

The unrestricted minutes of the Cabinet meeting held on 13th February 2013 are presented for information.

4. PETITIONS

To receive any petitions.

5. OVERVIEW & SCRUTINY COMMITTEE

5.1 Chair's advice of Key Issues or Questions in relation to Unrestricted Business to be considered

5.2 Any Unrestricted Decisions "Called in" by the Overview & Scrutiny Committee

(Under provisions of Article 6 Para 6.02 V of the Constitution).

Nil items.

UNRESTRICTED REPORTS FOR CONSIDERATION

6. A GREAT PLACE TO LIVE

6.1 Licensing Policy Review 19 - 116 All Wards

6.2 Gambling Policy 117 - 164 All Wards

7. A PROSPEROUS COMMUNITY

7.1 Woolmore School - Proposed Expansion 165 - 180 Blackwall & Cubitt Town

7.2 Academy Conversions - Old Ford and Culloden Primary Schools 181 - 188 Bow East; East India & Lansbury

8. A SAFE AND COHESIVE COMMUNITY

Nil items.

9. A HEALTHY AND SUPPORTIVE COMMUNITY

9.1 The Establishment of the Tower Hamlets Health and Wellbeing Board (to follow) All Wards

9.2 Tendering of Carers' Hub 189 - 288 All Wards

9.3 New Information Advice and Advocacy (IAA) Services Tender 289 - 340 All Wards

9.4 Letting Supporting People Contracts 2012- 2015: The Mobilisation Plan 341 - 352 All Wards

10. ONE TOWER HAMLETS

10.1 Strategic Performance, General Fund Revenue Budget and Capital Programme Q3 353 - 426 All Wards

10.2 Implementing Local Structures – Local Community Ward Forums 427 - 454 All Wards

10.3 Fees and Charges 2013/14 455 - 544 All Wards

10.4 Contracts Forward Plan Q4 545 - 556 All Wards

**11. ANY OTHER UNRESTRICTED BUSINESS
CONSIDERED TO BE URGENT**

**12. UNRESTRICTED REPORTS FOR
INFORMATION**

12 .1 Exercise of Corporate Directors' Discretions **557 - 562**

13. EXCLUSION OF THE PRESS AND PUBLIC

In view of the contents of the remaining items on the agenda, the Committee is recommended to adopt the following motion:

“That, under the provisions of Section 100A of the Local Government Act, 1972 as amended by the Local Government (Access to Information) Act, 1985, the Press and Public be excluded from the remainder of the meeting for the consideration of the Section Two business on the grounds that it contains information defined as Exempt in Part 1 of Schedule 12A to the Local Government, Act 1972”.

EXEMPT/CONFIDENTIAL SECTION (PINK)

The Exempt / Confidential (Pink) Committee papers in the Agenda will contain information, which is commercially, legally or personally sensitive and should not be divulged to third parties. If you do not wish to retain these papers after the meeting, please hand them to the Committee Officer present.

	PAGE NUMBER	WARD(S) AFFECTED
14. EXEMPT / CONFIDENTIAL MINUTES		
The exempt / confidential minutes of the Cabinet meeting held on 13 th February 2013 are presented for information.		

15. OVERVIEW & SCRUTINY COMMITTEE

15 .1 Chair's advice of Key Issues or Questions in relation to Exempt / Confidential Business to be considered.

15 .2 Any Exempt / Confidential Decisions "Called in" by the Overview & Scrutiny Committee

(Under provisions of Article 6 Para 6.02 V of the Constitution).

Nil items.

EXEMPT / CONFIDENTIAL REPORTS FOR CONSIDERATION

16. A GREAT PLACE TO LIVE

17. A PROSPEROUS COMMUNITY

18. A SAFE AND COHESIVE COMMUNITY

19. A HEALTHY AND SUPPORTIVE COMMUNITY

**19 .1 Letting Supporting People Contracts 2012- 2015: The
Mobilisation Plan - Exempt Appendices**

All Wards

20. ONE TOWER HAMLETS

**21. ANY OTHER EXEMPT/ CONFIDENTIAL
BUSINESS CONSIDERED TO BE URGENT**

**22. EXEMPT / CONFIDENTIAL REPORTS FOR
INFORMATION**

SCRUTINY PROCESS

The Overview and Scrutiny Committee, at its meeting on **Tuesday 9th April 2013** may scrutinise provisional decisions made in respect of any of the reports attached, if it is “called in” by **five** or more Councillors except where the decision involves a recommendation to full Council.

The deadline for “Call-in” is: Friday 22nd March 2013 **(5.00 p.m.)**

Councillors wishing to “call-in” a provisional decision, or members of the public wishing to submit a deputation request, should contact: **John Williams**
Service Head Democratic Services:
020 7364 4205

This page is intentionally left blank

Agenda Item 2

DECLARATIONS OF INTERESTS - NOTE FROM THE MONITORING OFFICER

This note is for guidance only. For further details please consult the Members' Code of Conduct at Part 5.1 of the Council's Constitution.

Please note that the question of whether a Member has an interest in any matter, and whether or not that interest is a Disclosable Pecuniary Interest, is for that Member to decide. Advice is available from officers as listed below but they cannot make the decision for the Member. If in doubt as to the nature of an interest it is advisable to seek advice **prior** to attending a meeting.

Interests and Disclosable Pecuniary Interests (DPIs)

You have an interest in any business of the authority where that business relates to or is likely to affect any of the persons, bodies or matters listed in section 4.1 (a) of the Code of Conduct; and might reasonably be regarded as affecting the well-being or financial position of yourself, a member of your family or a person with whom you have a close association, to a greater extent than the majority of other council tax payers, ratepayers or inhabitants of the ward affected.

You must notify the Monitoring Officer in writing of any such interest, for inclusion in the Register of Members' Interests which is available for public inspection and on the Council's Website.

Once you have recorded an interest in the Register, you are not then required to declare that interest at each meeting where the business is discussed, unless the interest is a Disclosable Pecuniary Interest (DPI).

A DPI is defined in Regulations as a pecuniary interest of any of the descriptions listed at **Appendix A** overleaf. Please note that a Member's DPIs include his/her own relevant interests and also those of his/her spouse or civil partner; or a person with whom the Member is living as husband and wife; or a person with whom the Member is living as if they were civil partners; if the Member is aware that that other person has the interest.

Effect of a Disclosable Pecuniary Interest on participation at meetings

Where you have a DPI in any business of the Council you must, unless you have obtained a dispensation from the authority's Monitoring Officer following consideration by the Dispensations Sub-Committee of the Standards Advisory Committee:-

- not seek to improperly influence a decision about that business; and
- not exercise executive functions in relation to that business.

If you are present at a meeting where that business is discussed, you must:-

- Disclose to the meeting the existence and nature of the interest at the start of the meeting or when the interest becomes apparent, if later; and
- Leave the room (including any public viewing area) for the duration of consideration and decision on the item and not seek to influence the debate or decision

When declaring a DPI, Members should specify the nature of the interest and the agenda item to which the interest relates. This procedure is designed to assist the public's understanding of the meeting and to enable a full record to be made in the minutes of the meeting.

Where you have a DPI in any business of the authority which is not included in the Member's register of interests and you attend a meeting of the authority at which the business is considered, in addition to disclosing the interest to that meeting, you must also within 28 days notify the Monitoring Officer of the interest for inclusion in the Register.

Further advice

For further advice please contact:-

Isabella Freeman, Assistant Chief Executive (Legal Services), 020 7364 4801; or
John Williams, Service Head, Democratic Services, 020 7364 4204

APPENDIX A: Definition of a Disclosable Pecuniary Interest

(Relevant Authorities (Disclosable Pecuniary Interests) Regulations 2012, Reg 2 and Schedule)

Subject	Prescribed description
Employment, office, trade, profession or vacation	Any employment, office, trade, profession or vocation carried on for profit or gain.
Sponsorship	<p>Any payment or provision of any other financial benefit (other than from the relevant authority) made or provided within the relevant period in respect of any expenses incurred by the Member in carrying out duties as a member, or towards the election expenses of the Member.</p> <p>This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.</p>
Contracts	<p>Any contract which is made between the relevant person (or a body in which the relevant person has a beneficial interest) and the relevant authority—</p> <p>(a) under which goods or services are to be provided or works are to be executed; and</p> <p>(b) which has not been fully discharged.</p>
Land	Any beneficial interest in land which is within the area of the relevant authority.
Licences	Any licence (alone or jointly with others) to occupy land in the area of the relevant authority for a month or longer.
Corporate tenancies	<p>Any tenancy where (to the Member's knowledge)—</p> <p>(a) the landlord is the relevant authority; and</p> <p>(b) the tenant is a body in which the relevant person has a beneficial interest.</p>
Securities	<p>Any beneficial interest in securities of a body where—</p> <p>(a) that body (to the Member's knowledge) has a place of business or land in the area of the relevant authority; and</p> <p>(b) either—</p> <p>(i) the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body; or</p> <p>(ii) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which the relevant person has a beneficial interest exceeds one hundredth of the total issued share capital of that class.</p>

This page is intentionally left blank

LONDON BOROUGH OF TOWER HAMLETS

MINUTES OF THE CABINET

HELD AT 5.40 P.M. ON WEDNESDAY, 13 FEBRUARY 2013

**COMMITTEE ROOM, 1ST FLOOR, TOWN HALL, MULBERRY PLACE, 5 CLOVE
CRESCENT, LONDON, E14 2BG**

Members Present:

Mayor Lutfur Rahman	(Mayor)
Councillor Ohid Ahmed	(Deputy Mayor)
Councillor Rofique U Ahmed	(Cabinet Member for Regeneration)
Councillor Shahed Ali	(Cabinet Member for Environment)
Councillor Abdul Asad	(Cabinet Member for Health and Wellbeing)
Councillor Alibor Choudhury	(Cabinet Member for Resources)
Councillor Shafiqul Haque	(Cabinet Member for Jobs and Skills)
Councillor Rabina Khan	(Cabinet Member for Housing)
Councillor Rania Khan	(Cabinet Member for Culture)
Councillor Oliur Rahman	(Cabinet Member for Children's Services)

Other Councillors Present:

Councillor Kabir Ahmed	(Executive Advisor to the Mayor and Cabinet)
Councillor Marc Francis	
Councillor Peter Golds	(Leader of the Conservative Group)
Councillor Ann Jackson	(Chair, Overview & Scrutiny Committee)
Councillor Md. Maium Miah	(Advisor to the Mayor and Cabinet on Third Sector and Community Engagement)
Councillor John Pierce	
Councillor Gulam Robbani	

Officers Present:

Katherine Ball	– (Senior Accountant, Development & Renewal)
Sarah Barr	– (Senior Strategy Policy and Performance Officer, One Tower Hamlets, Chief Executive's)
Robin Beattie	– (Service Head, Strategy & Resources & Olympic Impact, Communities Localities & Culture)
Kate Bingham	– (Acting Service Head Resources, Children Schools & Families)
Isobel Cattermole	– (Corporate Director, Education, Social Care and Wellbeing)
Dave Clark	– (Head of Programmes, Performance and Accountability, Development & Renewal)
Aman Dalvi	– (Corporate Director, Development & Renewal)
Alan Finch	– (Interim S151 Officer, Service Head Financial Services, Risk & Accountability, Resources)
Isabella Freeman	– (Assistant Chief Executive - Legal Services, Chief

	Executive's)
Stephen Halsey	– (Head of Paid Service and Corporate Director Communities, Localities & Culture)
Chris Holme	– (Acting Corporate Director - Resources)
Ellie Kuper-Thomas	– (Strategy, Policy and Performance Officer - Executive Mayor's Office, One Tower Hamlets, Chief Executive's)
Paul Leeson	– (Finance Manager, Development & Renewal)
Ann Sutcliffe	– (Service Head Strategic Property, Development and Renewal)
Emily Blackshaw	– (Communications Team Leader)
Numan Hussain	– (Political Advisor to the Mayor, Executive Mayor's Office, Chief Executive's)
Matthew Mannion	– (Committee Services Manager, Democratic Services, Chief Executive's)

1. APOLOGIES FOR ABSENCE

There were no apologies for absence.

2. DECLARATIONS OF DISCLOSABLE PECUNIARY INTERESTS

None were declared.

3. UNRESTRICTED MINUTES

The unrestricted minutes of the ordinary meeting of the Cabinet held on 9 January 2013 were presented for information.

4. PETITIONS

No petitions were received.

5. OVERVIEW & SCRUTINY COMMITTEE

5.1 Chair's advice of Key Issues or Questions in relation to Unrestricted Business to be considered

Pre decision scrutiny questions and discussion on Agenda Item 10.2 (General Fund Capital and Revenue Budgets and Medium Term Financial Plan 2013/14 – 2015/16 were **tabled** and noted.

Councillor Ann Jackson, Chair of the Overview and Scrutiny Committee, addressed Cabinet and highlighted some specific issues that had been raised during the Overview and Scrutiny Committee discussions on the budget including:

- That in light of future financial challenges, whether the Council should be holding on to more of its existing savings in Adult Health and Wellbeing to cover later increases in demand for services.

- Considering the low take-up levels, whether funding the Mayor's Educational Grant was the most appropriate use of resources compared with other needs within education.
- Disappointment that the Chief Executive's department's savings and growth bids had not been set out fully in the budget proposals.
- General questions over whether growth bids and projects such as a potential new Town Hall were appropriate in the current financial circumstances.

The **Mayor** thanked Councillor Ann Jackson for the work the Overview and Scrutiny Committee had undertaken in scrutinising the budget proposals.

5.2 Any Unrestricted Decisions "Called in" by the Overview & Scrutiny Committee

The Clerk advised that no requests had been received by the Assistant Chief Executive (Legal Services) to 'call-in' for further consideration, by the Overview and Scrutiny Committee, any provisional decisions taken by the Mayor in Cabinet, at the Cabinet meeting held on 9 January 2013.

6. A GREAT PLACE TO LIVE

6.1 Options for the Refurbishment of Phase 3 of the Council's Shorlife Housing Properties

Councillor Rabina Khan, Cabinet Member for Housing, introduced the report stating that it was an excellent proposal. She responded to a number of questions and concerns from existing residents stating that she had examined all the options with officers and was satisfied that the existing proposal was the most appropriate for the site. In particular she highlighted the priority the Council was placing in increasing the number of family sized houses available to Council tenants.

Responding to questions it was explained that officers would work with all existing residents to ensure they were given priority status and would all be rehoused.

During discussion it was noted that support for single vulnerable adults was also very important and that there may be benefit in the Council exploring new ideas to help them support each other in grouped accommodation.

The **Mayor** welcomed the report, whilst acknowledging the concerns of existing residents. He confirmed that they would be given good support by officers and priority status to ensure they were rehoused.

Resolved

1. To agree to Option 1, outlined at section 6 below, and authorise the investment of council resources in refurbishing eleven properties (numbers 9, 11, 46, 48, 50, 52, 58, 62 and 64 Bruce Road E3, 93 Old Ford Road E3 and 34 Mount Terrace E1) and bringing them

back into use as council tenancies to be managed by THH. The twelfth property is already in the process of refurbishment, as detailed at paragraph 5.5.

2. To agree to award all eligible TUSH members (as outlined at paragraph 6.8) resident in these properties and registered on the council's housing waiting list additional management priority points to enable them to bid for suitable replacement housing in line with the Council's lettings policy.
3. To approve the allocation of capital resources to accomplish the refurbishment of the eleven houses, and adopt a capital estimate of £1.7 million to enable the scheme to be included within the capital programme.
4. To delegate further decisions on the awarding of a contract to refurbish the properties and the options for carrying out additional works to one of the properties (see details of 34 Mount Terrace at paragraph 6.6) to the Corporate Director of Development & Renewal after consultation with the Assistant Chief Executive and the Mayor.

6.2 London Housing Consortium

Councillor Rabina Khan, Cabinet Member for Housing, introduced the report. She stated that Councillor Kabir Ahmed should be the non-executive Councillor appointed rather than Councillor Rofique Ahmed as stated in the report.

The **Mayor** agreed the alternative membership proposed and agreed the recommendations in the report.

Resolved

1. To agree the revised constitution for the LHC Appendix 1.
2. To appoint two Members, one Executive (Councillor Rabina Khan) and one non-Executive (Councillor Kabir Ahmed) to represent the Council on the joint Committee in line with the Council's external appointment procedures.
3. To authorise the Corporate Director of Development and Renewal in consultation with the Mayor to agree any future alterations to the Constitution for the London Housing Consortium

7. A PROSPEROUS COMMUNITY

Nil items.

8. A SAFE AND COHESIVE COMMUNITY

Nil items.

9. A HEALTHY AND SUPPORTIVE COMMUNITY

Nil items.

10. ONE TOWER HAMLETS

10.1 Housing Revenue Account Budget Report - 2013/14

[Note – Agenda Items 10.1 (Housing Revenue Account), 10.2 (General Fund Capital and Revenue Budgets) and 10.3 (Treasury Management Strategy Statement) were considered together and the combined minute is presented here. The approved recommendations are listed under the relevant items]

Councillor Alibor Choudhury, Cabinet Member for Resources, introduced the reports. He highlighted the challenges the Council faced in light of the significant funding cuts being made by central government. In particular he highlighted a number of points including:

- An additional report in relation to item 10.2 (General Fund and Capital Budgets) reporting on the final government grant allocations and that officers had done well to predict the final settlement.
- That the 3.2% reduction in funding would feel more like 8% once population growth and inflation were accounted for.
- Savings proposals were listed in the report to cover this reduction and action was also proposed to account for earlier savings proposals that had not been deliverable. These included cuts to back office functions, supplies, senior management, travel, ICT and generating more income.
- It was important to try and mitigate the impact of cuts on local people and some amendments were to be proposed to mitigate the impact in some important areas.
- There was some new funding such as a higher than expected public health grant.

Cabinet Members and other Councillors then rose to propose amendments to the budget proposals. These were **tabled** as a paper to Cabinet and included amendments on the following topics:

- Additional THEOs (Tower Hamlets Enforcement Officers) and more CCTV coverage.
- Cycling improvements.
- Tackling potholes.
- Exploring provision of a Multi-faith burial ground.
- Free school meals for Reception and Year 1 pupils.
- An additional £1 million in capital grants for the Faith Buildings scheme.

There then followed a discussion on the above amendments and the overall budget. The **Mayor** thanked all those who had contributed to the discussion including Overview and Scrutiny Committee Members and thanked officers for their work in developing the proposals. He agreed the recommendations to each of the reports, amended where necessary.

ResolvedRevenue

1. To approve the draft 2013/14 Housing Revenue Account budget as set out in Appendix 1.
2. To approve the draft 2013/14 Management Fee payable to Tower Hamlets Homes (THH) of £32.429 million as set out in Table 3 in section 9.2.
3. Subject to 2. above, note that under the Management Agreement between the Council and THH, THH will manage delegated income budgets of £84.2 million and delegated expenditure budgets of £25.1 million on behalf of the Council in 2013/14.
4. To note the HRA Medium Term Financial Plan (2013-16) outlined in Appendix 2.

Capital

5. To adopt a capital estimate of £980,000 for the award of Disabled Facilities Grants, as outlined in paragraph 12.1, subject to funding being confirmed by the DCLG and the Department of Health.
6. To adopt a capital estimate of £250,000 in respect of Private Sector Improvement Grants, including Empty Property Grants, for 2013-14, to be financed from ring-fenced resources received from the East London Renewal Partnership (paragraph 12.2).
7. To agree to increase the capital estimate in respect of conservation works for Bethnal Green Terrace by £351,000, as outlined in paragraph 13.1.
8. To adopt a capital estimate of £320,000 in respect of pedestrian crossing works in Whitechapel Road, as outlined in paragraph 13.2.

10.2 General Fund Capital and Revenue Budgets and Medium Term Financial Plan 2013/14-2015-16

[Note – Agenda Items 10.1 (Housing Revenue Account), 10.2 (General Fund Capital and Revenue Budgets) and 10.3 (Treasury Management Strategy Statement) were considered together and the combined minute is presented under Agenda Item 10.1.]

The **Mayor** accepted the Reasons for Urgency for the Supplementary Report as stated in the report. Namely that:

The information the subject of this report was only made available on 4 February 2013. It is essential that this information be considered by the Mayor in Cabinet on 13 February 2013 in order to make a decision about the budget which is to go forward for consideration by full council.

Resolved

1. To agree that a General Fund Revenue Budget of £297.806m and a Council Tax (Band D) of £885.52 for 2013-14 be referred to budget council for consideration.

2. To note the following matters -

a. Budget Consultation

The summary provided of the budget consultation, which includes the comments and recommendations of the overview and scrutiny committee.

b. Funding

The funding available for 2013-14 and the indications and forecasts for future years (section 8) and note the introduction of the new local government funding system (Appendix 2).

c. Base Budget 2013-14

- The Base Budget for 2013-14 as £293.865m as detailed in Appendix 1.2.

d. Growth and Inflation

- The risks identified from potential inflation and committed growth arising in 2013-14 and future years and as set out in Section 9 and in Appendix 3.

e. General Fund Revenue Budget and Medium Term Financial Plan 2013-14 to 2015-16

The initial budget proposal and Council Tax for 2013-14 together with the Medium Term Financial Plan set out in Appendix 1 and the savings targets arising.

f. Savings

Savings items proposed to be included in budgets for 2013-14 and future years set out in Section 10 and in Appendices 4.

g. Mayors Priorities

Initiatives to be included in the budgets for 2013-14 and 2014-15 set out in Section 10.3 and in Appendix 5.

h. Capital Programme

The capital programme to 2014-15, including the proposed revisions to the current programme as set out in section 14 and detailed in Appendix 9.

i. Dedicated Schools Grant

The position with regard to Dedicated Schools Grant as set out in section 12 and Appendix 7.

j. Housing Revenue Account

The position with regard to the Housing Revenue Account as set out in section 13 and Appendix 8.

k. Financial Risks: Reserves and Contingencies

Advice on strategic budget risks and opportunities as set out in section 11 and Appendices 6.1, 6.2 and 6.3.

l. Reserves and Balances

The position in relation to reserves as set out in the report and further detailed in Appendices 6.1 and 6.3, and officers' advice on the strategy for general reserves at 8.40.

3. To note the advice of the chief financial officer in relation to resources available to fund one-off priorities in the next two financial years.
4. To agree to utilise £1m of capital receipts to part fund the Faith Buildings initiative announced at Cabinet on 3rd October 2012 and adopt a capital scheme for this purpose.
5. To accept the following Accelerated Delivery proposals as set out in Appendix 5 of the pack;
 - The Mayor's Higher Education Bursary at a cost of £1.260m over two years.
 - Borough-wide deep clean and education programme at a cost of £0.800m.
 - Roman Road Town Centre Improvements and Brick Lane Commercial District initiatives at a cost of £0.355m.

- Measures to protect vulnerable residents in temporary accommodation from the impact of welfare reform at a cost of £1.000m

(These measures totalling £3.415m to be met from surplus earmarked reserves up to a value of £2.065m and the balance of £1.350m from additional savings identified during the budget process.)

6. To propose the following further measures, the details of which are included in the pro-forma papers attached to the amendment to the main report;
 - Free School Meals for reception and year 1 pupils in Tower Hamlets Primary Schools, free schools and academies for two academic years at a cost of £2.756m, to be funded from Public Health Grant.
 - An additional 10 'THEOs' and additional CCTV surveillance for two years at a cost of £1.330m, to be funded from additional revenue savings identified during the budget process.
 - Repair of pot holes at a cost of £0.200m to be funded from additional revenue savings identified during the budget process.
 - Investment of £3.000m towards the provision of a multi-faith burial site for Tower Hamlets residents to be adopted as a scheme in the capital programme and funded from capital receipts.
 - Measures to support cycling at a cost of £0.100m to be adopted as a scheme in the capital programme and funded from capital receipts.
 - An additional £1.000m in capital grants for Faith Buildings to be adopted in the capital programme and funded from capital receipts.

10.3 Treasury Management Strategy Statement, Minimum Revenue Provision Policy Statement and Annual Investment Strategy 2013-14

[Note – Agenda Items 10.1 (Housing Revenue Account), 10.2 (General Fund Capital and Revenue Budgets) and 10.3 (Treasury Management Strategy Statement) were considered together and the combined minute is presented under Agenda Item 10.1.]

Resolved

1. To recommend that Full Council adopt:
 - 1.1. The Treasury Management Strategy Statement set out in sections 6-11 of this report.

- 1.2. The Annual Investment Strategy set out in section 12 of this report.
 - 1.3. The Minimum Revenue Provision Policy Statement set out in section 13 of this report, which officers involved in treasury management must then follow.
2. To delegate to the Interim Corporate Director of Resources, after consultation with the Lead Member for Resources, authority to vary the figures in this report to reflect any decisions made in relation to the Capital Programme prior to submission to Budget Council.

10.4 Quarter 3 - Special Contracts Forward Plan

Councillor Alibor Choudhury, Cabinet Member for Finance, introduced the report.

The **Mayor** agreed the recommendations as set out in the report.

Resolved

1. To consider the contract summary at Appendix 1, and agree that all the contracts be taken forward.
2. To authorise the relevant Corporate Director who holds the budget for the service area to award the contract or contracts in consultation with the Assistant Chief Executive (Legal Services).
3. To authorise the Assistant Chief Executive (Legal Services) to execute all necessary contract documents in respect of the awards of contracts referred to at recommendation 1 above.

11. ANY OTHER UNRESTRICTED BUSINESS CONSIDERED TO BE URGENT

Nil items.

12. UNRESTRICTED REPORTS FOR INFORMATION

12.1 Exercise of Corporate Directors' Discretions

The **Mayor** agreed the recommendations as set out in the report.

Resolved

1. To note the exercise of Corporate Directors' discretions as set out in Appendix 1.

13. EXCLUSION OF THE PRESS AND PUBLIC

Resolved

That pursuant to regulation 21(1)(b) of the Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000, the press and public be excluded from the remainder of the meeting:

- (a) As it was likely, in view of the nature of the business to be transacted in Section Two of the agenda, that if members of the public were present during consideration of this business there would be disclosure of exempt information.
 - Exempt information is defined in section 100I and, by reference, Schedule 12A of the Local Government Act 1972 (“the 1972 Act”). To be exempt, information must fall within one of the categories listed in paragraphs 1 to 7 of Schedule 12A, must not fall within one of the excluded categories in paragraphs 8 and 9 and the public interest in maintaining the exemption must outweigh the public interest in disclosing the information.
 - Agenda item 14 “Exempt/ Confidential Minutes” – contained information relating to the financial or business affairs of any particular person (including the authority holding that information). In particular information relating to the financial affairs
 - Agenda item 16.1. “Asset Rationalisation Review (Depots and Town Hall)” contained information relating to the financial or business affairs of any particular person (including the authority holding that information). In particular information relating to the financial affairs of the Council.
- (b) As although there is a public interest favouring public access to local authority meetings, in this case the Cabinet concluded that given the information contained in:
 - Agenda item 14 “Exempt/ Confidential Minutes” – contained information relating to the financial or business affairs of any particular person (including the authority holding that information). In particular information relating to the financial affairs
 - Agenda item 16.1. “Asset Rationalisation Review (Depots and Town Hall)” contained information relating to the financial or business affairs of any particular person (including the authority holding that information). In particular information relating to the financial affairs of the Council.

that the public interest in maintaining the exemption on the information outweighed the public interest in disclosing it.

14. EXEMPT / CONFIDENTIAL MINUTES

The Exempt/Part II minutes of the ordinary meeting of the Cabinet held on 9 January 2013 were **tabled** for information.

15. OVERVIEW & SCRUTINY COMMITTEE

15.1 Chair's advice of Key Issues or Questions in relation to Exempt / Confidential Business to be considered.

Nil items.

15.2 Any Exempt / Confidential Decisions "Called in" by the Overview & Scrutiny Committee

Nil items.

16. A GREAT PLACE TO LIVE

16.1 Asset Rationalisation Review (Depots and Town Hall)

The Mayor considered the report and subject to minor amendments agreed its recommendations.

17. A PROSPEROUS COMMUNITY

Nil items.

18. A SAFE AND COHESIVE COMMUNITY

Nil items.

19. A HEALTHY AND SUPPORTIVE COMMUNITY

Nil items.

20. ONE TOWER HAMLETS

Nil items.

21. ANY OTHER EXEMPT/ CONFIDENTIAL BUSINESS CONSIDERED TO BE URGENT

Nil items.

22. EXEMPT / CONFIDENTIAL REPORTS FOR INFORMATION

Nil items.

The meeting ended at 7.08 p.m.

Chair, Mayor Lutfur Rahman
Cabinet

This page is intentionally left blank

Agenda Item 6.1

Committee/Meeting: Cabinet	Date: 13 March 2013	Classification: Unrestricted	Report No: CAB 80/123
Report of: Corporate Director / Head of Paid Service Stephen Halsey Originating officer(s) David Tolley – Head of Consumer and Business Regulations		Title: Licensing Policy Review Wards Affected: All	

Lead Member	Deputy Mayor Cllr Ohid Ahmed
Community Plan Theme	A Safe and Cohesive Community
Strategic Priority	Focusing on Crime and ASB

1. **SUMMARY**

- 1.1 All local authorities have to review their existing Statement of Licensing Policy and adopt a new policy by the end of 2013, as one of their responsibilities that they have to administer licences under the Licensing Act 2003.
- 1.2. The purpose of the policy is to define how the responsibilities under the Act are going to be exercised and administered.
- 1.3. A statutory consultation process will take place. In addition there will be the opportunity for the local community to comment if they wish.
- 1.4. Following consultation the reviewed policy will ultimately go to Cabinet and to full Council for adoption.

2. **DECISIONS REQUIRED**

The Mayor in Cabinet is recommended to:-

- 2.1 Agree the forward programme for consulting on the Statement of Licensing Policy.
- 2.2 Agree, if appropriate, that the consultation should be based on the existing Policy as detailed in Appendix One and the proposed changes detailed in Appendix Two.

- 2.3 Agree that the Council should consult on whether or not to adopt the sexual entertainment licensing regime under Schedule 3 to the Local Government (Miscellaneous Provisions) Act 1982.

3. REASONS FOR THE DECISIONS

- 3.1 The Council is statutorily required to review its Statement of Licensing Policy every three years. As part of the review a statutory consultation must take place.
- 3.2 The Statement of Licensing Policy consultation will be based on the proposed changes outlined in Appendix Two. This will enable the new statutory provisions to be reflected in the reviewed Statement of Licensing Policy.

4. ALTERNATIVE OPTIONS

- 4.1 Cabinet does have the option not to review its Statement of Licensing Policy but the Council will be open to legal challenge for not having a properly consulted and adopted Policy.

5. BACKGROUND

- 5.1 The Council's current Statement of Licensing Policy was adopted by Full Council in December 2010. The Policy is set out in Appendix One.
- 5.2 Tower Hamlets Council is defined as a Licensing Authority under the Licensing Act 2003. As a Licensing Authority the Council must review its Licensing Policy every three years and publish the outcome of that review.
- 5.3 The Licensing Authority, must, as a minimum carry out the statutory consultation laid down in the Act.
- 5.4 Following consultation, Cabinet must consider and approve the policy. The Statement of Licensing Policy has to be adopted by the Full Council. It is intended this will occur in November 2013.
- 5.5 The Government revised its guidance on the Licensing Act 2003 issued under Section 182 of the Licensing Act 2003 on the 31st October 2012. The consultation will include the opportunity for commentary on the new optional legislative provisions.
- 5.6 The Licencing consultation should not be confused with the public consultation on Sexual Entertainment Venues which is the subject of a separate consultation and review process. A separate report on the outcome of that process with policy recommendations will be presented to Cabinet shortly. The policies in the licencing policy document specific to strip tease will be adapted following the outcome of the Sexual Entertainment Venue policy deliberations.

6. BODY OF REPORT

6.1 The Licensing Act 2003 gives local authorities a range of responsibilities relating to licensing. The Policy states how the Council will exercise its authority.

6.2 This policy covers the following:

- How the Licensing Authority will use its regulatory powers in relation to applications and reviews of the activities it regulates, to the extent it is allowed by statute.
- The main licensing objectives for the authority is set by legislative requirements.
- The Licensing Authority approach to regulation
- The scheme of delegation

6.3 When exercising its licensing functions, the Council is required to have regard to and guidance issued by the Secretary of State under section 182 of the Licensing Act 2003. The current policy is compatible with this the statutory advice and guidance which has been published.

6.4 The Statement of Licensing Policy covers the same issues as those set out in neighbouring boroughs, along with incorporating the Local Government Association's Licensing Forum best practice advice. Thus the policy document will reflect best practice in the Local Authority licensing regime

6.5 Under the Licensing Act 2003, the Council as the Borough's licensing authority must review its licensing policy and publish the outcome of that review. The policy must be informed by a statutory consultation process.

6.6 The current review considers legislative changes made subsequent to adoption by the Council of the current policy. The changes respond in the main to guidance and regulatory change from central government during the course of the last three years. The proposals, which are set out in Appendix Two address the following –

- Relaxation in the licensing regime arising from the Live Music Act 2012
- Administration of Late temporary events notices
- Role of the licensing authority as a responsible authority
- Licence suspensions where fees have not been paid
- The arrangements for liaison with Public Health and Environmental Health as responsible authorities
- Late Night Levy consideration (Appendix 3)
- Early Morning Restriction Orders (Appendix 4)
- Cumulative Impacts are being consulted on separately but will eventually be included in the Licensing Policy

6.7 The Statutory Consultation requirements consist of:-

- The Chief Officer of Police for the Licensing Authority area
- The Fire Authority for the area
- Such persons as the Licensing Authority consider to be representative of holders of existing licences
- Such persons as the Licensing Authority considers to be representative of holders of existing clubs
- Such other persons as the Licensing Authority considers to be representative of businesses and residents in its area
- The consultation will be publicized and open to all residents and businesses.

6.8 As part of the consultation, the draft policy for consultation will be presented to the Licensing Committee and noted by them for consideration.

6.9 At the conclusion of the consultation process a resource analysis will be undertaken to estimate any additional cost to the Licensing Service when implementing the new policy.

6.10 The programme leading to consultation is as follows:-

Date	Committee / Action
30 th January 2013	MAB
27 th February 2013	PAP
13 th March 2013	Cabinet
March	Consultation Starts (6 weeks)
Indicative Time scales	
May	DMT
June	CMT
July	MAB
September	Licensing Committee
September	Overview and Scrutiny Committee
September	Cabinet
November	Full Council

7. COMMENTS OF THE CHIEF FINANCIAL OFFICER

7.1 This report sets out details of the review of the Council's Licensing Policy and seeks agreement for the forward programme on the consultation. A resource analysis will be undertaken on completion of the consultation. It is anticipated that any additional costs as a result of the consultation will not be significant and can be met from the Licensing Service budget when implementing the new policy.

8. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

- 8.1 The Council is a licensing authority under the Licensing Act 2003. Section 5(1) of the Licensing Act requires the Council to determine and publish its policy with respect to the exercise of its licensing functions. Since 25 April 2012, the requirement is for the Council to prepare and publish its statement of licensing policy in respect of each 5 year period. Once the licensing policy is in place, the Council is required to have regard to the policy in the exercise of its licensing functions.
- 8.2 The Licensing Act specifies a minimum level of consultation which the Council must carry out before determining its licensing policy for a 5 year period. This requires specified persons to be consulted, as referred to in the body of the briefing paper.
- 8.3 When determining its licensing policy, the Council is required to have regard to the following –
- Promoting the four licensing objectives, namely: (a) the prevention of crime and disorder; (b) public safety; (c) the prevention of public nuisance; and (d) the protection of children from harm.
 - Statutory guidance issued by the Secretary of State.
- 8.4 When preparing and determining its statement of licensing policy, the Council must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don't. This will require equality analysis, which should be carried out in conjunction with any consultation.
- 8.5 It is proposed to introduce a special policy to deal with cumulative impact. On 5 December 2012, the Mayor in Cabinet agreed that consultation may be carried out in relation to such a policy. The consultation is currently being carried out and is due to conclude on 22 March 2013. Following the consultation, recommendations may be made to the Mayor in Cabinet and Full Council to amend the statement of licensing policy. It is intended to reference the cumulative impact consultation in the consultation on the new licensing policy.
- 8.6 Pursuant to the Local Government Act 2000 and the Local Authorities (Functions and Responsibilities) (England) Regulations 2000, the determination of the statement of licensing policy under section 5 of the Licensing Act 2003 cannot be a function of the council's executive. Consistent with this requirement, the Council's Constitution makes the licensing policy part of the budget and policy framework. The preparation of the policy must thus comply with the Budget and Policy Framework Procedure Rules.
- 8.7 It is proposed that the licensing policy should include reference to the Council's approach to sex establishments under Schedule 3 to the Local Government (Miscellaneous Provisions) Act 1982 ("the 1982 Act"). At

present, the licensing regime in Schedule 3 to the 1982 Act does not apply in Tower Hamlets in relation to sexual entertainment venues. The procedure for deciding that Schedule 3 of the 1982 Act should apply in Tower Hamlets is as follows –

- The Council must consult local people about whether or not to apply the sexual entertainment venue (“SEV”) licensing regime in Tower Hamlets.
- The Council must pass a resolution specifying that the Schedule shall apply in Tower Hamlets. The resolution must specify the day on which the Schedule shall come into force (“the Specified Day”), which must be more than one month after the day on which the resolution is passed.
- The Council must then publish a notice that it is adopting the Schedule 3 regime. This must be published for two consecutive weeks in a local newspaper which is circulated in Tower Hamlets. The first publication of the notice must be at least 28 days before the Specified Day. The notice must state the general effect of Schedule 3.

8.8 This procedure is separate from that which is being followed to revise the licensing policy. If reference to the SEV licensing regime is to be included in the licensing policy, then the adoption of that regime should be completed prior to, or at the same time as, adoption of the revised licensing policy.

8.9 It is proposed that at the same time as consulting on the licensing policy, there should be preliminary consultation on whether the Council should apply the late night levy in Tower Hamlets and whether it should make early morning alcohol restriction orders (“EMROs”). If the Council were minded, following preliminary consultation, to proceed further with either the late night levy or with one or more EMROs, then it would have to follow the prescribed statutory procedures. As summary of each procedure is set out below.

8.10 The late night levy is a charge on persons licensed to sell alcohol late at night, which is a means of raising a contribution towards the costs of policing the late-night economy. Section 125 of the Police Reform and Social Responsibility Act 2011 (“the 2011 Act”) empowers the Council to decide that the late night levy is to apply in Tower Hamlets. The 2011 Act specifies matters which the Council must consider at the time of making that decision. The procedure to be followed in relation to a proposal to apply the late night levy is specified in the Late Night Levy (Application and Administration) Regulations 2012. The Council must consult with the relevant local policing body, the relevant chief officer of police, and holders of relevant late night authorisations. The Council must publish notice of its proposal to apply the late night levy. This procedure is separate from that which is being followed to revise the licensing policy. If reference to the late night levy is to be included in the licensing policy, then the decision to apply the levy should be completed prior to, or at the same time as, adoption of the revised licensing policy.

- 8.11 Section 172A of the Licensing Act 2003 permits the Council to make an order effectively preventing the sale of alcohol in a specified period between midnight and 6 am (an early morning alcohol restriction order, or EMRO). Section 172B of the Licensing Act and the Licensing Act 2003 (Early Morning Alcohol Restriction Orders) Regulations 2012 set out procedural requirements to be followed when making an early morning alcohol restriction order. The proposal must be advertised. If relevant representations are made, the Council must hold a hearing to consider the representations, unless all parties agree that a hearing isn't necessary. There are prescriptions as to the content of EMROs and as to the manner and form in which they are to be made.

9. ONE TOWER HAMLETS CONSIDERATIONS

- 9.1 An initial equalities analysis has been undertaken and no adverse impacts have been identified.

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 10.1 There are no adverse impacts identified.

11. RISK MANAGEMENT IMPLICATIONS

- 11.1 The Council will be at risk of legal challenge if a properly consulted and adopted Statement of Licensing Policy is not in place by the end of 2013.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

- 12.1 One of the key licensing objectives is to prevent licensed premises from being a source of crime and disorder. The policy supports and assists with crime and disorder reduction by controlling those who manage premises open to members of the public and imposing conditions on relevant premises licences.

13. EFFICIENCY STATEMENT

- 13.1 There are no efficiency issues relating to this report.

14. APPENDICES

Appendix 1 – Current Statement of Licensing Policy
Appendix 2 - Proposed Changes to the Statement of Licensing Policy
Appendix 3 – Home Office Guidance on Early Morning Restriction Orders
Appendix 4 – Home Office Guidance on the Late Night Levy
Appendix 5 – Equalities analysis

Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2012

List of “Background Papers” used in the preparation of this report

Brief description of “background papers”	Name and telephone number of holder and address where open to inspection.
None	N/A

Licensing Policy under the Licensing Act 2003

Contents

Foreword	Page 1
Background and Context	Page 3
Section 1 Introduction.....	Page 4
Section 2 The Policy	Page 4
Section 3 Consultation	Page 4
Section 4 Main Principles of the Licensing Policy	Pages 5,6 & 7
Section 5 Crime and Disorder	Pages 7 & 8
Section 6 Cumulative Effect.....	Pages 8 & 9
Section 7 Public Safety	Pages 9 & 10
Section 8 Prevention of Nuisance	Page 10
Section 9 Prevention of Harm to Children	Pages 10,11 & 12
Section 10 Cinemas	Pages 12 & 13
Section 11 Children and Public Entertainment	Page 13
Section 12 Licensing Hours.....	Pages 13 & 14
Section 13 Shops, Stores and Supermarkets	Page 15
Section 14 Integrating Strategies and Avoiding Duplication	Page 16
Section 15 Standard Conditions	Pages 17,18 & 19
Section 16 Enforcement	Page 19
Section 17 Live Music, Dancing and Theatre	Pages 19 & 20
Section 18 Risk Assessments	Pages 20 & 21
Section 19 Temporary Event Notices	Page 22
Section 20 Review Process	Pages 22 & 23
Section 21 Responsibilities of Licence Holders	Page 24
Section 22 No Traveller Signs	Pages 24 & 25
Section 23 Promotion of Racial Equality.....	Page 25
Section 24 Duplication	Page 25
Section 25 Administration, Exercise and	Pages 25 & 26
Delegation of Functions	
Table of Delegations of Licensing Functions ...	Pages 25 and 26
Appendix 1 List of Responsible Authorities	Pages 27 and 28
Appendix 2 Mandatory Conditions	Pages 30 and 31
Appendix 3 List of Government Pool Conditions	Pages 32 and 61
Appendix 4 licensing Contact Details	Page 62

Background and Context

This Policy should be read in conjunction with:

The Licensing Act 2003 available from www.hmso.gov.uk/acts/acts2003/20030017.htm or by telephoning 01603 723011

Government Guidance under Section 182 of the Licensing Act 2003: available on the website www.dcms.gov.uk or by telephoning 020 7211 6200

Tower Hamlets guidance documents on making applications under the Licensing Act 2003 available from http://www.towerhamlets.gov.uk/lgs/851-900/860_alcohol_and_entertainment.aspx
Or available from the Licensing Service on 020 7364 5008

Tower Hamlets is a Borough that is diverse, improves choice and provides enjoyment for residents and visitors to the Borough of all ages. We want to provide an environment that is safe and welcoming for all to enjoy. While at the same time we also want to ensure that we protect the quality of life for our residents by ensuring that we have sensible controls that keep anti social behaviour, and undesirable developments selling hot food and drink between 23:00 and 05:00 to a minimum.

However the policy only applies where the discretion of the licensing authority is engaged. That is, all applications which are unopposed must be granted as applied for. The only conditions that can be applied must relate to statements made in the application itself.

The Licensing Policy objectives and associated benefits have clear links with the Council's vision to improve the quality of life for everyone living and working in the Borough.

The four major themes that the Council have set out in the Tower Hamlets Partnership's Community Plan by means of which the vision is delivered are:

A Great Place to Live
A Prosperous Community
A Safe and Supportive Community
A Healthy Community

There's more detailed information about the four themes, and how they support One Tower Hamlets at:
www.towerhamlets.gov.uk/lgs/.../800022_community_plan.aspx

1 Introduction

1.1 Tower Hamlets Council is the Licensing Authority under the Licensing Act 2003 (the Act) and is responsible for granting licences in the Borough. This policy covers the following activities:

- Retail supply of alcohol
- Supply of alcohol to club members
- Provision of regulated entertainment
- Supply of hot food and / or drink between 23:00 and 05:00 hours

2 The Policy

2.1 The 2003 Act requires that the Council, after consultation, adopts and publishes a Licensing Policy. It is a requirement that this Policy is reviewed at least every three years. This has been done in the past and the original policy is due for its 2nd review. The Licensing Authority will generally apply the policy when making decisions on applications made under the Act. However each individual application must still be treated on its own merits and must be given proper consideration.

2.2 This 'Statement of Licensing Policy' has been prepared in accordance with the provisions of the Act and the draft Guidance issued under Section 182 of the Act.

3 Consultation

3.1 The Council recognises the important role of responsible authorities, the licensing trade, local residents and other stakeholders have to play in influencing this Policy. The Council will consider a wide range of views that are made in response to the consultation before finalising and publishing the policy in 2011.

3.2 The Council will ensure that its consultation is broadly based, available on the internet and the responsible authorities as well as wide range of community, public, welfare and religious organisations are consulted.

3.3 The Council will give due weight to the views of all the persons / bodies consulted before the Policy Statement is agreed and implemented by the Council.

3.4 The Licensing Authority undertakes to involve the Tower Hamlets Crime and Disorder Reduction Partnership (or equivalent organisation) in policy development and review.

3.5 All major reviews will be broadly based, as well as complying with statutory requirements.

4 Main Principles of the Licensing Policy

- 4.1 The Act requires that the Licensing Authority carries out its various licensing functions so as to promote the following four licensing objectives:-
- the prevention of crime and disorder
 - public safety
 - the prevention of public nuisance
 - the protection of children from harm
- 4.2 All of the Policy and its implementation must be consistent with those four objectives.
- 4.3 Nothing in the Licensing Policy will undermine the rights of any person to apply under the Act for a variety of permissions and have the application considered on its individual merits and / or override the right of any person to make representations on any application or seek a review of a licence or certificate where they are permitted to do so under the Act.
- 4.4 Licensing is about the control of licensed activities in licensed premises and the people in control of selling alcohol and or selling hot food and drinks past 23:00hrs and before 05:00 hrs. Conditions are likely to be attached to licences, certificates and permissions that will cover matters which are within the control of individual licensees.
- 4.5 In relation to all applications, however, if its discretion is engaged, the Licensing Authority will also consider the impact on the vicinity of the application.
- 4.6 The Licensing Authority is not, itself a "responsible authority" and cannot itself make any representations about an application.
- 4.7 If representations are made by a "responsible authority" or interested party a hearing would then be convened where the Licensing Authority would exercise its discretion.
- 4.8 Where no representations are made the application must be granted subject only to the mandatory conditions or conditions that are consistent with the applicant's operating schedule.
- 4.9 When considering these conditions, the Licensing Authority will primarily focus on the direct impact of the activities taking place at licensed premises on members of the public living, working or engaged in normal activity in the area concerned.

- 4.10 Licensing laws are not the primary method of controlling anti-social behaviour by individuals once they are beyond the direct control of the licensee of any premises concerned. However, they are a key aspect of such control and will always be part of an overall approach to the management of the evening and night time economy.
- 4.11 In this respect, the Licensing Authority recognises that, apart from the licensing function, (and issues around cumulative effect) there are a number of other mechanisms available for addressing issues of unruly behaviour that can occur away from licensed premises, including (the list is not exhaustive):_
- planning controls
 - ongoing measures to create a safe and clean environment in these areas in partnership with local businesses, transport operators and other Council Departments
 - designation of parts of the Borough as places where alcohol may not be consumed publicly
 - regularly liaison with Borough Police on law enforcement issues regarding disorder and anti-social behaviour, including the issue of fixed penalty notices, prosecution of those selling alcohol to people who are drunk, confiscation of alcohol from adults and children in designated areas and instantly closing down licensed premises or temporary events on the grounds of disorder, or likelihood of disorder or excessive noise from the premises
 - the power of the police, other responsible authority or a local resident or business to seek a review of the licence or certificate
- 4.12 The Licensing Authority recognises the positive benefits that the leisure industry brings to the Borough. This includes not just jobs and associated regeneration but also through music, dance and other entertainment that celebrates the rich mixture of cultural diversity and creativity that exists in the Borough.
- 4.13 The responsible authorities are given in **Appendix 1**.
- 4.14 The consultation with local residents about a premises or club which is applying for a licence is carried out by the business which is applying for the licence. Notification of applications under the Licensing Act 2003 is limited to an advertisement in a local paper and the display of a pale blue notice on the premises, both done by the applicant.

- 4.15 Following consultation the Licensing Authority has determined to itself contact all residents and businesses within 40 metres of the applicant's premises, where the application is for a new club or premises licence or its variation. The consultation will be strictly neutral, and will repeat the information required in the statutory notification.
- 4.16 For larger events and premises of a capacity of more than 1000 persons the Council will carry out a reasonable and relevant level of consultation with local residents and businesses. The scope of this consultation will be decided by the Licensing Service Manager.
- 4.17 The consultation period will not be extended; any failure by the licensing authority to carry out this consultation is not grounds for refusing or delaying any application.

5 Crime and Disorder

- 5.1 Licensed premises, especially those offering late night / early morning entertainment, alcohol and refreshment for large numbers of people, can be a source of crime and disorder problems.
- 5.2 When addressing crime and disorder the applicant should initially identify any particular issues (having regard to their particular type of premises and / or activities) which are likely to adversely affect the promotion of the crime and disorder objective. Such steps as are required to deal with these identified issues should be included within the applications operating schedule. Where a Crime Prevention Officer from the Metropolitan Police makes recommendations for premises that relate to the licensing objectives, the operating schedule should normally incorporate the suggestions.
- 5.3 Applicants are recommended to seek advice from Council Officers and the Police as well as taking into account, as appropriate, local planning and transport policies, with tourism, cultural and crime prevention strategies, when preparing their plans and Schedules.
- 5.4 In addition to the requirements for the Licensing Authority to promote the licensing objectives, it also has a duty under Section 17 of the Crime and Disorder Act 1998 to do all it reasonably can to prevent crime and disorder in the Borough.
- 5.5 The Licensing Authority, if its discretion is engaged, will consider attaching Conditions to licences and permissions to deter and prevent crime and disorder both inside and immediately outside the premises and these may include Conditions drawn from the Model Pool of Conditions relating to Crime and Disorder given in Section 182 of the Licensing Act 200. (See **Appendix 2.**)

- 5.6 **CCTV** - The Licensing Authority, if its discretion is engaged, will attach conditions to licences, as appropriate where the conditions reflect local crime prevention strategies, for example the provision of closed circuit television cameras.
- 5.7 **Touting** - The Council has had a significant number of complaints relating to premises which are substantially or mainly restaurants where "touting" is a problem. Touting is soliciting for custom. Consequently, in relation to such premises the Licensing Authority, where its discretion is engaged will insert a standard condition that prohibits "touting."
- 5.8 **Street Furniture** - This would include Advertising Boards, they are sometimes placed in such a way as to be a nuisance to the public on the highway, or they encourage the consumption of alcohol in areas that are not licensed. The Licensing Authority expects applicants to have ensured that they fully comply with the Councils rules relating to authorisation of obstructions on the highway and a licence permission to place advertising boards or street furniture on the highway should normally have been obtained from Tower Hamlets Markets Service before an application for a licence is made. Where proportionate and appropriate, and its discretion is engaged, the Licensing Authority will impose conditions in relation to street seats and tables or boards, including on private land.
- 5.9 **Fly Posting** - The Council has experienced significant problems with "fly posting" in relation to venues that offer entertainment. Fly posting is the unauthorised posting of posters / advertisements etc. Where it considers it appropriate and its discretion is engaged, the Licensing Authority will attach conditions relating to the control of fly posting to ensure that venues clearly prohibit all fly posting in their contract terms with others and they effectively enforce this control.
- 5.10 **Responsible Drinking** - The Licensing Authority expects alcohol to be promoted in a responsible way in the Borough. This should incorporate relevant industry standards, such as the Portman Group. Where appropriate and proportionate, if its discretion is engaged, the Licensing Authority will apply conditions to ensure responsible drinking. The Licensing Authority also recognises the positive contribution to best practice that "Pubwatch" and other similar schemes can make to achieving the licensing objectives and is committed to working with them Model Pool Conditions from the Licensing Act 2003, Section 182 Guidance are in Appendix 2.
- 5.11 The Licensing Authority expects to be given 28 days notice of temporary events, and for them to have been discussed with the Metropolitan Police before submission to the Council.

6 Cumulative Effect

- 6.1 The Licensing Authority will not take 'need' into account when considering an application (i.e. commercial demand), as this is not a licensing objective. However, it recognises that the cumulative impact of the number, type and density of licensed premises in a given area, may lead to serious problems of nuisance and disorder outside and some distance from the premises.
- 6.2 Representations may be received from a responsible authority / interested party that an area has become saturated with premises, which has made it a focal point for large groups of people to gather and circulate away from the licensed premises themselves, creating exceptional problems of disorder and nuisance over and above the impact from the individual premises.
- 6.3 In these circumstances, the Licensing Authority may consider that the imposition of conditions is unlikely to address these problems and may consider the adoption of a special policy of refusing new licences because the area is saturated with licensed premises and the granting of any more would undermine one of the licensing objectives.
- 6.4 The Licensing Authority will take the following steps when considering whether to adopt a special saturation policy:-
- identification of serious and chronic concern from a responsible authority or representatives of residents about nuisance and disorder
 - where it can be demonstrated that disorder and nuisance is arising as a result of customers from licensed premises, identifying the area from which problems are arising and the boundaries of that area
 - assessing the causes
 - adopting a policy about future licence applications from that area
- 6.5 The Licensing Authority will not adopt a "cumulative impact" policy in relation to a particular area without having consulted individuals and organisations listed in Section 5(3) of the Licensing Act (i.e. those who have to be consulted about this policy). It will also have ensured that there is consultation with local residents.
- 6.6 The Licensing Authority will consider representations based on the impact on the promotion of the licensing objectives in the Borough generally of the grant of the particular application in front of them.

- 6.7 However, the onus would be on the objectors to provide evidence to back up any assertion that the addition of the premises in question would produce the cumulative impact claimed, taking into account that the impact will be different for premises with different styles and characteristics.
- 6.8 The Licensing Authority will review any special saturation policies every three years to see whether they have had the effect intended, and whether they are still required.
- 6.9 The Licensing Authority will not use such policies solely:-
- as the grounds for removing a licence when representations are received about problems with existing licensed premises, or,
 - to refuse modifications to a licence, except where the modifications are directly relevant to the policy, for example where the application is for a significant increase in the capacity limits
 - to impose any form of quota
- 6.10 The Licensing Authority recognises that there is a wide diversity of premises requiring a licence and will have full regard to the differing impact these will have on the local community.
- 6.11 It therefore also recognises that, within this policy, it may be able to approve licences that are unlikely to add significantly to the saturation, and will consider the circumstances of each individual application.
- 6.12 However, if the Licensing Authority does adopt a special policy concerning cumulative impact for a particular area it creates a rebuttable presumption that new applications or variations will be refused provided there is a relevant objection. Applicants will need to specifically address this in their operating schedule.
- 6.13 It will not normally be the case that a "cumulative impact" policy can be adopted in relation to off-sales, although the Licensing Authority will consider such a policy in the light of relevant representations.

7 Public Safety

- 7.1 The 2003 Act covers a wide range of premises that require a licence, and so such premises present a mixture of risks to users and should be constructed or adapted and operated so as to acknowledge and safeguard occupants against these risks.

- 7.2 The Licensing Authority will expect Operating Schedules to satisfactorily address these issues and applicants are advised to seek advice from the Council's Environmental Health (Health & Safety) Officers and the London Fire and Emergency Planning Authority before preparing their plans and Schedules.
- 7.3 Where an applicant identifies an issue in regard to public safety (including fire safety) which is not covered by existing legislation, the applicant should identify in their operating schedule the steps that will be taken to ensure public safety. This needs to take into account any unique characteristics that arise in connection with the licensable activity, any requirements that are specific to the premises.
- 7.4 The Licensing Authority, where its discretion is engaged, will consider attaching Conditions to licences and permissions to promote safety, and these may include Conditions drawn from a Model Pool of Conditions as proportionate and appropriate are contained in Appendix 2.
- 7.5 The Licensing Authority will impose conditions that relate to its licensing objectives, and in a way that is proportionate to the individual circumstances of the premises seeking a licence.

8 Prevention of Nuisance

- 8.1 Licensed premises, especially those operating late at night and in the early hours of the morning, can cause a range of nuisances impacting on people living, working or sleeping in the vicinity of the premises.
- 8.2 The concerns mainly relate to noise nuisance both from the premises and customer egress, light pollution, noxious smells and disruption from parked vehicles and due regard will be taken of the impact these may have in considering a licence. The Licensing Authority will expect Operating Schedules to satisfactorily address these issues. Applicants are advised to seek advice from the Council's Environmental Health Officers before preparing their plans and Schedules.
- 8.3 The Licensing Authority, where its discretion is engaged, will consider, where appropriate, attaching conditions to licences and permissions to prevent the problems identified in 8.2, and these may include conditions drawn from the Model Pool of Conditions in Appendix 2.

9 Prevention of Harm to Children

- 9.1 The wide range of premises that require licensing means that children can be expected to visit many of these, often on their own, for food and/or entertainment.

- 9.2 The Act does not prohibit children from having access to any licensed premises; the Council recognises that limitations may have to be considered where it appears necessary to protect children from harm.
- 9.3 Applicants are recommended to consult with the Area Child Protection Committee or such other body, as the Licensing Authority considers appropriate.
- 9.4 The Licensing Authority will judge the merits of each separate application before deciding whether to impose conditions limiting the access of children to individual premises. The following are examples of premises that will raise concern:-
- Where there have been convictions for serving alcohol to minors or with a reputation for underage drinking
 - With a known association with drug taking or dealing
 - Where there is a strong element of gambling on the premises
 - Where entertainment of an adult or sexual nature is provided
 - Where irresponsible drinking is encouraged or permitted.
- 9.5 Where its discretion is engaged, the Licensing Authority will consider any of the following options when dealing with a licence application where limiting the access of children is considered necessary to prevent harm to children:
- Limitations on the hours when children may be present
 - Limitations on ages below 18
 - Limitations or exclusion when certain activities are taking place
 - Requirements for an accompanying adult
 - Full exclusion of people under 18 from the premises when any licensable activities are taking place
- 9.6 No conditions will be imposed requiring that children must be admitted to any premises and, where no limitation is imposed, this will be left to the discretion of the individual licensee.
- 9.7 The Act details a number of offences designed to protect children in licensed premises and the Licensing Authority will work closely with the police to ensure the appropriate enforcement of the law, especially relating to the sale and supply of alcohol to children.

- 9.8 All licence holders will be expected to comply the Portman Group Code of Practice, and in particular the Retailer Alert Bulletin.
- 9.9 The Licensing Authority expects all licensed suppliers of alcohol to have robust measures, effectively managed and monitored, in place to ensure that minors are fully protected from harm.

10 Access to Cinemas

- 10.1 Films cover a vast range of subjects, some of which deal with adult themes and / or contain, for example, scenes of horror or violence that may be considered unsuitable for children within certain age groups.
- 10.2 In order to prevent children from seeing such films, the Licensing Authority will impose conditions requiring licensees to restrict children from viewing age restricted films classified according to the recommendations of the BBFC, or the Council itself. The Licensing Authority will not consider reclassifying any films already classified by the BBFC. The Council will charge for classifying films, on a full cost recovery basis.
- 10.3 The Licensing Authority will classify films itself where it is satisfied that no BBFC classification exists. It will inform relevant licensee and require such classifications to be clearly contained in any advertising or informative material relating to such films.

11 Children and Public Entertainment

- 11.1 Many children go to see and / or take part in an entertainment arranged substantially for them. Consequently additional arrangements are required to safeguard them at such times.
- 11.2 Where 11.1 applies, and its discretion is engaged, the Licensing Authority will require the following arrangements in order to control their access and egress and to assure their safety:-
- An adult member of staff to be stationed in the vicinity of each of the exits from any level, subject to there being a minimum of one member of staff per 50 children or part thereof
 - No child unless accompanied by an adult to be permitted in the front row of any balcony
 - No standing to be permitted in any part of the auditorium during the Performance

- 11.3 Where children are taking part in any regulated entertainment, and its discretion is engaged, the Licensing Authority will require the operating schedule to clearly state the steps taken to assure their safety.
- 11.4 Where its authority is engaged, the Licensing Authority will consider attaching conditions to licences and permissions to prevent harm to children, and these may include conditions drawn from the Model Pool of Conditions in Appendix 2.

12 Licensing Hours

- 12.1 This Part of the Statement details the Licensing Authority's approach to licensing hours. It states the reasons for the policy and identifies the issues the Licensing Authority will take into account when considering applications during the framework hours. It only has any application when the discretion of the local authority is engaged.
- 12.2 The policy set out in this Part applies to applications for:-
- a new premises licence;
 - a new club premises certificate;
 - variation of a converted premises licence;
 - variation of an existing premises licence;
 - variation of a converted club registration certificate; and
 - variation of an existing club premises certificate where relevant representations are made.
- 12.3 The policies set out in this Part may, depending on the circumstances of the application, apply to applications for a provisional statement.
- 12.4 Any condition setting out the hours of premises refers to the hours during which alcohol may be sold or supplied or (as appropriate) the hours during which other licensable activities may take place pursuant to the premises licence or club premises certificate. In attaching conditions on hours the Licensing Authority will generally require that customers should not be allowed to remain on the premises later than half an hour after the cessation of licensable activities.
- 12.5 Tower Hamlets has a number of licensed venues that already have extended licensing hours. It also borders other London councils that have high concentrations of licensed premises including premises with extended licensing hours.
The Licensing Authority considers that the possibility of disturbance to residents late at night and in the early hours of the morning, and the effect that any such disturbance may have, is a proper matter for it to consider when addressing the hours during which licensable activities may be undertaken.

12.6 The Licensing Authority is concerned to ensure that extended licensing hours do not result in alcohol-related antisocial behaviour persisting into the night and early hours of the morning. For these reasons, applications to carry on licensable activities at any time outside the framework hours will be considered on their own merits with particular regard to the matters set out in the Policy section below.

12.7 The Licensing Authority has had regard to the Guidance to the Act when determining this policy. The end times set out in the policy are not (and should not be regarded as) the 'usual' or 'normal' terminal hour for licensable activities in the Borough. Instead, the 'framework hours' serve to identify cases where the Licensing Authority will pay particular regard to the likely effect on the local neighbourhood of carrying out the proposed licensable activities during the hours applied for. Applications for hours up to the end of the Framework Hours will not automatically be granted. This policy will be applied only where relevant representations are made. Each case will be considered on its merits.

12.8 The framework hours (i.e. when premises are open) are:-

Sunday - 06 00 hrs to 22 30 hrs
Monday to Thursday - 06 00 hrs to 23 30 hrs
Friday and Saturday - 06 00hrs and midnight

Applications in respect of premises licences and club premises certificates to authorise licensable activities outside the framework hours, and in respect of which relevant representations are made, will be decided on their own merits and with particular regard to the following.

- a) The location of the premises and the general character of the area in which the premises are situated. (i.e. does the area include residential or business premises likely to be adversely affected).
- b) The proposed hours during which licensable activities will be take place and the proposed hours during which customers will be permitted to remain on the premises.
- c) The adequacy of the applicant's proposals to address the issues of the prevention of crime and disorder **and** the prevention of public nuisance.
- d) Where the premises have been previously licensed, the past operation of the premises.
- e) Whether customers have access to public transport when arriving at or leaving the premises at night time and in the early hours of the morning.
- f) The proximity of the premises to other licensed premises in the vicinity and the hours of those other premises.

- 12.9 Applicants who apply for authorisation to carry on licensable activities, throughout the entirety of the hours outside the framework hours, when they do not intend to operate at these times run a risk that Responsible Authorities and interested parties may be more inclined, than they might otherwise be, to make relevant representations about the application.

Although this policy applies to all licensable activities, the Licensing Authority will have regard to the proposed use of the premises when considering applications to carry on licensable activities outside the framework hours. Subject to any relevant representations that may be made to the contrary in individual cases, premises where the following licensable activities are authorised are not considered to make a significant contribution to the problems of late-night antisocial behaviour, and as such these premises will generally have greater freedom to operate outside the framework hours. These premises are:-

- Theatres.
- Cinemas.
- Premises with a club premises certificate.

- 12.10 In addition and in relation to all applications, whatever the hours applied for where its discretion is engaged, the Licensing Authority will generally deal with the issue of licensing hours having due regard to the individual merits of each application. However, consideration will be given to imposing stricter conditions in respect of noise control where premises are situated close to local residents.
- 12.11 Where a negative impact is likely on local residents or businesses it is expected that the applicants' operating schedule will describe how this impact will be minimised.

13 Shops, Stores and Supermarkets

- 13.1 The Licensing Authority will generally licence shops, stores and supermarkets to sell alcohol for consumption off the premises at any times they are open for shopping.
- 13.2 However, it may consider there are very good reasons for restricting those hours, for example, where police representations are made in respect of particular premises known by them to be the focus of disorder and disturbance.

14 Integrating Strategies and Avoiding Duplication

14.1 The Council's licensing function relates, in broad terms to a number of other matters in particular;

- Local crime prevention
- Planning
- Transport
- Tourism
- Cultural strategies
- The night time economy

14.2 The Licensing Authority will set up multi-disciplinary working groups to ensure proper integration of local crime prevention, planning, transport, tourism, cultural and night time economy strategies.

14.3 The Licensing Authority will arrange for protocols with the Borough Police to enable them to report to the Committee responsible for transport matters on the need for the swift and safe dispersal of people from relevant venues in the Borough.

14.4 Arrangements will be made for the Licensing Committees to receive reports on the following matters to ensure these are reflected in their decisions:

- The needs of the local tourist economy and cultural strategy for the Borough, and
- The employment situation in the Borough and the need for investment and employment where appropriate
- The night time economy, its economic contribution to the Borough and the Council's strategy for its development and management. As the Council develops its policy towards the night time economy, through Community Plans or Town Centre Plans and Core Strategies, otherwise the Licensing Policy will be reviewed as necessary.

14.5 Planning, Building Control and Licensing regimes are properly separated by the Licensing Authority, who wishes to avoid duplication and inefficiency. Applications for premises licences for permanent commercial premises should normally be from businesses with planning consent for the property concerned. However, applications for licences may be made before any relevant planning permission has been sought or granted by the planning authority.

- 14.6 The planning and licensing regimes involve consideration of different (albeit related) matters. For instance, licensing considers public nuisance whereas planning considers amenity. As such licensing applications should not be a re-run of the planning application and should not cut across decisions taken by the local authority planning committee or following appeals against decisions taken by that committee. Licensing Committees are not bound by decisions made by a planning committee, and vice versa.
- 14.7 The granting by the Licensing Committee of any variation of a licence which involves a material alteration to a building would not relieve the applicant of the need to apply for planning permission or building control where appropriate.
- 14.8 There are also circumstances when as a condition of planning permission; a terminal hour has been set for the use of premises for commercial purposes. Where these hours are different to the licensing hours, the applicant must observe the earlier closing time. Premises operating in breach of their planning permission would be liable to prosecution under planning law.
- 14.9 Applicants for new premise or club licences or variations of them are advised to consult the London Borough of Tower Hamlets' Planning Authority about any planning restrictions which may apply to their premises. The Planning website is <http://www.towerhamlets.gov.uk/data/planning/index.cfm>.

15 Striptease

(This section will be deleted on the adoption and implementation of the provisions of the Policing and Crime Act 2009 relating to Sex Encounter Establishments)

- 15.1 The Licensing Authority will only seek to attach conditions that are reasonable, proportionate and necessary for the promotion of the licensing objectives.
- 15.2 The Licensing Authority confirms that, if its discretion is engaged and where appropriate and necessary for the promotion of the licensing objectives it will use the Government's suggested model pool of conditions that are attached as an Appendix 2 to the Licensing Authority.
- 15.3 In addition standard conditions required by the Licensing Act 2003, its regulations or guidance will be attached as relevant.

- 15.4 The licensing authority when its discretion is engaged will always consider all applications on their individual merits, however all applications involving adult entertainment of nudity or semi-nudity are unlikely to be successful where the premises is in the vicinity of:
- residential accommodation;
 - schools;
 - places of worship;
 - other premises where entertainment of a similar nature takes place;
 - community centres; and
 - youth clubs.
- 15.4 Only nudity or semi-nudity which is predominantly the performance of dance to music is permitted by this policy. Sex Encounter establishments are controlled by the Local Government (Miscellaneous Provisions) Act 1982 as amended by Part 111 of the Greater London Council (General Powers) Act 1986, and the London Borough of Tower Hamlets has set a limit of zero on such establishments. The licensing authority will appropriately monitor the premises it has licensed to ensure that all performances involving nudity or semi-nudity are dance to music or a like entertainment, and take appropriate enforcement action if they are not.
- 15.5 Where its discretion is engaged the licensing authority will make enquiries to ensure that the proposed application is indeed for music and dance and not an activity which is caught by the Sex Encounter establishment legislation.
- 15.6 All applications for adult entertainment involving nudity or semi-nudity will be scrutinised to ensure they meet the licensing objectives.
- 15.7 All applications that do not specifically request nudity or semi-nudity will have a condition imposed which forbids it. This will be the case for both opposed and unopposed applications.
- 15.8 Where applications involving nudity or semi-nudity are made and its discretion is engaged the Licensing Authority will expect Operating Schedules to address the following matters and to include such conditions as are necessary to promote the licensing objectives:
- a. A code of conduct for dancers and appropriate disciplinary procedures, developed in consultation with the police and the council.
 - b. Rules of conduct for customers, developed in consultation with the police and the council.
 - c. Procedures to ensure that all staff employed in the premises have pre-employment checks including suitable proof of identity, age and (where required) permission to work.

- d. The exclusion of persons under 18 from the premises when such activities are taking place.
 - e. That publicity and advertising does not cause offence to members of the local community
- 15.9 The Policing and Crime Act came into effect on 6 April 2010. One of the effects of that Act is to enable local authorities to adopt powers in that act, including sex entertainment venues (SEVs). This Borough will adopt the powers that will provide a Sex Encounter Establishment Policy with the intention of banning all lap dancing premises within the Borough.
- 15.10 The consultation regarding the Sex Establishment Policy will run simultaneously to the Licensing Policy and cause this Licensing Policy to be reviewed again within the next 12 months is adopted.
- 15.11 If the Sex Establishment is adopted, the changes to the Licensing Policy will be with regards to Section 15, 'Striptease'.

16 Enforcement

- 16.1 Once licensed, it is essential premises are maintained and operated so as to ensure the continued promotion of the licensing objectives and compliance with the specific requirements of the Act and the Licensing Authority will make arrangements to monitor premises and take appropriate enforcement action to ensure this.
- 16.2 The Licensing Authority will work closely with Borough Police to establish protocols to ensure an efficient deployment of Police and Council Officers engaged in enforcing licensing law and inspecting licensed premises, in order to ensure that resources are targeted at problem and high risk premises.
- 16.3 The Licensing Authority considers the protection of minors to be a particular priority for enforcement and will, in partnership with other agencies, especially the Police, seek to use the criminal sanctions of the Licensing Act to their fullest extent to achieve such protection.

17 Live Music, Dancing and Theatre

- 17.1 In its role of implementing local authority cultural strategies, the Licensing Authority recognises the desirability of encouraging and promoting live music, dance, theatre and festivals for the wider cultural benefit of the community, particularly for children. This broad strategy includes all forms of licensable live entertainment. The Licensing Authority recognises that a rich cultural provision

has a positive role in community cohesion.

- 17.2 When considering applications for such events and the imposition of conditions on licences or certificates, the Licensing Authority will carefully balance these cultural needs with the necessity of promoting the licensing objectives.
- 17.3 Consideration will be given to the particular characteristics of any event, including the type, scale and duration of the proposed entertainment, especially where limited disturbance only may be caused. The Licensing Authority will regulate live performances on a risk assessed basis and we will be mindful of the licensing objectives and the need to ensure we are not committing disproportionate costs to regulation.
- 17.4 The Licensing Authority will request and receive a report from Cultural Services, which examines the issue of licensing in relation to the use of its open spaces and how this promotes local festivals and cultural diversity.
- 17.5 That at the time of the review of this policy the Licensing Authority will seek the views of Cultural Services on, amongst other matters, whether the new licensing regime is having an adverse impact on live music or other licensable live entertainment.

18. Risk Assessments

- 18.1 When the Licensing Authority's discretion is engaged it expects applicants to have regard to the advice of the Metropolitan Police in relation to the licensing objective of the prevention of crime and disorder. Therefore it recommends for significant events (please see note below for definition), a comprehensive risk assessment is undertaken by premises licence holders to ensure that crime and disorder and public safety matters are identified and addressed. Accordingly, for premises that wish to stage promotions, or events (as defined below) the Licensing Authority recommends that applicants carry out the Risk Assessment and debrief processes and when relevant include in their Operating Schedule.
- 18.2 The Licensing Authority further recommends the Metropolitan Police Promotion/Event Risk Assessment Form 696 and the After Promotion/Event Debrief Risk Assessment Form 696A as useful and effective tools for this purpose. Where the Risk Assessment forms are used to assess the likely risks from any promotion or event, the Licensing Authority anticipates that these will be completed in consultation with the Metropolitan Police. Risk assessments should be submitted to the Metropolitan Police and the Licensing Authority within 14 days of any proposed event and debrief forms submitted within 14 days of the conclusion.
- 18.3 Forms 696 and 696A are available on the Metropolitan Police web completion and transmission of the forms is undertaken by licensees. E-mail site at (please

insert hyperlink). It is recommended that electronic addresses for submission are ClubsFocusDesk-CO14@met.police.uk and the local authority and police licensing section, which are contained in the link of responsible authorities.

- 18.4 **Promotion or Event** - The majority of venues have regular repeat artistes and DJs. Only one risk assessment and subsequent debrief is required for an artiste at the venue concerned. Where venues have promotions with different artistes or DJs on each occasion, it is anticipated that the risk assessment forms will be completed for each of these occasions.
- 18.5 The Premises Licence Conditions proposed by can be recommended as part of a pool of standard conditions. They will not be imposed on any licence as a condition, unless as suggested in the policy statement, applicants address risk assessment in their operating schedules, or one of the statutory authorities submits relevant representations for any application received. If conditions are to be applied, they will have to be relevant and proportionate to the matters raised in representations by the Responsible Authorities.
- 18.6 The recommended risk assessment conditions are:
Prevention of Crime and Disorder - The licensee shall undertake a risk assessment of any significant promotion or event (as defined below) using the MPS Promotion/Event Risk Assessment (Form 696) or an equivalent and provide a copy* to the Metropolitan Police Service and the licensing authority not less than **14 days** before the event is due to take place.
- 18.7 Where an 'event' has taken place, the licensee shall complete an MPS after Promotion/Event Debrief Risk Assessment (Form 696A) and submit this* to the Metropolitan Police and the Licensing Authority, within 14 days of the conclusion of the event.
*submission of electronic documents by e-mail is preferred.
- 18.8 **Definition of a 'Significant Event'**
This definition relates to events that require a Promotion/Event Risk Assessment Form 696.
- 18.9 A significant event will be deemed to be: any occasion in a premises licensed under the provisions of the Licensing Act 2003, where there will be a live performer(s) – meaning musicians, DJs, MCs or other artiste; that is promoted in some form by either the venue or an outside promoter; where entry is either free, by invitation, pay on the door or by ticket.
- 18.10 Licensees are advised to consult the local Metropolitan Police Licensing Unit to clarify whether their proposed event is significant.

19. Temporary Event Notices Process

- 19.1 The Licensing Act 2003 allows small scale events (for less than 500 people at a time and lasting for no longer than 96 hours) which include any licensable activities to be held without the need for a premises licence. However advance notice must be given to the Licensing Authority and the Metropolitan Police of at least ten full working days.
- 19.2 Under the Licensing Act 2003, the number of temporary events notices that a personal licence holder can give is limited to 50 a year. People who are not personal licence holders can only give notice of 5 events in any one year. The number of times a premise can be used in one year is limited to 12. In any other circumstances, full premises licence or club premises certificate would be required for the period of the event involved.
- 19.3 The Licensing authority, with other partners will assist organisers to plan their events safely, check that the limitations set down in the Act are being observed and that there are no limitations or restrictions under other legislation.
- 19.4 The Police must also be notified of an application. This allows the Police to intervene if necessary in order to prevent crime and disorder.
- 19.5 Organisers of outdoor events are strongly advised to contact the Council's Arts and Leisure section, Environmental Health and Health and Safety as well as the emergency services for advice.

20. Review Process

20.1 Working in partnership

The promotion of the licensing objectives and achieving common aims relies on a partnership between licence holders, authorised persons, interested parties, the Police, Fire Authority and the Licensing Authority. The licensing authority will try to give licence holders early warning of any concerns about problems identified at any licensed premises and identify the need for improvement

20.2 Purpose of reviews:

The review process is integral to the operation of the Licensing Act 2003. The Government's intention is a light touch regulatory regime with regard to the granting of new licences and variations. Only when there have been representations will the Licensing Authority have the discretion not to grant licences. If problems arise in connection with a premises licence, it is for the Responsible Authorities and the interested parties to apply for a review of the licence. Without such representations, the Licensing Authority cannot review a licence.

20.3 **Proceedings**

Under the Licensing Act 2003 for reviewing a premises licence are provided as protection for the community, where problems associated with crime and disorder, public safety, public nuisance or the protection of children from harm are occurring.

20.4 **Initiating Reviews**

At any stage, following the grant of a premises licence, any of the Responsible Authorities or any interested party, such as a resident living in the vicinity of the premises and Councillors, may ask the Licensing Authority to review the licence because of a matter arising at the premises in connection with any of the four licensing objectives.

20.5 The Police and Environmental Health Officers have various additional powers of closure. The Licensing Authority cannot initiate its own reviews of premises licences, however, officers of the London Borough of Tower Hamlets who are specified as Responsible Authorities under the Act may request reviews

20.6 In every review case an evidential basis for the allegations made will need to be submitted to the Licensing Authority. When a request for a review is initiated from an interested party, the Licensing Authority is required to first consider whether the representation made is irrelevant to the licensing objectives, or is vexatious or frivolous.

20.7 Where the Licensing Authority receives a request for a review in accordance with the closure procedures contained in legislation it will arrange a hearing in accordance with the regulations set out by the Government.

20.8 Powers following determination of review - The Licensing Authority in determining a review may exercise the range of powers given to them to promote the licensing objectives. The Licensing Authority must take the following steps if it considers it necessary to promote the licensing objectives:

- a. Modifying the conditions of the premises licence (which includes the addition of a condition or any alteration or omission of an existing condition temporarily or permanently);
- b. Excluding a licensable activity from the scope of the licence;
- c. Removing the designated supervisor;
- d. Suspending the licence for a period not exceeding three months;
- e. Revoking the licence.

Steps that can be taken by the Council include:

- a. Taking no action;
- b. Issuing an informal warning;
- c. Recommending improvements within a particular time;
- d. Monitoring by regular inspection and invite to seek a further review if problems persist.

20.9 Where reviews arise and the Licensing Authority determines that the crime prevention objective is being undermined through the premises being used to further crimes, the revocation of the licence will be seriously considered. However, revocation also remains an option if other licensing objectives are being undermined.

21 Responsibility of Licence Holders and Designated Premises Supervisors

21.1 When licence holders or designated premises supervisors move, leave a premise or dispose of their premises they remain responsible in law until they have informed the licensing authority and arranged a transfer, which may involve notification to the Police as well. Any licensees or designated premises supervisors who are not sure what to do should contact the licensing authority.

22 “No Traveller” and similar signs

22.1 When its discretion is engaged and a relevant representation is made relating to the exclusion or discouragement of any minority adult group the Licensing Authority will add a condition which forbids such as practice.

22.2 The Licensing Authority is especially concerned that such practices adversely affect social cohesion and are likely to hinder the promotion of the licensing objective relating to law and order.

23 Promotion of Racial Equality

23.1 Legislation requires the local authority to have due regard to the elimination of unlawful discrimination and to promote equality of opportunity and good relations between persons of different racial groups. The Licensing Authority expects all licence applications to be consistent with this duty.

23.2 The Council as an organisation has a race equality scheme and monitoring licensing forms a part of that overall scheme.

24 Duplication

24.1 As far as possible the Licensing Authority will seek to avoid duplication with other regulatory regimes. The Licensing Authority will however impose tailored conditions where it judges it necessary to meet the licensing objectives.

25 Administration, Exercise and Delegation of Functions

25.1 The Licensing Authority will be involved in a wide range of licensing decisions and functions and has established a Licensing Committee to administer them.

25.2 Appreciating the need to provide a speedy, efficient and cost-effective service to all parties involved in the licensing process, the Committee has delegated certain decisions and functions and has established a number of Sub-Committees to deal with them.

25.3 The Table on the following page sets out the agreed delegation of decisions and functions to Licensing Committee / Sub-Committees and Officers

Matter to be dealt with	Full Committee	Sub Committee	Officers
Application for personal licence		Police objection including unspent convictions	If no objection made
Application for premises licence/club premises certificate		If a relevant representation made	If no relevant representations are made
Application for provisional statement		If a relevant representation made	If no relevant representations are made
Application to vary premises licence/club premises certificate		If a relevant representation made	If no relevant representations are made
Application to vary designated premises supervisor		If police objection	All other cases
Request to be removed as designated premises supervisor			All cases
Application for transfer of premises licence		If police objection	All other cases
Application for interim		If police objection	All other cases

authorities			
Application to review premises licence / club premises certificate		All cases	
Decision on whether a complaint is irrelevant, frivolous, vexatious etc;			All cases
Decision to object when local authority is consultee and not the relevant authority considering the application		All cases	
Determination of a police objection to a temporary event notice		All cases	
Decision on whether a minor variation application is valid, the need to go out to consultation and determination.			All cases

- 25.4 Further, with many of the decisions and functions being purely administrative in nature, the grant of non-contentious applications, including for example, those licences and certificates where no representations have been made, has been delegated to Council Officers. All such matters dealt with by Officers will be reported for information and comment only to the next Committee meeting. These decisions cannot be reversed.
- 25.5 This form of delegations is without prejudice to Officers referring an application to a Sub-Committee, or a Sub-Committee to Full Committee, if considered appropriate in the circumstances of any particular case.
- 25.6 The officers to exercise the discretion are officers who are responsible for the Licensing function, who are given the appropriate delegated authority.

Appendix 1:

List of Responsible Authorities

There are a number of “Responsible Authorities”. These have been designated by the Government. Any variation application should be discussed with the relevant authorities first. All new and variation applications have to be sent to the responsible authority. If you are not sure you will need to check which organisation is responsible for health and safety before you send off your forms.

- (a) **The Chief Officer of Police** for any Police area in which the premises are situated

Metropolitan Police Service

Tower Hamlets Division
Licensing Office
Bethnal Green Police Station
12 Victoria Park Square
London E2 9NZ

Tel: 020 8217 4118

- (b) **The Fire Authority** for any in which the premises are situated –

Fire Safety Regulation

NE 2 Area
London Fire Brigade
169 Union Street
London
SE1 0LL

Tel: 020 8555 1200

- (c) The enforcing Authority within the meaning given by Section 18 of the Health and Safety at work etc. Act 1974 and the local Weights and Measures Authority (within the meaning for section 69 of the Weights and Measures Act 1985) for any area in which the premises are situated –

i.) **Health and Safety**

London Borough of Tower Hamlets
Environment Commercial and Trading Standards
Mulberry Place (AH)
PO Box 55739
5 Clove Crescent
London E14 1BY

Tel: 020 7364 5008

OR

ii.) Health and Safety Executive
Field Operations Division
4th Floor, North Wing,
Rose Court, 2 Southwark Bridge
London SE1 9HS

Tel: 020 7556 2100

OR

iii.) Maritime Coastguard Agency
Marine Office
Central Court
1B Knoll Rise
Orpington, Kent
BR6 0JA

Tel: 0168 9890400

AND

iv.) Local Weights and Measures Authority
Trading Standards
Administration Section
Mulberry Place (AH)
PO Box 55739
5 Clove Crescent
London E14 1BY

Tel: 020 7364 5008

***Each licensee should know which Authority is responsible for their Health and Safety – a copy of the application should be sent to the relevant Authority.**

(d) The local **Planning Authority** within the meaning given by the Town and Country Planning Act 1990 (c.8) for any area in which the premises are situated –

Directorate of Development and Renewal
Development Control
Mulberry Place (AH)
P.O. Box 55739
5 Clove Crescent
London E14 1BY

Tel: 020 7364 5009

- (e) The local Authority by which statutory functions are exercisable in any area in which the premises are situated in relation to minimising or preventing the risk of **Pollution** of the environment or of harm to human health –

London Borough of Tower Hamlets

Environmental Protection

Administration Section

Mulberry Place (AH)

PO Box 55739

5 Clove Crescent

London E14 1BY

Tel: 020 7364 5007

- (f) A body which:
- i.) Represents those who, in relation to any such area, are responsible for, or interested in, matters relating to the **protection of children** from harm; and
 - ii.) Is recognised by the Licensing Authority for that area for the purposes of this section as being competent to advise it on such matters

Jane Cooke, Group Manager, **Child Protection**

CPRS Unit

2nd Floor

Mulberry Place

5 Clove Crescent

London

E14 2BG

Tel: 020 7364 3496

This list can also be found at:

www.towerhamlets.gov.uk/data/business/data/regulations/data/licensing-act-2003

Appendix 2

Mandatory Conditions

The Policing and Crime Act 2009 allowed the Government to impose mandatory conditions with regard to the responsible retailing of alcohol. These conditions must be intended to support and actively promote the licensing objectives. The aim of the mandatory conditions is to ensure that those businesses, both small and large, who are selling alcohol irresponsibly, act more responsibly to help tackle alcohol-related crime and disorder.

The mandatory licensing conditions apply to all alcohol retailers. They refer to irresponsible drink promotions, banning the dispensing of alcohol directly into the mouth, provision of free tap water for customers, ensuring that an age verification policy is in place, and ensuring that smaller measures are made available to customers.

From 6th April 2010

(1) The responsible person shall take all reasonable steps to ensure that staff on relevant premises do not carry out, arrange or participate in any irresponsible promotions in relation to the premises.

(2) In this paragraph, an irresponsible promotion means any one or more of the following activities, or substantially similar activities, carried on for the purpose of encouraging the sale or supply of alcohol for consumption on the premises in a manner which carries a significant risk of leading or contributing to crime and disorder, prejudice to public safety, public nuisance, or harm to children—

(a) games or other activities which require or encourage, or are designed to require or encourage, individuals to—

(i) drink a quantity of alcohol within a time limit (other than to drink alcohol sold or supplied on the premises before the cessation of the period in which the responsible person is authorised to sell or supply alcohol), or

(ii) drink as much alcohol as possible (whether within a time limit or otherwise);

(b) provision of unlimited or unspecified quantities of alcohol free or for a fixed or discounted fee to the public or to a group defined by a particular characteristic (other than any promotion or discount available to an individual in respect of alcohol for consumption at a table meal, as defined in section 159 of the Act);

(c) provision of free or discounted alcohol or any other thing as a prize to encourage or reward the purchase and consumption of alcohol over a period of 24 hours or less;

(d) provision of free or discounted alcohol in relation to the viewing on the premises of a

sporting event, where that provision is dependent on—
(i) the outcome of a race, competition or other event or process, or
(ii) the likelihood of anything occurring or not occurring;

(e) selling or supplying alcohol in association with promotional posters or flyers on, or in the vicinity of, the premises which can reasonably be considered to condone, encourage or glamorise anti-social behaviour or to refer to the effects of drunkenness in any favourable manner.

2. The responsible person shall ensure that no alcohol is dispensed directly by one person into the mouth of another (other than where that other person is unable to drink without assistance by reason of a disability).

3. The responsible person shall ensure that free tap water is provided on request to customers where it is reasonably available.

In addition From 10th October 2010:

4.(1) The premises licence holder or club premises certificate holder shall ensure that an age verification policy applies to the premises in relation to the sale or supply of alcohol.

(2) The policy must require individuals who appear to the responsible person to be under 18 years of age (or such older age as may be specified in the policy) to produce on request, before being served alcohol, identification bearing their photograph, date of birth and a holographic mark.

5. The responsible person shall ensure that—

(a) where any of the following alcoholic drinks is sold or supplied for consumption on the premises (other than alcoholic drinks sold or supplied having been made up in advance ready for sale or supply in a securely closed container) it is available to customers in the following measures—

(i) beer or cider: ½ pint;

(ii) gin, rum, vodka or whisky: 25 ml or 35 ml; and

(iii) still wine in a glass: 125 ml; and

(b) customers are made aware of the availability of these measures.

Appendix 3:

List of Government Pool Conditions from the S.186 Guidance of the Licensing Act 2003

Conditions relating to the prevention of crime and Disorder

It should be noted in particular that it is unlawful under the 2003 Act to:-

- knowingly to sell or supply or attempt to sell or supply alcohol to a person who is drunk
- knowingly to allow disorderly conduct on licensed premises
- for the holder of a premises licence or a designated premises supervisor knowingly to keep or to allow to be kept on licensed premises any goods that have been imported without payment of duty or which have otherwise been unlawfully imported.
- to allow the presence of children under 16 who are not accompanied by an adult between midnight and 5am at any premises licensed for the sale of alcohol for consumption on the premises, and at any time in premises used exclusively or primarily for the sale and consumption of alcohol.

Conditions enforcing these arrangements are therefore unnecessary.

General

When applicants for premises licences or club premises certificates are preparing their operating schedules or club operating schedules, when responsible authorities are considering such applications and when licensing authorities are considering applications following the receipt of any relevant representations from a responsible authority or interested party, the following options should be considered as measures which, if necessary, would promote the prevention of crime and disorder.

Whether or not any risk assessment shows these options to be necessary in the individual circumstances of any premises will depend on a range of factors including the nature and style of the venue, the activities being conducted there, the location of the premises and the anticipated clientele of the business involved. It should also be borne in mind that club premises operate under codes of discipline to ensure the good order and behaviour of members.

Necessary conditions for the licence or certificate will also depend on local knowledge of the premises.

Under no circumstances should the following measures be regarded as standard

conditions to be automatically imposed in all cases. They are designed to provide a range of possible conditions drawn from experience relating to differing situations and to offer guidance.

Any individual preparing an operating schedule is at liberty to volunteer any measure, such as those described below, as a step he or she intends to take to promote the licensing objectives. When incorporated into the licence or certificate as a condition, they become enforceable under the law and a breach of such a condition could give rise to prosecution.

Text/Radio pagers

Text and radio pagers connecting premises licence holders, designated premises supervisors, managers of premises and clubs to the local police can provide for rapid response by the police to situations of disorder which may be endangering the customers and staff on the premises.

Such pagers provide two-way communication, both enabling licence holders, managers, designated premises supervisors and clubs to report incidents to the police, and enabling the police to warn those operating a large number of other premises of potential trouble-makers or individuals suspected of criminal behaviour who are about in a particular area. Pager systems can also be used by licence holders, door supervisors, managers, designated premises supervisors and clubs to warn each other of the presence in an area of such people.

The Secretary of State recommends that text or radio pagers should be considered appropriate necessary conditions for public houses, bars and nightclubs operating in city and town centre leisure areas with a high density of licensed premises. Following individual consideration of the particular circumstances of the venue, such conditions may also be appropriate and necessary in other areas for the prevention of crime and disorder.

It is recommended that a condition requiring the text/radio pager links to the police should include the following elements:

- a) A requirement that the text/pager equipment is kept in working order at all times;
- b) A requirement that the pager link be activated, made available to and monitored by the designated premises supervisor or a responsible member of staff at all times that the premises are open to the public;
- c) A requirement that any police instructions/directions are complied with whenever given; and a requirement that all instances of crime or disorder are reported via the text/radio pager link by the designated premises supervisor or a responsible member of staff to an agreed police contact point.

Door supervisors

Conditions relating to the provision of door supervisors and security teams may be valuable in:

- a) preventing the admission and ensuring the departure from the premises of the drunk and disorderly, without causing further disorder;
- b) keeping out excluded individuals (subject to court bans or imposed by the licence holder);
- c) searching and excluding those suspected of carrying illegal drugs, or carrying offensive weapons; and
- d) maintaining orderly queuing outside of venues prone to such queuing.

Where door supervisors conducting security activities are to be a condition of a licence, which means that they would have to be registered with the Security Industry Authority, conditions may also need to deal with the number of such supervisors, the displaying of name badges, the carrying of proof of registration, where and at what times they should be stationed on the premises, and whether at least one female supervisor should be available (for example, if female customers are to be the subject of body searches). Door supervisors also have a role to play in ensuring public safety (see Appendix E).

Bottle bans

Glass bottles may be used as weapons inflicting more serious harm during incidents of disorder. A condition can prevent sales of drinks in glass bottles for consumption on the premises.

It is recommended that a condition requiring that no sales of beverages in glass bottles for consumption on the premises should be expressed in clear terms and include the following elements:

- A. given to customers on the premises whether at the bar or by staff service away from the bar;
- B. no customers carrying open or sealed bottles shall be admitted to the premises at any time that the premises are open to the public (note: this needs to be carefully worded where off-sales also take place);

In appropriate circumstances, the condition could include exceptions, for example, as follows:

- A. bottles containing wine may be sold for consumption with a table meal by customers who are seated in an area set aside from the main bar area for the consumption of food.

Plastic containers and toughened glass

Glasses containing drinks may be used as weapons during incidents of disorder and in untoughened form can cause very serious injuries.

Consideration could therefore be given to conditions requiring either the use of plastic containers or toughened glass which inflicts less severe injuries where considered necessary. Location and style of the venue and the activities carried on there would be particularly important in assessing whether a condition is necessary.

For example, the use of glass containers on the terraces of some outdoor sports grounds may obviously be of concern, and similar concerns may also apply to indoor sports events such as boxing matches. Similarly, the use of such plastic containers or toughened glass during the televising of live sporting events, such as international football matches, when high states of excitement and emotion fuelled by alcohol might arise, may be a necessary condition.

It should be noted that the use of plastic or paper drinks containers and toughened glass may also be relevant as measures necessary to promote public safety (see Appendix E).

CCTV

The presence of CCTV cameras can be an important means of deterring and detecting crime at and immediately outside licensed premises. Conditions should not just consider a requirement to have CCTV on the premises, but also the precise positioning of each camera, the requirement to maintain cameras in working order, and to retain recordings for an appropriate period of time.

The police should provide individuals conducting risk assessments when preparing operating schedules with advice on the use of CCTV to prevent crime.

Open containers not to be taken from the premises

Drinks purchased in licensed premises or clubs may be taken from those premises for consumption elsewhere. Where premises are licensed for the sale of alcohol for consumption off the premises, that would be entirely lawful. However, consideration should be given to a condition preventing the taking of alcoholic and other drinks from the premises in open containers (e.g. glasses and opened bottles).

This may again be necessary to prevent the use of these containers as offensive weapons in surrounding streets after individuals have left the premises.

Restrictions on drinking areas

It may be necessary to restrict the areas where alcoholic drinks may be consumed in premises after they have been purchased from the bar. An example would be at a sports ground where the police consider it necessary to prevent the consumption of alcohol on the terracing of sports grounds during particular sports events. Such conditions should not only specify these areas, but indicate the circumstances in which the ban would apply and times at which it should be enforced.

Capacity limits

Although most commonly made a condition of a licence on public safety grounds, consideration should also be given to conditions which set capacity limits for licensed clubs where it may be necessary to prevent overcrowding which can lead to disorder and violence. Where such a condition is considered necessary, consideration should also be given to whether door supervisors would be needed to ensure that the numbers are appropriately controlled.

Crime prevention notices

It may be necessary at some premises for notices to be displayed which warn customers of the prevalence of crime which may target them. Some premises may be reluctant to volunteer the display of such notices for commercial reasons. For example, in certain areas, a condition attached to a premises licence or club premises certificate might require the displaying of notices at the premises which warn customers about the need to be aware of pickpockets or bag snatchers, and to guard their property. Similarly, it may be necessary for notices to be displayed which advise customers not to leave bags unattended because of concerns about terrorism. Consideration could be given to a condition requiring a notice to display the name of a contact for customers if they wish to report concerns.

Signage

It may be necessary for the normal hours under the terms of the premises licence or club premises certificate at which licensable activities are permitted to take place to be displayed on or immediately outside the premises so that it is clear if breaches of the terms of the licence or certificate are taking place.

Similarly, it may be necessary for any restrictions on the admission of children to be displayed on or immediately outside the premises so that the consequences of breaches of these conditions would also be clear and to deter those who might seek admission in breach of those conditions.

Large capacity venues used exclusively or primarily for the "vertical" consumption of alcohol (HVVDs)

Large capacity "vertical drinking" premises, sometimes called High Volume Vertical Drinking establishments (HVVDs), are premises with exceptionally high capacities,

used primarily or exclusively for the sale and consumption of alcohol, and have little or no seating for patrons.

Where necessary and appropriate, conditions can be attached to premises licences for the promotion of the prevention of crime and disorder at such premises (if not volunteered by the venue operator and following representations on such grounds) which require adherence to:

a) a prescribed capacity;

b) an appropriate ratio of tables and chairs to customers based on the capacity;

and

c) the presence of SIA registered security teams to control entry for the purpose of compliance with the capacity limit.

Annex E

Conditions relating to public safety (including fire safety)

It should be noted that conditions relating to public safety should be those which are necessary, in the particular circumstances of any individual premises or club premises, and should not duplicate other requirements of the law. Equally, the attachment of conditions to a premises licence or club premises certificate will not in any way relieve employers of the statutory duty to comply with the requirements of other legislation including the Health and Safety at Work etc. Act 1974, associated regulations and especially the requirements under the Management of Health and Safety at Work Regulations 1999 and the Fire Precautions (Workplace) Regulations 1997 to undertake risk assessments. Employers should assess the risks, including risks from fire, and take measures necessary to avoid and control these risks. Conditions enforcing those requirements would therefore be unnecessary.

General

When applicants for premises licences or club premises certificates are preparing their operating schedules or club operating schedules, responsible authorities are considering such applications and licensing authorities are considering applications following the receipt of relevant representations from a responsible authority or interested party, the following options should be considered as measures that, if necessary, would promote public safety. Additional matters relating to cinemas and theatres are considered in Annex F. It should also be recognised that special issues may arise in connection with outdoor and large scale events.

Whether or not any risk assessment shows any of the measures to be necessary in the individual circumstances of any premises will depend on a range of factors including the nature and style of the venue, the activities being conducted there, the location of the premises and the anticipated clientele of the business involved. Necessary conditions for the licence or certificate will also depend on local knowledge of the premises.

In addition, to considering the points made in this Annex, those preparing operating schedules or club operating schedules, licensing authorities and responsible authorities should consider:

- Model National and Standard Conditions for Places of Public Entertainment and Associated Guidance ISBN 1 904031 11 0 (Entertainment Technology Press – ABTT Publications)
- The Event Safety Guide – A guide to health, safety and welfare at music and similar events (HSE 1999)("The Purple Book") ISBN 0 7176 2453 6
- Managing Crowds Safely (HSE 2000) ISBN 0 7176 1834 X

- 5 Steps to Risk Assessment: Case Studies (HSE 1998) ISBN 07176 15804
- The Guide to Safety at Sports Grounds (The Stationery Office, 1997) ("The Green Guide") ISBN 011 300095 2
- Safety Guidance for Street Arts, Carnival, Processions and Large Scale Performances published by the Independent Street Arts Network, copies of which may be obtained through: www.streetartsnetwork.org.uk/pages/publications.htm
- The London District Surveyors Association's "Technical Standards for Places of PublicEntertainment" ISBN 0 9531229 2 1

The following British Standards should also be considered:

- BS 5588 Part 6 (regarding places of assembly)
- BS 5588 Part 9 (regarding ventilation and air conditioning systems)
- BS 5588 Part 9 (regarding means of escape for disabled people)
- BS 5839 (fire detection, fire alarm systems and buildings)
- BS 5266 (emergency lighting systems)

However, in consulting these texts, which were prepared prior to the coming into force of the Licensing Act 2003, those creating operating schedules or club operating schedules, licensing authorities and responsible authorities should again note that under no circumstances should any conditions be regarded as standard for all premises.

Any individual preparing an operating schedule or club operating schedule is at liberty to volunteer any measure, such as those described below, as a step he or she intends to take to promote the licensing objectives. When incorporated into the licence or certificate as a condition, they become enforceable under the law and a breach of such a condition could give rise to prosecution.

People with Disabilities

In certain premises where existing legislation does not provide adequately for the safety of the public, consideration might also be given to conditions that ensure that:

- A. When people with disabilities are present, adequate arrangements exist to enable their safe evacuation in the event of an emergency; and
- B. people with disabilities on the premises are made aware of those arrangements.

Escape routes

It may be necessary to include conditions relating to the maintenance of all escape routes and exits including external exits. These might be expressed in terms of the need to ensure that such exits are kept unobstructed, in good order with non-slippery and even surfaces, free of trip hazards and clearly identified. In restaurants and other premises where chairs and tables are provided this might also include ensuring that internal gangways are kept unobstructed.

In certain premises where existing legislation does not provide adequately for the safety of the public, consideration might also be given to conditions that ensure that:

all exits doors can be easily opened without the use of a key, card, code or similar means;

- A. doors at such exits are regularly checked to ensure that they function satisfactorily and a record of the check kept;
- B. any removable security fastenings are removed whenever the premises are open to the public or occupied by staff;
- C. all fire doors are maintained effectively self-closing and shall not be held open other than by approved devices (for example, electromagnetic releases operated by smoke detectors);
- D. fire resisting doors to ducts, service shafts, and cupboards shall be kept locked shut; and
- E. the edges of the treads of steps and stairways are maintained so as to be conspicuous.

Safety checks

In certain premises where existing legislation does not provide adequately for the safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- safety checks are carried out before the admission of the public; and
- details of such checks are kept in a Log-book.

Curtains, hangings, decorations and upholstery

In certain premises where existing legislation does not provide adequately for the safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- hangings, curtains and temporary decorations are maintained in a flame retardant condition;
- any upholstered seating meets on a continuous basis the pass criteria for smouldering ignition source 0, flaming ignition source 1 and crib ignition source 5 when tested in accordance with section 5 of BS 5852:1990;
- curtains, hangings and temporary decorations are arranged so as not to obstruct exits, fire safety signs or fire-fighting equipment; and
- temporary decorations are not used without prior notification to the licensing Authority/fire authority.

Accommodation limits

In certain premises where existing legislation does not provide adequately for the safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- arrangements are made to ensure that any capacity limit imposed under the premises licence or club premises certificate are not exceeded; and
- the licence holder, a club official, manager or designated premises supervisor should be aware of the number of people on the premises and required to inform any authorised person on request.

Fire action notices

In certain premises where existing legislation does not provide adequately for the safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- notices detailing the actions to be taken in the event of fire or other emergencies, including how the fire brigade should be summoned, are prominently displayed and protected from damage and deterioration.

Outbreaks of fire

In certain premises where existing legislation does not provide adequately for the Safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- fire brigade must be called at once to any outbreak of fire, however slight, and the details recorded in a Fire Log-book.

Loss of water

In certain premises where existing legislation does not provide adequately for the safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- the local Fire Control Centre are notified as soon as possible if the water supply to any hydrant, hose reel, sprinkler, drencher or other fire extinguishing installation is cut off or restricted.

Access for emergency vehicles

In certain premises where existing legislation does not provide adequately for the safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- Access for emergency vehicles is kept clear and free from obstruction.

First aid

In certain premises where existing legislation does not provide adequately for the Safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- Adequate and appropriate supply of first aid equipment and materials is available on the premises;
- If necessary, at least one suitably trained first-aider shall be on duty when the Public are present; and if more than one suitably trained first- that their respective duties are clearly defined.

Lighting

In certain premises where existing legislation does not provide adequately for the safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- in the absence of adequate daylight, the lighting in any area accessible to the public, members or guests shall be fully in operation when they are present;
- fire safety signs are adequately illuminated;
- emergency lighting is not altered;
- emergency lighting batteries are fully charged before the admission of the public, members or guests; and
- in the event of the failure of normal lighting, where the emergency lighting battery has a capacity of one hour, arrangements are in place to ensure that the public, members or guests leave the premises within 20 minutes unless within that time normal lighting has been restored and the battery is being re-charged; and, if the emergency lighting battery has a capacity of three hours, the appropriate period by the end of which the public should have left the premises is one hour.

Temporary electrical installations

In certain premises where existing legislation does not provide adequately for the safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- temporary electrical wiring and distribution systems are not provided without [notification to the licensing authority at least ten days before commencement of the work] [prior inspection by a suitable qualified electrician];
- temporary electrical wiring and distribution systems shall comply with the recommendations of BS 7671 or where applicable BS 7909; and
- where they have not been installed by a competent person, temporary electrical wiring and distribution systems are inspected and certified by a competent person before they are put to use.

With regard to the first bullet above, it should be recognised that ten days notice may not be possible where performances are supported by outside technical teams. For example, where temporary electrical installations are made in theatres for television show performances, the key requirement is that conditions where necessary should

ensure that temporary electrical installations are only undertaken by competent qualified persons, for example, employed by the television company.

Indoor sports entertainments

In certain premises where existing legislation does not provide adequately for the safety of the public or club members and guests, consideration might also be given to conditions that ensure that:

- if necessary, an appropriately qualified medical practitioner is present throughout a sports entertainment involving boxing, wrestling, judo, karate or other sports entertainment of a similar nature;
- where a ring is involved, it is constructed and supported by a competent person and inspected by a competent authority and any material used to form the skirt around the ring is flame-retardant;
- at any wrestling or other entertainments of a similar nature members of the public do not occupy any seat within 2.5 metres of the ring; and
- at water sports entertainments, staff adequately trained in rescue and life safety procedures are stationed and remain within the vicinity of the water at all material times (see also Managing Health and Safety in Swimming Pools issued jointly by the Health and Safety Commission and Sport England).

Alterations to the premises

Premises should not be altered in such a way as to make it impossible to comply with an existing licence condition without first seeking a variation of the premises licence proposing the deletion of the condition relating to public safety in question. The applicant will need to propose in a new operating schedule reflecting the proposed alteration to the premises how he or she intends to take alternative steps to promote the public safety objective. The application for variation will enable the responsible authorities with expertise in safety matters to consider whether the proposal is acceptable.

Special effects

The use of special effects in venues of all kinds being used for regulated entertainment is increasingly common and can present significant risks. Any special effects or mechanical installation should be arranged and stored so as to minimise any risk to the safety of the audience, the performers and staff.

Specials effects which should be considered include:

- dry ice machines and cryogenic fog;
- smoke machines and fog generators;
- pyrotechnics, including fireworks;
- real flame;
- firearms;
- strobe lighting;
- lasers (see HSE Guide The Radiation Safety of lasers used for display purposes [HS(G)95] and BS EN 60825: Safety of laser products);
- explosives and highly flammable substances.

In certain circumstances, it may be necessary to require that certain special effects are only used with the prior notification of the licensing authority or [inspection by] the fire authority.

Annex F

Theatres, cinemas, concert halls and similar places (promotion of public safety)

In addition to the points made in Annex E, there are particular matters in the context of public safety and fire safety which should be considered in connection with theatres and cinemas. The principle remains that conditions must be necessary and should be established through risk assessment and standardised conditions should be avoided. The points which follow are for consideration and do not represent a mandatory list.

Premises used for closely seated audiences

Attendants

(a) The number of attendants on each floor in a closely seated auditorium should be as set out below:

- Between 1-100 members of the audience present on a floor – 1 attendant must be present on that floor.
- Between 101-250 members of the audience present on a floor – 2 attendants must be present on that floor.
- Between 251 - 500 members of the audience present on a floor – 3 attendants must be present on that floor.
- Between 501-750 members of the audience present on a floor – 4 attendants must be present on that floor.
- Between 75-1000 members of the audience present on a floor – 5 attendants must be present on that floor.

And one additional attendant for each additional 250 persons (or part thereof)

(b) Attendants shall not be engaged in any duties that would hinder the prompt discharge of their duties in the event of an emergency or entail their absence from that floor or auditorium where they are on duty.

(c) Any attendant shall be readily identifiable to the audience (but this need not entail the wearing of a uniform).

(d) The premises shall not be used for a closely seated audience except in accordance with seating plan(s), a copy of which is available at the premises and shall be shown to any authorised person on request.

(e) No article shall be attached to the back of any seat which would reduce the

clear width of seat ways or cause a tripping hazard or obstruction.

- (f) A copy of any certificate relating to the design, construction and loading of any temporary seating shall be kept available at the premises and shall be shown to any authorised person on request.

Standing and sitting in gangways etc.

- (a) Sitting on floors shall not be permitted except where authorised in the premises licence or club premises certificate.
- (b) Waiting or standing shall not be permitted except in areas designated in the premises licence or club premises certificate.
- (c) In no circumstances shall anyone be permitted to-
- (i) sit in any gangway;
 - (ii) stand or sit in front of any exit; or
 - (iii) stand or sit on any staircase including any landings.

Drinks

Except as authorised by the premises licence or club premises certificate, no drinks shall be sold to or be consumed by a closely seated audience except in plastic and paper containers.

Balcony Fronts

Clothing or other objects shall not be placed over balcony rails or upon balcony fronts.

Special effects

Any special effects or mechanical installation should be arranged and stored so as to minimise any risk to the safety of the audience, the performers and staff.

Specials effects include:

- dry ice machines and cryogenic fog;
- smoke machines and fog generators;
- pyrotechnics, including fireworks;
- real flame;
- firearms;
- motor vehicles;
- strobe lighting;
- lasers (see HSE Guide The Radiation Safety of lasers used for display purposes [HS(G)95] and BS EN 60825: Safety of laser products);
- explosives and highly flammable substances.

In certain circumstances, it may be necessary to require that certain special effects are only used with the prior notification of the licensing authority or [inspection by] fire authority.

Scenery

Any scenery should be maintained flame-retardant.

Safety curtain

Where a safety curtain is provided, it should be arranged so as to protect the audience from the effects of a fire or smoke on stage for sufficient time to enable the safe evacuation of the auditorium. Where a stage with a proscenium arch is not equipped with a safety curtain, any curtains provided between the stage and the auditorium should be heavyweight and be made of non-combustible material or inherently or durably treated flame-retardant fabric.

Ceilings

All ceilings in those parts of the premises to which the audience are admitted should be inspected by a suitably qualified person who will decide when a further inspection would be necessary and a certificate concerning the condition of the ceilings forwarded to the licensing authority.

Seating

Where the potential audience exceeds 250 all seats in the auditorium should, except in boxes accommodating not more than 8 persons, be either securely fixed to the floor or battened together in lengths of not fewer than four or more than twelve.

Premises used for film exhibitions

Attendants – premises without a staff alerting system

Where the premises are not equipped with a staff alerting system the number of attendants present should be as set out below:

- Between 1-250 members of the audience present on a floor – 2 attendants must be present on that floor.
- And one additional attendant for each additional 250 members of the audience present (or part thereof)
- Where there are more than 150 members of an audience in any auditorium or on any floor at least one attendant shall be present in any auditorium or on any floor.

Attendants – premises with a staff alerting system

(a) Where premises are equipped with a staff alerting system the number of attendants present should be as set out below:

- Between 1 - 500 members of the audience present on the premises – 2 attendants must be present on that floor and 1 other staff member must be on the premises who will be available to assist in the event of an emergency

- Between 501 - 1000 members of the audience present on the premises – 3 attendants must be present on that floor and 2 other staff member must be on the premises who will be available to assist in the event of an emergency
- Between 1501 or more members of the audience present on the premises – 5, plus one for every 500 (or part thereof) persons (or part thereof) persons over 2000 on the premises, attendants must be present on that floor and 5 plus one for every 500 over 2000 on the premises other staff member must be on the premises who will be available to assist in the event of an emergency

(b) Staff shall not be considered as being available to assist in the event of an emergency if they are:

- (i) the holder of the premises licence or the manager on duty at the premises; or
- (ii) a member of staff whose normal duties or responsibilities are likely to significantly affect or delay his response in an emergency situation; or
- (iii) a member of staff whose usual location when on duty is more than 60 metres from the location to which he is required to go on being alerted to an emergency situation.

(c) Attendants shall as far as reasonably practicable be evenly distributed throughout all parts of the premises to which the public have access and keep under observation all parts of the premises to which the audience have access.

(d) The staff alerting system shall be maintained in working order.

Minimum lighting

The level of lighting in the auditorium should be as great as possible consistent with the effective presentation of the film; and the level of illumination maintained in the auditorium during the showing of films would normally be regarded as satisfactory if it complies with the standards specified in BS CP 1007 (Maintained Lighting for Cinemas).

Flammable films

No flammable films should be allowed on the premises without the prior notification of the licensing authority/fire authority.

Annex G

Conditions relating to the prevention of public nuisance

It should be noted that provisions of the Environmental Protection Act 1990 and the Noise Act 1996 provide some protection to the general public from the effects of noise nuisance. In addition, the provisions in Part 8 of the Licensing Act 2003 enable a senior police officer to close down instantly for up to 24 hours licensed premises and premises carrying on temporary permitted activities that are causing nuisance resulting from noise emanating from the premises.

These matters should be considered before deciding whether or not conditions are necessary for the prevention of public nuisance.

General

When applicants for premises licences or club premises certificates are preparing their operating schedules or club operating schedules, responsible authorities are considering such applications and licensing authorities are considering applications following the receipt of relevant representations from a responsible authority or interested party, the following options should be considered as measures that, if necessary, would promote the prevention of public nuisance.

Whether or not any risk assessment shows them to be necessary in the individual circumstances of any premises will depend on a range of factors including the nature and style of the venue, the activities being conducted there, the location of the premises and the anticipated clientele of the business involved.

Necessary conditions for licences and certificates will also depend on local knowledge of the premises.

Hours

The hours during which the premises are permitted to be open to the public or to members and their guests can be restricted (other than where they are protected by the transitional provisions of the Licensing Act 2003) by the conditions of a premises licence or a club premises certificate for the prevention of public nuisance. But this must be balanced by the potential impact on disorder which results from artificially early fixed closing times.

Restrictions could be necessary on the times when certain licensable activities take place even though the premises may be open to the public at such times. For example, the playing of recorded music after a certain time might be prohibited, even though other licensable activities are permitted to continue.

Restrictions might be necessary on the parts of premises that might be used for certain licensable activities at certain times. For example, while the provision of regulated entertainment might be permitted while the premises is open to the public or members

and their guests, regulated entertainment might not be permitted in garden areas of the premises after a certain time.

Noise and vibration

In certain premises where existing legislation does not provide adequately for the prevention of public nuisance, consideration might be given to conditions that ensure that:

- noise or vibration does not emanate from the premises so as to cause a nuisance to nearby properties. This might be achieved by a simple requirement to keep doors and windows at the premises closed, or to use noise limiters on amplification equipment used at the premises;
- prominent, clear and legible notices are displayed at all exits requesting the public to respect the needs of local residents and to leave the premises and the area quietly;
- the use of explosives, pyrotechnics and fireworks of a similar nature which could cause disturbance in surrounding areas are restricted; and
- the placing of refuse – such as bottles – into receptacles outside the premises takes place at times that will minimise the disturbance to nearby properties.

Noxious smells

In certain premises where existing legislation does not provide adequately for the prevention of public nuisance, consideration might be given to conditions that ensure that:

- noxious smells from licensed premises are not permitted so as to cause a nuisance to nearby properties and the premises are properly vented.
- Light pollution In certain premises where existing legislation does not provide adequately for the prevention of public nuisance, consideration might be given to conditions that ensure that:
- flashing or particularly bright lights on or outside licensed premises do not cause a nuisance to nearby properties. Any such condition needs to be balanced against the benefits to the prevention of crime and disorder of bright lighting in certain places.

Annex H

Conditions relating to the protection of children from Harm

It should be noted that it is unlawful under the 2003 Act to permit unaccompanied children under the age of 16 to be present on premises exclusively or primarily used for supply of alcohol for consumption on those premises under the authorisation of a premises licence, club premises certificate or a temporary event notice when open for the purposes of being used for the supply of alcohol for consumption there. In addition, it is an offence to permit the presence of children under 16 who are not accompanied by an adult between midnight and 5am at all premises supplying alcohol for consumption on those premises under the authorisation of any premises licence, club premises certificate or temporary event notice. Conditions duplicating these provisions are, therefore, unnecessary.

Access for children to licensed premises – in general

Restrictions on the access of children under 18 to premises where licensable activities are being carried on should be made where it is necessary to protect children from harm. Precise policy and details will be a matter for individual licensing authorities. Conditions attached to premises licences and club premises certificates may reflect the concerns of responsible authorities and interested parties who have made representations but only where the licensing authority considers it necessary to protect children from harm. Whilst applications in relation to premises licences and club premises certificates must be judged by licensing authorities on their individual merits and characteristics, the Secretary of State recommends (unless there are circumstances justifying the contrary) that:

- for any premises with known associations (having been presented with evidence) with or likely to give rise to heavy or binge or underage drinking, drugs, significant gambling, or any activity or entertainment (whether regulated entertainment or not) of a clearly adult or sexual nature, there should be a strong presumption against permitting any access at all for children under 18 years.
- Applicants wishing to allow access for children to premises where these associations may be relevant, when preparing operating schedules or club operating schedules or variations of those schedules for the purposes of obtaining or varying a premises licence or club premises certificate should explain their reasons; and outline in detail the steps that they intend to take to protect children from harm on such premises.
- for any premises, not serving alcohol for consumption on the premises, but where the public are allowed on the premises after 23:00, there should be a

presumption against the presence of children under the age of 12 unaccompanied by adults after that time. Applicants wishing to allow access when preparing operating schedules or variations of those schedules or club operating schedules for the purposes of obtaining or varying a premises licence or club premises certificate should, explain their reasons and outline in detail the steps that they intend to take to protect children from harm on such premises.

- in any other case, subject to the premises licence holder's or club's discretion, the expectation would be for unrestricted access for children subject to the terms of the 2003 Act. An operating schedule or club operating schedule should indicate any decision for the premises to exclude children completely, which would mean there would be no need to detail in the operating schedule steps that the applicant proposes to take to promote the protection of children from harm. Otherwise, where entry is to be permitted, the operating schedule should outline the steps to be taken to promote the protection of children from harm while on the premises.

Age Restrictions – specific

Under the 2003 Act a wide variety of licensable activities could take place at various types of premises and at different times of the day and night. Whilst it may be appropriate to allow children unrestricted access at particular times and when certain activities are not taking place, licensing authorities following relevant representations made by responsible authorities and interested parties will need to consider a range of conditions that are to be tailored to the particular premises and their activities where these are necessary. Licensing authorities are expected to consider:

- the hours of day during which age restrictions should and should not apply. For example, the fact that adult entertainment may be presented at premises after 20:00 does not mean that it would be necessary to impose age restrictions for earlier parts of the day;
- types of event or activity in respect of which no age restrictions may be needed, for example;
family entertainment; or
non-alcohol events for young age groups, such as under 18's dances,
- Similarly, types of event or activity which give rise to a more acute need for age restrictions than normal, for example;
during "Happy Hours" or on drinks promotion nights; or during activities outlined in the first bullet point in the first paragraph above.

Age restrictions – Cinemas

The Secretary of State considers that, in addition to the mandatory condition imposed by virtue of section 20, requiring the admission of children to films to be restricted in accordance with recommendations given either by a body designated under section 4 of the Video Recordings Act 1984 or by the licensing authority itself, conditions restricting the admission of children to film exhibitions should include:

- a condition that where the licensing authority itself is to make recommendations on the admission of children to films, the cinema or venue operator must submit any film to the authority that it intends to exhibit 28 days before it is proposed to show it. This is to allow the authority time to classify it so that the premises licence holder is able to adhere to any age restrictions then imposed;
- a condition that when films are classified, by either the film classification body as specified in the licence or the licensing authority, they should be classified in the following way:
 - U - Universal. Suitable for audiences aged four years and over
 - PG - Parental Guidance. Some scenes may be unsuitable for young children
 - 12A - Passed only for viewing by persons aged 12 years or older or persons younger than 12 when accompanied by an adult
 - 15 - Passed only for viewing by persons aged 15 years and over
 - 18 - Passed only for viewing by persons aged 18 years and over
- that conditions specify that immediately before each exhibition at the premises of a film passed by the British Board of Film Classification there shall be exhibited on screen for at least five seconds in such a manner as to be easily read by all persons in the auditorium a reproduction of the certificate of the Board or, as regards a trailer advertising a film, of the statement approved by the Board indicating the classification of the film;
- a condition that when a licensing authority has made a recommendation on the restriction of admission of children to a film, notices are required to be displayed both inside and outside the premises so that persons entering can readily be made aware of the classification attached to any film or trailer. Such a condition might be expressed in the following terms:

"Where a programme includes a film recommended by the licensing authority as falling into the 12A, 15 or 18 category no person appearing to be under the age of 12 and unaccompanied, or under 15 or 18 as appropriate, shall be admitted to any part of the programme; and the licence holder shall display in a conspicuous position a notice in the following terms –

PERSONS UNDER THE AGE OF [INSERT APPROPRIATE AGE] CANNOT BE ADMITTED TO ANY PART OF THE PROGRAMME

Where films of different categories form part of the same programme, the notice shall refer to the oldest age restriction.

This condition does not apply to members of staff under the relevant age while on duty provided that the prior written consent of the person's parent or legal guardian has first been obtained."

Theatres

The admission of children to theatres, as with other licensed premises, is not expected to normally be restricted unless it is necessary to promote the licensing objective of the protection of children from harm. However, theatres may be the venue for a wide range of activities. The admission of children to the performance of a play is expected to normally be left to the discretion of the licence holder and no condition restricting the access of children to plays should be attached. However, theatres may also present entertainment including, for example, variety shows, incorporating adult entertainment. A condition restricting the admission of children in such circumstances may be necessary. Entertainment may also be presented at theatres specifically for children (see below).

Licensing authorities are also expected to consider whether a condition should be attached to a premises licence which requires the presence of a sufficient number of adult staff on the premises to ensure the well being of children present on the premises during any emergency (See Annex F).

Performances especially for children

Where performances are presented especially for unaccompanied children in theatres and cinemas conditions are anticipated to be needed which require:

- an attendant to be stationed in the area(s) occupied by the children, in the vicinity of each exit, provided that on each level occupied by children the minimum number of attendants on duty should be one attendant per 50 children or part thereof.

Licensing authorities are expected, having regard to any representations made by responsible authorities on the issue, to also consider whether or not standing should be allowed. For example, there may be reduced risk for children in the stalls than at other levels or areas in the building.

Children in performances

There are many productions each year that are one-off shows where the cast is made up almost entirely of children. They may be taking part as individuals or as part of a drama club, stage school or school group. The age of those involved may range from 5 to 18. The Children (Performances) Regulations 1968 (as amended) set out requirements for children performing in a show. Licensing authorities should familiarise themselves with the requirements of these Regulations and not duplicate any of these requirements.

However, if it is necessary to consider imposing conditions, in addition to these requirements, for the promotion of the protection of children from harm then the licensing authority should consider the matters outlined below.

- Venue – the backstage facilities should be large enough to accommodate safely the number of children taking part in any performance.
- Fire safety – all chaperones and production crew on the show should receive instruction on the fire procedures applicable to the venue prior to the arrival of the children.
- Special effects – it may be inappropriate to use certain special effects, including smoke, dry ice, rapid pulsating or flashing lights, which may trigger adverse reactions especially with regard to children.
- Care of children – theatres, concert halls and similar places are places of work and may contain a lot of potentially dangerous equipment. It is therefore important that children performing at such premises are kept under adult supervision at all times including transfer from stage to dressing room and anywhere else on the premises. It is also important that the children can be accounted for at all times in case of an evacuation or emergency.

The Portman Group Code of Practice on the Naming, Packaging and Promotion of Alcoholic Drinks

The Portman Group operates, on behalf of the alcohol industry, a Code of Practice on the Naming, Packaging and Promotion of Alcoholic Drinks. The Code seeks to ensure that drinks are packaged and promoted in a socially responsible manner and only to those who are 18 years old or older. Complaints about products under the Code are considered by an Independent Complaints Panel and the Panel's decisions are published on the Portman Group's website, in the trade press and in an annual report.

If a product's packaging or point-of-sale advertising is found to be in breach of the Code, the Portman Group may issue a Retailer Alert Bulletin to notify retailers of the decision and ask them not to replenish stocks of any such product or to display such point-of-sale material, until the decision has been complied with.

The Code is an important mechanism in protecting children from harm because it addresses the naming, marketing and promotion of alcohol products sold in licensed premises in a manner which may appeal to or attract minors.

Where appropriate and necessary, consideration can be given to attaching conditions to premises licences and club premises certificates that require compliance with the Portman Group's Retailer Alert Bulletins.

Annex I

Statutory qualifying conditions for clubs

The following qualifying conditions for clubs are extracted from the Licensing Act 2003.

62 The general conditions

- (1) The general conditions which a club must satisfy if it is to be a qualifying club in relation to a qualifying club activity are the following.
- (2) Condition 1 is that under the rules of the club persons may not —
 - (a) be admitted to membership, or
 - (b) be admitted, as candidates for membership, to any of the privileges of membership, without an interval of at least two days between their nomination or application for membership and their admission.
- (3) Condition 2 is that under the rules of the club persons becoming members without prior nomination or application may not be admitted to the privileges of membership without an interval of at least two days between their becoming members and their admission.
- (4) Condition 3 is that the club is established and conducted in good faith as a club (see section 63).
- (5) Condition 4 is that the club has at least 25 members.
- (6) Condition 5 is that alcohol is not supplied, or intended to be supplied, to members on the premises otherwise than by or on behalf of the club.

63 Determining whether a club is established and conducted in good faith

- (1) In determining for the purposes of condition 3 in subsection (4) of section 62 whether a club is established and conducted in good faith as a club, the matters to be taken into account are those specified in subsection (2).
- (2) Those matters are —
 - (a) any arrangements restricting the club's freedom of purchase of alcohol;
 - (b) any provision in the rules, or arrangements, under which —
 - (i) money or property of the club, or
 - (ii) any gain arising from the carrying on of the club, is or may be applied otherwise than for the benefit of the club as a whole or for charitable, benevolent or political purposes;

- (c) the arrangements for giving members information about the finances of the club;
 - (d) the books of account and other records kept to ensure the accuracy of that information;
 - (e) the nature of the premises occupied by the club.
- (3) If a licensing authority decides for any purpose of this Act that a club does not satisfy condition 3 in subsection (4) of section 62, the authority must give the club notice of the decision and of the reasons for it.

64 The additional conditions for the supply of alcohol

- (1) The additional conditions which a club must satisfy if it is to be a qualifying club in relation to the supply of alcohol to members or guests are the following.
- (2) Additional condition 1 is that (so far as not managed by the club in general meeting or otherwise by the general body of members) the purchase of alcohol for the club, and the supply of alcohol by the club, are managed by a committee whose members —
- (a) are members of the club;
 - (b) have attained the age of 18 years; and
 - (c) are elected by the members of the club.

This subsection is subject to section 65 (which makes special provision for industrial and provident societies, friendly societies etc.).

- (3) Additional condition 2 is that no arrangements are, or are intended to be, made for any person to receive at the expense of the club any commission, percentage or similar payment on, or with reference to, purchases of alcohol by the club.
- (4) Additional condition 3 is that no arrangements are, or are intended to be, made for any person directly or indirectly to derive any pecuniary benefit from the supply of alcohol by or on behalf of the club to members or guests, apart from
- (a) any benefit accruing to the club as a whole, or
 - (b) any benefit which a person derives indirectly by reason of the supply giving rise or contributing to a general gain from the carrying on of the club.

65 Industrial and provident societies, friendly societies Etc.

- (1) Subsection (2) applies in relation to any club which is —
 - (a) a registered society, within the meaning of the Industrial and Provident Societies Act 1965 (c. 12)(see section 74(1) of that Act),
 - b) a registered society, within the meaning of the Friendly Societies Act 1974 (c). (46) (see section 111(1) of that Act), or
 - (c) a registered friendly society, within the meaning of the Friendly Societies Act 1992 (c. 40) (see section 116 of that Act).

- (2) Any such club is to be taken for the purposes of this Act to satisfy additional condition 1 in subsection (2) of section 64 if and to the extent that —
 - (a) the purchase of alcohol for the club, and
 - (b) the supply of alcohol by the club, are under the control of the members or of a committee appointed by the members.

- (3) References in this Act, other than this section, to —
 - (a) subsection (2) of section 64, or
 - (c) additional condition 1 in that subsection, are references to it as read with subsection (1) of this section.

- (4) Subject to subsection (5), this Act applies in relation to an incorporated friendly society as it applies in relation to a club, and accordingly —
 - (a) the premises of the society are to be treated as the premises of a club,
 - (b) the members of the society are to be treated as the members of the club,
 - and (c) anything done by or on behalf of the society is to be treated as done by or on behalf of the club.

- (5) In determining for the purposes of section 61 whether an incorporated friendly society is a qualifying club in relation to a qualifying club activity, the society is to be taken to satisfy the following conditions —
 - (a) condition 3 in subsection (4) of section 62,
 - (b) condition 5 in subsection (6) of that section,
 - (c) the additional conditions in section 64.

- (6) In this section "incorporated friendly society" has the same meaning as in the Friendly Societies Act 1992 (see section 116 of that Act).

Annex J

The Safer Clubbing Checklist for club owners, managers and event promoters

The role of club owners, managers and event promoters is to ensure that all aspects of their venue are designed and run in ways which maximise the safety of customers, performers and staff.

Key activities of club owners, managers and event promoters include:

- Communicating all safety requirements clearly to performers ensuring that they are familiar with and understand the safety requirements for the venue
- Developing a constructive working relationship with licensing authority officers and police officers with licensing responsibilities
- Developing a venue drug policy in consultation with licensing and police officers
- Ensuring that all staff are aware of their responsibilities within the drug policy and that they receive training and support to discharge these fully
- Employing door supervisors from a reputable company and with SIA Accreditation
- Employing experienced and fully trained first aiders
- Providing free and easily accessible supplies of cold water and ensuring the provision of water is supervised to prevent contamination of water by others (a Mandatory Condition)
- Liaising with appropriate drug service personnel to provide training to staff, and information, advice and support to clubbers
- Considering inviting and supporting drug outreach work, including integrating outreach workers into the staff team
- Sharing intelligence on drug use and drug dealing with police officers and other local venues
- Informing clubbers of their rights and responsibilities, and encouraging feedback on safety issues
- Considering the provision of safe transport home
- Ensuring that all staff are aware of the law and the responsibilities of the club to work within it

Annex K

Key actions for licensing authorities in connection with Safer Clubbing

In connection with Safer Clubbing, the role of the licensing authority officers is to take the lead in ensuring that dance venues are designed and run in a way which maximises the safety of customers, performers and staff. With the police, they are responsible for monitoring and enforcing compliance with regulations.

Key activities of licensing authority officers include:

- Providing clear information on how to apply for a premises licence
- Providing induction training to councillors serving on licensing committees
- Advising venue owners on how to establish and maintain a safe environment
- Advising venue owners, in partnership with police officers and police licensing officers, on developing a venue drug policy
- Ensuring that sufficient first aiders are always present and are trained to a high Standard
- Informing clubbers of their rights
- Liaising with police licensing and other officers to ensure good communication about potentially dangerous venues
- Encouraging venues to use outreach services
- Encouraging venues to provide safe transport home
- Surveying clubbers on their views of the safety aspects of different local venues
- Monitoring the operation of clubs at times of peak occupancy
- Ensuring that door supervisors are from a reputable company and with SIA Accreditation
- Ensuring that door supervisors are properly trained

Appendix 3:

Licensing Contact Details

A printed version of the policy can be obtained from:

**The Licensing Section,
Mulberry Place (AH),
PO Box 55739,
5 Clove Crescent,
London E14 1BY**

Telephone: 020 7364 5008

Email: licensing@towerhamlets.gov.uk

It is also available for inspection at the above office.

APPENDIX TWO

Licensing Policy 2013-2018 Consultation

Proposed Changes

Reference	Area of change	Proposal
Background and Context page 2	Remove: A Safe and Supportive Community. A Healthy and Supportive Community	A Safe and Cohesive Community A Healthy and Supportive Community
Policy page 3	Policy review period	Policy is to be reviewed every five years
Consultation page 3	Publishing date of Policy – remove 2011	Policy will be published in 2013
Consultation page 3	Removal of Crime and Reduction Partnership	Community Safety Partnership
Main Principles of the Licensing Policy: Section 4.6 page 4	Delete due to change in the law	The Police Reform and Social Responsibility Act introduced the provision for the licensing authority to make representations. The licensing authority will not make representations that should be made by another responsible authority. The licensing authority may wish to make representations on its own account when they could include bringing together a number of minor unconnected complaints that in themselves do not require another responsible authority to make a representation, but when taken together may constitute a public nuisance, represent breaches of licence conditions only observed by licensing officers or which undermines the licensing objectives.
Main Principles of Licensing Policy page 4	Expansion of items covered under objectives	<p>Addition:</p> <ul style="list-style-type: none"> • <i>The prevention of crime and disorder</i>

		<p>Consideration, among other things, a prescribed capacity; door supervisors; an appropriate ratio of tables and chairs to customers; and a requirement that security staff holding the appropriate SIA licence or exemption are present to control entry for the purpose of compliance with the capacity limit and to deny entry to individuals who appear drunk or disorderly or both.</p> <ul style="list-style-type: none"> • <i>Public safety</i> <p>Consideration of requiring specific types of training for a DPS or security staff, including awareness of first aid or initiatives to protect women and vulnerable customers; provision and storage of CCTV footage; and ensuring safe departure of those using the premises.</p> <ul style="list-style-type: none"> • <i>The prevention of public nuisance</i> <p>Consideration the prevention of irresponsible promotions, methods of preventing and managing noise and light pollution; and ways of managing litter.</p> <ul style="list-style-type: none"> • <i>The protection of children from harm</i> <p>Consideration of age verification schemes; test purchasing policies; and restrictions on the hours when children may be present.</p>
<p>Health as a responsible authority</p>	<p>Addition due to change in law</p>	<p>Addition: the Directors of Public Health is also now a responsible authority. It is expected that the PCT/DPH will be particularly useful in providing</p>

		evidence of alcohol-related health harms when the licensing authority revises its policy, (perhaps in relation to cumulative impact policies or early morning restriction orders). PCTs/DPHs may also be useful in providing evidence such as alcohol-related A & E admissions or ambulance service data that might be directly relevant to an application under the Act.
Main Principles of the Licensing Policy; Section 4.15	Delete Licensing Service Manager	Add; Trading Standards and Licensing Manager
Cumulative Effect: page 8	Currently consulting on a Cumulative Impact Zone in the west of the Borough Delete 6.7	Addition at 6.7 After public consultation which concludes on the 22 nd March 2013, the western part of the Borough may be declared as a Cumulative impact zone. If this is adopted it will be included as part of the Licensing Policy, when the Licensing Policy is presented to full Council. The effect of adopting such a policy is to create a rebuttable presumption that a licence application which is likely to add to the existing cumulative impact will normally be refused following relevant representations. The cumulative impact zone will have an effect on alcohol on sales, alcohol off sales and late night refreshment licence applications.
Cumulative Effect para 6.8 page 9	Review period for a cumulative impact zones	Change from 3 years to 5 years to fit in with the licensing policy.
Cumulative Effect para 6.12 and 6.13	Effects of a cumulative impact zone	Deletion of para 6.12 and 6.13 – this has been covered with the introduction of the cumulative impact zone (currently out for consultation).
Strategies page16	Late Night Levy consideration	Addition: The legislative provisions relating to the late night levy are not part of the Licensing Act 2003 but are contained in Sections 125 to 139 of the Police Reform and Social Responsibility Act 2011. The provisions

		<p>came into force on 31st October 2012.</p> <p>Regulations have been brought into force setting out the way in which the levy must be applied and administered, and arrangements for expenses, exemptions and reductions.</p> <p>Guidance has also been introduced in relation to:</p> <ul style="list-style-type: none"> • implementing the levy and the consultation process • the design of the levy • exemptions from the levy • reductions in levy charges • how revenue raised from the levy may be spent • the levy charges • the levy collection process <p>With regard to exemptions, the licensing authority will have discretion whether to exempt certain premises or not.</p> <p>Licensing Authorities also have discretion whether to reduce the amount of the levy by 30% for premises which participate in business-led best practice schemes.</p> <p>Any revenue from the levy must be split between the licensing authority and the Police, with at least 70% of the 'net' levy (after expenses) paid to the Police. The Late Night Levy Guidance, at paragraph 1.40 suggests that licensing authorities may wish to use existing partnership arrangements with the Police to ensure that the police intentions for the share of the levy revenue paid to them are genuine.</p>
--	--	--

		<p>These new powers enable licensing authorities to charge a levy in relation to persons who are licensed to sell or supply alcohol late at night as a means of raising a contribution towards the costs of policing the night-time economy. It is a 'local' power that licensing authorities can choose whether or not to exercise.</p> <p>This is a new provision open to the Council and it may wish to consider consulting on this issue at a later date. Initial views are sought from stakeholders during this consultation.</p>
<p>Early Morning Restriction Orders</p>	<p>Addition due to change in legislation</p>	<p><u>Addition:</u> The power for licensing authorities to introduce an EMRO is specified in sections 172A to 172E of the 2003 Act which was amended by Section 119 of the Police Reform and Social Responsibility Act 2011. These provisions came into force on 31st October 2012.</p> <p>Regulations prescribing the requirements in relation to the process for making an early morning restriction order (EMRO) were brought in force on 31st October 2012.</p> <p>Guidance has been introduced in relation to:</p> <ul style="list-style-type: none"> • the EMRO process • the evidence base • introducing an EMRO • advertising an EMRO • dealing with representations • hearings • implementation

		<ul style="list-style-type: none"> • limitations • enforcement <p>The legislation gives licensing authorities discretion to restrict sales of alcohol by introducing an EMRO to restrict the sale or supply of alcohol to tackle high levels of alcohol related crime and disorder, nuisance and anti-social behaviour. The order may be applied to the whole or part of the licensing authority area and if relevant on specific days and at specific times. The licensing authority must be satisfied that such an order would be appropriate to promote the licensing objectives.</p> <p>The only exemptions relating to EMROs are New Years Eve and the provision of alcohol to residents in premises with overnight accommodation by means of mini bars and room service.</p> <p>The decision to implement an EMRO should be evidence based and licensing authorities may wish to outline in the policy the grounds which they will take into consideration when considering implementation of an EMRO. This should include consideration of the potential burden imposed as well as the potential benefits. The Licensing Authority reserves the right to introduce an EMRO if it so desires and consultation and evidence from responsible authorities demonstrates the need.</p> <p>The function of making, varying or revoking an EMRO is specifically excluded from the statutory delegation of functions to the Licensing Committee.</p> <p>This is a new provision open to the Council and it may wish to consider consulting on this issue at a later date. Initial views are sought from</p>
--	--	--

		stakeholders during this consultation.
Duplication page 17	Duplication of legislation	Addition at 14.9: The responsible authorities are committed to avoid duplication with other regulatory regimes and the control measures contained in any conditions which are provided for in other legislation. This Policy does not intend to duplicate existing legislation and regulatory regimes that are already places obligations on employers and operators.
Striptease page 17	Change of heading	The Licensing Policy does not deal with Sexual Entertainment Venues. These can be dealt with by a separate legislative regime if the Council adopts amendments to the Local Government (Miscellaneous Provision) Act 1982 schedule 3 which requires the development of a separate policy as required by that statute.
Striptease page 17	Deletion of old consultations	Delete para 15.10 and 15.11
Enforcement page 19	Enforcement update	Addition at 16.4 ' In relation to enforcement the Council will abide by the Regulators Compliance Code and the Enforcement Concordat and the Council's Enforcement Policy. A copy of this policy is available on the Council's website. In most cases a graduated form of response will be used to resolve issues of non-compliance although it is recognised that in serious cases a prosecution or a review application are appropriate means of disposal. The Council will use test purchases as a legitimate way to determine compliance to the license conditions. Failed test purchases will be disposed with by reference to the Council Enforcement Policy.
Conditions	Addition on the clarification on the use of conditions	Add: Conditions (other than the statutory mandatory conditions) may only be attached to a licence or club premises certificate if relevant representations are received (except for conditions drawn from the

		<p>applicant's operating schedule since these are voluntary propositions). Any such conditions will be tailored to the individual style and characteristics of the premises and events concerned.</p> <p>Conditions should be:</p> <ul style="list-style-type: none"> • clear • enforceable • evidenced • proportionate • relevant • be expressed in plain language capable of being understood by those expected to comply with them. <p>Conditions must be attached at a hearing; unless the authority, the premises user, and the relevant responsible authority have agreed a hearing is unnecessary.</p> <p>Licensing authority cannot impose blanket standard conditions. A pool of conditions is included in the appendix.</p> <p>Conditions can only be carried forward from a premises licence or club premises certificate onto a TEN where relevant objections have been made by the police or Environmental Health.</p>
Live Music	Deletion of open spaces report	Delete para 17.4 and 17.5
Live Music Act 2012	Addition of new legislation	Addition: The Live Music Act came into force on 1 st October 2012 and is designed to encourage more performances of 'live' music. The Act :

		<ul style="list-style-type: none"> • Removes the licensing requirement for unamplified live music taking place between 8am and 11pm in all venues, subject to the right of a licensing authority to impose conditions about live music following a review of a premises licence relating to premises authorised to supply alcohol for consumption on the premises. • Removes the licensing requirement for amplified live music taking place between 8am and 11pm before audiences of no more than 200 persons on premises authorised to supply alcohol for consumption on the premises, subject to the right of a licensing authority to impose conditions about live music following a review of a premises licence. • Removes the licensing requirement for amplified live music taking place between 8am and 11pm before audiences of no more than 200 persons in workplaces (but not necessarily for workers) not otherwise licensed under the 2003 Act (or licensed only for the provision of late night refreshment). • Removes the licensing requirement for the provision of entertainment facilities and widens the licensing exemption for live music integral to a performance of Morris dancing or dancing of a similar type, so that the exemption applies to live or recorded music instead of unamplified live music.
Risk assessments	Update of Police details page 20	Delete 'email site at (please insert hyperlink)
Temporary Event	Addition about late Tens	Addition. Late TENS are limited in number and can be prevented by a

Notices Process	page 22	<p>single objection from a responsible authority. The maximum time period of a TEN is 168 hours.</p> <p>A Cumulative Impact policy is designed to reduce crime. Disorder and nuisance from a concentration of licensed premises. If a Cumulative Impact Policy is adopted it is possible that objections will be made by the police or Environmental Health on the grounds that the giving of a TEN would undermine the licensing objectives in the designated zone.</p>
Licence Suspensions	New legislation	<p>Addition: This is a power brought as part of the amendments brought about by the Police Reform and Social Responsibility Act 2011. The council must suspend premises licences and club premises certificates on the non-payment of annual fees.</p> <p>The regulations state that the premises licence holder will be given notice of a suspension that is at least 2 working days before the suspension is to take place.</p> <p>A single request for payment will be sent and the licensing Authority will then take measures to suspend the licence if payment is not received within 28 days.</p> <p>Income recovery procedures will be commenced along with enforcement visits to ensure that the suspension is maintained until payment or licence surrendered</p>
Table of delegation	Update for new powers	<ul style="list-style-type: none"> • Officers in all cases • power to suspend a premises licence (S.55A (1) LA2003) or club premises certificate (S.92A (1) LA2003) for non payment of annual fees • power to specify the date on which suspension takes effect. This

		<p>must be at least 2 working days</p> <ul style="list-style-type: none"> power to impose existing conditions on a premises licence, club premises certificate, and Temporary Event Notice where all parties agree that a Hearing is unnecessary – see S.106A LA2003 power to make representations as responsible authority
Advice and Guidance	Additional guidance	<p>Add: Application forms, fees, and details regarding each type of application, including the minor variations process can be obtained from the Councils website or by contacting the Licensing Team on 0207 364 5008 or licensing@towerhamlets.gov.uk.</p> <p>The Licensing Authority encourages informal discussion before the application process in order to resolve potential problems and avoid unnecessary hearings and appeals.</p>
Appendix One	Update on health as a responsible authority	<p>Add: Director of Public Health London Borough of Tower Hamlets Mulberry Place Clove Crescent London E14 1BY</p>

This page is intentionally left blank

Police Reform and Social Responsibility Act 2011

Early Morning Alcohol Restriction Orders

What are Early Morning Alcohol Restriction Orders?

An Early Morning Alcohol Restriction Order (EMRO) is an uncommenced power in the Licensing Act 2003 that will enable licensing authorities to restrict sales of alcohol in the whole or a part of their areas for any specified period between 12 midnight and 6 am, if they consider this appropriate for the promotion of the licensing objectives.

What is the policy's aim?

The Police Reform and Social Responsibility Act 2011 extended the flexibility of the existing EMRO power in the 2003 Act to provide licensing authorities with an additional tool to shape and determine local licensing, and to address specific problems caused by late night drinking. The 2011 Act extended these uncommenced powers to cover a longer period each night and lowered the threshold for introducing them. Licensing authorities will now have the power to make EMROs if they consider this appropriate for the promotion of licensing objectives, rather than necessary. EMROs are being introduced alongside various other measures aimed at rebalancing the Licensing Act 2003 in favour of local communities, and to increase the tools and powers available to licensing authorities and the police to tackle alcohol-related problems in local areas.

Who will EMROs affect?

EMROs are a local power that licensing authorities can choose whether or not to exercise. If a licensing authority introduces an EMRO, it will apply to premises licences, club premises certificates and temporary event notices that operate within the specified EMRO period. Licensing authorities will be required to advertise the proposal to make the EMRO and demonstrate that they have evidence to justify doing so, as well as considering representations, before its introduction.

Are there any exemptions or exceptions?

Following its public consultation, *Dealing with the Problems of Late Night Drinking*, the Government has announced that in relation to EMROs there will be no exemptions for types of premises, as there are in relation to the late night levy. This will ensure that EMROs will be a simple, pre-packaged tool for licensing authorities to use to readjust the focus of their night-time economy away from problem drinking, if such a measure would promote the licensing objectives.

We will ensure that the provision to supply alcohol to residents through mini-bars and room service in premises with overnight accommodation is not subject to an EMRO.

In recognition of New Year Eve's status as a night of national celebration, EMROs will not apply on New Year's Eve. This is a national exemption and will apply to every EMRO made.

What evidence will licensing authorities need to make an EMRO?

The licensing authority will need to be satisfied that an EMRO is appropriate in a particular area for the promotion of the licensing objectives under the Licensing Act 2003. We will provide further guidance to licensing authorities in revised statutory guidance issued under section 182 of the Licensing Act 2003.

The licensing objectives are: the prevention of crime and disorder; public safety; the prevention of public nuisance; and the prevention of children from harm.

What area will the EMRO apply to?

An EMRO may be applied to the whole or part of the licensing authority's area, if the licensing authority considers this is appropriate for the promotion of the licensing objectives.

Who can recommend the introduction of an EMRO?

The licensing authority decides whether or not to introduce an EMRO. The introduction of an EMRO could be suggested by the public or the Police and Crime Commissioner.

When will EMROs come into force?

The Government expects to bring EMROs into force in October 2012. Licensing authorities will be required to advertise their proposal to make an EMRO and consider any representations made about it before deciding whether to introduce an EMRO in their areas. We therefore anticipate that the earliest date that a licensing authority could make an EMRO would be approximately March 2013.

AMENDED GUIDANCE ON THE LATE NIGHT LEVY

December 2012



Home Office

GUIDANCE ON THE LATE NIGHT LEVY

- 1.1 The late night levy (“the levy”) is a power, conferred on licensing authorities by provision in Chapter 2 of Part 2 of the Police Reform and Social Responsibility Act 2011 (“the 2011 Act”). This enables licensing authorities to charge a levy to persons who are licensed to sell alcohol late at night in the authority’s area, as a means of raising a contribution towards the costs of policing the late-night economy.
- 1.2 The decision to introduce the levy is an option available to all licensing authorities in the whole of their respective areas. The levy will be payable by the holders of any premises licence or club premises certificate (“holders”), in relation to premises in the authority’s area, which authorise the sale or supply of alcohol on any days during a period (the “late night supply period”) beginning at or after midnight and ending at or before 6am.
- 1.3 A licensing authority is the authority which carries out licensing functions under the Licensing Act 2003 (“the 2003 Act”). The main licensing authorities, as defined in the 2003 Act, are:
 - the council of a district in England;
 - the council of a county in England in which there are no district councils;
 - the council of a county or county borough in Wales;
 - the council of a London borough.
- 1.4 It is recommended that the decision to introduce, vary or end the requirement for the levy is made by the full council. Other decisions in relation to the introduction and administration of the levy may be delegated in the manner which the licensing authority considers most appropriate.

INTRODUCTION OF THE LEVY

- 1.5 The decision to introduce the levy is for the licensing authority to make. The licensing authority is expected to consider the need for a levy with the chief officer of police and police and crime commissioner (“PCC”) for the police area in which it is proposed the levy will be introduced.¹ Local residents can use existing channels and forums to put forward views and call for the implementation or not of the levy in their area.
- 1.6 When considering whether to introduce a levy, licensing authorities should note that any financial risk (for example lower than expected revenue) rests at a local level and should be fully considered prior to implementation.
- 1.7 The licensing authority will decide the design of the levy. This includes the late-night supply period, any exemptions or reductions that may apply and the proportion of revenue (after the licensing authority’s costs are deducted) which will be paid to the PCC, with the remainder being retained by the licensing authority to fund other activities as set out in paragraph 1.42.

1 In this guidance, a reference to a PCC include a reference to the holder of the Mayor’s Office for Policing and Crime. Elections for Police and Crime Commissioners (PCCs) in all police force areas in England and Wales (except in London, where the Mayor of London has taken on the powers of a PCC in relation to the Metropolitan Police) take place on 15th November 2012. Once appointed, PCCs will be expected to have a central role working in partnership with local authorities, enforcement bodies and other local partners to decide on what action is needed to tackle alcohol-related crime and disorder in their areas. However, the Chief Officer of Police will remain the named responsible authority under the 2003 Act.

- 1.8 The levy is a power and some licensing authorities will not consider that it is appropriate to exercise it. The licensing authority may wish to decide whether or not it believes it has a viable proposal to introduce the levy before incurring the costs of the formal consultation process. It is recognised that some licensing authorities may not have a large number of premises which are licensed to sell alcohol during the late night supply period. At this stage, some licensing authorities may decide that the levy will not generate enough revenue to make it a viable option in their area.
- 1.9 The late night supply period must begin at or after midnight and end at or before 6am. The period can be for any length of time within these parameters but must be the same every day. If licensing authorities decide that it would be appropriate that certain types of premises should not pay the levy, they can set the late night supply period to suit the opening times of premises in their local area (for example the supply period could begin at 1am).
- 1.10 The licensing authority must consider the desirability of introducing a levy in relation to the matters described in section 125(3) of the Police Reform and Social Responsibility Act 2011. These matters are the costs of policing and other arrangements for the reduction or prevention of crime and disorder, in connection with the supply of alcohol between midnight and 6am.
- 1.11 The licensing authority should discuss the need for a levy with the relevant PCC and the relevant chief officer of police. The licensing authority will then decide whether to move to the next stage in the process and consult on its proposal to introduce a late night levy. The consultation document will state its intention to introduce a levy, its proposed design (including the late night supply period and proposed exemption and/or reduction categories) and the services that the licensing authority intends to fund with its share of the levy revenue.
- 1.12 The licensing authority will publish the consultation online and in a local newspaper. It will also send written details to the PCC, the relevant chief officer of police and all premises licence and club premises certificate holders whose authorisations permit the supply of alcohol during the period when it is proposed the levy will apply. The consultation is intended to be targeted at those affected by the levy, particularly businesses, the police, residents and other interested parties. The consultation process, including the period, is expected to be proportionate and targeted, so that the type and scale of engagement is relative to the potential impacts of the proposal.
- 1.13 The licensing authority will assess consultation responses and make a final decision about whether to introduce (or vary) the levy and, if so, its design. The decision to introduce the levy, and its design, will then be put to the full council to approve.
- 1.14 If the full council approves the introduction (or variation) of the levy, it is recommended that the licensing authority notifies adjoining authorities. It would be helpful if licensing authorities also notified the Secretary of State for transparency purposes, via the Home Office.

IMPLEMENTATION OF THE LEVY

- 1.15 The licensing authority must notify the relevant chief officer of police, the PCC and all holders of a licence or certificate in relation to premises which permit the supply of alcohol within the late night supply period (“relevant late night authorisation”) of the start date for the levy, the late night supply period, any exemptions and reductions, and how the revenue will be shared between the police force and licensing authority. Holders of relevant late-night authorisations should also be notified of the date before which any applications for a minor variation must be made to the authority, as set out in paragraph 1.16. We recommend that licensing authorities set the start date of the levy no less than three months after those notifications have been sent.
- 1.16 Holders with a relevant late-night authorisation may make a free variation to their licence to reduce their licensed hours to avoid operating in the late-night supply period. It is recommended that licensing authorities may wish to allow holders no less than two months to make such applications. The cost of processing free variations will be a deductible expense from the levy receipts in Year zero. Year zero is the first year in which the levy is introduced by the licensing authority.
- 1.17 The licensing authority must publish on their website an estimate of the costs it will deduct from the levy revenue each year. The licensing authority will determine the manner in which any statement is published.
- 1.18 The levy will apply indefinitely until the licensing authority decides that the levy will cease to apply in its area. Licensing authorities may wish to review the requirements for the levy at appropriate intervals. A decision that the levy should cease to apply can only be made at the end of a levy year. Licensing authorities may wish to notify holders of a relevant late night authorisation of any such decision.

DESIGN OF THE LEVY

- 1.19 The levy must apply to the whole of the licensing authority’s area. It will apply to all holders (on and off-trade) of relevant late night authorisations situated in the licensing authority’s area. Any such holder will be liable to pay the levy, regardless of whether the holder’s premises are actually operating during the period. For example, a holder in relation to a supermarket with a 24 hour licence will be required to pay the levy regardless of its actual opening hours.
- 1.20 As set out in paragraph 1.9, the late night supply period must begin at or after midnight and end at or before 6am. The licensing authority can decide the times within the late-night supply period at which the levy will apply (which must be the same every day). The late-night supply period cannot apply on different days or times.
- 1.21 The levy will apply to boats, which are licensed at the place where they are usually moored or berthed. It will also apply to mobile bars, which are required to be licensed at the place where they are parked and carry on the licensable activity.
- 1.22 The levy will not apply to Temporary Event Notices (TENs).

EXEMPTIONS FROM THE LEVY

- 1.23 Licensing authorities may consider that there are some types of premises in relation to which the holder should not make a contribution towards the cost of policing the night-time economy through the levy. This is a local decision – the licensing authority should make its decision based on its knowledge of the night-time economy in the area, including information gathered through the consultation process.
- 1.24 Licensing authorities are not able to choose a category of premises for an exemption from the levy, if it is not prescribed in regulations. Likewise, licensing authorities are not able to exempt specific premises from the requirement to pay the levy.
- 1.25 Licensing authorities can decide, when considering the levy design, if any of the following permitted categories of premises should be exempt from the requirement to pay the levy. These exemption categories are specified in the Late Night Levy (Expenses, Exemptions and Reductions) Regulations 2012.
- 1.26 **Premises with overnight accommodation:** This exemption is not applicable to any premises which serve alcohol to members of the public who are not staying overnight at the premises, such as a hotel bar which can be accessed by the general public.
- 1.27 **Theatres and cinemas:** Premises in this category must ensure that, during the late night supply period, the sale of alcohol is only made for consumption on the premises to ticket holders, participants in the production or invited guests to a private event at the premises. Licensing authorities should be satisfied that premises which are eligible for this exemption are bona-fide theatres or cinemas, and that the sale of alcohol is not the primary purpose of their businesses. The definition of a “cinema” or a “theatre” should be readily understood by its plain, ordinary meaning.
- 1.28 **Bingo halls:** Premises in this category must be licensed and regulated under the Gambling Act 2005.
- 1.29 **Community Amateur Sports Clubs (“CASCs”):** Premises in this category must have relief from business rates by virtue of being a CASC (Section 658 of the Corporation Tax Act 2010).
- 1.30 **Community premises:** Premises in this category must have successfully applied for the removal of the mandatory designated premises supervisor (“DPS”) requirement and demonstrated that they operate responsibly.
- 1.31 **Country village pubs:** In England, premises in this category must be the sole pub situated within a designated rural settlement with a population of less than 3,000. The definition of a rural settlement appears in the qualifications for rural rate relief in Part III of the Local Government Finance Act 1988.
- 1.32 **New Year’s Eve:** Licensing authorities can offer an exemption from the levy for holders in relation to premises which are only have a relevant late-night authorisation by virtue of their being permitted to supply alcohol for consumption on the premises on 1st January in every year.

1.33 **Business Improvement Districts (“BIDs”)**: Licensing authorities can offer an exemption from the levy for premises which participate in BIDs that operate in the night-time economy and have a satisfactory crime and disorder focus. Licensing authorities have the discretion to determine whether the BIDs in their area are eligible.

REDUCTIONS FROM THE LEVY

1.34 Licensing authorities may wish to use the late night levy to promote and support participation by premises in other business-led best practice schemes. Licensing authorities can decide, when considering the levy design, if holders whose premises participate in such schemes should benefit from a reduction to the amount they are required to pay under the levy.

1.35 Eligible premises will receive a 30 per cent reduction from the levy. There will be no cumulative discounts available for holders in relation to premises that are eligible for more than one reduction category. Licensing authorities can offer a reduction to best practice schemes that meet the following benchmarks specified in the Late Night Levy (Expenses, Exemptions and Reductions) Regulations 2012:

- a clear rationale as to why the scheme’s objectives and activities will, or are likely to, result in a reduction of alcohol-related crime and disorder;
- a requirement for active participation in the scheme by members; and
- a mechanism to identify and remove in a timely manner those members who do not participate appropriately.

1.36 Licensing authorities have discretion as to how best practice schemes can demonstrate that they meet these benchmarks. We expect licensing authorities to use their existing partnerships with best practice schemes, and understanding of a scheme’s operation in their area, to identify eligible schemes in their areas. Licensing officials could visit representatives from best practice schemes in their area, or request written details of the scheme’s objectives, if they decide to consider this reduction category.

1.37 Licensing authorities can also offer a reduction to holders in relation to on-trade premises that are in receipt of Small Business Rate Relief (as specified in Part III of the Local Government Finance Act 1988) and have a rateable value of £12,000 or less. This reduction is only available to holders in relation to premises that supply alcohol for consumption on the premises. The relevant billing authority may have information on which premises in the licensing authority area are in receipt of Small Business Rate Relief.

1.38 If the licensing authority decides to introduce or remove categories of exemption and/or reduction after Year zero, they will need to follow the same procedure for consultation as set out in 1.11-1.13 though the consultation should only refer to the new proposal. If a licensing authority chooses to remove categories of exemption and/or reduction after Year zero, they should consider that the opportunity for businesses to make a free variation to their licence is only available when the levy is initially introduced.

LEVY REVENUE

1.39 The net levy revenue must be split between the licensing authority and the relevant PCC. The licensing authority must pay at least 70 per cent of the net levy revenue to the police. The licensing authority can choose to amend the portion of the net levy revenue that will be given to the PCC in future levy years. This decision must be subject to consultation in the same way as a decision to introduce the levy.

1.40 There are no restrictions on what the PCC's portion of the levy revenue can be spent on, in line with standard practice on the allocation of police funds. The PCC's proportion will be subject to the same transparency measures as those that apply in relation to other aspects of the operation of the PCC. The Police and Crime panel will be able to request any documents of the PCC in order to hold them to account in the allocation and use of their funds.²

1.41 We recommend that the licensing authority should use its existing partnership with the police to discuss the police intentions for their share of the levy revenue. We also recommend that the PCC should consider allocating the funds raised from the levy back to local commanders to allow the revenue to be spent on tackling alcohol-related crime and disorder in the area in which the levy was raised.

1.42 The licensing authority will be able to retain up to 30 per cent of the net levy revenue to fund services it provides to tackle late night alcohol-related crime and disorder and services connected to the management of the night-time economy. Specifically, these activities must have regard to the connection with the supply of alcohol during the late night supply period and related to arrangements for:

- the reduction of crime and disorder;
- the promotion of public safety;
- the reduction or prevention of public nuisance; or
- the cleaning of any relevant highway or relevant land in the local authority area.

1.43 A licensing authority can deduct the costs it incurs in connection with the introduction or variation, administration, collection and enforcement of the levy, prior to the levy revenue being apportioned between the police and licensing authority. Regulations have prescribed descriptions of expenses which may be deducted. As set out in paragraph 1.6, any financial risk relating to the levy revenue, such as lower than expected revenue or higher than expected costs, rests at a local level.

1.44 These deductible costs may include (but are not necessarily limited to) the following:

- the preparation and publication of the consultation document, including publishing it online and sending details to the PCC, the relevant chief officer of police and all premises licence and club premises certificate holders whose authorisations permit the supply of alcohol after midnight on any day;
- the collection of levy payments;
- the enforcement of levy payments; and
- the cost of processing applications for a variation in relation to the introduction of the levy.

1.45 There will be no specific restrictions on the amount of the expenses which licensing authorities can claim in expenses, however licensing authorities will have to account for their expenses following existing procedures. The Government may specify a cap on the amount of expenses in further regulations if considered necessary.

² This excludes documents that are operationally sensitive or those that would compromise national security.

LEVY CHARGE AND COLLECTION PROCESS

1.46 The amount of the levy will be prescribed nationally. The annual charges for the levy will be:

Rateable Value Bands (based on the existing fee bands)	A No rateable value to £4,300	B £4,301 to £33,000	C £33,001 to £87,000	D £87,001 to £125,000	E £125,001 and above	D x 2 Multiplier applies to premises in category D that primarily or exclusively sell alcohol	E x 3 Multiplier applies to premises in category E that primarily or exclusively sell alcohol
Levy Charges	£299	£768	£1,259	£1,365	£1,493	£2,730	£4,440

1.47 The levy charges are based on the current licence fee system under the 2003 Act, with holders being placed in bands based on their premises rateable value. A multiplier is applied to premises in Band D and E that primarily or exclusively sell alcohol for consumption on the premises to ensure that larger clubs and bars make a higher contribution towards the levy. Regulations include provision for premises that do not have a rateable value (Band A) or premises that are in the course of construction (Band C).

1.48 The levy will be collected at the same time as the annual licence fee (except in relation to holders premises who obtain a relevant late night authorisation during a levy year). The holder will, therefore, be required to pay the levy on an annual basis. For holders whose licences exist at the time that the first levy year begins, the payment year will be the same as the levy year³. These holders will make their first levy payment when they pay their annual fee. For holders who are granted a licence in the first or subsequent levy years, the payment year runs from the date of the grant of the licence and for each year thereafter. Their first payment will be made 14 days after the grant of the licence, and thereafter when they pay their annual fee.

1.49 In the following circumstances, licensing authorities should adjust a holder's liability to the levy:

- a licence lapses under section 27 of the 2003 Act (that is if the holder of the licence dies, becomes mentally incapable, becomes insolvent, if the partnership holding the license is dissolved or if it is a club, ceases to be a recognised club);
- an EMRO is made which prohibits premises from serving alcohol at any time when the levy applies; or
- the amount of the levy reduction is the amount found by applying the formula: $R = (L/365) \times N$ (see footnote⁴).

³ The payment year is the period by reference to which a licence holder's liability to the levy is determined. The levy year is the period during which the levy applies.

⁴ R is the levy reduction, L is the amount of the late night levy payable by the holder of the relevant late night authorisation and N is the number of days in the payment year beginning on the day following the date on which the relevant event occurred.

- 1.50 Licensing authorities have discretion to adjust a holder's liability if the licence is surrendered (for instance, because the licence holder ceases to trade). The circumstance for surrendering a licence will vary considerably from case to case; for instance, a licensing authority might chose to exercise this discretion for a long-term illness, but not when a licence holder surrendered a licence in anticipation of it being revoked. Holders whose licences are revoked for contravening the licensing objectives would not be eligible for a reduction.
- 1.51 Any payment of the levy which is owed to the licensing authority can be recovered as a debt due to the authority. Non-payment of the levy can result in suspension of a premises licence or suspension of club premises certificate.



Home Office

ISBN: 978-1-78246-021-3

Published by the Home Office © Crown Copyright 2012

EQUALITY ANALYSIS QUALITY ASSURANCE CHECKLIST

Name of 'proposal' and how has it been implemented (proposal can be a policy, service, function, strategy, project, procedure, restructure/savings proposal)	Licensing Policy Review
Directorate / Service	CLC, Safer Communities, Consumer and Business Regulations
Lead Officer	David Tolley
Signed Off By	Andy Bamber Service Head - Community Service

Stage	Checklist Area / Question	Yes / No / Unsure	Comment (If the answer is no/unsure, please ask the question to the SPP Service Manager or nominated equality lead to clarify)
1	Overview of Proposal		
a	Are the outcomes of the proposals clear?	Yes	<p>This report presents a forward programme for consulting on the Licensing Act Policy. This policy aims to define how the responsibilities under the Act are going to be exercised and administered. It is proposed that the consultation should:</p> <ul style="list-style-type: none"> • commence in March 2013 and last for 6 weeks • be based on the existing policy adopted by the full Council in December 2010. <p>The Licensing Act 2003 requires all local authorities to review their existing licensing policy and adopt a new policy by the end of 2013 and to undertake a consultation process to adopt the new policy. The policy has to comply with guidance issued by the central government and the existing policy is compatible with this guidance.</p>

b	Is it clear who will be or is likely to be affected by what is being proposed (inc service users and staff)? Is there information about the equality profile of those affected?	Yes	<p>The statutory consultation requirements consist of:</p> <ul style="list-style-type: none"> • The Chief Officer of Police for the Licensing Authority area • The Fire Authority for the area • Such persons as the Licensing Authority considers to be representative of holders of existing licenses • Such persons as the Licensing Authority considers to be representative of holders of existing clubs • Such other persons as the Licensing Authority considers to be representative of businesses and residents in its area. <p>In addition, the local community will be asked to comment on the draft (existing) policy.</p>
c	Is there a narrative in the proposal where NO impact has been identified? Please note – if a Full EA is not to be undertaken based on the screen or the fact that a proposal has not been ‘significantly’ amended, a narrative needs to be included in the proposal to explain the reasons why and to evidence due regard	Yes	<p>This policy is still a draft and subject to statutory partners and public consultation. Only when the consultation is complete can the Council finalise its position regarding equalities impact. However, the policy aims to promote the following licensing objectives and it is likely that the majority of impacts resulting from this policy will be positive on the safety and quality of life of protected groups.</p> <ul style="list-style-type: none"> • the prevention of crime and disorder • public safety • the prevention of public nuisance • the protection of children from harm. <p>It is planned that a new policy will be adopted by the full Council in November 2013.</p>
2	Monitoring / Collecting Evidence / Data and Consultation		
a	Is there reliable qualitative and quantitative data to support claims made about impacts?	Yes	As a Licensing Authority, the Council reviews the licensing policy every three years and publish the outcome. The consultation held in March 2013 will inform the draft proposal.
	Is there sufficient evidence of local/regional/national research that can inform the analysis?	Yes	The consultation will be held in March 2013.

b	Has a reasonable attempt been made to ensure relevant knowledge and expertise (people, teams and partners) have been involved in the analysis?	Yes	The consultation will be held in March 2013.
c	Is there clear evidence of consultation with stakeholders and users from groups affected by the proposal?	Yes	The consultation held in March 2013 will inform a draft proposal.
3	Assessing Impact and Analysis		
a	Are there clear links between the sources of evidence (information, data etc) and the interpretation of impact amongst the nine protected characteristics?	Yes	The consultation held in March 2013 will inform a draft proposal.
	Is there a clear understanding of the way in which proposals applied in the same way can have unequal impact on different groups?	Yes	The consultation held in March 2013 will inform a draft proposal.
b	Has the assessment sufficiently considered the three aims of the Public Sector Equality Duty (PSED) and OTH objectives?	Yes	
4	Mitigation and Improvement Action Plan		
a	Is there an agreed action plan?	NA	The proposal is for consultation at this stage
b	Are all actions SMART (Specific, Measurable, Achievable, Relevant and Time Bounded)	NA	The proposal is for consultation at this stage
c	Are the outcomes clear?	NA	The proposal is for consultation at this stage
d	Have alternative options been explored	NA	The proposal is for consultation at this stage
6	Quality Assurance and Monitoring		
a	Are there arrangements in place to review or audit the implementation of the proposal?	Yes	
b	Is it clear how the progress will be monitored to track impact across the protected characteristics??	NA	The proposal is for consultation at this stage
7	Reporting Outcomes and Action Plan		
a	Does the executive summary contain sufficient information on the key findings arising from the assessment?	NA	The proposal is for consultation at this stage
8	Sign Off and Publication		

a	Has the Lead Officer signed off the EA? Please note – completed and signed off EA and Quality Assurance checklists to be sent to the One Tower Hamlets team	Yes	
---	--	-----	--

Any other comments			
Signature	Andy Bamber Service Head - Community Service	Date	30th January 2013

Please keep this document for your records and forward an electronic version to the One Tower Hamlets Team

Agenda Item 6.2

Committee/Meeting: Cabinet	Date: 13 March 2013	Classification: Unrestricted	Report No: CAB 81/123
Report of: Corporate Director Communities Localities and Culture Originating officer(s) David Tolley Head of Consumer and Business Regulation		Title: Gambling Act 2005 – Three year review of Gambling Policy 2012 Wards Affected: All	

Lead Member	Councillor Ohid Ahmed
Community Plan Theme	A Safe and Cohesive Community
Strategic Priority	Focusing on Crime and Anti-Social Behaviour

1. **SUMMARY**

- 1.1 All Local Authorities have to review and adopt a Policy every three years which defines how they will administer and exercise their responsibilities under the Gambling Act 2005.
- 1.2 A statutory consultation process has taken place and the comments received have been analysed and incorporated into the policy where necessary.
- 1.3 The Policy has also been to the Licensing Committee on the 18th December 2012 and to Overview and Scrutiny on the 12th March 2013. Any comments made have been included in this report.
- 1.4 The Policy is now before Cabinet for comment and approval.

2. **DECISIONS REQUIRED**

The Mayor in Cabinet is recommended to:-

- 2.1 Consider the proposed Gambling Policy and agree that it may go forward to full council for adoption.
- 2.2 Note that it is intended to present the Gambling Policy to Full Council on the 17th April 2013.
- 2.3 Recommend that Full Council approve the Gambling Policy.

3. REASONS FOR THE DECISIONS

- 3.1 All relevant local authorities have to review their gambling policy, as one of the responsibilities they have, under the Gambling Act 2005.
- 3.2 The purpose of the policy is to define how the responsibilities under the Act are going to be exercised and administered.
- 3.3 A statutory consultation process has taken place and in addition there was the opportunity for the local community to comment on it.
- 3.4 Following consultation the amended policy will ultimately go to Cabinet and the full Council for adoption.

4. ALTERNATIVE OPTIONS

- 4.1 Pursuant to the Gambling Act 2005, the Council is a licensing authority for the licensing of premises used for gambling. If the Council did not have a policy it would be acting ultra vires with regards to any decisions it makes determining gambling premises licences. This course of action is not recommended.
- 4.2 The Regulations specify matters that the Council's gambling policy must contain. The Council is also required to have regard to guidance issued by the Gambling Commission, which also specifies requirements for gambling policies. If the Council did not comply with the Commission's guidance, then it would need to have good reasons for failing to do so. The content of the proposed gambling policy is recommended having regard to the requirements in the Act, Regulations and guidance.

5. BACKGROUND

- 5.1 Licensing local authorities in England and Wales have all been required by the Gambling Act 2005 to adopt a gambling policy.
- 5.2 The policy sets out in detail how the licensing authority will discharge its licensing functions under the Gambling Act 2005.
- 5.3 There are three licensing objectives set out in the Act:
- *Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime*
 - *Ensuring gambling is conducted in a fair and open way*
 - *Protecting children and other vulnerable people from being harmed or exploited by gambling.*

6. BODY OF REPORT

- 6.1 The Gambling Act 2005 gives local authorities a range of responsibilities relating to gambling. The gambling Policy expresses how the Licensing Authority will exercise its authority.
- 6.2 This policy covers the following:
- How the Licensing Authority will use its regulatory powers in relation to applications and reviews of the activities it regulates, to the extent it is allowed by statute.
 - The main licensing objective for the authority is protecting the vulnerable.
 - The Licensing Authority approach to regulation
 - The scheme of delegation
- 6.3 The gambling policy is heavily prescribed by central government and the Gambling Commission. The policy produced has to comply with guidance issued by both of these bodies. The current policy is compatible with this advice and guidance.
- 6.4 Members should note that some of the major issues and concerns about gambling are not addressed in the policy and in any consultation. For example, gambling addiction is outside the remit of the consultation, as are arguments about the public benefits, or otherwise, of a more liberal gambling regime.
- 6.5 In addition, 'noise nuisance' is not a licensing objective, so the regime will not consider the impact of licensed premises on nearby residents. Any issues relating to noise and nuisance will be dealt with by other Council Service's.
- 6.6 As a result of the statutory consultation the Licensing Authority received four responses. Consultation took place with local licence holders, responsible authorities, gambling support groups, faith groups, housing associations, Licensing Committee and also received representations from some Councillors.
- 6.7 The Gambling Best Practice Guide for businesses was introduced after consultation with Key Members in order to strengthen policy specific to the protection of vulnerable groups.
- 6.8 The responsibilities that the Council has under the Gambling Act 2005 have not generally been controversial. Approximately 80 licences have been issued, primarily to betting shops and adult amusement arcades. These businesses are nearly all national companies that have conducted their business within legal requirements.
- 6.9 The draft Gambling Policy is in Appendix 1 to this report. As the current policy continues to addresses all relevant priorities within the statutory scope of the

exercise and it has been operating effectively no further changes are proposed to the current policy with the exception to those outlined above.

7. COMMENTS OF THE CHIEF FINANCIAL OFFICER

- 7.1 There are no specific financial implications emanating from this report. The report updates Cabinet on its responsibilities under the Gambling Act 2005 and sets out for consultation the adoption of the revised Gambling Policy. The service will need to ensure that adoption of the policy is deliverable within existing budgeted resources.

8. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

- 8.1 Pursuant to the Gambling Act 2005, the Council is a licensing authority and, as such, is also a responsible authority for Tower Hamlets. The Council's functions as a licensing authority include the licensing of premises used for gambling.
- 8.2 As set out in paragraph 5.3 of the report, the Gambling Act sets out three licensing objectives, which the Council is required to have regard to when exercising specified functions. When exercising its functions in relation to premises licences, the Council is required by section 153 of the Gambling Act to permit the use of premises for gambling to the extent that the Council thinks it –
- In accordance with any relevant code of practice.
 - In accordance with any statutory guidance issued by the Gambling Commission
 - Reasonably consistent with the licensing objectives.
 - In accordance with the Council's gambling policy
- 8.3 The Council may not have regard to the expected demand for the proposed facilities when determining whether or not to grant a premises licence.
- 8.4 Section 349 of the Gambling Act 2005 requires the Council to prepare a statement of the principles that it proposes to apply in exercising its functions under the Act and to determine and then publish this statement. This statement is more commonly known as a gambling policy. The preparation of the statement of principles is to be undertaken every 3 years.
- 8.5 Under section 166 of the Gambling Act, the Council may resolve not to issue casino licences. The gambling policy must include reference to any such resolution by the Council.
- 8.6 The Gambling Act 2005 (Licensing Authority Policy Statement) (England and Wales) Regulations 2006 ("the Regulations") set out requirements for the content of a gambling policy. The policy must include –

- An introductory section which summarises the matters dealt with in the statement, a description of the geographical area in which it applies (i.e. Tower Hamlets) and a list of the persons consulted in preparing the statement (see Part A, section 2 of the proposed policy).
- The principles to be applied by the Council when designating a body competent to advise about the protection of children from harm (see Part A, paragraph 4.1 of the proposed policy).
- The principles to be applied by the Council to determine whether a person is an interested person in relation to a premises licence or an application for such a licence (see Part A, paragraph 5.3 of the proposed policy).
- The principles to be applied by the Council in relation to the exchange of information with the Gambling Commission and other specified persons (see Part A, paragraph 6.2 of the proposed policy).
- The principles to be applied by the Council in relation to the inspection of premises and the institution of criminal proceedings (see Part A, section 7 of the proposed policy).

8.7 The Council is required when carrying out its licensing functions to have regard to guidance issued by the Gambling Commission. The Gambling Commission has issued Guidance for Licensing Authorities, 4th Edition, September 2012, which includes guidance on the preparation of statements of principles, including the content of such statements. The proposed policy appears to be consistent with the Commission's guidance. Particular reference is made to the following matters which the guidance states should be included in the gambling policy –

- The policy should begin by stating the three licensing objectives (see Part A, section 1 of the proposed policy).
- The policy should state that the authority will aim to permit the use of premises for gambling as set out in section 153 of the Gambling Act (see Part A, paragraph 1.3 of the proposed policy).
- The policy should include a firm commitment to avoid duplication with other regulatory regimes (see Part B, paragraph 4.1 of the proposed policy).
- The policy should specify factors the Council may take into account when considering applications for premises licences, permits and other permissions (see Part B of the proposed policy).
- The policy should specify matters the Council will consider relevant when determining whether to review a licence (see Part B, paragraph 16.1 of the proposed policy).

8.8 Regulation 4 of the Local Authorities (Functions and Responsibilities) (England) Regulations 2000 specifies functions related to the formulation or preparation of plans or strategies identified in Schedule 3 to the Regulations which are not to be the responsibility of a local authority executive. The gambling policy is one of the identified plans and strategies. The adoption of the gambling policy is one of the functions which may not be the responsibility of the executive (see Regulation 4(3)(d)). The Council's Constitution reflects

this requirement by including the gambling policy in the Council's budget and policy framework. Pursuant to Article 4.01 of the Council's Constitution it is for full council to approve the gambling policy.

- 8.9 When preparing revisions to its statement of licensing policy, the Council must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don't. Information is included in the report relevant to these considerations.
- 8.10 The gambling policy must be published for a period of 4 weeks before it takes effect. The Regulations specify the ways in which the policy is to be published and the information that must be included.

9. ONE TOWER HAMLETS CONSIDERATIONS

- 9.1 The Equalities Analysis Quality Assurance Checklist has been reviewed in respect of this policy and no adverse issues have been identified [Appendix 2]

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 10.1 There are no environmental impacts with regards to this policy.

11. RISK MANAGEMENT IMPLICATIONS

- 11.1 There are no risk management issues with the revised policy.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

- 12.1 One of the key licensing objectives is to prevent gambling from being a source of crime and disorder. The policy supports and assists with crime and disorder reduction by controlling those who are able to offer gambling to members of the public and imposing conditions on relevant premises licences.

13. EFFICIENCY STATEMENT

- 13.1 There are no efficiency issues relating to this report.

14. APPENDICES

Appendix 1 – Gambling Act 2005 –London Borough of Tower Hamlets
Gambling Policy 2012
Appendix 2 – Equalities Analysis Quality Assurance Checklist

**Local Authorities (Executive Arrangements) (Access to Information) (England)
Regulations 2012**

List of “Background Papers” used in the preparation of this report

Brief description of “background papers”	Name and telephone number of holder and address where open to inspection.
None	David Tolley, Head of Consumer and Business Regulations 0207 364 6724

This page is intentionally left blank

Gambling Act 2005

The London Borough of Tower Hamlets Gambling Policy 2012 - 2017

Summary of Local Authority Gambling Policy

1. Licensing local authorities in England and Wales have all been required by the Gambling Act 2005 to adopt a gambling policy following consultation.
2. The following policy was adopted after consultation, including but not confined to the consultation required by the legislation.
3. The policy has to be reviewed every three years and consequently it is now being sent out for a new round of consultation. Again the consultation will include but not be confined to the statutory consultation.
4. The policy sets out in detail how the licensing authority will discharge its licensing functions under the Gambling Act 2005.
5. There are three licensing objectives set out in the Act, as follows:
 - Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime
 - Ensuring that gambling is conducted in a fair and open way
 - Protecting children and other vulnerable people from being harmed or exploited by gambling
6. The main area of involvement for the licensing authority is protecting the vulnerable, and the licensing policy is largely devoted to seeking to achieve this, across the range of premises licences and permits which the authority will administer.
7. The licensing authority approach to enforcement is defined.
8. The scheme of delegation that defines the responsibility for decision making, administration and enforcement is also included.

Contents

Item	Page
Summary of Local Authority Gambling Policy	2
Contents	3
Part A	
1. The licensing objectives	4
2. Introduction	4
3. Declaration	5
4. Responsible Authorities	5
5. Interested parties	6
6. Exchange of information	7
7. Enforcement	7
8. Licensing authority functions	8
Part B - Premises licences and Other issues	
1. General Principles	10
2. Premises	10
3. Location	11
4. Duplication with other regulatory regimes and licensing objectives	11
5. Licensing Objectives	11
6. Conditions	12
7. Door Supervisors	15
8. Adult Gaming Centres	15
9. (Licensed) Family Entertainment Centres	16
10. Casinos	16
11. Bingo Premises	16
12. Betting Shops	17
13. Tracks	17
14. Travelling Fairs	19
15. Provisional Statements	20
16. Reviews	20
Part C – Permits / Temporary and Occasional Use Notices	
1. Unlicensed Family Entertainment Centre gaming machine permits	21
2. (Alcohol) Licensed premises gaming machine permits	22
3. Prize Gaming Permits	23
4. Club Gaming and Club Machines Permits	24
5. Temporary Use Notices	25
6. Occasional Use Notices	25
Part D – Scheme of Delegation	
1. Administration, Exercise and Delegation of Functions	26
2. Table of Delegations of Licensing Functions	27
Appendices	
Annex 1 - Map of the Borough showing where Gambling Premises licences issued	28
Annex 2 - A list of consultees	29
Annex 3 –Consultation responses	32
Annex 4 –Gambling Best Practice Guide	34

PART A

1. The Licensing Objectives

- 1.1 In exercising most of their functions under the Gambling Act 2005, (the Act) licensing authorities must have regard to the licensing objectives as set out in section 1 of the Act. The licensing objectives are:
- Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime
 - Ensuring that gambling is conducted in a fair and open way
 - Protecting children and other vulnerable people from being harmed or exploited by gambling
- 1.2 The Gambling Commission's guidance emphasises that moral objections to gambling, or a view that it is generally undesirable are not licensing objectives and cannot inform any decisions by the licensing authority. Also neither public safety nor public nuisance are licensing objectives. These issues will largely be dealt with by the Council's Environmental Health Service
- 1.3 This authority recognises that in making decisions about premises licences and temporary use notices it should aim to permit the use of premises for gambling in so far as it thinks it is:-
- in accordance with any relevant code of practice issued by the Gambling Commission
 - in accordance with any relevant guidance issued by the Gambling Commission
 - reasonably consistent with the licensing objectives in accordance with the authorities statement of licensing policy

2 Introduction

- 2.1 The London Borough of Tower Hamlets is a single tier authority on the East side of inner London. The Borough is shown in the map in **Annex 1** where Gambling premises licences have been issued.
- 2.2 Licensing authorities are required by the Gambling Act 2005 to publish a statement of the principles that they propose to apply when exercising their functions. This statement must be published at least every three years. The statement must also be reviewed from "time to time" and any amended parts re consulted upon. The statement must be then re-published.
- 2.3 Tower Hamlets Council has consulted widely upon its policy statement before finalising and publishing it. A list of the persons and organisations

consulted is provided in **Annex 2** of the Policy adopted by the Council. We have consulted businesses, elected representatives, community and third sector organisations and responsible authorities.

- 2.4 The Gambling Act requires that the following parties are consulted by Licensing Authorities:
- The Chief Officer of Police
 - One or more persons who appear to the authority represent the interests of persons carrying on gambling businesses in the authority's area
 - One or more persons who appear to the authority to represent the interests of persons who are likely to be affected by the exercise of the authority's functions under the Gambling Act 2005.
- 2.5 The consultation took place between 18th October 2012 and 30th November 2012. The results of the consultation are summarised in **Annex 3**
- 2.6 The policy has to be approved at a meeting of the Full Council published via our website as well as being available in the Town Hall and Idea Stores.
- 2.7 It should be noted that this policy statement will not override the right of any person to make an application, make representations about an application, or apply for a review of a licence. Each will be considered on its own merits and according to the statutory requirements of the Gambling Act 2005.
- 2.8 The Licensing Authority would like to encourage the highest standards within premises that hold a licence under the Gambling Act 2005. The Licensing Authority has produced a 'Gambling Best Practice Guide' to assist both new applicants and existing operators.
- 2.9 The list of recommended measures listed in **Annex 4** is not exhaustive but gives an indication of some of the suitable measures and procedures that are expected in well managed premises.

3 Declaration

- 3.1 In producing this licensing policy the Authority has had regard to the licensing objectives of the Gambling Act 2005 and the guidance issued by the Gambling Commission. The policy has also had regard to any responses from those consulted on the policy statement.

4 Responsible Authorities

- 4.1 The licensing authority is required to state the principles it will apply to designate a body which is competent to advise the authority about the protection of children from harm. The principles are:
- the need for the body to be responsible for an area covering the whole of the licensing authority's area
 - the need for the body to be answerable to democratically elected persons, rather than any particular vested interest group
- 4.2 In accordance with the Gambling Commission's Guidance for local authorities this authority designates the Local Safeguarding Children Board for this purpose. This is the statutory body charged with coordinating the activities of organisations in Tower Hamlets who are instrumental in safeguarding and promoting the welfare of children.
- 4.3 The contact details of all the responsible authorities are found on the Council's website at www.towerhamlets.gov.uk

5 Interested parties

- 5.1 Interested parties can make representations about licence applications, or apply for a review of an existing licence. Interested parties are defined as a person who in the opinion of the licensing authority
- a) lives sufficiently close to the premises to be likely to be affected by the authorised activities,
 - b) has business interests that might be affected by the authorised activities,
 - c) represents persons who satisfy paragraph (a) or (b)
- 5.2 The licensing authority is required to state the principles it will apply in exercising its powers under the Gambling Act 2005 to determine whether a person is an interested party.
- 5.3 These principles are that :-
- Each case will be decided upon its merits.
 - This authority will not apply a rigid rule to its decision making.
 - It will consider the examples of considerations provided in the Gambling Commission's Guidance to local authorities.
 - It will also consider the Gambling Commission's advice that "business interests" should be given its widest possible meaning and includes partnerships, charities, faith groups, and medical practices.
- 5.4 The Gambling Commission has recommended that the licensing authority states that interested parties include trade associations and trade unions, and residents' and tenants' associations. This authority will not however generally view these bodies as interested parties unless they have a member who can be classed as one under the terms of the Gambling Act

2005 e.g. lives sufficiently close to the premises to be likely to be affected by the activities being applied for.

5.5 Interested parties can be persons who are democratically elected, such as Councillors and MP's. Other than these persons, this authority will require written evidence that a person 'represents' someone who either lives sufficiently close to the premises to be likely to be affected by the authorities activities and/or business interests that might be affected by the authorised activities. A letter from one of these persons, requesting the representation is sufficient.

5.6 Individuals may wish to approach Councillors to ask them to represent their views. If Councillors take on a representative role they will not be able to be part of the decision making process. If they are a member of the Committee they will withdraw for the hearing.

6 Exchange of Information

6.1 Licensing Authorities have a number of responsibilities relating to the control and exchange of information that has been gained in carrying out its duties and responsibilities under the Act.

6.2 The principle that this licensing authority applies is that it will act in accordance with the provisions of the Gambling Act 2005 in its exchange of information which includes the provision that the Data Protection Act 1998 will not be contravened.

6.3 The licensing authority will also have regard to any guidance issued by the Gambling Commission to Local Authorities on this matter when it is published, as well as any relevant regulations issued by the Secretary of State under the powers provided in the Gambling Act 2005. Any protocols that are adopted will be made available if requested.

7 Enforcement

7.1 Licensing authorities are required to state the principles to be applied by the authority in exercising the functions with respect to the inspection of premises; and the powers to institute criminal proceedings in respect of the offences committed under the Gambling Act 2005.

7.2 This Licensing Authority's general principles of enforcement are set out in its enforcement policy. In addition we will be guided by the Gambling Commission's Guidance for local authorities and we will endeavour to be:

- **Proportionate:** regulators should only intervene when necessary; Remedies should be appropriate to the risk posed, and costs identified and minimised;

- **Accountable:** regulators must be able to justify decisions, and be subject to public scrutiny;
 - **Consistent:** rules and standards must be joined up and implemented fairly;
 - **Transparent:** regulators should be open, and keep regulations simple and user friendly; and
 - **Targeted:** regulation should be focused on the problem, and minimise side effects
 - **Avoid duplication** with other regulatory regimes so far as possible.
- 7.3 This licensing authority has, as recommended by the Gambling Commission's Guidance for local authorities, adopted a risk based inspection programme.
- 7.4 The local authority does expect that premises that are licensed are aware of and keep to the terms of their licence. The Authority will take appropriate enforcement action to ensure that this is the case, and is especially concerned to ensure that the licensing objective relating to children is met in full.
- 7.5 The main enforcement and compliance role for this licensing authority will be to ensure compliance with the Premises Licences and other permissions which is authorises. The Gambling Commission will be the enforcement body for the Operator and Personal Licences. Concerns about manufacture, supply or repair of gaming machines will not be dealt with by the licensing authority but will be notified to the Gambling Commission.
- 7.6 This licensing authority also intends to monitor non-licensed gambling, and is especially concerned to stop non-destination gambling by children and young adults. Non destination gambling is where the destination is not primarily a gambling premises and is mainly visited for a different purpose. This typically (but not exclusively) involves gaming machines in premises open to the public such as public houses
- 7.7 This Licensing Authority will continue to keep informed of developments with the work from Central Government and sister organisations on the principles of Better Regulation Executive in its consideration of the regulatory functions
- 7.8 Bearing in mind the principle of transparency, this licensing authority's enforcement/compliance protocols/written agreements will be available upon request to the licensing department and on the Council's web site. Our risk methodology will also be available upon request. (A charge may be made for hard copies).
- 7.9 The authority recognises that bookmakers and other operators may have a number of premises within its area. In order to ensure that compliance

issues are recognised and dealt with at the earliest possible stage, operators are requested to give the authority a single named contact., who should be a senior individual, and whom the authority will contact first should any compliance queries or issues arise. The authority however, reserves the right to institute proceedings, or take other action as necessary and consistent with its general policies.

8 Licensing Authority Functions

8.1 Licensing Authorities are required under the Act to:

- Be responsible for the licensing of premises where gambling activities are to take place by issuing Premises Licences
- Issue Provisional Statements ("in principle" licences where premises are not yet developed)
- Regulate members' clubs and miners' welfare institutes who wish to undertake certain gaming activities via issuing Club Gaming Permits and/or Club Machine Permits
- Issue Club Machine Permits to Commercial Clubs (Commercial Clubs are member clubs that operate on a "for profit" basis)
- Grant permits for the use of certain lower stake gaming machines at unlicensed Family Entertainment Centres (Premises where low level gambling is permitted for children)
- Receive notifications from alcohol licensed premises (under the Licensing Act 2003) for the use of two or fewer gaming machines
- Grant Licensed Premises Gaming Machine Permits for premises licensed to
- sell/supply alcohol for consumption on the licensed premises, under the Licensing Act 2003, where more than two machines are required
- Register small society lotteries below prescribed thresholds
- Issue Prize Gaming Permits
- Receive and Endorse Temporary Use Notices
- Receive Occasional Use Notices
- Provide information to the Gambling Commission regarding details of licences issued (see section above on 'information exchange')
- Maintain registers of the permits and licences that are issued under these functions

8.2 This list may be added to on the advice of the Gambling Commission

8.3 Local licensing authorities will not be involved in licensing remote gambling. (Remote gambling is via the internet or interactive television). This will fall to the Gambling Commission via Operator Licences.

PART B - Premises Licences and other matters

1 General Principles

- 1.1 Premises licences will be subject to the requirements set out in the Gambling Act 2005 and regulations, as well as specific mandatory and default conditions which will be detailed in regulations issued by the Secretary of State. Licensing authorities are able to exclude default conditions and also attach others, where it is believed to be appropriate.

2 Premises

- 2.1 Premises are defined in the Act as “any place”. Different premises licences cannot apply in respect of a single premises at different times. However it is possible for a single building to be subject to more than one premises licence provided they are for different parts of the building. Different parts of the building can reasonably be regarded as separate premises will always be a question of fact in the circumstances. However areas of a building that is artificially or temporarily separate can be properly regarded as different premises.
- 2.2 This licensing authority will take particular note of the Gambling Commission’s Guidance to local authorities that: -
- "Licensing authorities should take particular care in considering applications for multiple licences for a building and those relating to a discrete part of a building used for other (non-gambling) purposes. In particular they should be aware that entrances and exits from parts of a building covered by one or more licences should be separate and identifiable so that the separation of different premises is not compromised and that people do not “drift” into a gambling area"
 - "Licensing authorities should pay particular attention to applications where access to the licensed premises is through other premises (which themselves may be licensed or unlicensed), especially if this raises issues in relation to children. There will be specific issues that authorities should consider where children can gain access; compatibility of the two establishments; and ability to comply with the requirements of the Act. But, in addition an overriding consideration should be whether, taken as a whole, the co-location of the licensed premises with other facilities has the effect of creating an arrangement that otherwise would, or should, be prohibited under the Act."
- 2.3 An applicant cannot obtain a full premises licence until the premises in which it is proposed to offer the gambling are constructed. The Gambling Commission has advised that reference to “the premises” are to the

premises in which gambling may now take place. Thus a licence to use premises for gambling will only be issued in relation to premises that are ready to be used for gambling. This authority agrees with the Gambling Commission that it is a question of fact and degree whether premises are finished to a degree that they can be considered for a premises licence. The Gambling Commission emphasises that requiring the building to be complete ensure that the authority can, if necessary, inspect it fully, as can other responsible authorities with inspection rights.

3 Location

- 3.1 This licensing authority is aware that demand issues (for example whether or not there is sufficient customer demand to make a site commercially viable) cannot be considered with regard to the location of premises but that considerations in terms of the licensing objectives can. In line with the Gambling Commission's Guidance for local authorities, this authority will pay particular attention to the protection of children and vulnerable persons from being harmed or exploited by gambling, as well as issues of crime and disorder.
- 3.2 It is the licensing authorities' view that premises should not normally be licensed which are close to schools, playgrounds, or other educational establishments such as museums. However any such policy does not preclude any application being made and each application will be decided on its merits, with the onus upon the applicant showing how the concerns can be overcome.

4 Duplication with other regulatory regimes and licensing objectives

- 4.1 This authority will seek to avoid any duplication with other statutory / regulatory systems where possible, including planning. This authority will not consider whether a licence application is likely to be awarded planning or building consent, in its consideration of it. This authority will though listen to, and consider carefully, any concerns about conditions which are not able to be met by licensees due to planning restrictions, should such a situation arise.

5 Licensing Objectives

- 5.1 Premises licences granted must be reasonably consistent with the licensing objectives. With regard to these objectives, this licensing authority has considered the Gambling Commission's Guidance to local authorities and some comments are made below.
- 5.2 *Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime.*
This licensing authority is aware that the Gambling Commission will be taking a leading role in preventing gambling from being a source of crime.

The Gambling Commission's Guidance does however envisage that licensing authorities should pay attention to the proposed location of gambling premises in terms of this licensing objective. Thus, where an area has known high levels of organised crime this authority will consider carefully whether gambling premises are suitable to be located there and whether conditions may be suitable such as the provision of door supervisors. This licensing authority is aware of the distinction between disorder and nuisance and will consider factors such as whether police assistance was required and how threatening the behaviour was to those who could see it, so as to make that distinction. Issues of nuisance cannot be addressed via the Gambling Act provisions. These will be addressed by the relevant regulatory authority e.g. Environmental Health.

- 5.3 Ensuring that gambling is conducted in a fair and open way. This licensing authority has noted that ensuring that gambling is conducted in a fair and open way is a matter for the Gambling Commission. This will not be the case if the licensing authority becomes involved in licensing betting track operators.
- 5.4 Protecting children and other vulnerable persons from being harmed or exploited by gambling. This licensing authority has noted the Gambling Commission Guidance to local authorities that this objective means preventing children from taking part in gambling (as well as restriction of advertising so that gambling products are not aimed at or are, particularly attractive to children). The licensing authority will therefore consider, as suggested in the Gambling Commission's Guidance, whether specific measures are required at particular premises, with regard to this licensing objective. Appropriate measures may include supervision of entrances/machines, segregation of areas.
- 5.5 This licensing authority will also make itself aware of the Codes of Practice which the Gambling Commission issues as regards this licensing objective, in relation to specific premises such as casinos.
- 5.6 As regards the term "vulnerable persons" it is noted that the Gambling Commission is not seeking to offer a definition but states that "it will for regulatory purposes assume that this group includes people who gamble more than they want to; people who gambling beyond their means; and people who may not be able to make informed or balanced decisions about gambling due to a mental impairment, alcohol or drugs." This licensing authority will consider this licensing objective on a case by case basis. Should a practical definition prove possible in future then this policy statement will be updated with it, by way of a revision.

6 Conditions

- 6.1 Any conditions attached to licences will be proportionate and will be:

- relevant to the need to make the proposed building suitable as a gambling facility
 - directly related to the premises and the type of licence applied for;
 - fairly and reasonably related to the scale and type of premises: and
 - reasonable in all other respects.
- 6.2 Decisions upon individual conditions will be made on a case by case basis, although there will be a number of control measures, this licensing authority will consider utilising should there be a perceived need, such as the use of door supervisors, supervision of adult gaming machines, appropriate signage for adult only areas.
- 6.3 There are specific comments made in this regard under each of the licence types below. This licensing authority will also expect the licence applicant to offer his/her own suggestions as to way in which the licensing objectives can be met effectively. The licensing authority will consider the following specific measures in relation to all licensed premises, to the extent that they are relevant to a specific application:
- Leaflets aimed at giving assistance to problem gamblers clearly displayed in prominent areas and also more discreet areas such as toilets
 - Self exclusion forms available
 - The odds clearly displayed on all fixed odds machines
 - All ATM or other cash terminals to be separate from gaming machines, so that clients have to leave the machines for more funds as required. They should also display stickers with GamCare (or replacement organisation) Helpline information prominently displayed.
 - There must be clear visible signs of any age restrictions in any gaming or betting establishments. Entrances to gambling and betting areas must be well supervised and age verification vetting operated.
 - Posters with details of GamCare's (or replacement organisation) telephone number and website

The above list is not exhaustive.

- 6.4 This licensing authority will also consider specific measures which may be required for buildings which are subject to multiple premises licences. Such measures may include the supervision of entrances; segregation of Gambling from non-gambling areas frequented by children; and the supervision of gaming machines in non-adult gambling specific premises

in order to pursue the licensing objectives. These matters are in accordance with the Gambling Commission's Guidance.

- 6.5 This authority will also ensure that where category C or above machines are on offer in premises to which children are admitted:
- all such machines are located in an area of the premises which is separated from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance;
 - only adults are admitted to the area where these machines are located;
 - access to the area where the machines are located is supervised the area where these machines are located is arranged so that it can be observed by the staff or the licence holder; and
 - at the entrance to and inside any such areas there are prominently displayed notices indicating that access to the area is prohibited to persons under 18.
- 6.6 These considerations will apply to premises including buildings where multiple premises licences are applicable.
- 6.7 This licensing authority is aware that betting tracks may be subject to one or more than one premises licence, provided each licence relates to a specified area of the track. As per the Gambling Commission's Guidance, this licensing authority will consider the impact upon the third licensing objective and the need to ensure that entrances to each type of premises are distinct and that children are excluded from gambling areas where they are not permitted to enter.
- 6.8 It is recognised that there are conditions which the licensing authority cannot attach to premises licences which are:
- any condition on the premises licence which makes it impossible to comply with an operating licence condition
 - conditions relating to gaming machine categories, numbers, or method of operation;
 - conditions which provide that membership of a club or body be required (the Gambling Act 2005 specifically removes the membership requirement for casino and bingo clubs and this provision prevents it being reinstated) and
 - conditions in relation to stakes, fees, winning or prizes
 - Applicants will however need to demonstrate social responsibility and adhere to best practice in the protection of the vulnerable

7 Door Supervisors

- 7.1 The Gambling Commission advises in its Guidance for local authorities that licensing authorities may consider whether there is a need for door supervisors in terms of the licensing objectives of protection of children and vulnerable persons from being harmed or exploited by gambling, and also in terms of preventing premises becoming a source of crime.
- 7.2 The Private Security Industry Act 2001 exempts door supervisors for casinos and bingo halls from requiring a Door Supervisors Licence. Irrespective of the provision this authority will require door supervisors used at these premises to be licensed.
- 7.3 For other premises, where supervision of entrances/machines is appropriate any requirements for door supervisors or others will be on a case by case basis. In general betting offices will not require door supervisors for the protection of the public. A door supervisor will only be required if there is clear evidence that the premises cannot be adequately supervised from the counter and that door supervision is both necessary and proportionate.

8 Adult Gaming Centres

- 8.1 This licensing authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the authority that there will be sufficient measures to ensure that under 18 year olds do not have access to the premises.

Appropriate licence conditions may cover issues such as:

- Proof of age schemes
 - CCTV
 - Door supervisors
 - Supervision of entrances / machine areas
 - Physical separation of areas
 - Location of entry
 - Notices / signage
 - Specific opening hours
 - Self-barring schemes
 - Provision of information leaflets/ helpful numbers for organisations such as GamCare
- 8.2 This list is neither mandatory nor exhaustive, and is merely indicative.

9 (Licensed) Family Entertainment Centres:

9.1 This licensing authority will specifically have regard to the need to protect children and vulnerable persons from harm or being exploited by gambling and will expect the applicant to satisfy the authority that there will be sufficient measures to ensure that under 18 year olds do not have access to the adult only gaming machine areas. Appropriate licence conditions may cover issues such as:

- Proof of age schemes
- CCTV
- Door supervisors
- Supervision of entrances / machine areas
- Physical separation of areas
- Location of entry
- Notices / signage
- Specific opening hours
- Self barring schemes
- Provision of information leaflets/ helpful numbers for organisations such as GamCare
- Measures/training for staff on how to deal with suspected truant school children on the premises

9.2 This list is not mandatory, nor exhaustive, is it merely indicative.

9.3 This licensing authority will, in accordance with the Gambling Commission's guidance, refer to the Commission's website to see any conditions that apply to operator licences covering the way in which the area containing the category C. Category C machines give a higher payout than children are permitted to use should be delineated. This licensing authority will also make itself aware of any mandatory or default conditions on these premises licences, when they have been published.

10 Casinos

10.1 This licensing authority has not passed a 'no casino' resolution under Section 166 of the Gambling Act 2005, but is aware that it has the power to do so. Should this licensing authority decide in the future to pass such a resolution, it will update this policy statement with details of that resolution. The resolution will be a resolution of the Full Council, following considered debate, and the reasons for making the resolution will be given at the time.

11 Bingo premises

11.1 This licensing authority recognises that the Gambling Commission's Guidance states:

"It is important that if children are allowed to enter premises licensed for bingo that they do not participate in gambling, other than on category D machines. Where category C or above machines are available in premises to which children are admitted licensing authorities should ensure that::

- all such machines are located in an area of the premises separate from the remainder of the premises by a physical barrier which is effective to prevent access other than through a designated entrance;
- only adults are admitted to the area where the machines are located;
- access to the area where the machines are located is supervised;
- the area where the machines are located is arranged so that it can be observed by staff of the operator or the licence holder; and
- at the entrance to, and inside any such area there are prominently displayed notices indicating that access to the area is prohibited to persons under 18."

11.2 This licensing authority is aware that the Gambling Commission is going to issue further guidance about the particular issues that licensing authorities should take into account in relation to the suitability and layout of bingo premises. This guidance will be considered by this licensing authority once it is made available.

12 Betting Premises

12.1 Betting Machines - This licensing authority will have regard to the Gambling Commission's Guidance, take into account the size of the premises, the number of counter positions available for person-to-person transactions, and the ability of staff to monitor the use of the machines by children and young persons (it is an offence for those under 18 to bet) or by vulnerable people, when considering the number/nature/circumstances of betting machines an operator wants to offer.

13 Tracks – (This section refers to where racing takes place, such as horse or greyhound racing) and other matters

13.1 This licensing authority is aware that tracks may be subject to one or more than one premises licence, provided each licence relates to a specified area of the track. In accordance with the Gambling Commission's Guidance, this licensing authority will especially consider the impact upon the third licensing objective (i.e. the protection of children and vulnerable persons from being harmed or exploited by gambling) and the need to ensure that entrances to each type of premises are distinct and that children are excluded from gambling areas where they are not permitted to enter.

- 13.2 This authority will therefore expect the premises licence applicant to demonstrate suitable measures to ensure that children do not have access to adult only gaming facilities. It is noted that children and young persons will be permitted to enter track areas where facilities for betting are provided on days when dog racing and/or horse racing takes place, but that they are still prevented from entering areas where gaming machines (other than category D machines) are provided
- 13.3 This licensing authority will expect applicants to offer their own measures to meet the licensing objectives however appropriate measures / licence conditions may cover issues such as:
- Proof of age schemes
 - CCTV
 - Supervision of entrances / machine areas
 - Physical separation of areas
 - Location of entry
 - Notices / signage
 - Specific opening hours
 - Self-barring schemes
 - Provision of information leaflets / helpline numbers for organisations such as GamCare
- 13.4 This list is not mandatory, nor exhaustive, and is merely indicative of example measures.
- 13.5 Gaming machines - Further guidance from the Gambling Commission is awaited as regards where such machines may be located on tracks and any special considerations that should apply in relation, for example, to supervision of the machines and preventing children from playing them. This licensing authority notes the Commission's Guidance that licensing authorities therefore need to consider the location of gaming machines at tracks, and applications for track premises licences will need to demonstrate that, where the applicant holds a pool betting operating licence and is going to use their entitlement to four gaming machines, these machines are located in areas from which children are excluded. Children and young people are not prohibited from playing category D gaming machines on a track.
- 13.6 Betting machines - This licensing authority will, having regard to the Gambling Commission's Guidance, take into account the size of the premises and the ability of staff to monitor the use of the machines by children and young persons (it is an offence for those under 18 to bet) or by vulnerable people, when considering the number /nature / circumstances of betting machines an operator wants to offer. It will also take note of the Gambling Commission's suggestion that licensing

authorities will want to consider restricting the number and location of such machines in respect of applications for track betting premises licences.

- 13.7 Condition on rules being displayed - The Gambling Commission has advised in its Guidance for local authorities that “licensing authorities should attach a condition to track premises licences requiring the track operator to ensure that the rules are prominently displayed in or near the betting areas, or that other measures are taken to ensure that they are made available to the public. For example, the rules could be printed in the race-card or made available in leaflet form from the track office.”
- 13.8 Applications and plans - This licensing authority awaits regulations setting-out any specific requirements for applications for premises licences but is in accordance with the Gambling Commission’s suggestion “To ensure that licensing authorities gain a proper understanding of what they are being asked to license they should, in their licensing policies, set out the information that they will require, which should include detailed plans for the racetrack itself and the area that will be used for temporary “on-course” betting facilities (often known as the “betting ring”) and in the case of dog tracks and horse racecourses fixed and mobile pool betting facilities operated by the Tote or track operator, as well as any other proposed gambling facilities.” And that “Plans should make clear what is being sought for authorisation under the track betting premises licence and what, if any, other areas are to be subject to a separate application for a different type of premises licence.”
- 13.9 This licensing authority also notes that in the Commission’s view that it would be preferable for all self-contained premises operated by off-course betting operators on track to be the subject of separate premises licences, to ensure that there is clarity between the respective responsibilities of the track operator and the off-course betting operator running a self-contained unit on the premises.

14 Travelling Fairs

- 14.1 It will fall to this licensing authority to decide whether, and where category D machines and / or equal chance prize gaming without a permit is to be made available for use at travelling fairs, provided that the statutory requirement that the facilities for gambling amount to no more than an ancillary amusement at the fair is met.
- 14.2 The licensing authority will expect applicants to show how they will meet the licensing objectives, in particular in relation to children and young persons.
- 14.3 The licensing authority will also consider whether the applicant falls within the statutory definition of a travelling fair.

14.4 It has been noted that the 27-day statutory maximum for the land being used as a fair, is per calendar year, and that it applies to the piece of land on which the fairs are held, regardless of whether it is the same or different travelling fairs occupying the land. This licensing authority will work with its neighbouring authorities to ensure that land which crosses our boundaries is monitored so that the statutory limits are not exceeded.

15 Provisional Statements ("in principle" licences where premises are not yet developed)

15.1 This licensing authority notes the Guidance for the Gambling Commission which states that "It is a question of fact and degree whether premises are finished to a degree that they can be considered for a premises licence" and that "Requiring the building to be complete ensures that the authority could if necessary inspect it fully".

15.2 In terms of representations about premises licence applications, following the grant of a provisional statement, no further representations from relevant authorities or interested parties can be taken into account unless they concern matters which could not have been addressed at the provisional statement stage, or they reflect a change in the applicant's circumstances.

15.3 In addition, the authority may refuse the premises licence (or grant it on terms different to those attached to the provisional statement) only by reference to matters: -

(a) which could not have been raised by objectors at the provisional licence stage; or

(b) which is in the authority's opinion reflect a change in the operator's circumstances.

16 Reviews:

16.1 Requests for a review of a premises licence can be made by interested parties or responsible authorities, however, it is for the licensing authority to decide whether the review is to be carried-out. This will be on the basis of whether the request for the review is relevant to the matters listed below, as well as consideration as to whether the request is frivolous, vexatious, will certainly not cause this authority to wish alter/revoke/suspend the licence, or whether it is substantially the same as previous representations or requests for review.

- in accordance with any relevant code of practice issued by the Gambling Commission;
- in accordance with any relevant guidance issued by the Gambling Commission;

- reasonably consistent with the licensing objectives; and
- in accordance with the authority’s statement of licensing policy.
- The licensing authority can also initiate a review of a licence on the basis of any reason which it thinks is appropriate.

PART C - Permits / Temporary & Occasional Use Notice

1 Unlicensed Family Entertainment Centre Gaming Machine Permits

- 1.1 Where premises do not hold a premises licence but wishes to provide gaming machines, it may apply to the licensing authority for this permit. It should be noted that the applicant must show that the premises will be wholly or mainly used for making gaming machines available for use
- 1.2 A licensing authority may prepare a statement of principles that they propose to consider in determining the suitability of an applicant for a permit and in preparing this statement, and/or considering applications, it need not (but may) have regard to the licensing objectives and shall have regard to any relevant guidance issued by the Commission
- 1.3 The Gambling Commission’s Guidance for local authorities also states: “In their three year licensing policy statement, licensing authorities may include a statement of principles that they propose to apply when exercising their functions in considering applications for permit. Licensing authorities will want to give weight to child protection issues.”
- 1.4 Guidance also states: “An application for a permit may be granted only if the licensing authority is satisfied that the premises will be used as an unlicensed Family Entertainment Centres, and if the chief officer of police has been consulted on the application. Licensing authorities might wish to consider asking applicants to demonstrate:
- a full understanding of the maximum stakes and prizes of the gambling that is permissible in unlicensed Family Entertainment Centres;
 - that the applicant has no relevant convictions and
 - that staff are trained to have a full understanding of the maximum stakes and prizes.
- 1.5 It should be noted that a licensing authority cannot attach conditions to this type of permit.

- 1.6 Statement of Principles - This licensing authority will expect the applicant to show that there are policies and procedures in place to protect children from harm. Harm in this context is not limited to harm from gambling but includes wider child protection considerations. The efficiency of such policies and procedures will each be considered on their merits, however, they may include appropriate measures / training for staff as regards suspected truant school children on the premises, measures / training covering how staff would deal with unsupervised very young children being on the premises, or children causing perceived problems on / around the premises. Location will also be expected to be dealt with, and it is the licensing authorities view that premises should not normally be licensed which are close to schools, playgrounds, or other educational establishments such as museums and places of worship.
- 1.7 This licensing authority will also expect that applicants demonstrate a full understanding of the maximum stakes and prizes of the gambling that is permissible in unlicensed Family Entertainment Centres; that the applicant has no relevant convictions and that staff are trained to have a full understanding of the maximum stakes and prizes.

2 (Alcohol) Licensed premises gaming machine permits

- 2.1 There is provision in the Act for premises licensed to sell alcohol for consumption on the premises, to automatically have 2 gaming machines, of categories C and/or D. Full definitions of the Gaming Machine Categories can be found on the Councils website; www.towerhamlets.gov.uk. The premises merely need to notify the licensing authority. In relation to all applications the licensing authority will use nationally recommended forms from LACORS as far as possible. The licensing authority can remove the automatic authorisation in respect of any particular premises if:
- provision of the machines is not reasonably consistent with the pursuit of the licensing objectives;
 - gaming has taken place on the premises that breaches a condition of section 282 of the Gambling Act (i.e. that written notice has been provided to the licensing authority, that a fee has been provided and that any relevant code of practice issued by the Gambling Commission about the location and operation of the machine has been complied with);
 - the premises are mainly used for gaming; or
 - an offence under the Gambling Act has been committed on the premises.

- 2.2 If a premises wishes to have more than 2 machines, then it needs to apply for a permit and the licensing authority must consider that application based upon the licensing objectives, any guidance issued by the Gambling Commission issued under Section 25 of the Gambling Act 2005, and “such matters as they think relevant..” The licensing authority will require that an application for more than two machines is considered against the above and the matters in 2.3 below before it is granted or refused.
- 2.3 This licensing authority considers that “such matters” will be decided on a case by case basis but generally there will be regard to the need to protect children and vulnerable persons from harmed or being exploited by gambling and will expect the applicant to satisfy the authority that there will be sufficient measures to ensure that under 18 year olds do not have access to the adult only gaming machines. Measures which will satisfy the authority that there will be no access may include the adult machines being in sight of the bar, or in the sight of staff that will monitor that the machines are not being used by those under 18. Notices and signage may also be help.
- 2.4 As regards the protection of vulnerable persons applicants may wish to consider the provision of information leaflets / helpline numbers for organisations such as GamCare.
- 2.5 It is recognised that some alcohol licensed premises may apply for a premises licence for their non-alcohol licensed areas. Any such application would most likely need to be applied for, and dealt with as an Adult Gaming Centre premises licence.
- 2.6 The licensing authority can decide to grant the application with a smaller number of machines and/or a different category of machines than that applied for conditions (other than these) cannot be attached.
- 2.7 The holder of a permit must comply with any Code of Practice issued by the Gambling Commission about the location and operation of the machine.

3 Prize Gaming Permits

- 3.1 The licensing authority may “prepare a statement of principles that they propose to apply in exercising their functions under this Schedule” which “may, in particular, specify matters that the licensing authority propose to consider in determining the suitability of the applicant for a permit”.

- 3.2 This licensing authority has prepared a Statement of Principles which is that the applicant should set out the types of gaming that he or she is intending to offer and that the applicant should be able to demonstrate:
- that they understand the limits to stakes and prizes that are set out in Regulations;
 - and that the gaming offered is within the law.
- 3.3 In making its decision on an application for this permit the licensing authority does not need to have regard to the licensing objectives but must have regard to any Gambling Commission guidance.
- 3.4 It should be noted that there are conditions in the Gambling Act 2005 by which the permit holder must comply, but that the licensing authority cannot attach conditions. The conditions in the Act are:
- the limits on participation fees, as set out in regulations, must be complied with;
 - all chances to participate in the gaming must be allocated on the premises on which the gaming is taking place and on one day; the game must be played and completed on the day the chances are allocated; and the result of the game must be made public in the premises on the day that it is played;
 - the prize for which the game is played must not exceed the amount set out in regulations (if a money prize), or the prescribed value (if non-monetary prize); and
 - participation in the gaming must not entitle the player to take part in any other gambling.

4 Club Gaming and Club Machines Permits

- 4.1 Members Clubs and Miners' welfare institutes (but not Commercial Clubs) may apply for a Club Gaming Permit or a Clubs Gaming machines permit. The Club Gaming Permit will enable the premises to provide gaming machines (3 machines of categories B, C or D), equal chance gaming and games of chance as set-out in forthcoming regulations.
- 4.2 A Club Gaming machine permit will enable the premises to provide gaming machines (3 machines of categories B, C or D).
- 4.3 Gambling Commission Guidance states: "Members clubs must have at least 25 members and be established and conducted "wholly or mainly" for purposes other than gaming, unless the gaming is permitted by separate regulations. It is anticipated that this will cover bridge and whist clubs, which will replicate the position under the Gaming Act 1968. A members' club must be permanent in nature, not established to make commercial profit, and controlled by its members equally. Examples include working

men's clubs, branches of Royal British Legion and clubs with political affiliations.”

4.4 The Commission Guidance also notes that “licensing authorities may only refuse an application on the grounds that:

- a) the applicant does not fulfil the requirements for a members' or commercial club or miners' welfare institute and therefore is not entitled to receive the type of permit for which it has applied;
- b) the applicant's premises are used wholly or mainly by children and/or young persons;
- c) an offence under the Act or a breach of a permit has been committed by the applicant while providing gaming facilities;
- d) a permit held by the applicant has been cancelled in the previous ten years; or
- e) an objection has been lodged by the Commission or the police.

4.5 There is also a 'fast-track' procedure available under the Act for premises which hold a Club Premises Certificate under the Licensing Act 2003 (Schedule 12 paragraph 10). As the Gambling Commission's Guidance for local authorities states: “Under the fast-track procedure there is no opportunity for objections to be made by the Commission or the police, and the ground upon which an authority can refuse a permit are reduced.” And “The grounds on which an application under the process may be refused are:

- (a) that the club is established primarily for gaming, other than gaming prescribed under schedule 12;
- (b) that in addition to the prescribed gaming, the applicant provides facilities for other gaming; or
- (c) that a club gaming permit or club machine permit issued to the applicant in the last ten years has been cancelled.”

4.6 There are statutory conditions on club gaming permits that no child uses a category B or C machine on the premises and that the holder complies with any relevant provision of a code of practice about the location and operation of gaming machines.

5 Temporary Use Notices

5.1 The granting of a temporary use notice allows premises without a premises licence to be used by a gambling operator temporarily to provide facilities for gambling

- 5.2 Licensing authorities are being asked to be mindful of the restrictions that allow premises to be licensed for at the most 21 days per year under Temporary Use Notices
- 5.3 It is possible to licence part of a building or set of premises if the location can be rightfully regarded as being separate in terms of ownership, occupation and control.
- 5.4 This authority will object to a Temporary Use Notice application if it appears that regular gambling is taking place in locations that could be described as one set of premises.

6 Occasional Use Notices

- 6.1 Occasional Use Notices relate to occasional "track" uses. Betting Track is usually thought of as horse or dog racing. These notices will be for events like point to points on agricultural land.
- 6.2 The licensing authority has very little discretion as regards these notices aside from ensuring that the statutory limit of 8 days in a calendar year is not exceeded. This licensing authority will though consider the definition of a 'track' and whether the applicant is permitted to avail him/herself of the notice.

PART D

1 Administration, Exercise and Delegation of Functions

- 1.1 The Council will be involved in a wide range of licensing decisions and functions and has established a Licensing Committee to administer them.
- 1.2 Appreciating the need to provide a speedy, efficient and cost-effective service to all parties involved in the licensing process, the Committee has delegated certain decisions and functions and has established a number of Sub-Committees to deal with them.
- 1.3 Further, with many of the decisions and functions being purely administrative in nature, the grant of non-contentious applications where no representations have been made has been delegated to Council Officers. All such matters dealt with by Officers will be reported for information and comment only to the next Committee meeting. The decisions cannot be reversed.
- 1.4 The following Table sets out the agreed delegation of decisions and functions to Licensing Committee, Sub-Committees and Officers.

- 1.5 This form of delegations is without prejudice to Officers referring an application to a Sub-Committee, or a Sub-Committee to Full Committee, if considered appropriate in the circumstances of any particular case.

1 TABLE OF DELEGATIONS OF LICENSING FUNCTIONS

MATTER TO BE DEALT WITH	BY WHOM
Three year licensing policy (responsibility shared with Cabinet) Policy to permit or not to permit casinos	THE FULL COUNCIL
Fee Setting- (but when appropriate Corporate Director) Application - for a premises licence, variation of a premises licence, transfer of a premises licence, application for a provisional statement in connection with a premises, in all cases where representations have been received and not withdrawn. Review- of a premises licence. Application for, or cancellation of club gaming /club machine permits where representations have been received and not withdrawn Decision to give a counter notice to a temporary use notice	LICENSING COMMITTEE/ SUB-COMMITTEE
For a premises licence, variation of a premises licence, transfer of a premises, application for a provisional statement in connection with a premises, in all cases where no representations have been received/ or representations have been withdrawn. Application for a club gaming machine/ club machine permit where no representations received/ representations have been withdrawn. Applications for other permits Cancellation of licensed premises gaming machine permits Consideration of temporary use notice	OFFICERS

Annexes

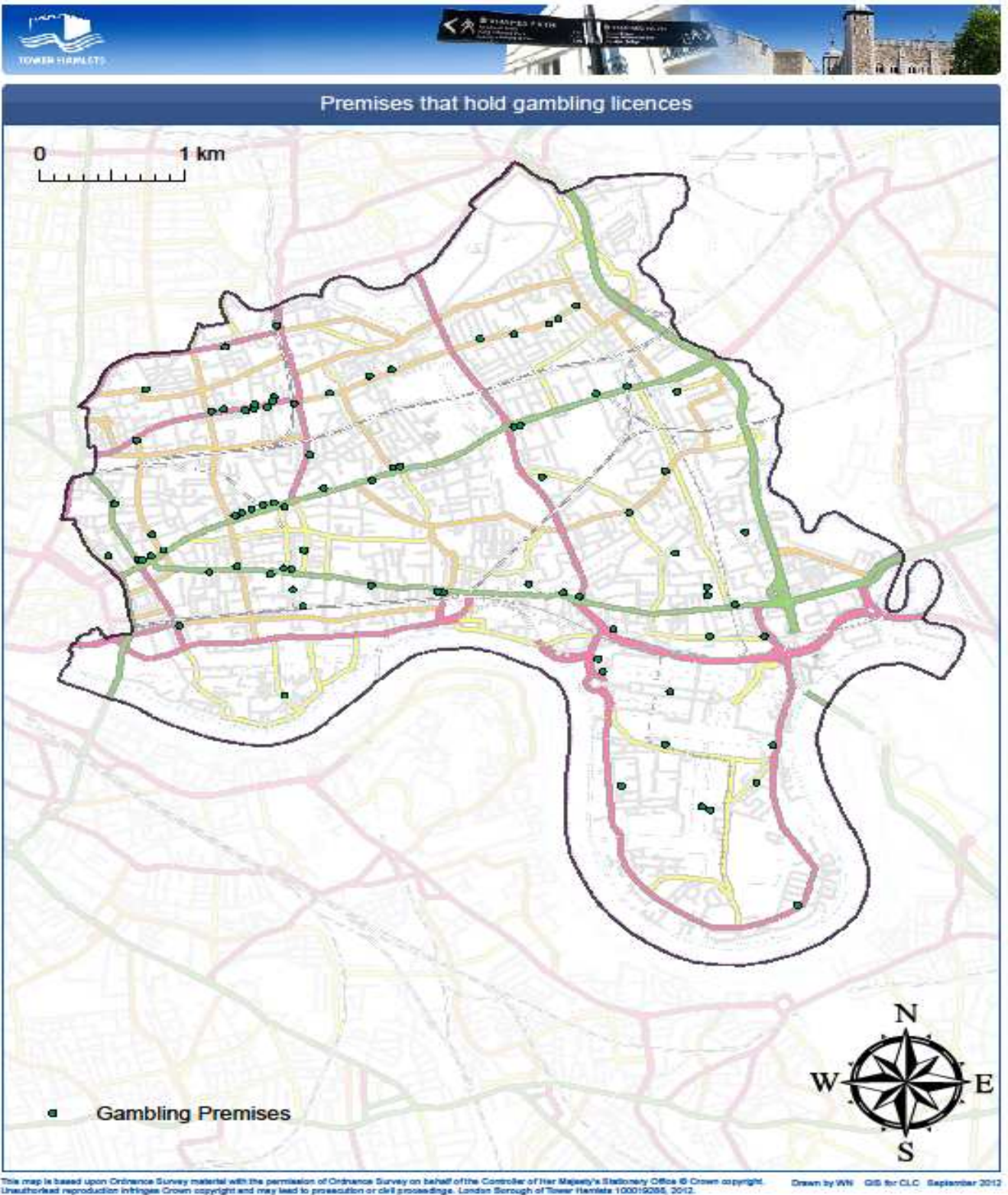
Annex 1 Map of London Borough of Tower Hamlets showing where Gambling Premises Licences have been issued

Annex 2 Details of those consulted.

Annex 3 Results of Consultation

Annex 1

Map of Tower Hamlets showing Gambling Premises Licences issued



Annex 2

List of consultees:

Authorities/Bodies

The Gambling Commission
Metropolitan Police Service
Her Majesty's Revenue & Customs
Directorate of Development & Renewal
London Fire & Emergency Planning Authority
c/o The Maritime & Coastguard Agency
Jane Cook CPRS Unit
British Waterways Board
The Environment Agency
NSPCC
Tower Hamlets Primary Care Trust
Young Mayor and Youth Panel
Inter Faith Forum
Schools
Adults Safeguarding Board
Community Safety Partnership

Gambling Support Services

GamCare
Gamblers Anonymous
Responsibility in Gambling Trust

Businesses

Agora Betting (UK) Ltd
Arcade Shop
Bet Share Racing
Betex
Betfred Ltd
Better
Betting Shop Services Ltd
Canary Wharf Sports Exchange Ltd
Carousel Amusements
Cashino
Collins Bookmakers
Coral Racing Ltd
Frankice (Golders Green) Ltd
Gala Coral Group
Gold Room

Grove Leisure Ltd
Joe Jennings Bookmakers Ltd
Ladbrokes Betting & Gambling Ltd
Leisure World (UK) Ltd
Lucky 8 Limited
Paddy Power Limited
Quicksilver Limited
Roar Betting
Roma
Shirt Hot Limited
Talarius Ltd
Tote Bookmakers
TWL Holdings Limited
Two Way Media Ltd
William Claridge Ltd
William Hill Organisation Ltd

Licensing Committee Members

Cllr Carli Harper-Penman
Cllr Rajib Ahmed
Cllr Khaled Uddin Ahmed
Cllr Lutfu Begum
Cllr Mizanur Chaudhury
Cllr Marc Francis
Cllr Peter Golds
Cllr Sirajul Islam
Cllr Denise Jones
Cllr Gulam Robbani
Cllr Amy Whitelock
Cllr David Snowdon

Housing Associations

A 2 Dominion Housing
Eastend Homes
Gateway Housing
Mitali Housing Association
One Housing Group
Poplar Harca
Peabody Housing Association
Spitalfields Housing Association
Tower Hamlets Community Housing
Tower Hamlets Homes
Oxford House
Industrial Dwellings Society
Karin Housing Association

Look Ahead Housing Care
Newlon
Old Ford Housing Association
Peter Bedford Housing Association
Reside Housing Association Ltd
South Poplar and Limehouse Action for Secure
Housing
St Margarets House Settlement
The Kipper Project

Annex 3

Consultation Comments

Consulted	Comment	Response
Lee Daly Old Ford Housing Association	The policy is comprehensive and covers all areas of concern	Noted Action: None
Chris Lovitt NHS Tower Hamlets	A review has been undertaken by NHS Tower Hamlets in relation to problem gambling. The main points made covered: Monitoring Gambling premises, monitoring advertising, assessing the impact on the quality of life, foster a research agenda, adopt harm reduction via health authorities intervention.	NHS Tower Hamlets provided a comprehensive review of macro issues relating to gambling. The majority of issues covered were out of the scope of the Policy however, agreement has been made for the Council and public Health to review and work to an agreed agenda to address some of the issued outlined in the response. Action: Monitoring of Gambling premises is part of the Service Planning process.
Jane Cooke – Child Protection Reviewing Service	Should there be a definition of ‘close to schools. Playgrounds or other educational establishments such as museums and places of worship’	The Gambling Commission Policy requires children and vulnerable groups to be considered only. The licence consultation process could be restrictive if specific distances were imposed. Any application that has an representation made against it will be referred to the Licensing Sub-Committee
John Rutherford Adult Safe Guarding Board	The major issue from our perspective would be having safeguards that protect adults without	Noted: the policy requires vulnerable groups to be protected.

	mental capacity from getting into situations of financial difficulties	
Member Consultation	Good Practice Guide for businesses to follow	Introduction of Annex 4 the Gambling Best Practice Guide

Annex 4: Gambling Best Practice Guide

We expect all Gambling premises in the Borough to carry out the measures listed in this Best Practice Guide along with the measures detailed in the main Policy. This guide is about businesses that promote gambling have the responsibility in protecting the vulnerable who may be exposed by their activities.

- All premises to hold and maintain a log of incidences and the handling of problem gambling that occur in the premises. This information should be shared with Licensing Officers on request. Relevant data that should be held include the date and a short description of the intervention in relation to voluntary/mandatory exclusions and whether individuals have tried to gain entry, attempts of those that are underage to gain entry whether with an adult or not. Any incident requiring an intervention from staff
- Staff should be aware on how to tackle irresponsible gambling and have sufficient knowledge on how to promote responsible gambling. Be able to signpost customers to support services with respect to problem gambling, financial management and debt advice. Leaflets on how to identify problem gambling should available for customers in the premises.
- Staff should be aware of the importance of social responsibility, the causes and consequences of problem gambling, intervention with vulnerable persons, dealing with the exclusion of problem gamblers and escalating them for advice or treatment.
- Staff should be aware of refusing customers entry due to alcohol or drugs, age verification processes, identifying forged ID, the importance of time and spend limits
- Staff to be familiar with the offences under the Gambling Act, the categories of gaming machines, the stakes and odds associated with each machine.
- Staff should also be aware of not encouraging customers to increase the amount or time they gamble, re-gamble winnings and chase losses.
- Staff to be excluded from gambling at the premises where they are employed and the premises to have a 'no tipping' rule.
- Applicants may wish to seek support with their applications from the Crime Reduction Officer and GamCare with a view to obtaining a certificate of Social Responsibility.
- Where Fixed Odds Betting Terminals are installed within the premises they should be positioned in direct sight of a supervised counter.

EQUALITY ANALYSIS QUALITY ASSURANCE CHECKLIST

Name of 'proposal' and how has it been implemented (proposal can be a policy, service, function, strategy, project, procedure, restructure/savings proposal)	Gambling Policy Review
Directorate / Service	CLC, Safer Communities, Consumer and Business Regulations
Lead Officer	David Tolley
Signed Off By	

Stage	Checklist Area / Question	Yes / No / Unsure	Comment (If the answer is no/unsure, please ask the question to the SPP Service Manager or nominated equality lead to clarify)
1	Overview of Proposal		
a	Are the outcomes of the proposals clear?	Yes	<p>This report presents a draft gambling policy, replacing the existing gambling policy. Under the Gambling Act 2005, all local authorities in England and Wales are required to adopt a gambling policy following consultation and the policy has to be reviewed every three years. A consultation was undertaken between 18 October and 29 November 2012 and no changes from the existing policy published on 9 December 2009 have been made for the draft.</p> <p>The policy covers the following:</p> <ul style="list-style-type: none"> How the Licensing Authority will use its regulatory powers in relation to applications and reviews of the activities it regulates, to the extent it is allowed by statute.

			<ul style="list-style-type: none"> • The main licensing objective for the authority is protecting the vulnerable. • The Licensing Authority approach to regulation • The scheme of delegation. <p>Major concerns about gambling, including gambling addiction and arguments of a more liberal gambling regime, are not addressed in the policy. The impact of licensed premises on nearby residents, such as noise, is also out of scope.</p>
b	<p>Is it clear who will be or is likely to be affected by what is being proposed (inc service users and staff)? Is there information about the equality profile of those affected?</p>	Yes	<p>This policy sets out how the licensing authority will discharge its licensing functions under the Act, including how to be responsible for the licensing of premises where gambling activities are taking place by issuing Premises Licenses. Businesses who apply for a licence and those who have received licences will be affected by the policy. 80 licences have been issued primarily to betting shops and adult amusement arcades and those businesses are nearly all national companies.</p> <p>The policy stipulates that those who live and have businesses in close proximity can make representations about licence applications, or apply for a review of an existing licence.</p> <p>The licensing objectives include protecting children and the vulnerable, including 'people may not be able to make informed or balanced decisions about gambling due to a mental impairment, alcohol or drugs.'</p> <p>The policy acknowledges a possibility of the impact on children and the vulnerable and proposes ways of mitigation. One of the licensing objectives is to protect children and other vulnerable people from being harmed or exploited by gambling, i.e. preventing them from taking part in gambling. The policy states that appropriate measures to protect them include supervisions of entrances/machines and segregation of areas. The Gambling Best Practice Guide for business</p>
c	<p>Is there a narrative in the proposal where NO impact has been identified? Please note – if a Full EA is not to be undertaken based on the screen or the fact that a proposal has not been 'significantly' amended, a narrative needs to be included in the proposal to explain the reasons why and to evidence due regard</p>	Yes	

			was introduced in order to strengthen policy specific to the protection of vulnerable groups. This report presents a draft gambling policy, replacing the existing gambling policy. As the current policy continues to address all relevant priorities within the statutory scope of the exercise and it has been operating effectively, no further changes are proposed to the current policy with the exception to the introduction of the Best Practice Guide and widening consultees.
2	Monitoring / Collecting Evidence / Data and Consultation		
a	Is there reliable qualitative and quantitative data to support claims made about impacts?	Yes	The ward level equalities data are available. The Development and Renewal (D&R) directorate have corporate lead responsibility for Business related data capture and are currently reviewing the technical challenges to developing an equalities strand of their business data base. The Council's consumer and business regulations team have led the work. The Council's consumer and business regulations team have led the work.
b	Is there sufficient evidence of local/regional/national research that can inform the analysis?	Yes	The Council's consumer and business regulations team have led the work.
c	Has a reasonable attempt been made to ensure relevant knowledge and expertise (people, teams and partners) have been involved in the analysis? Is there clear evidence of consultation with stakeholders and users from groups affected by the proposal?	Yes	Consultation of a draft proposal was held between 18 October and 30 November 2012.
3	Assessing Impact and Analysis		
a	Are there clear links between the sources of evidence (information, data etc) and the interpretation of impact amongst the nine protected characteristics?	Yes	There are reliable data regarding the profile of residents in the Borough. The objectives of the policy include protecting children and the vulnerable from being harmed or exploited by gambling. The policy specifies ways of the protection of children and the vulnerable, including supervision of entrances/machines and
	Is there a clear understanding of the way in which proposals applied in the same way can have unequal	Yes	

	impact on different groups?		segregation of areas and the service introduced the Gambling Policy Best Practice Guide for businesses to strengthen policy specific to the protection of vulnerable groups.
b	Has the assessment sufficiently considered the three aims of the Public Sector Equality Duty (PSED) and OTH objectives?	Yes	The licensing objectives include preventing gambling from being a source of crime or disorder and to protect children and other vulnerable people from being harmed or exploited by gambling. Through the implementation, this policy will help prevent further inequalities among children and young people.
4	Mitigation and Improvement Action Plan		
a	Is there an agreed action plan?	NA	
b	Are all actions SMART (Specific, Measurable, Achievable, Relevant and Time Bounded)	NA	
c	Are the outcomes clear?	Yes	This plan's objectives are: 1) preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime; 2) ensuring that gambling is conducted in a fair and open way, and; 3) protecting children and other vulnerable people from being harmed and exploited by gambling.
d	Have alternative options been explored	NA	
6	Quality Assurance and Monitoring		
a	Are there arrangements in place to review or audit the implementation of the proposal?	Yes	The licensing authority has power to decide whether a review of a premises license is to be carried out.
b	Is it clear how the progress will be monitored to track impact across the protected characteristics??	NA	
7	Reporting Outcomes and Action Plan		
a	Does the executive summary contain sufficient information on the key findings arising from the assessment?	NA	
8	Sign Off and Publication		
a	Has the Lead Officer signed off the EA? Please note – completed and signed off EA and	Yes	

	Quality Assurance checklists to be sent to the One Tower Hamlets team		
--	---	--	--

Any other comments		
	Signature	Date

Please keep this document for your records and forward an electronic version to the One Tower Hamlets Team

This page is intentionally left blank

Agenda Item 7.1

Committee/Meeting: Cabinet	Date: 13 March 2013	Classification: Unrestricted	Report No: CAB 86/123
Report of: Corporate Director Education, Social Care & Wellbeing Originating officer(s) Pat Watson, Head of Building Development		Title: WoolmoreSchool – Proposed Expansion Wards Affected: Blackwall&CubittTown	

Lead Member	Cllr Oliur Rahman
Community Plan Theme	A Prosperous Community
Strategic Priority	Priority 3.1: Support lifelong learning opportunities for all

1. SUMMARY

- 1.1 This report explains the background to the proposals and informs Cabinet of the consultation that has taken place to date. The report recommends that statutory proposals are now published for the enlargement of the school.

2. DECISIONS REQUIRED

The Mayor in Cabinet is recommended to:-

- 2.1 Note the contents of this report;
- 2.2 Agree that statutory proposals should be published for the enlargement of WoolmorePrimarySchool to admit 90 pupils in each year from September 2014.

3. REASONS FOR THE DECISIONS

- 3.1 Proposals have been developed to expand WoolmorePrimary School to assist in the LA's programme to provide primary school places to meet growing local need. Initial consultation on the proposals has been held. Cabinet is asked to consider the proposed expansion, the response to the initial consultation and the recommendation that statutory proposals for the expansion should be published. The publication of statutory proposals is required in order to implement this change to the school.

4. ALTERNATIVE OPTIONS

- 4.1 In order to meet the rising need for school places, the Council has implemented a number of school expansion projects and continues to develop further schemes to meet need. Longer term development plans for the borough include proposals for new primary schools. However, further expansion proposals are needed to keep pace with the need, so taking no action would leave the Council at risk of being unable to discharge its statutory functions. The options for expansion have been considered having regard to the factors set out in paragraphs 6.9 to 6.11 of the report.

5. BACKGROUND

- 5.1 On 5 September 2012 the Mayor in Cabinet received a report Planning to Meet the Growth Requirement for School Places 2012 – 2022. This set out the projected need for school places and actions in place to meet the need. There is a steeply rising need for additional primary and secondary school places.
- 5.2 Woolmore Primary School is in Woolmore Street, E14 . At present it admits 30 pupils in each year group (1 form of entry) and has a maximum capacity of 210 pupils, plus a nursery class. There is a rising need for primary school places in the borough. The greatest pressure for admission to primary schools is being experienced in the central and eastern areas of the borough. The Local Authority has to ensure that there are sufficient school places available to meet the needs of the population.
- 5.3 The development of Woolmore School has been considered as part of the Blackwall Reach Regeneration. The increase in school places will provide for residents of the new homes in the Blackwall Reach area as well as contributing to the overall extra places required in the borough.

6. BODY OF REPORT

Decision-making on school expansion proposals

- 6.1 There is a statutory framework for implementing certain alterations to schools, including enlargements. The requirements are included in the Education & Inspections Act 2006 with associated regulations. For community schools, the Local Authority (LA) can propose certain alterations, including enlargements.
- 6.2 The prescribed process requires a two stage consultation process. The initial, pre-statutory consultation should provide information on the proposals and include a wide range of consultees. The outcome of

this stage is then considered and, if the LA agrees, statutory proposals are published for a specified period (usually four weeks). After this period, the LA must consider any responses to the second consultation and decide whether or not to implement the proposals, or modify them in the light of the consultation.

- 6.3 There is a right of appeal to the Schools Adjudicator for certain parties against the LA's decision.
- 6.4 The timetable for the process is shown in paragraph 6.31, taking into account the legal requirements of the consultation and decision-making process.

THE NEED FOR ADDITIONAL PRIMARY SCHOOL PLACES

- 6.5 The report referred to above, Planning to Meet the Growth Requirement for School Places 2012 – 2022, included details of the need for additional primary school places and options considered to meet the need.
- 6.6 The LA keeps the need for additional school places under regular review to ensure that there are sufficient places to meet need. Annual school roll information is used to project the need for places in future years. The projection methodology takes into account the trend in school rolls, actual birth data and population projections. This information is compared with data on the capacity of existing schools and the extent of unfilled places in schools in order to assess if additional capacity has to be planned for, or if there is excess capacity which can be reduced.
- 6.7 The LA has been experiencing pressure on admission to Reception year particularly in the areas in the centre and east of the borough where new residential development has been taking place. Options continue to be developed to meet the steeply rising need for additional places.
- 6.8 The position for the current year and in the medium term is as follows:

	Places available 2012/13	
Reception	3,416	
	January 2013 projected roll	January 2015 projected roll
Reception	3,370	3,537
Total R-Y6	21,563	23,629

IDENTIFICATION OF POTENTIAL SITES FOR EXPANSION

- 6.9 The Local Development Framework and Core Strategy indicated that some new primary schools are likely to be required, even after allowing for some schools which are not now completely full and that some schools could be expanded on their existing sites. In managing the best use of its assets and the available finance, the LA has first considered which of the existing school sites could be expanded. Proposals have been or are being implemented to expand a number of primary schools and further options will continue to be investigated.
- 6.10 In identifying potential sites for expansion, the following factors have been considered:
- the physical capacity of the existing site and buildings to be expanded;
 - the location of the school – is it in an area where the need is rising;
 - the practical implications of the scheme – can it be implemented with an acceptable level of disruption to the school;
- 6.11 In addition to the above factors, in taking the decision to proceed with the proposals at any site, the LA will consider the strength of the individual school, its popularity and success, and its capacity to adapt to the increase in size.
- 6.12 Having regard to all these factors, expansion at WoolmoreSchool is considered a suitable option as set out below.

Woolmore School

- 6.13 The potential for WoolmoreSchool to be expanded was identified some time ago as the Blackwall Reach regeneration project was developed. It was recognised that the area wide development proposal gave the opportunity to consider the expansion of the school at the heart of the community. The expanded school will not only provide extra school places for residents of Blackwall Reach (now and of the new homes to be provided) but also contribute to the overall supply of school places in the borough.
- 6.14 The proposals for WoolmoreSchool have been developed in association with the area redevelopment and so a strategic approach to the best use of available land has been possible. In order to facilitate the expansion of the school, additional land is to be incorporated into the school site. To the east of the existing school, the site of the former health centre in Robin Hood Lane is to be incorporated into the school site. Following development of the residential blocks to the west of the school site, Bullivant Street will be closed and the area incorporated into the school site. These areas of additional land enable the school to be expanded from 1FE to 3FE and provide sufficient play area.

- 6.15 A planning application for the new school building was submitted in late December. Following detailed feasibility work, it is proposed to completely rebuild the school as it did not prove feasible to extend the existing building. Subject to planning permission and the statutory proposals, work will start in spring 2013.
- 6.16 Consultation meetings were held with governors and parents during the feasibility stage of the school design. The response supported the rebuilding option which is now proposed.
- 6.17 It is proposed that the new building will be constructed on the Robin Hood Lane site. This enables the school to remain in its existing building until the new building is completed. The school will then decant into the new building and the old school building will be demolished to create the play area.
- 6.18 The proposal has been developed in consultation with the Headteacher and governing body who support the proposal.

Funding Implications

- 6.19 The overall Blackwall Reach scheme will contribute s. 106 funding of £14.48m in total. Within this, £6.4m is identified for the provision of school places. The s. 106 funding is profiled over a number of years as the development is implemented in phases. It is therefore proposed to fully fund the school project from the DfE Basic Need grant and then apply the s. 106 receipt for subsequent school places schemes when available.
- 6.20 A capital estimate for this scheme of £10m was adopted by Cabinet on 5 September 2012.
- 6.21 Additional revenue funding will be provided to the school through the LA's funding formula.

Implementation of the Expansion

- 6.22 It is proposed that the increase should take effect from September 2014, subject to the approval of the statutory proposals. This means that the first increased year group of 90 will be admitted in September 2014. The school will have three nursery classes.
- 6.23 It is proposed to admit the extra pupils to the school at reception year only until all year groups are full to three forms of entry. This will mean that the school has time to gradually adapt to the increase in size and introduce any new management arrangements as the pupil numbers increase.

CONSULTATION

- 6.24 The initial consultation period was from 7 January to 1 February 2013. The proposed building design was on display in the school for parents and children to see. Pupils were consulted about the proposals. A copy of the consultation paper issued is included as Appendix A. The consultation paper was sent to:
- all parents and carers of children now at Woolmore School
 - all staff at Woolmore School
 - all governors of Woolmore School
 - all headteachers and chairs of governors of primary schools in Tower Hamlets
 - all councillors in Tower Hamlets
 - local MPs
 - the London Boroughs of Newham and Hackney
 - the London Diocesan Board for Schools and the Westminster Diocese Education Service
 - local trades unions
- 6.25 Consultation meetings were held to discuss the proposals with parents.
- 6.26 The overall response to the proposed expansion of the school was positive. The consultation paper included a form to return and the analysis of those returned is as follows:

For	Against
57	0

- 6.27 Two parents' meetings were held at the school during the consultation period. The response from parents who attended these meetings was positive and they welcomed the proposal to invest in the school and generally saw this as positive for their children and the area. At the parents' meetings there were questions and discussion on a number of issues which were responded to by the LA officers and the headteacher in the meetings:
- impact on the playground during the works
 - how will the school be affected by the works on site

FURTHER ACTION NOW PROPOSED FOR WOOLMORE SCHOOL

- 6.28 The consultation that has been conducted complies with the requirements of the School Organisation (Prescribed Alterations to Maintained Schools) (England) Regulations 2007 and the Secretary of State's guidance on consultation. The outcome of the consultation has been reviewed and there is support for the proposals.
- 6.29 The Mayor in Cabinet is recommended to agree to publication of statutory proposals for the expansion of Woolmore Primary School. The statutory proposals will be published in East End Life and made available at the school. Any comments or representations on the

proposals should be submitted to the Council by the end of the four week period.

6.30 If there are no objections to the statutory proposals in the four week period, the decision to implement will be dealt with by the Corporate Director, Education, Social Care & Wellbeing in accordance with the scheme of delegation. If there are objections to the proposals, the decision will be referred to Cabinet.

6.31 The timetable for the process for each school is set out below:

Cabinet receives a report on the initial consultation and decides on publishing formal statutory proposals	13 March 2013
Statutory proposals published with 4 weeks allowed for comments	18 March – 12 April 2013
The decision will be taken to implement the proposals either by the Council's Cabinet if there are objections; or, if there are no objections, by the Corporate Director, Education, Social Care & Wellbeing	By 11 June 2013
Building works commence	Spring 2013
Additional pupils admitted to Reception year	September 2014

7. COMMENTS OF THE CHIEF FINANCIAL OFFICER

7.1 This report concerns the formal process for consulting about and deciding on the expansion of the school. The capital works for Woolmore School are due to cost £10m in total, with most of the work taking place during 2013/14 financial year. The £10m is reflected in the CSF capital programme, as approved at Cabinet on 5 September 2012. The difference in timing between the expected receipt of S106 monies and the payments associated with this capital project partly supported by S106 monies is noted

7.2 Future revenue costs of the expanded school will be funded through the school enrolling more pupils and attracting more formula funding through the Dedicated Schools Grant. Schools are generally funded on the number of pupils on roll in the October prior to the start of the financial year. So, the growth of Woolmore School each new academic year will need to be taken into account when Schools Forum considers how much to set aside for Pupil Number Growth within the overall Schools Budget for future years (ie to meet the part-year (7/12ths) costs of additional pupils from September – March of the financial year).

8. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

- 8.1. One of the Council's duties in respect of education is to secure that sufficient schools are available for primary and secondary education in Tower Hamlets. This obligation arises under section 14 of the Education Act 1996. The schools must be sufficient in number, character and equipment to provide all pupils with the opportunity of appropriate education.
- 8.2. In deciding what provision to make in respect of primary and secondary schools, the Council is required to consider the need to secure diversity in the provision of schools and increasing opportunities for parental choice. This sits alongside the Council's general equality duty, which requires it to have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don't. Equalities analysis will need to be carried out alongside the development of proposals.
- 8.3. Section 19 of the Education and Inspections Act 2006 provides that where a local authority proposes to make prescribed alterations to a maintained school, it must publish its proposals. The School Organisation (Prescribed Alterations to Maintained Schools) (England) Regulations 2007 ("the Prescribed Alterations Regulations") specify what alterations made by local authorities are prescribed alterations and specify the procedure to be followed when publishing and determining such proposals. The enlargement of a school's premises so as to increase the school's capacity by: (a) more than 30 pupils; and (b) 25% or 200 pupils (whichever is the lesser) is a prescribed alteration. The proposals described in this report fall within that definition so the procedure in the Prescribed Alterations Regulations must be followed.
- 8.4. The Prescribed Alterations Regulations require the Council to follow a two stage process involving consultation prior to publication of a proposal, followed (assuming the Council wishes to proceed) by publication of the proposal. As part of the initial consultation, prescribed information must be provided to prescribed persons. The Council is required to have regard to the Secretary of State's guidance as to consultation on proposals. The guidance recommends that the consultation allows adequate time, provides sufficient information for those being consulted to form a considered view and makes clear how the views can be made known. Proposers must be able to demonstrate how they have taken into account the views expressed during the consultation in reaching any subsequent decision as to the publication of proposals. The report states that consultation complies with the requirements of the Regulations and guidance and so the Council is in a position to determine whether to publish a proposal.

- 8.5. The Prescribed Alterations Regulations prescribe what information must be specified in a proposal and how it should be publicised. The proposal should be published within a reasonable timeframe following consultation so that it is informed by up to date feedback. A statutory notice containing specified information and stating how complete copies of the proposals can be obtained must be published in a local newspaper, and also posted at the main entrance to the school (and all the entrances if there are more than one) and at some other conspicuous place in the area served by the school (eg. local library, community centre). It is essential that the published notice complies with the statutory requirements as set out in the Regulations.
- 8.6. Paragraph 6.19 of the report refers to funding from the S106 Agreement on the Blackwall Reach project. Members are advised that whilst there is nothing to suggest that project will not go ahead the S106 funding does not become payable until it does and the funding is staged throughout the development. As this project is to be funded from the Basis Need Capital Grant from the Government the timing of the receipt of s106 moneys from Blackwall Reach will not impact on this project

9. ONE TOWER HAMLETS CONSIDERATIONS

- 9.1. The expansion of schools is necessary to ensure the Council meets its legal obligation to secure sufficient schools for Tower Hamlets, but will also promote equality of opportunity for children and young people (including within the meaning of the Equality Act 2010).
- 9.2. The provision of school places and the LA's admission arrangements aim to promote fair access to schools particularly in terms of the distance from home and to allow siblings to attend the same school.
- 9.3. The new building will be fully accessible which will enhance the range of provision available in mainstream schools for children with physical disabilities. The school will be inclusive for children with special education needs.

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 10.1 The design of the building and materials proposed to be used for Woolmore School have taken account of sustainability and energy efficiency. Products to be chosen will offer significant energy saving values; insulation products that have an approved environmental profile; and timber from certified sustainable sources.
- 10.2 The design must comply with Building Regulations, Part L which has strict guidelines in respect of carbon emission levels and energy efficiency.

11. RISK MANAGEMENT IMPLICATIONS

11.1 The project at Woolmore School has a high capital value and close monitoring of the project through the preparatory stages is in place and will continue through implementation stages with appropriate, experienced project management resources. If the proposals do not proceed, there will be a risk to be managed that some children will be without a school place local to their home.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

12.1 There are no specific implications arising.

13. EFFICIENCY STATEMENT

13.1 The Council is using its assets efficiently by seeking to extend and expand existing school sites to meet the needs of the rising school age population before acquiring land to build a new school

14. APPENDICES

Appendix A – WoolmoreSchoolConsultation Document

**Local Authorities (Executive Arrangements) (Access to Information)
(England) Regulations 2012**

List of “Background Papers” used in the preparation of this report

Brief description of “background papers”

Name and telephone number of holder and address where open to inspection.

none

N/A

LB TOWER HAMLETS

CONSULTATION ON PROPOSALS TO EXPAND WOOLMORE PRIMARY SCHOOL

Introduction

In Tower Hamlets there is a rising school age population. The Council has to ensure there are sufficient school places so that all resident children can attend school locally. As part of the regeneration of the Blackwall Reach area, the Council has developed a proposal to expand Woolmore School by building a new school.

This will allow Woolmore School to increase from 30 pupils in each year to 90 pupils in each year. The first additional children will be admitted from September 2014.

Consultation Process

This paper is being sent to:

- all parents and carers of children now at Woolmore School
- all staff at Woolmore School
- all governors of Woolmore School
- all headteachers and chairs of governors of primary schools in Tower Hamlets
- all councillors in Tower Hamlets
- local MPs
- the London Boroughs of Newham and Hackney
- the London Diocesan Board for Schools and the Westminster Diocese Education Service
- local trades unions

This consultation period runs from 7 January to 1 February 2013. A form is included at the end of this paper for the return of your views.

There will be parents' meetings at the school on 17 January at 9.00 am and at 3.00 pm – we hope as many parents as possible will be able to come to one of the meetings to hear about the proposals and let the Council know your views.

Why are more school places needed?

In Tower Hamlets there has been considerable development to provide new homes and this is anticipated to continue for some years to come. It is projected that nearly 3,000 new homes will be built on average each year until 2025. The birth rate is rising and it is clear that the population trend will continue to rise. The Council needs to plan for the services that the population will need, including schools.

The Council has already carried out schemes to increase the size of some primary schools to ensure that there are enough places for all the children who need a place. Between 2012 and 2022 the total number of children at primary schools will increase by approximately 7,300 pupils, a rise of 34%. The Council therefore has to continue to make plans for providing extra places.

The main areas where the need for school places is rising are in the central and eastern areas of the borough, including Poplar and the Isle of Dogs. These areas will benefit from a large amount of the new residential development. In time, the projections of the increase in the school roll will require new primary schools to be built.

Woolmore School

Woolmore School is in an area of the borough where the school age population is rising. The regeneration of the Blackwall Reach area will bring more homes to the area and so more local children needing a primary school place. The regeneration project has given the opportunity to build a new school, allowing Woolmore to expand and to maintain its position at the heart of the community.

Woolmore has been recognised as a good school by OfSTED and the Council believes that the strong ethos and management of the school will enable the Headteacher and staff to effectively include the increased roll whilst maintaining the standards for all children and the character of the school which parents value. The admissions criteria for the school will not change and so the children at the school will continue to be those who live in the local area.

The Council will spend £10 million on the new building for Woolmore School. This will be a great new opportunity for the local community to ensure that local children have excellent facilities and the best education for their start in life.

Expanding the school will bring additional resources and facilities to the school, so that the range of opportunities for children will be expanded. There will be more teaching and support staff and increased professional development opportunities for existing staff which will help to recruit and retain good quality teaching and non-teaching staff.

The school will get a larger budget for the additional children and to support opening the new building.

The building plans for the school

The Council has been working with the Headteacher and governing body to develop the plans for the school. The new school will enable the Headteacher and staff to build on the character and ethos of Woolmore. They want to ensure that what parents and children value about the school is maintained in moving to the new building.

A planning application has been submitted for the new building. You will be able to see the plans for the new school during this consultation period. As part of the Blackwall Reach development, an extra area of land will become part of the school (where the closed health centre stands) so this makes a larger site in total. There will be a new school building built facing Robin Hood Lane and with the playground extending to Bullivant Street. The new building will include all the classrooms for the larger number of children, a large hall, library and multi purpose areas. It will have a lift and will be built to modern standards of heating and insulation.

The new building will be completed whilst the school stays in the existing building. The school then moves into the new building and the old school is demolished and a new playground created.

The construction work will be planned with the highest priority given to the safety of everyone at the school. The Council is working with the Headteacher on the plans for how the works are carried.

Size of the increase in roll

The school now has 30 places in each year group with two nursery classes. Under the new proposals, there will be 90 places in each year and three nursery classes. The total school roll over time will eventually be 630, plus the nursery classes. There will be no change to the admissions arrangements to the school. The school has in the past opened an extra class, and these children will, as previously planned, remain at the school until completing Year 6.

How will the increase take effect

The extra children will be admitted to the school in Reception year only from September 2014, so that the full increase will arise after 7 years. Additional children will not be admitted above the total of 30 for a year group where 30 was the original year group number, but there may be admissions where there are vacancies in any year group.

Effect on children now at the school

The increase in roll will happen over a 7 year period which will allow the school to gradually absorb the changes. The children now on roll of the school will be in the existing school during the building works to create the new school. Very careful planning is continuing by the Authority and the Headteacher to ensure that the disruption to school life is kept to the minimum possible. Some of the existing play area will not be in use during the works and the Headteacher will

work out the best way to make sure children can still have good play opportunities during the works. .

Other expansion proposals in the area

The Council is considering other options for schools where it may be possible to expand. Consultation on proposals will take place as they are developed. The eastern part of the borough is one of the areas where the highest levels of new housing are anticipated and it is likely that one or more new primary schools will eventually be built.

Timing

This consultation runs from 7 January to 1 February 2013. The timetable for consultation and taking decisions following this stage of consultation is:

Initial consultation	7 January to 1 February 2013
The Council's Cabinet receives a report on the consultation and decides on publishing formal statutory proposals	13 March 2013
Statutory proposals published with 4 weeks allowed for comments	18 March – 12 April 2013
The decision will be taken to implement the proposals either by the Council's Cabinet if there are objections; or, if there are no objections, by the Corporate Director of Children, Schools & Families	By 11 June 2013
Building works commence	Spring 2013
New building completed, the school moves in and the first additional Reception year pupils are admitted	September 2014
The old school building is demolished and new play area is created	September 2014 – February 2015

Next steps

During this current consultation period, the Council wants to hear from as many people as possible. Please let us know your views by completing and returning the form on the next page.

There will be parents' meetings at the school on 17 January at 9.00 am and at 3.00 pm – we hope as many parents as possible will be able to come to one of the meetings to hear about the proposals and let the Council know your views.

WOOLMORE PRIMARY SCHOOL

CONSULTATION ON THE PROPOSED EXPANSION OF WOOLMORE SCHOOL

	Please tick as appropriate
I agree with the proposal to expand the school	<input type="radio"/>
I do not agree with the proposal to expand the school	<input type="radio"/>

Other comments

NAME	
PARENT, GOVERNOR, OTHER (please state)	
DATE	

Please return this page by 1 February 2013 to:

The school office; or

Pat Watson, Head of Building Development, Children's Services, Town Hall,
Mulberry Place, 5 Clove Crescent, E14 2BG, or

e-mail to: pat.watson@towerhamlets.gov.uk

This page is intentionally left blank

Agenda Item 7.2

Committee/Meeting: Cabinet	Date: 13 March 2013	Classification: Unrestricted	Report No: CAB 87/123
Report of: Corporate Director (Education, Social Care and Wellbeing) Assistant Chief Executive, Legal Services Originating officer(s) Kate Bingham, Interim Service Head Education, Social Care and Wellbeing Resources		Title: Academy Conversion: Old Ford and Culloden Primary Schools Wards Affected: East India & Lansbury and Bow East	

1. **SUMMARY**

- 1.1 This report asks for Mayoral approval for the land and commercial transfer related to the academy transfer of Old Ford and Culloden Primary Schools.

2. **DECISIONS REQUIRED**

The Mayor in Cabinet is recommended to:

- 2.1 Approve the land disposal for both schools;
- 2.2 Approve the Council to enter into commercial and staffing transfers for both schools;
- 2.3 Approve the Council to enter into all other necessary documentation to ensure the liability under the Grouped Schools PFI arrangements for Old Ford School are transferred to the Academy;
- 2.4 Authorise the Corporate Director, Education, Social Care and Well-Being in consultation with the Assistant Chief Executive Legal Services and Corporate Director Resources to settle remaining issues associated with the conversion for the two schools;
- 2.5 Authorise the Assistant Chief Executive (Legal Services) to execute all documentation required to implement those decisions at 2.1 to 2.4.
- 2.6 Authorise the Section 151 Officer to execute the *Local Government (Contract) Act 1997* Certificate required to implement the decisions at 2.1 to 2.4.

3. **REASONS FOR THE DECISIONS**

- 3.1 In August 2012 the Governing Bodies for Old Ford and Culloden Primary Schools passed resolutions in favour of academy conversion and formally

applied for Academy status with the Department for Education (DfE). Both applications were subsequently approved by the Secretary of State and Academy Orders were issued to the Council. At this point the Council had to work with both schools on all matters of transfer.

4. ALTERNATIVE OPTIONS

- 4.1 There is no alternative to the planned course of action. Once the application from a Governing Body has been approved by the Secretary of State the expectation is that the local authority will work with the school in all transfer matters. This means that the community school land, owned by the local authority, will normally be leased to the Academy Trust on a 125 year lease to be used for the purposes of the school. The Secretary of State also has the power to direct the transfer of public land if necessary.

5. BACKGROUND

- 5.1 Academy schools were introduced by the previous government with a focus on raising standards in underperforming schools. Under the coalition government the policy has been extended to all schools with the Education Bill making provision for the expansion of the academies programme. As of 1 January 2013 there are 2619 academies open in England. This is an increase of 1,200 new academies since November 2011. This includes both the sponsored type of Academy under the previous government's programme and more recent converter Academies.
- 5.2 Sir William Burrough and Bethnal Green Technology College were the first schools in the borough to make the conversion. Four Free schools have also been established in the borough; Canary Wharf College, CET Primary, Wapping High and City Gateway 14-19 provision.
- 5.3 Academy orders were issued by the Secretary of State for Old Ford and Culloden Primary Schools on the 8th August 2012. Following receipt of the Academy Orders the local authority has been working with the two schools and the DfE on matters related to land, commercial and staffing transfer. The Local Authority has also been working with Old Ford on matters related to their existing PFI agreement.
- 5.4 The School governing bodies have completed a consultation with staff and parents, as required by legislation. Based on a suggested timetable from the DfE, it is anticipated that both schools will convert on 1st April 2013. On conversion the local authority will cease to maintain these schools.
- 5.5 Old Ford and Culloden Schools have been managed for some time under one Executive Head. The schools will convert simultaneously and be operated under one single Multi-Academy Trust.
- 5.6 Tower Hamlets Working with Academies and Free Schools (WAFS) sets out how the Council intends to work with academies and free schools. The Council is committed to and responsible for all children and young people

living in the borough as well as to our wider community. This means we are determined to build and maintain a strong partnership with all education providers in the borough including academies and free schools. Both to ensure that their pupils are able to reach their full potential and that schools maximise their role within the community.

6. KEY ISSUES

6.1 The Council is required by the Academies Act 2010 to proceed with these conversions. The significant effect on the Council is that the Council will cease to receive funding to maintain the schools and the academies will receive their funding directly from the DfE.

6.2 The conversion occurs by two main transactions for the Council. These are the land transfer and the commercial transfer; the commercial transfer being the transfer of existing contracts, staff, associated goods and also the agreement of the services still to be provided by the Council for example, HR and payroll.

Land Transfer

6.3 Both schools currently planning to convert are community schools and, as such, the land is owned by the local authority. The Council has an obligation under the Academies Act 2010 to transfer the land to the Academy Trusts on a 125 year lease for a peppercorn rent. Through each lease we have sought to protect the Council's interests in the following ways:

- the stipulated use in the lease is for education purposes and community, fundraising and recreational purposes ancillary to the provision of educational services
- not to assign/transfer the lease to any body other than a successor charitable or public body approved by the Secretary of State
- not to take out any charge or loan on the schools without prior approval by the Council
- not to underlet the whole of the school or underlet part for a term in excess of seven years
- the lease will automatically end upon termination of the funding agreement between the school and the Department for Education (DfE).

6.4 Further, the lease for Culloden addresses the current Council lease of the sub-station (Culloden has a sub-station where the Council leases the land on a peppercorn rent to the utility supplier) - it is a 45 year lease from 1973 (2018).

6.5 In addition, the lease granted to the Academy is subject to the rights of access granted to the PFI contractor by the Grouped Schools PFI contract in relation to OldFordSchool.

Commercial transfer

6.6 The commercial transfer agreement documents the transfer of the assets and liabilities from the existing school and the benefit of any contracts required after the conversion to the Academy Trust.

TUPE and transfer of staff

- 6.7 Until the point of conversion the Council remains the employer of staff in the two schools and has a responsibility to ensure that the Council's TUPE process is duly followed. Consultation lasts 28 days according to the Council's policy and has already taken place with staff at both schools.
- 6.8 Neither school proposed changes to the terms and conditions of staff through the conversion. Concerns were raised by the Trade Unions, concerning their recognition and agreement that there will be no changes to terms and conditions of newly appointed staff. These issues were discussed at the Children, Schools and Families Trade Union Forum the 17th January 2013 and the LA has agreed to broker discussions between the Trade Unions and both schools.
- 6.7 All staff at both schools have been written to with the Notification of Transfer and Proposed Actions under the Transfer of Undertakings (Protection of Employment Regulations) 2006 (Reg. 13). A variation of employer letter will also be issued to all staff at both schools as soon as the Local Authority receives confirmation from the Secretary of State that funding agreements have been signed with the schools.

Pensions

- 6.8 Teachers working in an academy fall within the scope of the Teacher's Pension Scheme (TPS), just as if they were employed in a local authority maintained school. As an employer, the academy is responsible for remitting contributions to the TPS and for all other administrative responsibilities that fall to employers who employ teachers who are subject to the teachers' pension regulations.
- 6.9 In respect of non-teaching staff, an academy is a "Scheduled Body" within the Local Government Pension Scheme (LGPS) which allows non teaching staff to be members of the local authority's pension scheme, with members of staff transferring from the "old" maintained school to the "new" academy retaining their membership of the LGPS. New appointed academy non-teaching staff also have the right to join the scheme.
- 6.10 As such, each 'converting' academy should have its own contribution rate calculated and will be responsible for a share of the LGPS deficit. In order to calculate that contribution rate, both the appropriate share of the deficit and the deficit recovery period must be determined and agreed by the Pension Committee.
- 6.11 The Pensions Committee considered the appropriate employer contribution rate for the Multi-Academy Trust at its meeting on 21st February 2013.
- 6.12 The Committee agreed a deficit recovery period of 14 years for the amount of deficit attributable to active transferring members and that attributable to deferred and pensioner members of the LBTH Local Government Pension

Scheme to Old Ford Primary School and Culloden Primary School on the creation of the Multi Academy Trust (MAT).

- 6.13 The MAT employer contribution rate, based on a deficit recovery period of 14 years for active members and that attributable to deferred and pensioner members, results in a total contribution of 32.9% of payroll.

Old Ford School – PFI contract arrangements

- 6.14 Old Ford School is included in the Grouped Schools PFI contract. The DfE has established arrangements for these circumstances whereby the school will remain part of the contract and new contractual arrangements between the school, the Council and the DfE are put in place to ensure that the existing PFI contract arrangements can continue. The PFI contract remains between the Council and the contractor. The new agreements for the academy school ensure that the Council will continue to receive the financial contributions from the school as it would have done without the conversion, and that there is no impact on the contractor or its funders.

- i. The School Agreement: this is between the Council and the Academy Trust. It sets out the school's liability for the continuing financial contribution for the contract services and the school's obligations relating to the contract.
- ii. The Principal Agreement: this is between the DfE, the Council and the Academy Trust. It provides that the Council can call on the DfE should the academy fail in its obligations, including payments, in relation to the contract.
- iii. Deed of Variation to the PFI contract: this is between the Council and the PFI contractor. It allows for the change of status of the school, requires the academy trust to be named on insurances and allows the contractor to retain access to the transferred land in order to provide the services. The Deed also includes (at Schedule 2) a *Local Government (Contract) Act* Certification, which certifies the vires (power) of the Council to enter into the contract.

- 6.15 These documents will remain in force until the expiry of the Grouped Schools PFI contract in 2027.

7. COMMENTS OF THE CHIEF FINANCIAL OFFICER

- 7.1 The school as an academy will receive funding from the Education Funding Agency on the basis of School Funding Reform, with the vast majority of their funding based on the same formula as for maintained schools. The only differences being for those services for which funding has been delegated for maintained schools, with the agreement of the School Forum, and they will receive Education Services Grant equating to the amount per pupil that the Authority receives for pupils in maintained schools.

7.2 In order to protect the Council, the appropriate financial arrangements have been made for assets and ensuring financial liability transfers with those assets, as per the Commercial Transfer Agreement. There are particular issues regarding the transfer of Old Ford because it is part of the Grouped Schools PFI contract, but the regulations are clear that the academy would continue to be part of the contract and would continue to make contributions on the same basis as maintained schools.

8. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

8.1 The Academies Act 2010 introduced a fast track procedure for maintained schools wishing to transfer to academy status. The Act provides a procedure for the transfer of assets, land and buildings to the newly established academy.

8.2 Regarding the transfer of land and buildings, the two schools are situated on and owned by the Council, a 125 year lease is granted which is based on a model lease produced by the Department for Education (DfE). The terms of the model lease follow the model lease under the BSF/PfS schemes.

8.3 The non-negotiable terms of the model lease are:

- 125 year term from the date of transfer of the school to Academy Status
- Peppercorn rent
- Repair, clean and tidy, make good decoration
- Alterations
- Statutory compliance
- Dealings – assignment to Secretary of State approved successor
- Insurance – Academy to insure
- Forfeiture – limited to breach of use or insurance only
- Termination – termination of Funding Agreement

8.4 Negotiable terms are:

- rights/reservations over the school or adjoining land owned by the Council
- dealings
- permitted use

8.5 The transfer of assets, contracts and employees is done by way of a “commercial transfer agreement” which is based on the model transfer agreement as published by the DfE.

8.6 As set out in the report, it is considered that the Transfer of Undertakings (Protection of Employees) (“TUPE”) Regulations 2006 apply to this academy transfer and to the staff of the existing two primary schools.

8.7 The model transfer agreement deals with the transfer of things necessary for the operation of the Academy, namely:

- Transfer of Assets
- Assignments/novation of contracts

- Employee/TUPE issues
- 8.8 Typical terms of the model transfer agreement deals with issues, namely:-
- Transfer and apportionment of assets
 - Transfer, novation/apportionment and termination of contracts which are either school specific or council wide contracts
 - transfer of employees in accordance with TUPE regulations e.g. staffing information and warranties, apportionments, information and consultation, indemnities and warranties, pensions
 - transfer of records e.g. documents on personnel, pupils
- 8.9 In preparing this documentation account is taken of any contracts that need to be novated or assigned to the Academy e.g. for existing equipment. Where the school is receiving services under Service Level Agreements from the Council and wishes to continue these arrangements, the Service level Agreements are converted into formal contracts.
- 8.10 In the case of Old Ford School this is part of the Grouped Schools PFI arrangement which do not expire until 2027.
- 8.11 As part of the work on this Academy conversion process officers have liaised closely with DfE to ensure the PFI liabilities are passed to the new Academy Trust and although the Council remains primarily liable under the PFI agreements there is provision for the financial liability to be discharged by the new Academy Trust.
- 8.12 When discharging its responsibilities in relation to the academy transfer, the Council must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don't. Information is set out in the report relevant to these considerations.

9. ONE TOWER HAMLETS CONSIDERATIONS

- 9.1 The DfE has published an Equality Impact Assessment for the Academies programme which can be found at www.education.gov.uk

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 10.1 There are no specific implications arising from the recommendations of this report. Following the transfer, both schools will become responsible for their own premises and activities and for managing energy and carbon emissions.

11. RISK MANAGEMENT IMPLICATIONS

- 11.1 The negotiations on the terms of the lease and the commercial transfer agreement have sought to ensure that the Council mitigates risks arising from the transfer.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

12.1 There are no implications arising from this report.

13. EFFICIENCY STATEMENT

13.1 The Council is required by law to enter into proposed leases in the relevant circumstances. The terms of the lease will ensure assets remain in use for the provision of education in the maintained sector.

14. APPENDICES

None

Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2012

List of "Background Papers" used in the preparation of this report

Brief description of "background papers"	Name and telephone number of holder and address where open to inspection.
--	---

To be completed by author

To be completed by author ext. xxx

None.

Agenda Item 9.2

Committee/Meeting: Cabinet	Date: 13 March 2013	Classification: Unrestricted	Report No: CAB 83/123
Report of: Corporate Director Isobel Cattermole Originating officer(s) Deborah Cohen Service Head Commissioning and Health		Title: Carers Hub Tendering Wards Affected: All	

Lead Member	Councillor Asad
Community Plan Theme	<ul style="list-style-type: none"> • A healthy community • A prosperous community • A safe and supportive community
Strategic Priority	Early Intervention and Prevention

1. **SUMMARY**

- 1.1 The purpose of this report is to inform Cabinet of the outcome of the tendering process for the Carers Hub Service, which is the first of the carer contracts to be tendered as part of the recommendations outlined in the Carers Three Year Plan 2012-15.
- 1.2 The Carers Hub will play a crucial role in improving outcomes for carers and successfully meeting some of the key priorities in the Carers Three Year Plan, in particular ensuring that carers have access to a range of specialist preventative support services, as well directly provided services. These services will often be the first services accessed by carers and thus the Service Provider will lead on the delivery of key services for carers
- 1.3 Although the procurement process began before the adoption of the Procurement Policy Imperatives it does address many of the issues set out in that document approved by Cabinet on 9 January 2013 in particular the London Living Wage and consultation with the Third Sector regarding the procurement process.

2. **DECISIONS REQUIRED**

The Mayor in Cabinet is recommended to –

- 2.1 Approve the outcome of the tendering of the Carers Hub Services and award the contract to the Carers Centre, as the highest ranking bidder following the evaluation process.

- 2.2 Authorise the Assistant Chief Executive (Legal Services) to enter into all necessary documents to implement the decision at 2.1 once the standstill period has expired and any objections dealt with .

3. REASONS FOR THE DECISIONS

- 3.1 Members agreed the Carers Three Year Plan (2012-2015) at Cabinet on 20th June 2012. One of the key actions of the Plan is the tendering of all the current carer contracts and this tender for the Carers Hub Service is a central tenet to the provision of services for carers.

- 3.2 The new Carers Hub Service will maximise carers' independence and help to prevent reliance and dependency on more intensive care and support .It was developed in response to the Transforming Adult Social Care agenda with a shift away from the high end of social care to an emphasis on universal and preventative services.

- 3.3 It will support:

- The Tower Hamlets Promoting Independence Strategy
- The Tower Hamlets Carers Three Year Plan (2012-2015) by:
- Promoting choice and control
- Maximising independence
- Effective use of resources by commissioning services that provide value for money, are joined up and seamless and avoid duplication

- 3.4 It will also support themes of the Tower Hamlets Community Plan:

- A healthy community
- A prosperous community
- A safe and supportive community.

4. ALTERNATIVE OPTIONS

- 4.1 The present block contracts are out of date and do not provide enough choice for carers nor do they give carers the option of having a personal budget. The development of a new Carers Hub Service will address these shortcomings, by reaching out to more carers and also ensuring that carers can access individually tailored service that fit around their busy lives.

5. BACKGROUND

- 5.1 Tower Hamlets has 21,000 adult carers and has the greatest number of carers in London spending over 50 hours a week looking after someone .

- 5.2. The Carers Hub will provide a dedicated range of services for carers, which aims to support carers to continue in their caring role by:

- improving the quality of life for carers in Tower Hamlets, enhancing their capacity to maintain their independence through the provision of a range

of person centred, co-ordinated and outcome-focused information services.

5.3 The objectives of the service are:

- To help carers maintain health and wellbeing
- To reach out to carers from hard to reach groups, such as carers of people who are substance misusers, carers from BME communities and LGBT Carers
- To provide carers with information about services, ways to access support and, when necessary, to advocate for carers when they encounter difficulties in accessing services or receiving services that do not meet their needs.
- To work with carers to improve or maintain their physical and emotional Health by signposting or referring to services that provide among others leisure, relaxation and social activities
- To work with carers in supporting them to access regular health checks
- To advise and support carers on eligibility criteria and how to access eligible services such as; a carers assessment, carers break and carers personal budget
- To provide support to carers in locations convenient to carers
- To ensure that carers are aware of their rights and entitlements
- To increase social capital for carers through sharing opportunities with other services/providers

5.4 The key services to be provided are:

- Specialist information, advice and advocacy for carers, carry out simple Carer Assessments and Assessments on behalf of the Council in order to access One Off Direct Payments and Leisure Cards
- Income maximisation for carers
- Support for carers on hospital admission /discharge, being a carer of a service user supported by the Community Virtual Ward and forming links with primary care to support carers of those with long term conditions such as carers of people with mental health difficulties and of end of life care needs
- Services and activities to alleviate and manage stress and provide a break from caring
- Representing carers views in the participation in Local Authority and NHS planning, acting as the voice of carers and building partnerships with other organisations

- Outreach and support for hidden carers
- Development and delivery of a range of carers training and awareness programmes and production of a quarterly newsletter

5.5 Although the current provider is based in Stepney, services will be provided for carers across the whole borough and for carers, who are looking after adults with a variety of conditions such as learning, age related and physical disabilities, mental health and substance misuse issues and people at the end of their lives. As would be anticipated, the majority of carers receiving support from the current provider are female. From a total of 1,397 carers: 43.7% are Asian, 39.8% are White, 8.5% are Black Caribbean/African and 2.6% Somali.

5.6 The new services will enhance, maximise and develop the currently provided specialist carers services.

6. Tendering of the Carers Hub Service

6.1 Members agreed the Carers Three Year Plan (2012-2015) at Cabinet on 20th June 2012. Commissioning of the specialist carer contracts has begun with the largest contract for a new Carers Hub Service, which is key to the provision of services for our carers.

6.2. The Carers Hub will play a crucial role in improving outcomes for carers and successfully meet some of the key priorities in the Carers Three Year Plan in particular ensuring that carers have access to a range of specialist information, advice, and signposting to support services. These services will often be the first services accessed by carers and thus the Service Provider will lead on the delivery of a range of key services for carers.

6.3 Consultation of the Voluntary Sector took place with current providers at the Carers Plan Implementation Group at the quarterly meetings in April, July and September 2012 to get feedback on the delivery model, how to reach more carers particularly those in the BME communities, LGBT carers and carers of people who have substance misuse issues. Consultation also took place with Senior Management Team on 28th September 2012.

6.4 The advert for the tendering went out on 28th August 2012 in East End Life with a closing date of 28th September 2012. The tender advertisement asked for bids in the range £320,000 and £360,000 per annum for a period of three years. This is a slight reduction on the present contract of £374,442 but with a broader range of services being requested. Although carers services are no longer funded by a ring fenced Carers Grant, the carers' budget has been protected from savings due to it coming within the prevention and early intervention agenda.

6.5 Officers recommended three providers to the Invitation to Tender (ITT) stage of the tendering process.

6.6 The closing date for the ITT was 21st January 2013, with plans for services to

commence on 1st May 2013, subject to any transition and TUPE arrangements.

6.7 Updated procurement timetable:

Issue Tender Documentation	5/12/2012
Deadline for Tender Clarification Questions	20/12/2012
Final Tender Returns	21/01/2013
Complete Tender Evaluation	31/01/2013
Interviews, Presentations	06 & 11/02/2013
Submit Tollgate 2	March 2013
Competition Planning Forum	March 2013
Competition Board	March 2013
Cabinet	13 March 2013
Standstill Period	April 13 2013
Contract Award	May 2013

6.8 The recommended tender with the highest score is the Carers Centre, a local carer provider and one of the incumbent organisations. It has a long history of providing carer services in the borough. The Carers Centre will be able to provide geographical cover across the borough and cover all the specialist requirements of the service specification across the required client groups. It will provide added value as carers will be supported to access information, advice and services, including support required when the Welfare Reforms are introduced in April 2013. Value for money will also be achieved by the provision of outreach sessions around the borough.

Summary of Service Requirements

The Services will consist of a range of services which will support carers to get:

- Specialist Information, Advice, and Advocacy
- Specialist Income maximisation
- Signposting into services
- Support to get a health check and stress relieving activities
- Peer support
- Training for carers
- A voice within health and social care.

6.9 The following specialist services for carers will be delivered through the Hub:

- Benefits and welfare information and advice
- Carers Assessments for One Off Direct Payments and Leisure Cards
- Signposting to services for carers, such as accessing a break
- Support to improve health and wellbeing
- Access training ,volunteering and employment
- Crisis support

- 6.10 Knowledge of local infrastructure and services available to signpost and refer to other services as required including:
- Range accessed through Adult Health and Wellbeing
 - Recreation and leisure activities
 - Employment including supported employment
 - Voluntary organisations
- 6.11 The service specification states that suitable and accessible premises within the London Borough of Tower Hamlets will be provided which will function as a base and a point of contact. Drop-ins and outreach will complement the accessibility of services delivered from these premises
- 6.12 One of the main challenges was to ensure that bids came from a variety of providers, in particular local providers who have detailed knowledge about the issues facing carers in the borough.

7. COMMENTS OF THE CHIEF FINANCIAL OFFICER

- 7.1 This report requires cabinet to approve the outcome of the tendering of the carers hub service (section 2.1).
- 7.2 The financial implications of this procurement are detailed in section 6.3 of the report.
- 7.3 The council currently spends approximately £1.1m on services for carers and the services that will be provided through this new contract will be met from these existing resources. It is also anticipated that the procurement will deliver savings in the region of £15k to £54k, which will contribute towards the directorate's efficiency programme.

8. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

- 8.1 The Council is required to carry out carer's assessments in circumstances specified under the Carers (Recognition and Services) Act 1995 and, separately, under the Carers and Disabled Children Act 2000 ("the Carers Acts"). The circumstances giving rise to the duty are complicated but, broadly speaking, the obligation to assess arises in circumstances where a carer is providing a substantial amount of care to an adult in respect of whom the Council may provide community care services or to a relevant disabled child and where the carer requests an assessment. The duty may arise and be discharged either on a stand-alone basis or in the context of needs assessments carried out by the Council of the person cared-for, under section 47 of the National Health Service and Community Care Act 1990, Part 3 of the Children Act 1989 or section 2 of the Chronically Sick and Disabled Person's Act 1970.

- 8.2 The services the Council may provide to a carer depend on the avenue by which the carer's assessment is carried out. The range of services includes: community care services within the meaning of the National Health Service and Community Care Act 1990; services that it may provide under Part 3 of the Children Act 1989 or section 2 of the Chronically Sick and Disabled Person's Act 1970; or services under section 2 of the Carers and Disabled Children Act 2000, being services that the Council considers will help the carer to care for the person cared for.
- 8.3 Section 3 of the Local Government Act 1999 requires best value authorities, including the Council, to "make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness". The Public Services (Social Values) Act 2013, which came into force on 31st January 2013, requires the Council to consider how the services it commissions and procures might improve the economic, social and environmental well-being of the area. The procurement procedure described above complies with these statutory duties and the Council's procurement procedures and it should be open for Cabinet to conclude that the proposed contracts will result in best value having regard to the duty outlined above.
- 8.4 The contracts are for Part B Services and so the full provisions of the Public Contract Regulations 2006 do not apply. However they are still expressly subject to the equality and transparency obligations under the Regulations and there is a requirement to have a fair and transparent process. This report explains how that has been achieved. When awarding the contract, the Council must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don't. Information relevant to these considerations is set out in the report.
- 8.5 Once the decision to award is taken the Council will issue the Standstill (also known as Alcatel) letters under Regulation 32 of the Public Contracts Regulations 2006. These letters inform bidders of their score against the award criteria, the winning score and name of the successful bidder
- 8.6 The 2007/66 EU Directive contains a requirement for a mandatory standstill period between notification of the contract award and conclusion of the contract, to allow for an effective challenge to the award decision before the contract is concluded. The basic standstill obligation is set out in Article 2a of the 2007/66 Directive.
- 8.7 This provides that following a decision to award a contract the contract may not actually be concluded until a certain period of time has elapsed after the contract award decision is notified to those concerned. In the timetable at paragraph 6.7 the anticipated contract date allows this period to expire. If a challenge is made the contract date may be delayed pending the outcome of the court proceedings

9. ONE TOWER HAMLETS CONSIDERATIONS

9.1 The service specification attached in Appendix 1 supports three of the four themes of the Community Plan:

- A healthy community
- A prosperous community
- A safe and supportive community.

9.2 It is sought to remove or minimise disadvantages suffered by people due to their protected characteristics through promotion of services in different formats and languages, outreach and drop-ins to reach underrepresented groups and monitoring of equality and diversity.

9.3 Due regards is given to taking steps to meet the needs of people from protected groups where these are different from the needs of other people. The Service ensures that it offers a range of services to meet the needs of a wide range of clients. Special focus is given to providing services to the diverse faith and ethnic communities in Tower Hamlets through culturally appropriate best practice, a diverse workforce reflecting the community they service and a range of language skills.

9.4 Due regard is given to encourage people from protected groups to participate in public life or in other activities where their participation is disproportionately low through volunteering, and engagement in shaping services and decision that affect their own lives, such as involvement in user groups and steering groups.

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

10.1 The proposals are neutral in terms of contribution to a sustainable environment.

11. RISK MANAGEMENT IMPLICATIONS

11.1 There is a risk that the tendering of all the carers contracts will be delayed if agreement is not given for this tender to be accepted.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

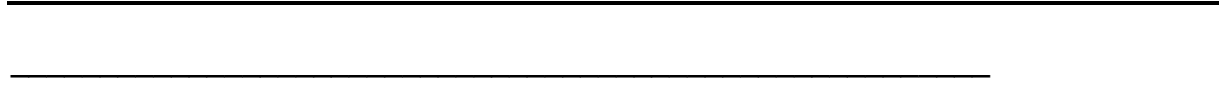
12.1 There are no crime and disorder reduction implications.

13. EFFICIENCY STATEMENT

13.1 The value of the contract is a slight reduction on the present contract of £374,442 but with a wider range of services provided. Although carer services are no longer funded by a ring fenced Carers Grant, the carers budget has been protected from savings due to it coming within the prevention and early intervention agenda.

14. APPENDICES

Appendix 1 – Carers Hub Service Specification



Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2012

Brief description of “background papers”	Name and telephone number of holder and address where open to inspection.
None	N/A



This page is intentionally left blank

London Borough of Tower Hamlets

SERVICE SPECIFICATION

Carers Hub Services

1. Introduction

Background and Context

- 1.1 The London Borough of Tower Hamlets through Adults Health and Wellbeing are committed to improving the services for carers and focused on delivering a Carers Hub which provides a variety of key services for carers. We are seeking a strategic partner to deliver a model of support which provides a one stop shop for carers to access information, advice, advocacy, support and services.
- 1.2 The Council recognises the importance of the contribution made by carers and is committed to working with them and partner agencies to commission quality services that meet their needs, help sustain the caring role and promote carers' health and wellbeing. The provider will deliver a quality service as well as ensuring the overall aim of a service which proactively is supportive of carers, carer focused and promotes independence, personal choices and participation for carers in the community in which they live.
- 1.3 The service will be delivered through a provider with gained experience of working with a carer centred approach, focusing on working with carers and agreeing ways to meet carers' outcomes. In recent years there has been a change in the way that service delivery is seen. This has moved from a model based upon delivery of 'services' for groups of people, to one where the standards and tools for commissioning services are more closely aligned with the outcomes for the carers who use the services. A move away from one size fits all approach.
- 1.4 The service will be founded on the principles of a carer centred approach and the emphasis will be on helping carers to access information, services and support and to ensure they have a life of their own outside of caring to participate in the activities and goals they have for themselves.
- 1.5 The service will be sensitive to the diverse cultural needs of carers in Tower Hamlets and meet the eight equalities strands nationally recognised. It will do so by providing an inclusive, safe and welcoming environment to carers who choose to use it and by reaching out to carers, who are not currently receiving services, particularly from hard to reach groups such as LGBT carers, carers from BME communities and carers of people with substance misuse problems.
- 1.6 *The Plan for Carers for three years from 2012 to 2015* (Appendix 1) outlines the background, national and local context and the key commissioning priorities over the next three years, which has informed the service to be provided by the Carers Hub.
- 1.7 The services outlined in this specification will provide support for carers and indirectly for service users as identified through assessment. The support will meet the identified needs of the individual carer, wherever they may be living, as long as they are supporting a Tower Hamlets resident.

The target group is any adult aged over 18, who is looking after someone with a physical, mental, or learning disability or substance misuse.

Summary of Carers Plan Key Priorities for the next 3 years:

- 1.8 The following are the key priorities for improving the health and wellbeing of adult carers :
- Ensure that carers have access to a range of information, advice and advocacy, whether they identify themselves as a carer or not.
 - To increase availability, access and flexibility of respite care services in the service users' home.
 - To continue to increase the availability and take up of carers breaks through:
 - Carers personal budgets for breaks
 - Respite provided at home through a personal budget
 - A Shared Lives Service (see below)
 - Easy access to get a break at short notice
 - To explore the development of a Shared Lives Service whereby individuals and families in the local communities provide (for payment) respite care locally so that the cared for person get a more personalised service which is culturally appropriate.
 - To increase engagement of primary care (general practice and community pharmacy) including improved recognition of specific needs of carers increased use of carers' registers, and greater provision of health checks.
 - To extend our reach into BME communities in line with the needs highlighted in the Carers Joint Strategic Needs Assessment. In other parts of the country, a Shared Lives Services has been a key way to achieve this.
 - To work with all provider organisations to identify and support Lesbian, Gay, Bisexual, Transgender (LGBT) carers. LGBT carers were identified in the last EQIA for carers as a group for which there is poor data collection and no specific support services
 - To provide information and training for all carers of people with long term conditions, in particular those who have had a stroke, people with dementia and those with severe and enduring mental health problems. This may include the commissioning of specialist services where required.
 - To recognise the needs of older carers and enable them to access appropriate support

- To work in partnership with the DAAT to support carers of people with substance misuse problems.

2 Aim

- § To improve the quality of life for carers in Tower Hamlets and enhance their capacity for independent living through the provision of a range of person centred, co-ordinated and outcome focused information, advice, advocacy and assessment services.

2.1 Objectives

- § To help carers maintain health and wellbeing
- § To reach out to carers from hard to reach groups such as carers of people who are substance misusers, carers from BME Communities, in particular Asian women of all ages and Asian men aged 18-64 years and LGBT Carers
- § To provide carers with information about services, ways to access support and when necessary to advocate for carers when they encounter difficulties in accessing services or receiving services that do not meet their requirements.
- § To work with carers to improve or maintain their physical and emotional health by signposting or referring to services that provide among others leisure, relaxation and social activities
- § To work with carers in supporting them to access regular health checks
- § To advise and support carers on eligibility criteria and how to access a carers assessment, carers break and carers personal budget
- § To provide support to carers in locations convenient to carers
- § To ensure that carers are aware of their rights and entitlements
- § To increase social capital for carers through sharing opportunities with other services/providers

3. Principles

The services should be delivered in line with the following principles:

- § The Council recognises and shares the Putting People First vision for the transformation of social care, with its benefits of early intervention and prevention and increasing choice and control for service users
- § Services should be delivered flexibly and providers should be open to making services more personalised

- § Services should be delivered to promote and ensure safeguarding of all carers and service users who have a right to live free from abuse in accordance with the principles of respect, dignity, autonomy, privacy and equity
- § All services should ensure fair access and be delivered equitably with carers, treating carers as partners and involving them in the planning and direction of their service

4. Services included in the contract

4.1 The Service Provider will be responsible for providing services which will improve the health and wellbeing of carers, improve access to support for all carers including harder to reach carers and facilitate partnership working around meeting the needs of carers.

4.2 The provider will lead on delivery of a range of key services for carers and often be the first service accessed by carers.

4.3 The key services provided are:

- § Provide specialist information, advice and advocacy for carers, carry out simple Carer Assessments and Assessments on behalf of the Council in order to access One Off Direct Payments and Leisure Cards
- § Income maximisation for carers
- § Provide support for carers on hospital admission /discharge, being a carer of a service user supported by the Community Virtual Ward and forming links with primary care to support carers of those with long term conditions such as carers of people with mental health difficulties and of end of life care needs
- § Services and activities to alleviate and manage stress and provide a break from caring
- § Representing carers views in the participation in Local Authority and NHS planning , acting as the voice of carers and building partnerships with other organisations ,
- § Outreach and support for hidden carers
- § Development and delivery of a range of carers training and awareness programmes and produce a quarterly newsletter

4.4 The Service Provider will be required to come with a suitable venue/ building in the borough.

5. Services Deliverables

5.1 Information, Advice and Advocacy and Assessments

5.1.1 Aim

- § Supportive and joint up services that provide choice and control

5.1.2 Objectives

- § To support carers of people with disabilities, including learning and physical disabilities, carers of people with dementia, people with mental ill health and substance misuse to access services and support for carers
- § To provide information and advice on the range of services available
- § To enable carers to balance their caring role and maintain their desired quality of life by reducing exclusion and isolation
- § To provide a welcoming empathetic environment with accessible services
- § To advocate on behalf of carers

Service Description

- 5.1.3** The Service Provider will ensure that carers have access to a range of easily accessible information, advice and advocacy specifically tailored to the needs of carers which signpost carers to services
- 5.1.4** Complete Carer Assessments, which are carer focused and help the carer to access a range of services. The assessments will clarify the needs of the carer, establish what services/support they have already and what they require and whether they are eligible for One Off Direct payments, carers breaks and other services. The Service Provider will ensure that carers' services will always aim to provide a positive experience for the Carer.
- 5.1.5** Complete Carers Assessments on behalf of the council in order to access One Off Direct Payments and Leisure Cards. The assessments will give a summary of the carers circumstances including eligibility for a One Off Direct Payment and Leisure Card.
- 5.1.6** The Service Provider will support carers practical and emotional needs by listening, empathising, advising on ways of coping and when necessary making referrals and linking up with other services/agencies such as voluntary sector providers, housing and social care team, advocating for the carer and service user when needed and signposting to other services as needed such as housing repairs and health services. If the carer is in danger or cannot continue in their role, an urgent referral will be made to the First Response Team and/ or Long Term Teams.
- 5.1.7** The Service Provider will provide a rapid response service for carers in crisis or near breakdown for a maximum duration of six weeks. In urgent cases of financial need, the Service Provider will make relevant and appropriate applications, to hardship funds/charitable trusts/food banks on behalf of carers.
- 5.1.8** The Service Provider will refer and/or signpost carers onto services, as identified in the assessment. This may include carers' breaks, and support needs to access a personal budget.
- 5.1.9** The Service Provider provide an advocacy service for carers,

particularly when carers are finding there are obstacles to accessing services or are under so much stress that they are finding it hard to be assertive for themselves or the person they look after.

- 5.1.10** The Service Provider will be responsible to remain aware of all relevant local services to ensure that carers are informed appropriately of services and how to access them including culturally specific carers' services such as those for Bangladeshi and Somali carers, those working with carers caring for cared fro suffering from dementia, and universal information, advice and advocacy services for people with support needs where appropriate
- 5.1.11** The Service Provider will develop innovative, responses to emerging and changing needs of carers in Tower Hamlets.
- 5.1.12** The Service Provider must demonstrate knowledge of the diverse needs of carers and the skills to meet these needs, to have at least three years experience of providing a service for carers in the borough and to have experience of reaching out to carers, particularly hidden carers from the different BME communities and LGBT carers in Tower Hamlets.
- 5.1.13** The Service Provider will ensure that staffing arrangements are flexible so that visits can be arranged at a time suitable for carers and service users. This may include some evening and weekends.
- 5.1.14** The Service Provider will be expected to participate in meetings specific to, and keep up to date with issues, policies and legislation affecting carers.
- 5.1.15** The Service Provider shall operate an open referral system for initial access to the service. It will accept self-referrals from carers, referrals from professionals in voluntary organisations and statutory bodies.

Networking / Partnership Working

- 5.1.16** The Service Provider will liaise and work with the statutory sector, such as Social Services, local NHS as well as local voluntary organisations to reinforce knowledge of the services provided, inform referrers of any changes in access arrangements, co-ordinate care with other providers, and share information and best practice.
- 5.1.17** The Service Provider will work closely with Primary Care by linking carers with their G.P. and ensuring they have access to a health check and are on the practices carers register.

Staffing

- 5.1.18** The Service Provider will employ a team of staff to reflect the ethnic, cultural and diversity needs of the carers in the borough, as far as is possible, and will work closely with other providers and translation services to ensure maximum accessibility of its service to all sectors of the community.

5.1.19 The Service Provider will employ staff who have assessment skills, knowledge of carer issues, listening skills, understand the importance of treating carers with respect, can provide emotional support within boundaries and are able to navigate and advocate on behalf of carers to access services.

5.2 Income Maximising Service

5.2.1 Aim:

§ Supportive services that increase carers' awareness of their rights and entitlements

5.2.2 Objectives

§ To support carers in relieving the poverty many experience through accessible advice and information

5.2.3 Service Description

5.2.3.1 The Service Provider will maximise the income of carers, in particular those on welfare benefits and to support carers understand the changes from the Welfare Reform taking place over the next few years.

5.2.3.2 The Service Provider will develop a welfare rights service for carers, whereby carers are advised how to claim for benefits they are entitled to and are supported with appeals and representation at tribunals for complex cases.

5.2.3.3 The Service Provider will provide training sessions for other organisations re: the key aspects of the Welfare Reforms implications for carers

5.3 Comprehensive support for carers of someone with a long term condition with particular attention to hospital admission/discharge, the Community Virtual Ward and Expert Patient Programme

5.3.1 Aims

§ To provide a comprehensive preventative service for carers of people with long term conditions, which integrates the health and social care services being provided for the cared for person.

5.3.2 Objectives

§ To ensure carers of people with long term conditions feel supported in their particular caring role

§ To contribute to carers being regarded as expert partners in the care of the person with the long term condition

- § To support the health and wellbeing of the carer and the cared for person by coordinating services and providing the carer with emotional support at key points in order to avoid crises

5.3.3 Service Description

- 5.3.4 The Service Provider will provide a comprehensive preventative service for carers of people with long term conditions.
- 5.3.5 The Service Provider will support the co-ordination of the health and social care services by liaising with specialist teams, Primary Care teams including G.P. and Community Nurses, Acute Care clinicians, the Community Virtual Ward, Dementia Services, Expert Patient Programmes ,social care teams and other carer services.
- 5.3.6 The Service Provider will support the carer to access a range of services including benefits advice, breaks, counselling, practical support ,relaxation therapies, peer support and health checks
- 5.3.7 The Service Provider will provide individual casework service to carers of people with long term conditions; in which carers are signposted and supported to access services and advocated on behalf of, in making representations about issues to service providers.
- 5.3.8 The Service Provider will act as the main link between service providers and carers of people with long term conditions by working in partnership with the statutory services and other third sector providers in raising carers issues, feeding back to carers about developments and helping to develop better services.
- 5.3.9 The Service Provider to develop the provision of outreach sessions for carers in G.P. practices, IDEA Stores, LinkAge Plus and other community groups.
- 5.3.10 The Service Provider will organise and manage the provision of a Carers Forum for long term conditions

5.4 Services to alleviate and manage stress

5.4.1 Aim

- § Supportive services that increase carers health and wellbeing and reduce carers' social isolation and stress

5.4.2 Objectives

- § The Service Provider will provide regular opportunities for stress relieving therapies and counselling.

- § The Service Provider will provide activities and group relaxation therapies to give carers a break for a few hours by spending time with other carers.

Service Description

- 5.4.3 The service will be provided on a flexible basis to best suit the needs of the carer with equitable access for all carers.
- 5.4.4 Relaxation will also be provided by a variety of activities. This could include massage, film nights, outings and special celebrations
- 5.4.5 The Service Provider will signpost and support carers to access various therapies and counselling

5.5 Representing Carers views in influencing services by the participation in Local Authority and NHS consultation ,building relations with other organisations and acting as the voice of carers

5.5.1 Aim

- § To enable carers to influence the improvement of services that affect them

5.5.2 Objectives

- § To provide networking opportunities for carers
- § To facilitate peer support
- § To provide carers with a voice in appropriate fora e.g. Healthwatch and the Health and Wellbeing Board
- § To work in partnership with statutory and voluntary sector organisations to facilitate carers accessing a new range of services such Shared Lives Services when on stream
- § To increase carers confidence in making decisions about their lives

5.5.3 Service Description

- § The Service Provider will facilitate a Carers' Forum for the exchange of information between carers, service providers and commissioners.
- § The Service Provider will provide a venue and administrative support including publicity for the forum
- § The Service Provider will help facilitate innovative peer support and support groups for carers and encourage groups to be self sustaining

- § The Service Provider will support and facilitate the National Carers Week celebrated annually and information event, workshops or seminars that bring carers and professionals together to share best practice, shape services and facilitate an ongoing dialogue.
- § The Service Provider will work in partnership with relevant statutory and voluntary organisations to provide carers with access to a wider range of services from the Carers' Hub

5.6 Outreach and Support for hidden carers

5.6.1 Aim

- § A service that supports, reaches out and identify hidden carers

5.6.2 Objectives

- § To identify hidden carers and provide appropriate support
- § To provide a welcoming and empathic service that is accessible to LGBT and BAME carers

5.6.3 Service Description:

5.6.4 The Provider will work with communities which have traditionally been seen as hard to engage by delivering the service in a number of venues in community locations and provide regular outreach support at easily accessible locations such as GP surgeries, places of worship, libraries and other appropriate venues/organisations to identify carers and make them aware of the services available to them.

5.6.5 The Service Provider will ensure the increased inclusion of LGBT carers in accessing services and support in recognising their role as carers.

5.7. Development and delivery of a range of carers' training and awareness programmes

5.7.1 Aims

- § A supportive service that provides training and awareness

5.7.2 Objectives

- § To ensure that carers are aware and understand the cared for persons condition and diagnosis
- § To ensure that carers feel supported in their caring role through training to care and look after themselves

- § To ensure that carers are trained in manual handling, managing stress and challenging behaviour

5.7.3 Service Description

5.7.3.1 The Provider will facilitate a programme of training for carers which will include understanding of the condition and prognosis of the cared for person, manual handling, caring skills and strategies, managing .

6. Carers Hub Service Provision

6.1 The Service Provider will provide a flexible service at times that meet carers' needs including evenings and weekends as appropriate.

6.2 The Service Provider will ensure that the Carers Hub will provide an appropriate range and level of Services that meet the needs of carers,

a. Minimum Service provisions will include:

- § High quality information and advice and where relevant advocacy services on welfare rights, housing, debt and financial advice for carers.

- § High quality advocacy services including crisis advocacy and self advocacy for carers.

- § Ensure an effective referral and signposting service to a range of services such as employment, healthy living, leisure and relaxation that help to maximise the quality of life of carers.

- § High quality Carers Assessments for One Off Direct Payments and Leisure Cards.

b. Information produced and communicated in appropriate formats about services for carers

c. Service navigation to facilitate access to relevant statutory and voluntary sector services including how to access a carers' personal budget for breaks.

d. Outreach at convenient locations to support hidden and those traditionally less likely to identify as carers

6.3 The Carers Hub shall have a quality assurance system in place, which supports the following principles:

- § Clarity of Purpose and Professionalism

- § Independence

- § Putting People First

- § Empowerment

- § Impartiality and Objectivity

- § Diversity and Inclusion
- § Accessibility
- § Confidentiality
- § Accountability

Eligibility and Access

- 6.4 The services are to support the main adult carer, aged 18 and over, who are Tower Hamlets residents or who are caring for someone who lives in Tower Hamlets, without payment. This definition means that unpaid carers who live in another borough but care for a resident of Tower Hamlets are eligible for support in line with current legislation which gives primary responsibility to the local authority in which the cared for person lives for carrying out a carers assessment and providing carers' services.¹
- 6.5 Details of all carers accessing services must be provided in the quarterly monitoring information supplied by the Provider.

7. Procedure

- 7.1 Except where stated, the Carers Hub is free to propose their own working methods. However as part of the contract requirements, the Service Provider must submit its proposed methods for delivering the Service for approval to the Council's Lead Officer.
- 7.2 The Service Providers' procedures shall reflect:
- § a willingness to act reasonably and with due propriety at all time;
 - § a commitment to the principle of equal opportunities in Service provision and staff recruitment;
 - § full compliance with the relevant requirements of legislation including without limitation the Health & Safety at Work Act 1974, all subordinate legislation with particular attention to Management of Health & Safety at Work Regulations 1992, National Care Standards etc;
 - § full compliance with the highest customer care principles, including ensuring carers are provided with an informative, honest, sensitive, helpful and courteous Service at all times.
- 7.3 The Service Providers' procedures shall not commit the Council to provide Services or give rights outside those provided by its policies, procedures and by legislation. The Service Provider will ensure that all necessary documentation is properly and completed in a timely fashion and that computer records are promptly updated.

¹ Adult Social Care(2010)Law Commission Consultation Paper No 192,paras 8.15 to 8.19

8. **Staffing**

- 8.1 The Service Provider must employ, throughout the Contract period, a sufficient number of suitably trained staff with appropriate skills.
- 8.2 The Service Provider must ensure that each staff member and prospective staff are eligible to work in the UK by making the necessary checks by checking that any documents are valid, photographs and birth dates match the applicant's appearance, checking information on the job application matches the documents and checking the documents allow the worker to do the work on offer.
- 8.3 Staff employed by the Service Provider in connection with the provision of the Service may be working with vulnerable people. Therefore, the Service Provider must ensure, throughout the contract period, that all staff have been subject to Extended Criminal Records Bureau checks and that adequate disciplinary procedures are in place to protect vulnerable adults against any form of improper conduct by staff. Such conduct may include (without limitation) verbal abuse, emotional abuse, physical abuse and theft of personal possessions including cash. The Service Provider must immediately report any such incident to Council's Lead Officer who will consider the necessity of taking action under the Tower Hamlets multi-agency Vulnerable Adults Protection Procedure.
- 8.4 The Service Provider must maintain, implement, review and adapt for the purpose of the provision of care, a clear and professional policy to train staff to carry out their tasks in the provision of the Service, with training assessed on the basis of roles undertaken by post holders.
- 8.5 The Service Provider should ensure that all mandatory training is completed for all staff including training in the eight equality strands of the Council.

9. **Volunteers**

- 9.1 The Service Provider will:
- § maximise the involvement of carers in the work of the Carers Hub as volunteers or in other capacity, for example service users fora.
 - § endeavour to involve volunteers as a complement to the staff in the operation and running of activities for carers, and as a means of preventing service users being isolated from their local communities;
 - § make certain that a designated staff member has the role of co-ordinating the training, supervision and recruitment of volunteers;
 - § taking up references and Enhanced Criminal Record Bureau checks on all volunteers and provide them with appropriate training and

continuous support, and;

- § ensure that volunteers who start placements without an Enhanced CRB check receive ongoing supervision of an Enhanced CRB checked member of staff and do not have unsupervised contact with service users.

10. Legal Requirements

10.1 The Services will be delivered in accordance with and having proper regard for all relevant and applicable British and European Union legislation. The Service Provider shall also comply with the Council's policies on the following:

- § The Interagency Safeguarding Procedures
- § Risk Assessment

11. Quality Assurance

11.1 The Service Provider shall provide the Council with copies of their Quality Assurance System and operational policies upon request. The Service Provider must be able to demonstrate how these policies are implemented at an operational level, and how and when they are monitored to ensure quality services are provided. In relation to this specification, the Quality Assurance System and operational policies will include the following:

- § Disciplinary procedures
- § Grievance procedures
- § Procedure dealing with gifts, money and gratuities
- § Confidentiality
- § Abuse at work - staff protection
- § Accident and incident reporting procedure
- § Complaints procedure
- § Equal Opportunities Procedure
- § Recruitment Policy
- § Supervision Policy

11.2 This is not an exhaustive list of Policy documents but will form the basis of the management organisations Quality Assurance and Operational Management.

12. Policy Context

Equal Opportunities

12.1 The Service Provider will ensure that Equal Opportunities and their implications in practice are intrinsic to the delivery the Carers Hub Service.

Anti-Poverty Strategy

12.2 Deprivation and poverty continue to be a prominent feature in Tower Hamlets. The Council's Community Plan outlines how the borough will continue to reduce inequality and poverty and has chosen to focus on poverty and initiatives to tackle this. All activities the Council carries out are assessed in terms of their impact on poverty.

12.3 The reform of the welfare system, including changes to benefits, tax credits and support for families, will have considerable impact on many carers in the borough

12.4 The Service Provider will support anti-poverty initiatives by:

§ recruiting staff, wherever appropriate, from the Tower Hamlets community and advertising vacancies within the Borough, and;

§ ensure that equal opportunities underpin the aforesaid activities

Data Protection

12.5 The Service Provider shall ensure all software is compliant with the Data Protection Act 1998 and that all information held by it is secured and used as required by the Data protection Act 1998.

13. Customer Care

13.1 The Service Provider will ensure that the Council's expectations regarding the highest standards of customer care are achieved at all times. These expectations require management organisations to ensure that all carers and service users are treated in a non-discriminatory manner, with courtesy and dignity, and that their right of choice is respected.

Charges

13.2 The Service Provider will not charge customers for the services provided under this contract.

Ombudsman and Members Enquiries

13.3 The Service Provider shall ensure that all information and assistance is given to enable the Council to respond to enquire from the Local Government Ombudsman within 10 working days and shall respond to Members' enquiries in a comprehensive and helpful manner within 10

working days.

Confidentiality

- 13.4 The Service Provider shall treat all information and records on People as strictly confidential at all times.
- 13.5 The Service Provider shall ensure that access to personal information or records maintained by the Council is restricted to those who have a genuine professional "need to know" (e.g. to ensure safety) or a statutory right of access.

Safeguarding

- 13.6 The Service Provider will comply with the Tower Hamlets Inter-Agency Safeguarding Adults Procedure. The Service Provider's Disciplinary and Grievance procedure shall take the Inter-Agency Safeguarding Adults Procedure into account and ensure there is no conflict.

Complaints

- 13.7 The Service Provider shall ensure that complaints from carers are dealt with in a courteous and timely manner and that all reasonable attempts are made to resolve complaints locally.
- 13.8 The Service Provider shall adhere to their complaints procedures when dealing with complaints. If they do not have such a procedure the Council will make available to them its own procedure and expect that it be adopted.
- 13.9 The Service Provider shall ensure that carers are routinely provided with information regarding the organisations' complaints procedure.
- 13.10 The Service Provider shall advise the complainant of their right to complain through the Council's complaints procedure, should they remain dissatisfied a management organisation's response, and provide the complainant with information about how to access that procedure.
- 13.11 The Service Provider shall display and circulate to users and carers, publicity regarding their own and the Social Services complaints procedure.
- 13.12 The Service Provider shall provide Adults Health and Wellbeing Directorate with an annual report regarding the number and types of complaints received in regards to the nine equality strands and the action taken in response to the complaints.
- 13.13 The Service Provider shall take steps to reduce and eliminate failures in Service delivery at all times and to take remedial action regarding gaps in Service delivery identified by complaints, Members and

Ombudsman enquiries.

- 13.14 The Service Provider shall take all reasonable steps to co-operate with the Council in investigating any complaint under the its (the Council's) Complaints Procedure relating to a Carer. Management organisations will provide copies of all reports made in respect of investigated complaints about its Services to the Council.
- 13.15 The Service Provider shall provide, on request, copies of reports made in respect of investigated complaints about its Services to the Council.

Incident reporting

- 13.16 Adverse incidents (sometimes referred to as serious untoward incidents or significant events) should be reported to the commissioning organisation, investigated and analysed to establish lessons to be learnt and to identify changes that will lead to future improvements and prevent reoccurrence, in compliance with the commissioning organisations' policies in use during this contract.
- 13.17 The Service Provider must have a policy and culture that encourages and supports staff to report adverse incidents. All incidents should be reported and fall into three categories:
- § Incidents that have occurred
 - § Incidents that have been prevented; and
 - § Incidents that might happen

Carer involvement in service planning and delivery

- 13.18 The Service Provider shall actively seek carer views and maintain appropriate records of carer feedback including any comments, complaints and/or compliments arising from meetings with carers, questionnaires, focus groups etc. The Service Provider will demonstrate how such feedback is shaping service delivery. The Service Provider will evidence how carers are fully involved in service planning and decision making across the Service Providers' organisation

14. Building Requirements

- 14.1 The Service Provider will provide suitable and accessible premises in the London Borough of Tower Hamlets which will function as a base and a point of contact. As specified by the service specification, drop ins and outreach will complement the accessibility of services delivered from these premises.
- 14.2 The premises will be well heated and ventilated, complying with DDA standards and Health and Safety legislation to create a safe environment for staff and carers.
- 14.3 The premises will be open to members of the public and provide areas

for confidential information, advice and advocacy.

14.4 They will provide a welcoming and user friendly environment

15. Monitoring and Evaluation Arrangements

15.1 A condition of this contract is that monitoring returns are supplied by the Provider organisation and will ensure that it complies with the reasonable monitoring requirements to be agreed with the Council. This information must be submitted at agreed intervals.

15.2 The Service Provider will be directly accountable for its operations and performance against the specification and contract to LBTH.

15.3 The Service Provider will undertake regular monitoring and review of its Service and will prepare regular reports for monitoring and review meetings. The Service Provider will ensure necessary administrative and record keeping systems are maintained to enable effective monitoring, review, planning and evaluation to take place.

15.4 The Service Provider must ensure that double counting of Service take-up is avoided.

15.5 All payments in respect of this Contract are contingent on the satisfactory and timely presentation of required monitoring information.

15.6 The designated LBTH Lead Officer will convene regular monitoring meetings at mutually agreed frequency with the Service Provider and agree with it what information is to be routinely collected for monitoring and evaluation purposes.

15.7 The Service Provider must lead on the development of the network, hub or consortium objectives and to report to the mutually agreed relevant governance arrangements that include the LBTH as a member of any partnership board meetings or similar.

15.8 The Service Provider shall ensure that the information systems, records and documentation necessary to effectively monitor the performance of this Contract are accurately maintained at all times and that such systems are regularly validated and audited.

15.9 The service will be visited on a mutually agreed frequency by the designated LBTH Lead Officer/s for monitoring purposes and designated carers. The Service Provider will make available all relevant documents, files, books information etc to the officers in order for monitoring to be carried out effectively. Reasonable notice of the visit will be given (normally at least 14 days), and of any documents, files, books information they may wish to inspect. Following the monitoring visit, the designated officer will write to the service detailing any areas of concern arising out of the visit and any further action required by the service provider (within a given time period).

15.10 The Service Provider will provide quarterly monitoring reports in an agreed format to the designated LBTH Lead Officer. This report will be submitted within two weeks of the end of each quarter and in accordance with the schedule below:

Quarterly period	Deadline for submissions of quarterly report
Quarter One:1 st April 2013 - 30 th June 2013	15 th July 2013
Quarter Two:1 st July 2013 - 30 th Sept 2013	15 th October 2013
Quarter Three:1 st Oct 2013 – 31 st Dec 2012	15th January 2013
Quarter Four : 1 st Jan 2014 - 31 st March 2013	15 th April 2014

15.11 In addition, an unannounced visit to the project may be made on an annual basis. Following the unannounced monitoring visit, the designated LBTH Lead Officer will write to the service provider detailing any areas of concern arising out of the visit and any further action required by the Service Provider.

15.12 The Service Provider shall ensure that all relevant data is retained for the duration of the Contract.

15.13 The Service Provider must ensure that all partnership agencies are annually reviewed

16. Contractor Arrangements

16.1 The successful provider will hold a contract with the Council. The contract will be managed by the Strategic Commissioning Team, but monitored by the Access to Resources Team.

16.2 The contract for these combined services will be a contract for three years to run from April 2013, with an option to extend at the Council's sole discretion for an additional period of up to 12 months (and a possible subsequent extension of up to a further 12 months).The Council can choose not to extend the contract at the end of the three years.

17. Ending this agreement

17.1 The Service Provider or the Council can end this agreement by giving six months' written notice if the other side is not meeting their responsibilities under this agreement, unless the matter is being dealt with under the disputes procedure.

17.2 The Service Provider or the Council can end the agreement by giving the other side 3 months written notice. All instalments up to the date the agreement ends will be paid, as long as the Council is satisfied with how the Service Provider has provided the service.

Appendix 1 .The Plan for Carers for the three years from 2012 to 2015

London Borough of Tower Hamlets

The Plan for Carers for the three years from 2012 to 2015

A carer is someone of any age who provides unpaid support to family or to someone who could not manage without this help. This could be caring for a relative, partner or friend who is ill, frail, disabled or has mental health or substance misuse problems.

(The Princess Royal Trust for Carers)

**London Borough of Tower Hamlets and Tower Hamlets Clinical
Commissioning Group**

**DRAFT Foreword by Mayor Lutfur Rahman and Dr Sam Everington, Chair of
NHS Tower Hamlets Clinical Commissioning Group**

Carers are “big business” for us in Tower Hamlets. Tower Hamlets has around 21,000 unpaid carers in the borough² out of a total population of 242,078 and more strikingly we have a higher proportion of the population providing 50 or more hours of unpaid care per week than any other place in England. Many Carers provide this care in difficult circumstances and they rely on the support that we offer to continue in their role supporting a family member or a friend.

Carers make a huge contribution to our community and this plan sets out a number of ways that we are seeking to widen the range of support available for Carers. This includes the introduction of personal budgets for carers, a wider range of respite and carers breaks options, and more specific support for carers of people with mental illness and dementia.

The proposals in this plan are based on what you have told us over the last three years and on the research carried out by Public Health to produce a Carers needs assessment.

There is a lot of work to do to implement the proposals in this plan and we want our officers to continue to work closely with Carers to ensure that their full involvement is ongoing and that you have your say.

We thank you for your contribution so far and we look forward to continuing to work with you in the promotion and implementation of this plan.

²Percentage based on 2001 Census data

CONTENTS

Executive Summary	4-5
1. Introduction	6
2. Background	
3. Review of Tower Hamlets Carers Strategy 2008-11	7-11
4. Health and Wellbeing Checks for Carers	12-18
5. Promoting Independence Strategy	21-23
6. Principles	24-25
7. Carers Journey and Carers Personal Budgets	26-31
8. Commissioning of Services for Carers 2012-2015	32-39
9. Summary of Commissioning Plan for 2012-2015	40-43
10. Carers Delivery and Commissioning Action Plan for 2012-2015	44-50
APPENDICES	
Appendix 1 – Legislation	52-63
Appendix 2 – Executive Summary of Joint Strategic Needs Assessment For Carers	64
Appendix 3 – Carers Strategy Implementation Steering Group Members	
Appendix 4 – Voluntary Groups providing services for carers	65

Executive Summary

1. The Plan for Carers for the three years 2012 to 2015 sets out how the Council and Tower Hamlets Clinical Commissioning Group working in partnership with the Third Sector, will meet the needs of carers in Tower Hamlets. The Plan sets out the financial context in which we are working, our priorities, and how this Plan will be delivered over the next three year period.
2. The Plan introduces a number of changes. These are summarised as:
 - § to improve information ,advice and advocacy for carers
 - § to introduce carers budgets to give carers more choice and flexibility
 - § to support carers to stay healthy
 - § to review balance between block contracts for carer services and with carers personal budgets
3. The last Strategy and Plan was published in 2008, which was before the Transforming Adult Social Care programme. Chapter 2 sets out the impact of this programme and of '**Think Local Act Personal**' (January 2011)³ on carers. We have sought to reflect these nationally driven policy changes in our proposals for a new Carer's Journey and for the extension of carers' personal budgets in Chapter 7. These proposals impact on our deployment of resources and on our commissioning plans as set out in Chapter 8.
4. Much has been achieved over the course of the last strategy and plan but there is still much to be done as can be seen from Chapter 3 which reviews the Action Plan in the last Strategy.
5. Support for carers is an important element of the Council's *Promoting Independence Strategy*, which outlines the need to shift resources away from long term support to prevention and early intervention (chapter 5). There is evidence both nationally and locally about how available resources can be best used as a lever to promote independence of carers and service users. Examples include ways in which properly supported carers can delay the need for hospital admissions and residential care. If carers are given advice and support, it can improve their wellbeing and ability to take control. Carers are important partners in new short term support services such as the Re-ablement service. Feedback from carers⁴ would suggest that more work is required to achieve this level of support.
6. Chapter 6 sets out the principles underpinning this Plan.
7. Chapter 7 is about the proposals for the new Carer's Journey which is what we are calling the "pathway" for carers seeking to access social care services. This chapter includes proposed extension of personal budgets beyond one off direct payments to the provision of support planning and personal budgets to

³ Putting People First Consortium

⁴ Tower Hamlets Carers Survey, NHS Information Centre, 2010

provide ongoing support subject to meeting eligibility criteria. The eligibility criteria are not new but the availability of personal budgets is new.

8. This Plan is written in a time of severe resource pressures. Core grants for carers are no longer ring fenced. Chapters 8 and 9 set out commissioning plans for carers services. These indicate our intention to reduce the use of block contracts for carers' services to free up resources within the current resource envelope to fund the introduction of a wider range of personal budgets for carers than the one off direct payment which is all that is available at the moment.
9. Finally the action plan for the next three years is designed to deliver change in our current delivery and commissioning arrangements to enhance choice and control for carers.

1. Introduction

- 1.1 This document is a combined updated Carers Delivery Plan and Commissioning Plan for the three years ending 31st March 2015. There will be an annual review of the Plan through monitoring and liaison with carers. It should be noted that this Plan is a joint Plan with the local NHS with the lead commissioning role taken by the Local Authority.
- 1.2 Carers are one of the main resources supporting the health and social care economy in Great Britain. There are six million carers nationally with over a fifth of these carers providing 50 hours plus care per week. The delivery of high quality support to these carers is vital to ensuring that they continue to be able to provide good quality care and support to the individuals they care for.
- 1.3 In Tower Hamlets there are estimated to be over 21,000 carers. Many provide lower levels of care, but a relatively high percentage provides regular and substantial levels of care. A major aim of the Plan is to increase the number of adult carers in the borough who take up services.
- 1.4 This Plan is not about Young Carers, who are defined as children or young people under 18 whose lives are significantly affected by caring for a family member who has a physical illness or disability, mental health difficulties, sensory or learning disability or has a problematic use of drugs or alcohol. This will be the subject of a separate work stream.
- 1.5 The Plan has been updated to incorporate the priorities in *Recognised, Valued and Supported: Next Steps for the Carers Strategy DH 2010* and to reflect the changes in the way services will be provided in the future within the *Transforming Adult Social Care Programme*.

2. Background

2.1 The development of this Plan is primarily informed by the following key national and local developments:

- § National Carers Strategy Ten Year Strategy *Carers at the heart of 21st - century families and communities* “A caring system on your side. A life of your own” 2008
- § National Refreshed Carer Strategy ”Recognised, Valued and Supported Next steps for the Carers Strategy November 2010
- § Putting People First (2007)
- § Improving Health and Wellbeing in Tower Hamlets: A strategy for Primary and Community Care Services 2006-2016
- § Transforming Adults Social Care
- § White Paper “Equity and Excellence: Liberating the NHS” DH 2010
- § Law Commission’s review of Community Care Law (2011)
- § Tower Hamlets Carers Joint Strategic Needs Assessment May 2010
- § Review of Tower Hamlets 2008-2011 Carers Strategy
- § Feedback from carers via forums and focus groups held in the last twelve months

The National Context

The National Carers Strategy 2008-2018

2.2 The National Carer Strategy is a framework for developing support for carers over the ten years from 2008 to 2018 with a vision that carers will be universally recognised and valued as being fundamental to strong families and communities. The National Strategy has a focus on tailoring support for carers to their personal needs and enabling carers to maintain a balance between their caring responsibilities and a life outside of caring. It acknowledges the need to support all carers through the provision of information and advice, while recognising that the focus of resources will be on support for carers with the greatest needs.

2.3 The vision listed five outcomes for carers:

- § Carers will be respected as expert care partners and will have access to integrated and personalised services they need to support them in their caring role
- § Carers will be supported to have a life of their own alongside their caring role
- § Carers will be supported so that they are not forced into financial hardship by their caring role
- § Carers will be supported to stay mentally and physically well and will be treated with dignity
- § Children and young people will be protected from inappropriate caring and have the support they need to learn, develop and thrive and to enjoy positive childhoods

2.4 This strategy was updated by *Recognised, valued and supported: the next steps for the Carers Strategy*, published in November 2010, in which four priority areas were identified:

- § Supporting those with caring responsibilities to identify themselves as carers at an early stage, recognising the value of their contribution and involving them from the outset both in designing local care provision and in planning individual care packages.
- § Enabling those with caring responsibilities to fulfil their educational and employment potential.
- § Personalised support both for carers and those they support, enabling them to have a family and community life.
- § Supporting carers to remain mentally and physically well

Personalisation and TASC

2.5 **The Transforming Adult Social Care Programme (TASC)** is Tower Hamlets' response to the national Putting People First (PPF) initiative (December 2007). This was a cross government concordat that set the direction for adult social care over the next ten years. Traditionally the support provided to people with disabilities and older people has been service-led, rather than person centred and PPF sought to change this. The traditional service-led approach has often meant that people have not received the right help at the right time and have been unable to shape the kind of support they need. Personalisation is about giving people much more choice and control over their lives.

2.6 In January 2011 a new agreement '**Think Local Act Personal**' was published. This drew on learning from implementing Putting People First and highlighted the necessary connection between preventative, community-based approaches and personalised care and support and emphasised the importance of shifting of resources from crisis and acute interventions to prevention and early intervention.

2.7 This shift in the way social care is delivered is significant for carers who in this Borough are regarded as a key part of our preventative strategy in the support that they provide to service users.

2.8 Recognition of the role of carers in the "Transforming Adult Social Care" programme includes:

- § Acknowledgement that family members and carers can be "expert care partners"
- § Universal, joined up information and advice services
- § Person-centred planning and self directed support
- § Access to advocacy, brokerage and peer support
- § Better and more joint working between the NHS and the local authorities
- § The development of individual personal budgets for carers

- 2.9 During the life of this Plan the take up of personal budgets by carers is expected to continue to grow. Personal budgets enable a carer to make their own arrangements for the services they have been assessed as needing.
- 2.10 This places the carer who wishes to take a direct payment into a role of purchaser or “micro-commissioner”. It also changes the role of the local authority which has up to now commissioned blocks of services on behalf of service users and then directed service users into these block services which may have met individuals’ needs to a greater or lesser extent. An example of this is residential respite care which has been blocked purchased by the local authority which leaves a limited amount of funding left for direct payments for alternative respite provision, for example respite care in the home. This can reduce the flexibility available to carers as highlighted in the case study below and will be addressed further in Chapter 7.

Fatima’s Story

After my carer’s assessment it was agreed that I could have a morning off each week and my mother could have someone to come in and sit with her with the direct payment I receive. I employ a neighbour who knows my mum well.

Mum doesn’t really like day centres. Before, I felt that as day centres seemed to be the only option, I would just have to be with her all the time. But it was wearing me out. Direct payments allow me to get some ‘me’ time and I am sure that my mother also feels the benefits – she relaxes more and is not on the receiving end of my tiredness. The flexibility means that we can also pay someone to support us going out shopping if she wants to. It’s the best thing we ever did. We are in control and can control how social services get involved. We have tended to shy away from support in the past and do it alone, fearing intrusion.

NHS Operating Plan 2012-13 and Carers

- 2.11 *The Operating Framework for the NHS in England 2012/13* requires a carers assessment of local needs jointly with local authorities, and the publication of joint plans to support carers by each local PCT cluster and local authority by the end of September 2012. These plans should the use of direct payments or personal budgets. The Operating Framework explicitly requires for the first time the publication of:
- § The financial contribution made to support carers by both local authorities and PCT clusters with any transfer of funds from the NHS to local authorities through a s256 agreement;
 - § Identification of how much of the total is being spent on carers’ breaks; and

- § Identification of an indicative number of breaks that should be available within that funding.

Community Care Law Review

2.12 The Law Commission's Review contains two recommendations that would impact on Carers if adopted as law:

- § Under the existing legal framework, only carers providing a substantial amount of care on a regular basis are entitled to a carer's assessment. The Commission recommends the removal of the requirement for care to be 'substantial and regular' and instead local authorities will have a duty to assess any carer who is providing care to another person, with the assessment being proportionate to the needs presented by the carer.
- § At the moment the Local Authority only has a duty to provide a carers' assessment if requested by a carer. It is proposed that the duty to provide an assessment should be triggered where it appears to the local authority that the carer may have, or would have upon commencing the caring role, needs that could be met by the provision of carers' services. This change would mean that the requirement to provide a carer's assessment would be broadly the same as the requirement to undertake a community care assessment.

The Local Context

2.13 In May 2010 the first Tower Hamlets Carers Joint Strategic Needs Assessment (JSNA) identified that:

- § Tower Hamlets has around 21,000 unpaid carers in the borough⁵ out of a total population of 242,078
- § We have a higher proportion of the population providing 50 or more hours of unpaid care per week than any other inner London Borough
- § About 9,000 people in the borough provide 20 hours or more unpaid care per week, of whom around 5,800 provide 50 hours or more per week
- § Certain groups of carers appear to be under-represented in terms of the proportion of carers' assessments or reviews. These groups are Asian women of all ages, Asian male carers aged 18-64, carers of older people aged 65 and over with physical disabilities and LGBT carers, whom we do not currently record.
- § A higher proportion of the Tower Hamlets population (1.32%) provides 20-49 hours unpaid care per week to a family member, partner or friend than the London (1.01%) or England average (1.08%).
- § The proportion providing 50 hours or more per week in Tower Hamlets is the highest in England (2.38% in Tower Hamlets compared to 1.66% in London and 2.03% in England).

⁵Percentage based on 2001 Census data

- § Nationally, carers experience worse general health than the general population. In Tower Hamlets carers experience worse general health than the national carers' average.
- § 63% of carers (providing 20 hours or more unpaid care per week) are female
- § 18% of carers are of pensionable age.
- § 3% of carers are under the age of 16.
- § 44% of carers are Bangladeshi⁶ and 41% are white British
- § In the young carer group, 64% of carers are Bangladeshi (almost 80% of female young carers) and just 18% white British. This proportion varies across older age groups; 49% of working age carers are Bangladeshi and less than 16% of older carers are Bangladeshi
- § Asian carers of working age are disproportionately represented as carers compared to the Asian working age population as a proportion of the overall Tower Hamlets working age population.

2.14 A survey of carers in Tower Hamlets found that around two thirds of carers surveyed reported experiencing tiredness or disturbed sleep. Around one third of carers reported feelings of stress, depression and physical strain⁷. Carers in Tower Hamlets experience worse general health than carers surveyed nationally and the Tower Hamlets population in general. 41% of carers surveyed reported their general health to be good or very good (49% England average⁸), compared to 77% of the Tower Hamlets population as a whole⁹.

2.15 Around 7% of carers surveyed in Tower Hamlets look after more than one person and this is consistent with the picture nationally. However, carers in Tower Hamlets are more likely to live with the person they care for (84% in Tower Hamlets, compared to 73% England average). This is likely to result in a more time intensive caring role, which may explain the higher than average proportion of the Tower Hamlets carers population providing 20 hours or more care per week. 51% of carers surveyed in Tower Hamlets reported spending 100 hours or more per week caring, compared to 37% of carers nationally.

2.16 Carers in Tower Hamlets report feeling less supported by services than average. Only 76% of carers in Tower Hamlets report feeling "always or usually" supported by their GP compared to 81% nationally. 75% of carers in Tower Hamlets report feeling always or usually involved in hospital discussions about the person they care for compared to 82% nationally.

⁶ This is based on 2001 Census data and may have changed substantially since then.

⁷ Tower Hamlets Carers Survey, NHS Information Centre, 2010.

⁸ 2009-10 Personal Social Services User Experience Survey of Carers. Copyright © 2010, The Health and Social Care Information Centre. All Rights Reserved.

⁹ Tower Hamlets Carers Survey, NHS Information Centre, 2010 and Tower Hamlets Health and Lifestyle Survey, 2010.

3. Review of Tower Hamlets Carers Strategy and Plan 2008-2011

3.1 The multi-agency Tower Hamlets Carers Strategy/Plan 2008-11 was based on ten key areas that carers had told us needed to be improved. Progress in each of these areas is set out in the table below.

Table 1: Carers Strategy /Plan Action Plan 2008 - 2011

Priority Area	Progress
1. Carers needs are better addressed in hospital discharge procedures	<ul style="list-style-type: none"> § The Hospital Discharge Policy for Barts and the London NHS Trust was updated to include the involvement and needs of carers. However, feedback from carers suggests that this remains an area for improvement § Prior to discharge, carers want to be given information about the treatment and condition of the patient, including the medication being used and possible side effects in a systematic way. § Receive information about, and sufficient time to visit, care homes, if the patient is unable to return home § Carers would like to be given at least 24 hours notice prior to the person being discharged and to be involved in a discharge meeting outlining details of any medication and care package arrangements
2. Carers are routinely consulted about admission and inpatient care of the person they care for	<p>Following the publication of Six Lives¹⁰, priority attention was given to support for people with learning disabilities. Progress over this period included:</p> <ul style="list-style-type: none"> § Following the Big Health Check in 2010 and 2011, progress was made with the introduction of Hospital Passports for people with learning disabilities. This supports carers as it reduces the number of times carers have to give information about the cared for person § A part time Nurse was appointed at the Royal London to support people with learning disabilities and their carers when admitted to the acute hospital. <p>As noted in 1. above, feedback from Carers highlighted that this is a general area of concern for all carers and we will be looking at this more closely over the period covered by this Plan.</p>

Page 230

¹⁰ Six Lives: the provision of public services to people with learning disabilities by the Parliamentary and Health Service Ombudsman March 2009

<p>3. Health checks for carers</p>	<ul style="list-style-type: none"> § The target of 20% of GP practices in Tower Hamlets having a carers' register was met § Health and Wellbeing Checks for Carers Project (Oct 2009-March 2011) provided holistic checks for carers and support to services § The local evaluation of the project highlighted the value of the checks and recommended the mainstreaming of the health checks for carers § The evaluation also recommended the development of and increased use of Carer Registers in primary care and noted the need to strengthen the engagement of primary care more generally. § Further work will be undertaken in 2012/13 to incorporate this project into mainstream health services <p>This is discussed further in Chapter 4.</p>
<p>4. The range and flexibility of breaks</p> <p>[we are using here the Department of Health Carers Strategy Demonstrator Sites for Carers Breaks definition of breaks: personalised breaks that incorporate a diverse range of activities such as courses, spa treatments, weekend breaks and gym membership]</p>	<ul style="list-style-type: none"> § The range and flexibility of breaks has been improved by the increase in one off direct payments for breaks from 67 in 2009/10 to 97 in 2010/11. The advantage of one off direct payments is the flexibility they offer carers. It is proposed to extend the availability and purpose of direct payments beyond just one off payments (see Chapter 7). § Access to one off direct payments was improved by the Council delegating the function of completing Carer Assessments for one off direct payments to the Carers Centre and this has been successful, not just in increasing take up, but also in bringing more carers into the Carers Centre where they can discuss other issues and receive help for example on welfare benefits, health concerns, financial worries, how the carer is coping, does the carer want to continue to care, carers breaks etc.
<p>5. Support to access leisure activities</p>	<ul style="list-style-type: none"> § In 2008 carers of people with mental health problems advised us that their role is particularly onerous because of the stigma associated with mental ill health and the often unpredictable fluctuations in the person they are caring for. This is highlighted in the Next Steps for Carers Strategy's reference to this stress by their reference to "the onset of mental health problems and the process of seeking help can be particularly traumatic for families". § In view of the particular stresses faced by those who care for people with mental health problems, in May 2009, a leisure card scheme was piloted for this group of carers allowing them free access to the borough's leisure centres at any time including peak time. Carers accessed this service through an assessment at the Carers Centre. § Since 2009, 121 carers of people with mental health problems have taken up free Leisure

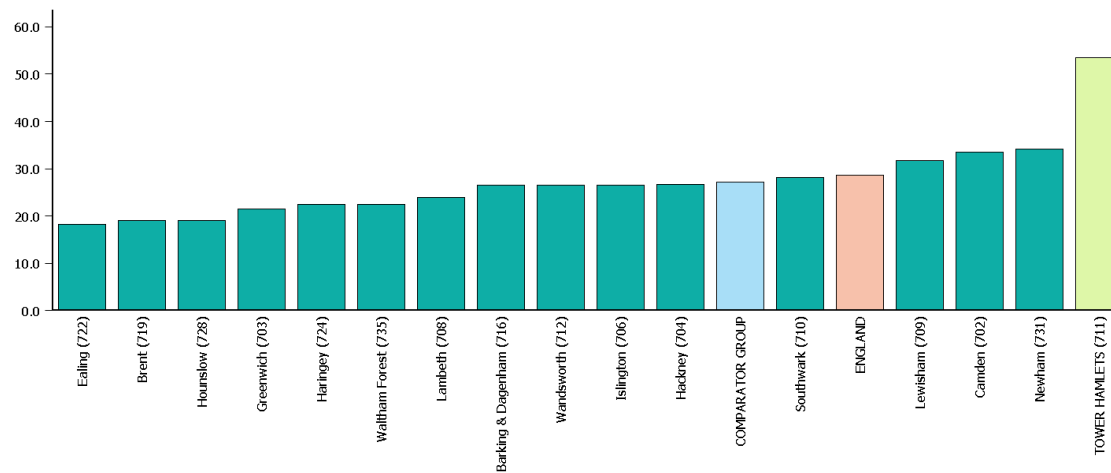
Page 23

	<p>Passes and a further 16 carers in LAP 1 and 11 carers from LAP 4 from August 2010 as part of the time limited You Decide Programme received these cards. As we received positive feedback from the You Decide Programme, it is proposed in this Plan to introduce these passes more widely.</p>
6. Support to education, employment and training	<ul style="list-style-type: none"> § The Work Focused Support for Carers scheme at Jobcentre Plus set up in November 2009, has been providing advice on training, finding a job, local childcare and local replacement care is provided, with ongoing support if the individual starts work. Although the numbers of carers helped into work was low, the service also helped ensure carers were signposted to appropriate carer services. § Within the Adults Health and Wellbeing Directorate in the Council, a carers group was set up in 2010 to support carers juggling work and caring responsibilities.
7. Increase in the number and quality of carer assessments	<ul style="list-style-type: none"> § Increase in the number of carers receiving carers' assessments or reviews from 945 in 2006/07 to 1,870 in 2009/10 and 1,866 in 2010/11. § Tower Hamlets Council and the Local Strategic Partnership identified improved support for carers as one of 35 local priorities/target areas in the Local Area Agreement (LAA) for 2008-2011. The LAA represented a framework for addressing local priorities in delivering improved outcomes on areas which really mattered to local residents. The target has been surpassed for each of the three years of the Plan and Tower Hamlets has been one of the highest performing councils in London against this indicator § See Diagram Table 2 in chapter 3 Tower Hamlets performance for this target national indicator (NI) 135 for 2010/11 compared to other London boroughs.
8. Improve joint working with Children Services for support of Young Carers and Parents of children with disabilities, particularly around the transition period	<ul style="list-style-type: none"> § Disabilities Transition team was set up in 2009 with agreed protocols for Transition from Childrens, Schools and Families to Adults Health and Wellbeing. § Health and Wellbeing Checks for Carers provided checks for Young Carers § Further work is required within this area.
9. Improve information for carers	<ul style="list-style-type: none"> § 10 voluntary sector organisations provide advice and information, advocacy, sitting services, weekend respite, carer forums, emotional support, therapies, benefit and financial advice, one-off direct payments and leisure cards across Tower Hamlets. A list of these organisations can be found in Appendix 4. § Information for carers has been provided in various formats: new leaflets, the Council's internet and East End Life

	<ul style="list-style-type: none"> § Further information has been provided at Transformation Workshops, ‘You Decide’ Groups, focus groups; carers support groups, ‘Getting Ready’ meetings for the Big Health Check and surgeries at the IDEA stores. § During consultation for the 2008-11 strategy, carers were made aware of services available for carers. The Carers Emergency Card, which helps carers put in place emergency arrangements in the event of exceptional events, such as the carer having to go to hospital, was developed and over 120 emergency cards have been issued.
10. Involvement of carers in service planning.	<ul style="list-style-type: none"> § Carers have influenced the work of the Transformation Project delivering “the Carers Journey”, by advocating for carers and describing the best solutions for carers § Carers were key members of the Health and Wellbeing Checks Steering Group responsible for ensuring the implementation of the project. Carers advocated for the involvement of Practices and the need to publicise the project wider § Carers are members of the Carers Strategy Implementation Group, which is responsible for overseeing the implementation of this new Plan § Continued engage with Think, our local engagement network

3.2 National Indicator 135 2010/11: number of carers assessments

Table 2 Tower Hamlets Performance of NI 135 2010/11 compared to other local authorities



What carers have told us

3.3 Over the life of this Plan there have been numerous Carers forums and focus groups including groups held at St Hilda's, Family Action Carers Connect, Alzheimer's Society, the Carers Centre, Usha Mohila Group. There have been two Big Health Check Days in 2010 and 2011, which contribute to the London Learning Disability Self Assessment Framework, as well as a user experience survey sent to carers who received assessments or reviews during 2010/11. The following issues are repeatedly identified as important to carers locally:

- ✎ Poor information and lack of awareness of services
- ✎ Respect as expert partners
- ✎ Respite (especially at the weekend when there are no day services)
- ✎ Time for yourself
- ✎ Hospital discharge
- ✎ Financial difficulties
- ✎ Control over one's life
- ✎ Social isolation
- ✎ Health issues (including stress)

3.4 Carers in Tower Hamlets often report not knowing about what services are available and the lack of available information. They would like one single point of access to get information, advice and services. The national strategy recognises that:

Access to relevant and timely information and advice is vital throughout the caring role, particularly at times of significant change, like transition and end of life.

"If you don't know about what's available, it's impossible to find out. No-one is putting information out there. It feels like a secret society. The services should advertise themselves more"¹¹

3.5 Carers of people with mental health issues have highlighted feeling a lack of respect shown towards them by health professionals. Often they are not invited to meetings with Community Psychiatric Nurses and Psychiatrists and if they are invited are expected not to express their views. Family members are used inappropriately as interpreters and assessments go ahead with service users, who have limited English language skills, without interpreters.

3.6 Carers suggest that there should be flexibility for friends and family (other than the primary carer) to provide paid respite. This would allow minimum disruption for the cared-for, good continuity and trust in the quality of care provided, thus minimising the stress involved for the carer.

3.7 Carers often report being unaware of what respite services are available in the borough. Amongst those who do know of services, it is felt that there

¹¹Comment from Tower Hamlets Carer User Experience Survey 2010

are not enough respite services, especially at the weekend when the person they care for does not attend school or day services¹².

- 3.8 Carers sometimes find the aftermath of respite chaotic and struggle to regain the previous routine for the person they care for. Anecdotally there is widespread demand for home based respite in which the individual is able to remain in familiar surroundings.

*"I spent a week away and came back to so many issues, had to spend at least six weeks to resettle my dad in again, he was confused and short tempered"*¹³

- 3.9 The issue of time is central to carers' concerns as many report insufficient time to balance their caring responsibilities with the other important parts of their life; on many occasions carers are invited to attend meetings, forums, user groups etc, and even if they want to go, they are not able to because of time constraints¹⁴
- 3.10 Carers frequently report experiencing difficulty preparing for the transition of the person they care for from children's to adults' services. It is essential that the carer is adequately involved in the care planning for the person they care for, as specified in national guidance¹⁵.
- 3.11 Carers of people with substance misuse problems have identified a lack of education on drugs and on the nature of addiction; a lack of knowledge of treatment services and are unaware of support services for carers, including the Carers Centre and of their eligibility for carers' assessments.
- 3.12 The Carers Centre was described as invaluable and having saved a lot of carers from 'going under', and carers feel that the Centre's services should be advertised more.
- 3.13 Finally over the last 12 months, the new carers journey, as set out in Chapter 7 has been developed locally with representatives of, and in consultation with, local carers.

¹² St Hilda's Carers Focus Group Nov 2009

¹³ Carer of someone with dementia, Tower Hamlets. From Bari R. (2010) Service User and Carer views on Dementia Services.

Carers Centre Forum, October 2009

¹⁴ Carers Centre Forum, October 2009

¹⁵ Department of Health (2010) Prioritising need in the context of Putting People First: A whole system approach to eligibility for social care.

4. Health and Wellbeing Checks for Carers

- 4.1 This was an 18 month project funded by the Department of Health from October 2009 to March 2011, which provided carers with a regular health and wellbeing check and support to access required services. Research has indicated that carers' health is often adversely affected by their caring role and the longer the caring continues; the more significant is the ill health that is experienced¹³. Carers tend to take the cared for person to see a GP, but neglect their own health needs.
- 4.2 This project comprised a team of four Nurses, a Team Leader, a Mental Health Nurse, a Social Worker, Project Support and a Project Manager. Initially the team was based at Tower Hamlets Carers Centre, but moved to Gladstone Place because of building works at the Carers Centre. Over 600 health checks were completed over the life of the project, together with the provision of individual support into services. The total cost of the project was £613,500. Carers of all ages, including Young Carers, and Carers of people with learning disabilities, physical disabilities, older people, mental health and substance misuse problems received health and wellbeing checks across all of the borough. The breakdown of the ethnicity of the carers who had a health and wellbeing check was:

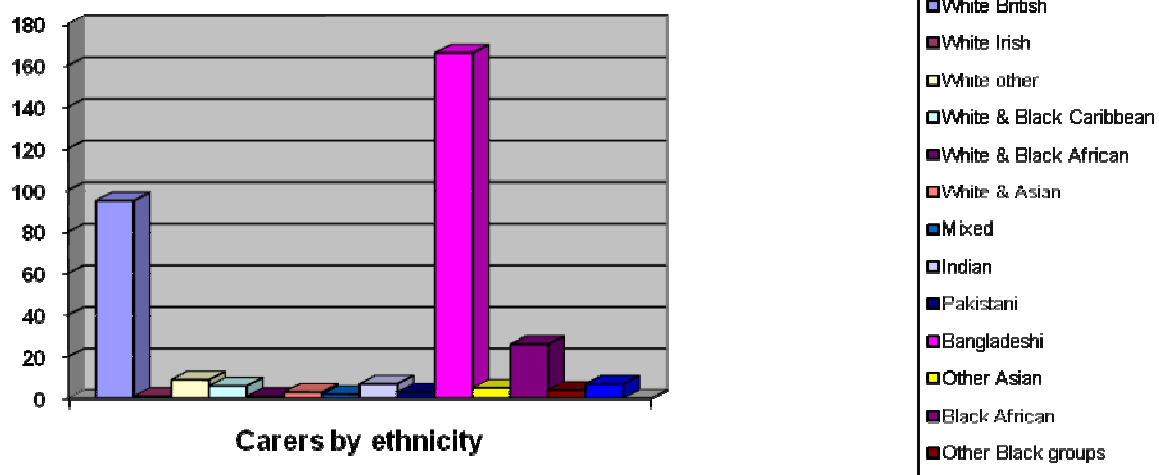


Table 3 Carers by ethnicity

- 4.3 The local evaluation of the project was carried out by Arup¹⁶, an independent firm of consultants. In their evaluation of the Health and Wellbeing Checks for carers they found:

¹³ Health and Wellbeing Checks for Carers August 2011

- ⌘ that the project had taken significant steps towards providing integrated health and social care support for carers, which focused on early intervention in order to prevent avoidable deterioration of carers health and well being, which could have both negative implications for both carers and the people they care for
- ⌘ a key strength of the project throughout all the carer interviews was recognition as a carer, feeling valued and listened to. Being allowed time to talk, and to have space was deemed to be a very important part of the health check
- ⌘ that there was a significant relationship between the length of time someone had been caring, and their health. Over 30% of carers who had health checks had been caring for over 10 years. The quantitative analysis highlighted that many of the carers examined had a BMI of over 25 falling into overweight, obese and morbidly obese categories; 20% of the sample suffered from some type of pain particularly back/shoulder and knee and 65% fell into the blood pressure range of pre-high and high putting them at greater risk of heart disease.
- ⌘ analysis suggested that the Health and Wellbeing Checks service helped carers feel able to take control about things¹⁷
- ⌘ that there is a need to step up the development and maintenance of Carers Registers within Primary Care
- ⌘ the need for regular health checks to be carried out in Primary Care and a way of carers being identified as carers on Primary Care IT systems
- ⌘ as a result of GP practices not being involved as advisors in the development stages of the project, engagement in the implementation of the service proved difficult.

4.5 With the recognition of the benefits of the DH Carers Strategy Demonstrator Site Health and Wellbeing Checks for carers, NHS ELC are funding a new Health Checks for Carers Project from January 2012 to, initially, March 2013, comprising two nurses attached to the new Virtual Community Ward service, which has been successfully piloted in the SW Locality. It is now intended to extend the model across the whole of the Borough.

4.6 The two nurses will carry out health and wellbeing checks on the carers of patients who fall within the remit of the Virtual Wards. They will be based at two practices covering east and west of the Borough, to be in place as the Virtual Ward model is extended across the whole Borough. As the Virtual Ward is predominantly made up of older people, it is the intention of the project team to offer carers of other patient/client groups health checks by linking in with other existing projects for example, the new Dementia Service at Old Montague Street.

¹⁴ ARUP 2011

5. Promoting Independence Strategy

- 5.1 In February 2011, Cabinet adopted the report entitled “The Future of Commissioning in Adult Social Care: Market Shaping and Development” which outlined the key strategic aim to shift resources from long term care into prevention services. The Council made a commitment to shelter the spend on the prevention services, which included funding on carer services, from the efficiency savings.
- 5.2 The Council’s prevention and early intervention strategy, “Promoting Independence” was approved by Cabinet in November 2011.
- 5.3 The Strategy outlines the importance of prevention and early intervention for carers, both in helping carers to sustain their caring role and to improve the wellbeing of carers as individuals in their own right. It focuses on the provision of more accessible and up to date information provided through a hub and spoke network of advice, information and advocacy services for vulnerable people and their carers. Some of the generic services which will be of significant benefit to carers which are described in the Strategy include:
- § The Reablement Service focussed on working with vulnerable adults following a period of ill health or an incident to re-learn the skills necessary for daily living to remain as independent as possible. Carer involvement, carers’ attitudes to re-ablement and their access to ongoing support is a key factor in achieving positive outcomes for service users.
 - § The pilot Virtual Ward in the Community focuses on proactively supporting patients who are at risk of needing acute hospital care. As described in Chapter 4 above, it is intended to fund specific support for carers of people who are using this service. To date, the pilot has worked principally with older adults and people with long term conditions in the SW Locality of the Borough. It is intended to extend this service across the whole of the Borough.
 - § Handyperson’s service for older adults (who may often be carers) to have home repairs and adaptations done at a reasonable cost.
 - § LinkAge Plus, a cornerstone of the Council’s approach to preventative services, has five organisations in the borough working in partnership, reaching out to older people and their carers to reduce isolation.
 - § Telecare, available to aid the promotion and retention of independence, relieve stress on informal carers and improve clinical and care outcomes by providing equipment which supports people to live in their own homes. It is planned to extend the availability and range of telecare within the Borough.

- 5.4 The re-commissioning of Information, Advice and Advocacy Services by the Council, will strengthen the capability of mainstream services to support carers. However it is still intended to commission specialist service in the borough. In addition it is intended to commission specialist providers of carers services and of dementia support to work within the Council's in house First Response Services on a sessional basis to strengthen these services.
- 5.5 The importance accorded by the Council to prevention and carers is in keeping with recent reports from ADASS and the Princess Royal Trust for Carers¹⁸ that state:
- § That applying early intervention thinking to the support of carers can lead to better value for money and better outcomes
 - § That there is an evidence base to support the claim that carer support can create savings for adult services
 - § That considering carer support in the context of hospital discharge, falls prevention, and dementia and stroke pathways can generate systems-wide efficiencies
- 5.6 This report highlights that, although those who have no carer are more likely to be admitted to a care home, carer stress is the reason for admission in 38% of cases and family breakdown (including the loss of a carer) in a further 8%. Evidence suggests that "carers rarely experience a move to long-term care as desirable or a positive choice" and as a result, identifying carers and supporting them to maintain their caring role is likely to result in a reduction in admissions to care homes.
- 5.7 Prevention and early intervention for carers aims to:
- § Help carers to sustain their caring role and avoid crisis which might adversely affect or end the caring role (for example: by providing information, support and training)
 - § Improve the carer's wider well-being, as individuals in their own right (for example, through breaks, support to access training and employment)
- 5.8 Carers are a key component of several national strategies; including "Living well with dementia: A National Dementia Strategy"¹⁹, the National Stroke Strategy²⁰ (2007) and the End of Life Care Strategy²¹ 2008. Each of these strategies outlines the need for carers to have up-to date, accurate and reliable information about the illness and condition of the person they care for, together with medication side effects and how to access integrated health and social care support.

¹⁵ The Princess Royal Trust for Carers and ADASS. Supporting Carers- Early Interventions and Better Outcomes 2010

¹⁶ Department of Health 2009

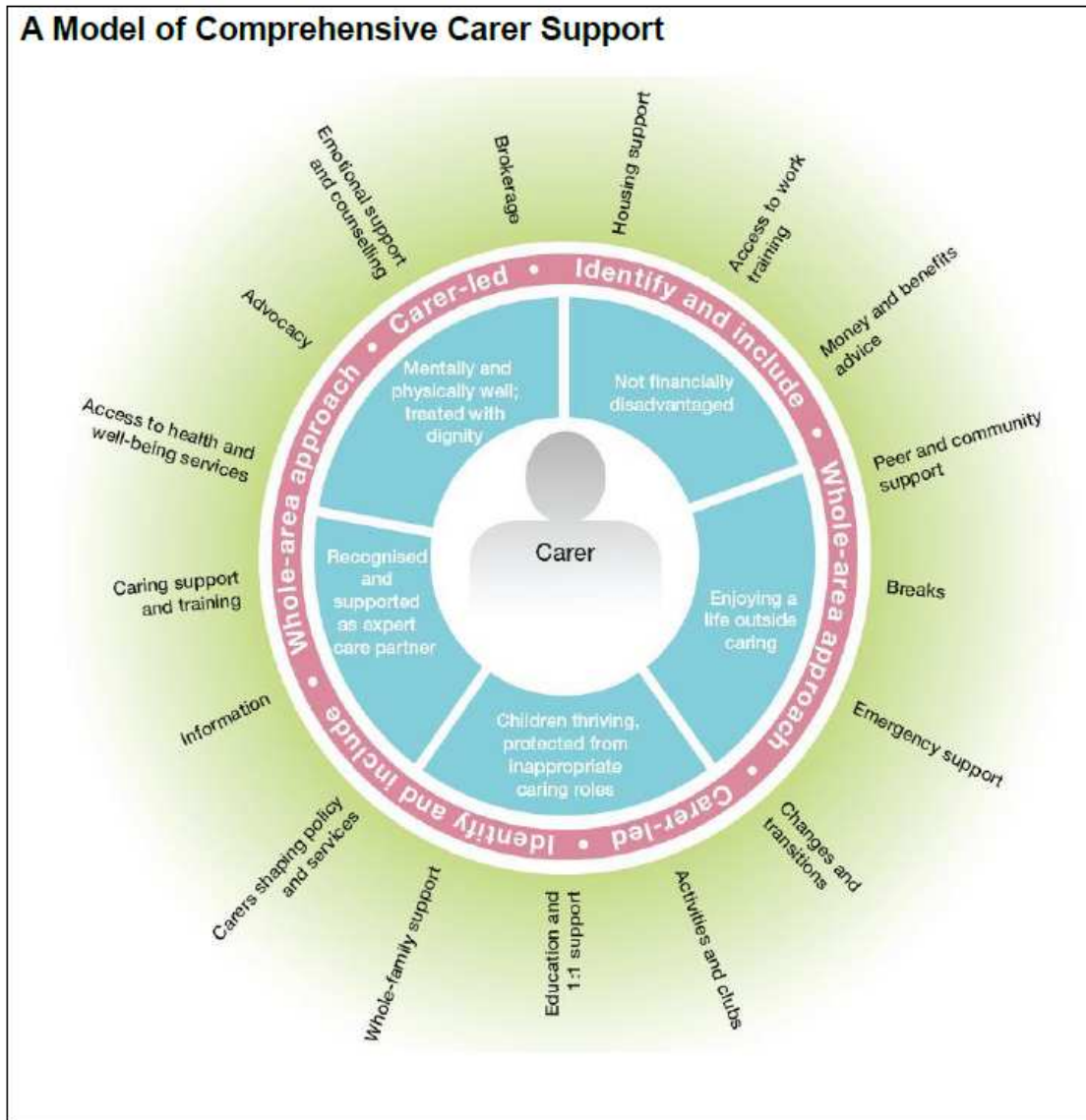
¹⁷ Department of Health 2007

¹⁸ Department of Health 2008

- 5.9 Local strategies in these three areas have included support for Carers. For example in September 2011, a range of new Dementia services was launched including an expanded Memory Clinic, a Dementia Adviser service to support Carers, a Dementia Liaison Service at the Royal London Hospital, and peer support through a dementia café.
- 5.10 In November 2010, a Palliative Care Centre opened at Mile End Hospital to provide a single point of access to advice and information about palliative care services available in Tower Hamlets.
- 5.11 It is acknowledged that further work is required to assess specialist needs of carers of individuals who have suffered strokes which cannot be or are not being met by generic carers support.

6. Principles

- 6.1 Carers will be recognised, valued and supported: this is the overarching principle throughout this document given expression in the diagram below which is from *Commissioning for Carers* September 2009:



Principles

- 6.2 This Plan is underpinned by the following principles:
- § Carers will be valued as being fundamental to strong families and stable communities
 - § Support will be tailored to meet individual needs, enabling carers to maintain a balance between their caring responsibilities and a life outside, while enabling the person they support to be a full and equal citizen

- § Enable carers to design and direct their own support, have access to direct payments and be engaged in the support plan of the person they care for and the assessment where appropriate;
- § Wherever possible, establish whole family approaches that ensure there is integrated support planning that benefits everyone involved;
- § Fully recognise the differing social and emotional impacts of providing support to another person and that these do not necessarily correlate to the number of hours spent, or the tasks undertaken, in providing care; and
- § Develop a range of support options and opportunities to match the diverse needs of carers (including those who do not choose to identify themselves as carers) and the outcomes they wish to achieve in their lives.

6.3 Adults Health and Wellbeing cannot deliver this Plan alone. It will be necessary for a wide range of agencies to support delivery of this Plan, not just those working in health and social care, but many others including leisure services, housing services, and life long learning.

7. Carers' Journey and Carers Personal Budgets

- 7.1 This chapter contains the following proposals to strengthen the support available to carers resident within the Borough, in line with personalisation and the TASC programme (chapter 2):
- § Personal budgets will be made available to eligible carers (continuing to use the current eligibility criteria) up to the limits described
 - § A small specialist carer's assessment and support planning function will be set up to enable carers to have access to a carers assessment independent of the cared-for person. This will be funded from either s256 monies or from redeployment of other commissioning monies.
 - § The funding of specialist brokerage advice for carers within the Access to Resources Team (ART), will be funded from either s256 monies or redeployment of other commissioning monies.
 - § To develop a Respite Policy to ensure increased choice and access based on need.
- 7.2 The chapter sets out current arrangements and then describes the Adult Social Care's offer to carers in terms of universally available support, assessment and the introduction of carers personal budgets. The proposed offer to carers recognises the importance of the role that carers play in supporting people to remain in their home and responds to the comments about respite care and the wish for carers breaks to be more home-based rather than residential.
- 7.3 The proposed Carers Journey also seeks to support carers to maintain the balance between their caring responsibilities and a life outside caring as stated in central government's updated strategy "Recognised, valued and supported" (2010). Carers will be respected as expert care partners and have access to the integrated and personalised service they need to support them in their caring role.

Informal Caring Support Planning for Service Users

- 7.4 We recognised that carers will often become known to AHWB during the course of working with the person they are caring for. It is important that the carer feels that their expertise is recognised, that they are listened to, and able to have a life of their own alongside their caring role.
- 7.5 This important informal support provided by carers is included in service users support planning. Carers are included in the assessment process of the person they care for to ensure their contribution is recognised, even if the person does not recognise themselves as a carer. In line with the recommendation in the JSNA for Carers, we intend to ensure that carers have contingency plans in place in the event of an emergency by monitoring that a contingency plan is included within each service user's Support Plan.

7.6 Currently there are three different types of carer assessments carried out:

- § **Carers' assessments being undertaken by a social care practitioner with the carer directly.** These are usually undertaken following on from an assessment of the cared-for person. Whilst there is an option to provide the carer with their own care/support plan, a carer's support is in most cases identified in the care/support plan of the cared for person.
- § **Carers' assessments undertaken during the assessment of the cared for person.** The identification of a carer during an assessment has up until now constituted a carer's assessment, regardless of whether or not a separate carer's assessment was undertaken. In these cases the support provided will be described in the care/support plan of the cared-for person.
- § **Carers' assessments (non statutory) undertaken by the Tower Hamlets Carers' Centre.** These assessments are undertaken to determine the eligibility for a carer's one-off direct payment. This assessment does not currently lead to any other provision or outcome.

Eligibility for services currently

7.7 *The Carers and Disabled Children's Act (2000)* is:

An Act to make provision about the assessment of carers needs; to provide for services to help carers; to provide for the making of payments to carers and disabled children aged 16 or 17 in lieu of the provision of services to them; and for connected services.

- (1) If an individual aged 16 or over ("the carer")
 - (a) provides or intends to provide a substantial amount of care on a regular basis for another individual aged 18 or over ("the person cared for"); and
 - (b) asks a local authority to carry out such an assessment of his ability to provide and to continue to provide care for the person cared for,

the local authority must carry out such an assessment if it is satisfied that the person cared for is someone for whom it may provide or arrange for the provision of community care services.

For the purposes of such an assessment, the local authority may take into account, so far as it considers it to be material, an assessment under section 1(1) of the Carers (Recognition and Services) Act 1995.

7.8 If a person is assessed as having a "critical" need this means that the local authority is under a duty to make services available to meet that need. However, a categorisation of critical in relation to the caring relationship does not mean that the local authority has a duty to make services available to the carer since there is no duty contained within *The Carers and Disabled Children's Act (2000)* to provide services, merely a power. Carers can access preventative services such as one-off direct payments

following an assessment carried out by the Carers Centre or a social care practitioner.

- 7.9 The criterion for one-off direct payments is that the carer providing a substantial amount of care (more than 15 hours per week) to a Tower Hamlets resident. The payment can only be made once every twelve months period, and can be up to £300. The payment can be used for white goods, breaks, driving lessons, computers and other items to help the carer to continue to care. Payments are only available for the primary informal carer.
- 7.10 Whilst these criteria are couched in similar language to that applied to the cared for person they are in fact different from the FACS eligibility criteria that are used in the assessment of service users which are determined by the *NHS and Community Care Act (1990)* where services are provided to those meeting critical and substantial criteria. It is important to emphasize that for carers, under current legislation (see Appendix 1), there is no legal duty but only a power to provide support.

Table 4 Eligibility Criteria for Carers (*The Carers and Disabled Children's Act (2000)*)

<p>CRITICAL</p> <p>Critical risk to sustainability of the caring role arises when:</p>
<ul style="list-style-type: none"> • their life may be threatened • major health problems have developed or will develop; • there is, or will be, an extensive loss of autonomy for the carer in decisions about the nature of tasks they will perform and how much time they will give to their caring role; • there is, or will be, an inability to look after their own domestic needs and other daily routines while sustaining their caring role; • involvement in employment or other responsibilities is, or will be, at risk; • Many significant social support systems and relationships are, or will be, at risk.
<p>SUBSTANTIAL</p> <p>Substantial risk to sustainability of the caring role arises when:</p>
<ul style="list-style-type: none"> • significant health problems have developed or will develop; • there is, or will be, some significant loss of autonomy for the carer in decisions about the nature of tasks they will perform and how much time they will give to their caring role; • there is, or will be, an inability to look after some of their own domestic needs and other daily routines while sustaining their caring role; • involvement in some significant aspects of employment or other responsibilities is, or will be, at risk; • some significant social support systems and relationships are, or will be, at risk
<p>MODERATE</p> <p>Moderate risk to sustainability of the caring role arises when:</p>

- there is, or will be, some loss of autonomy for the carer in decisions about the nature of tasks they will perform and how much time they will give to their caring role;
- there is, or will be, some inability to look after their own domestic needs and other daily routines while sustaining their caring role;
- several social support systems and relationships are, or will be, at risk.

LOW

Low risk to sustainability of the caring role arises when:

- there is, or will be, some inability to carry out one or two domestic tasks while sustaining their caring role;
- one or two social support systems and relationships are, or will be, at risk.

The New Carers Journey: the carer’s pathway through services

7.11 The new Carers’ Journey, presented below, has been developed over the last 12 months with representatives of, and in consultation with, local carers. This work has resulted in the following six commitment statements that accompany the proposed Carers Journey

1. To ensure that Carers, including individuals and families, are supported to continue with their caring role and maintain a life of their own.
2. To ensure that there is a well-publicised, accessible single point of contact for Carers and that information provided through this avenue is clear, consistent and up to date.
3. To ensure that Carers receive high quality advice and information and that the quality of support available continues to be responsive.
4. To ensure that Carers’ expertise is recognised and that they are treated as equal partners. Assessment must be respectful, relevant and easy to understand.
5. To ensure that Carers are given advice on the range of good support options available to assist them and have a choice as to the level of responsibility they wish to exercise, particularly when using a Personal Budget.
6. To ensure that the Council is transparent in how they determine who is eligible for ongoing support and that this is regularly reviewed.

Universal offer

7.12 One of the major themes in “Think Local, Act Personal” concerns universal services and ensuring that people have fair access to a wide range of services thereby avoiding the need to become dependent upon statutory services.

7.13 Listed below are the most common services that could be broadly described as universal services. These services are available to people without the need for an assessment of eligibility and with the exception of the screening carers’ assessment, carers would not need to contact the council to access

support.

- § Information & Signposting
- § Support to register with GP
- § Support Groups
- § Benefits checks
- § Other generic advice re housing, transport, etc
- § Engagement / participation
- § Training
- § Screening Carers Assessment
- § Access to employment and training
- § Support to stay in employment
- § Complementary therapies
- § General counselling/advice

Assessments for carers

- 7.14 Carers wanting support will be offered a screening assessment by the First Response Service to indicate whether they may be eligible for support in respect of their caring role. Where it is thought that they might be eligible, the Carer will be offered a carer's assessment. For carers where the screening assessment indicates that they are not eligible for support they will be offered information and advice/universal services.
- 7.15 Carers will often become known to AHWB during the course of working with the person they are caring for. In the new carers' customer journey when a carer is identified in this way, they will be offered a choice of having their support needs considered along with the needs of the cared for person or alternatively having a separate assessment of their needs undertaken.
- 7.16 If the carer elects to have their needs assessed along with the assessment of the cared for person, then support arising from that assessment will be included in the support plan of the cared for person. Conversely, if a person elects to have a separate carer's assessment undertaken then they will receive a carers' support plan that will describe the support.
- 7.17 The separate assessment of a carer may be undertaken by the worker involved with the cared for person or by a separate worker. It is proposed that a small team of specialist workers as part of the delivery of the new Carers' customer journey will provide this specialist assessment function and facilitate the planning of support.

Eligibility for support planning and personal budgets

- 7.18 The eligibility criteria (Table 4 above) describes in detail the risks to independence at critical, substantial, moderate and low levels. It is proposed that personal budgets are available for those assessed to be at critical risk and substantial risk.
- 7.19 In addition it is proposed that it be possible to give direct payments to carers in cases where their eligibility can be seen as borderline and, where

there is significant pressure on the carer and their position or situation is likely to deteriorate without support. A limit of £300 pa will apply to these discretionary payments that will be subject to the availability of resources.

- 7.20 This is summarised in Table 5 below which sets out proposed financial bandings to determine indicative budgets against eligibility criteria.

Table 5 Matrix of Carers Indicative Personal Budgets against risk threshold

Carers indicative personal budget	Eligibility
Up to £2,500 pa	Carer at critical risk
Up to £1,250 pa	Carer at substantial risk
Up to £300 pa	Carer at moderate or low risk but concern that without support their position will worsen (within the next three months)

- 7.21 The simple matrix above proposes the provision of personal budgets for carers against the risk threshold that has been identified following screening or assessment.

Support Plans for Carers

- 7.22 Carers support will be provided to carers looking after an adult, following a carer's assessment. The assessor will also facilitate the carer to develop a simple carers support plan, using internal or external support planning services or independently if the carer wishes. The aim of the support plan will be to set out the requirements of the carer to continue in their caring role. The support plan will form the basis of a carer's personal budget.

Carers' Personal Budgets

- 7.23 A carer's personal budget can be used for things that promote the carer's social inclusion and enable them to continue in their caring role. To date carers personal budgets have taken the form of one off direct payments for particular items (see section 3 above). As stated at the start of this chapter, this Plan proposes extending personal budgets beyond the one off payment using support planning and personal budgets. This means that it will be possible for carers to use a personal budget for short carers' breaks which are likely to be in the main home based breaks for the carer but also utilising the proposed Shared Lives Service. Carers, as is the case for service users, can opt to manage this budget directly themselves by taking a direct payment, or they can request us to manage the budget on their behalf.
- 7.24 Access to personal budgets will be subject to the eligibility criteria which will consider risks to independence of both the carer and cared-for person as set out in Table 8 above. Currently, the Council meets the needs of

people who have critical or substantial eligible needs. A carers personal budget must not duplicate support that is already available as part of the cared for person's personal budget.

- 7.25 The "cash sum" available to a carer will be based on the support plan and is called the "carer's personal budget" Carers can then plan how they would like to use the available money within the parameters of the support plan. Carers will be entitled to receive payments up to a total of £50 a week not exceeding £2500 *pa* based on assessed needs and support plan. The frequency of payment will be agreed as part of the support planning process. The total amount allocated can only exceed this ceiling of £50 a week (£2,500*pa*) in exceptional circumstances and would need to be approved by a Senior Manager. These cash limits will not be automatic entitlements and allocations will be based on a costed support plan agreed with the carer.
- 7.26 One off direct payments to carers will continue as currently.
- 7.27 Carer's "sitting services" - carers breaks as part of service user's support package: Many carers prefer to get a sitting service from services provided as part of the cared for person's support package using the same home carer for all support which provides consistency and continuity of care. All service users will have personal budgets by the end of 12-13 and alongside this, carers with "sitting services" will be offered the option of taking a carers' personal budget.
- 7.28 A review of the need for ongoing support for carers will be undertaken annually (or more frequently if required) to ensure ongoing support remains appropriate to the level of need.

8. The Commissioning of Services for Carers for 2012 -2015

Commissioning Priorities

8.1 Our priorities for the next three years are to:

- Ensure that carers have access to a range of information, advice and advocacy, whether they identify themselves as a carer or not.
- To increase availability, access and flexibility of respite care services in the service users' home. This will link to the development of a Respite Policy as noted in chapter 7 above.
- To continue to increase the availability and take up of carers breaks through:
 - Carers personal budgets for breaks
 - Respite provided at home through a personal budget
 - A Shared Lives Service (see below)
 - Easy access to get a break at short notice
- To explore the development of a Shared Lives Service whereby individuals and families in the local communities provide (for payment) respite care locally so that the cared for person get a more personalised service which is culturally appropriate.
- To increase engagement of primary care (general practice and community pharmacy) including improved recognition of specific needs of carers increased use of carers' registers, and greater provision of health checks.
- To extend our reach into BME communities in line with the needs highlighted in the Carers Joint Strategic Needs Assessment. In other parts of the country, a Shared Lives Services has been a key way to achieve this.(see Appendix 2)
- To work with all provider organisations to identify and support Lesbian, Gay, Bisexual, Transgender (LGBT) carers. LGBT carers were identified in the last EQIA for carers as a group for which there is poor data collection and no specific support services
- To provide information and training for all carers of people with long term conditions, in particular those who have had a stroke, people with dementia and those with severe and enduring mental health problems. This may include the commissioning of specialist services where required.
- To recognise the needs of older carers and enable them to access appropriate support

- To work in partnership with the DAAT to support carers of people with substance misuse problems.
- 8.2 These priorities are based on a move away from fitting carers into whatever services happen to be available, to passing control to carers to take direct payments to purchase the services they need to continue caring.
- 8.3 As referred to above in Chapter 2, the Transforming Adult Social Care programme will bring changes in the way carers can take up services following an assessment. In order to give more choice and control to carers, to implement this Plan will require moving resources away from block contracts towards direct payments and personal budgets.
- 8.4 Although this Plan does not cover parent carers of children and young carers, the importance of partnership working around transition and young carers is acknowledged.

Sources of Funding for Carer Services

The Carers Budget and Commissioning Budgets

- 8.5 Carers services were previously funded by a ringfenced Carers Grant. Although the Carers Grant no longer exists as a separate entity, in Tower Hamlets, the original carers grant monies are used exclusively to fund carers' services, as referred to in paragraph 5.6 above. This money, together with additional monies within other parts of the overall Commissioning Budget, funds carers breaks/sitting services as part of the service users support plan and residential respite care. The Carers spend (matching what would have been the old Carers Grant) for 2011/12 was £1,507,700.

Table 6 Carers Spend (former Carers Grant) 2011- 2012

	Service Provided	Contract Provider	Cost £
1.	Carers short term/flexi breaks for people over 50 yrs	Age UK Tower Hamlets	£30,750
2.	Handyperson for carers	Age UK Tower Hamlets	£16,280
3.	Specialist advice, information and emotional support for carers of people who have dementia	Alzheimer's Society	£87,790
4.	Bangladeshi Women's short breaks	Apasenth	£19,200
5.	Carers short breaks	Apasenth	£27,750
6.	Advice and information, referrals, advocacy and emotional support for Somalian carers	Black Women's Health and Family Support	£61,550

7.	Information and advice, emotional support, benefits advice, stress management, and mental health support	Carers Centre	£289,610
8.	Support for carers of people with mental health problems	Carers Centre :Mental Health Worker	£24,000
9.	Support for carers of people with end of life heart failure	Carers Centre: Care Plus (End of Life Care)	£60,832
10.	Advice, information, respite and emotional and practical support	Jewish Care	£4,817
11.	Stress management drop-in bi-annual 2 day stress relieving breaks in the country	London Buddhist Centre	£14,810
12.	Short term flexible respite St Hilda's	St.Hilda's	£70,620
13.	Short term flexible breaks, night respite and emergency care	TLC	£36,880
14.	Advice, information, emotional support for Bangladeshi carers of children and adults	Usha Mohila Somity	£4,000
15.	Leisure passes for carers of people with mental health problems	Greenwich Leisure Ltd	£10,000
16.	Long term breaks	Age UK ,Tower Hamlets	£178,400
17.	Spot purchase respite	Learning Disabilities	£20,500
18.	Support for mental health carers	Family Action	£71,400
19.	Long term breaks	TLC	£120,500
20.	Individual payments to support carers	One off direct payments for carers	£140,000
21.	Spend on respite by social care teams	Respite Commissioning	£142,000
22.	Miscellaneous spend		£76,111
TOTAL FUNDING			£1,507,700

Third Sector Services for Carers

8.6 Most of this funding is with community based services which are provided by the Third Sector to support different groups of carers. These services can be divided into three areas of provision:

- § **General services:** These are all provided by the Carers Centre and include advocacy, welfare rights, carers assessments for one-off direct payments, leisure passes and carers forums for all carers. Specialist services include a Mental Health support worker, and the Care Plus Project for carers of people with end stage heart failure
- § **Non residential respite and sitting services:** including TLC (Triangle, Lockwood and Crossroads) for all client groups and Age UK Tower Hamlets for people over 50 years including night respite, short and flexi breaks and emergency card
- § **Culturally specific and specialist services:** including
 - § Apasenth: weekend breaks, day trips, carer relief at home and Saturday respite for Bangladeshi carers of people with Learning Disabilities
 - § St.Hilda's: breaks for Bangladeshi carers of older people
 - § Black Women's Health and Family Support: advocacy and support for Somalian carers
 - § Jewish Care: support and breaks for older Jewish carers
 - § London Buddhist Centre: residential breaks
 - § Alzheimer's Society: advocacy, group and individual support
 - § Usha Mohila Somity: support for Bangladeshi carers of children and adults with a learning disability

Total Spend on Carers

8.7 The Carers Spend this year 2011/12 totals £1,507,700 and the funding for carers services from the commissioning budgets is projected to total £1,887,358 – the total cost of residential respite: £1,217,181 and carers breaks as part of a service users support plan: £670,177. Thus, the total spend on services for carers is forecast to be £3,395,058.

Joint funding with NHS Tower Hamlets

8.9 The NHS Act 2006 introduced Section 256 partnership funding arrangements, whereby functions can be delegated and resources integrated between the NHS and local authorities. S256 monies are focussed on preventative services. In Tower Hamlets, this includes funding for a pilot Virtual Ward. The Virtual Ward provides community-

based, multidisciplinary support for people with more than one long term condition in order to prevent hospital admissions. The Virtual Ward team will host the health checks for carers' service. This year s256 funding for carers is £140,000 and is allocated for the health checks and support for carers of people with Mental Health problems.

Residential Respite for People with Learning Difficulties

- 8.12 People with learning disabilities are the greatest users of residential respite. This is funded from commissioning budgets which are separate from the funding that used to be called the Carers Grant. Residential respite, including planned and emergency respite, is made up of two elements:
- § A block contract for £582,000, for a seven bed residential respite unit in the borough for people with learning disabilities which provides overnight care services with users often continuing to access their on-going arrangements for day time activity
 - § Spot contracts out of the borough residential respite for 2010/11 at a cost of £436,620 for 22 service users and 46 respite periods.
- 8.13 As stated above, this spend will be reviewed during 2012-13 with a view to achieving procurement efficiencies that can be reallocated to other parts of this Plan. Section 256 will initially fund the development of the Shared Lives Service and personal budgets for carers respite.
- 8.14 Currently commissioning arrangements offer carers of people with learning disabilities limited choice in residential respite care – reflecting the small market for this type of service. However, in the last year, choice has increased with the arrival of new providers within the local market.
- 8.15 The intention of this Plan is to increase the range of options for carers who need respite breaks to include:
- Carers personal budgets for breaks provided in the home
 - A Shared Lives Service
 - Easy access to get a break at short notice

Residential Respite Care for Older People and People with Physical Disabilities

- 8.16 The spend for 2010/11 on respite care for older people and people with physical disabilities was £198,571. Planned respite for carers of older people is usually provided by local residential care homes through block contractual arrangements. Emergency respite care for older people is also provided through the borough's existing residential care contracts and take up of this service is relatively small.

Respite and Short Break Care Policy and legal clarification

8.17 The Carers and Disabled Children's Act (2000) s2(2) states the services referred to are any services which:

- (c) the local authority sees fit to provide; and
- (d) will, in the local authority's view help the carer care for the person cared for, and may take the form of physical help or other forms of support

The type of assistance available under the Act includes services such as relaxation, therapy/counselling, mobile phones; trips/holidays/special events for carers.

Respite/Short Break Care

8.18 The reason that practical assistance at home services are being looked at and re-commissioned within the Carers Plan is because the involvement of the Carer in the take up of these services is critical and furthermore, because many carers have told us they would prefer other forms of respite to residential respite, which they can find very disruptive and unsettling for the service users. Non-residential respite is not a service under the Carers Acts and is legally a community care service.

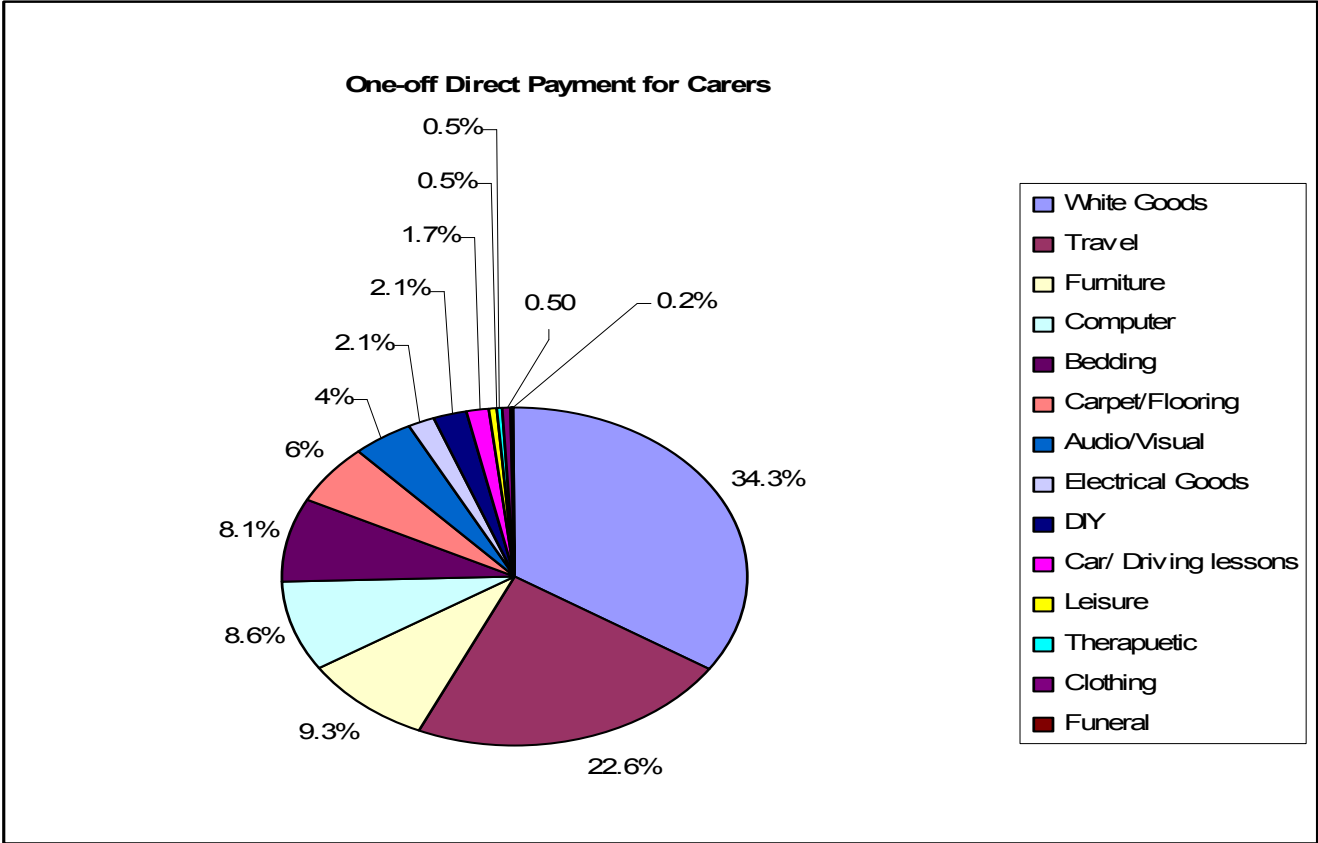
8.19 Our aim is to retender residential respite care with a view to achieving savings that can then be used to increase the range of other types of respite care support the user and the carer.

One off Direct Payments for Carers

8.20 The spend for one off direct payments has increased each year for the last three years from £30,000 in 2008/09 to £140,000 in 2010/2011 due to demand and in 2011-2012 estimated to be £140,000 . One off direct payments are very popular with carers. In 2010/11, 95 carers out of a total of 476 used their one off direct payment for a break. Table 8 gives a breakdown of what carers purchased with a one off direct payments for the financial year 2010/11.

8.21 However, to date, it has not been possible for carers to take a direct payment to fund anything other than one off items. This Plan proposes that this change in the future so that direct payments can be used to fund, for example, regular respite care. This is discussed in more detail above in Chapter 7.

Table 7 Use of one off direct payments for 2010/11



Contract Performance

8.22 The performance of the block contracts for carers are monitored through quarterly reports and regular monitoring visits. Feedback is received from carers at various forums, carer support groups and from complaints.

8.23 Generally carers give very positive feedback about the contracts that provide carer specific services. They value receiving information, advice, advocacy, support from carer groups or individuals and emotional support from staff teams, whom they trust and feel they can talk to about the stress of caring.

8.24 Most of the data that has up to now been collected on a quarterly basis counts activity which gives limited information about the outcomes for carers for example on how the services have improved their lives. This is an area for improvement internally.

Case Study provided by Age UK Tower Hamlets

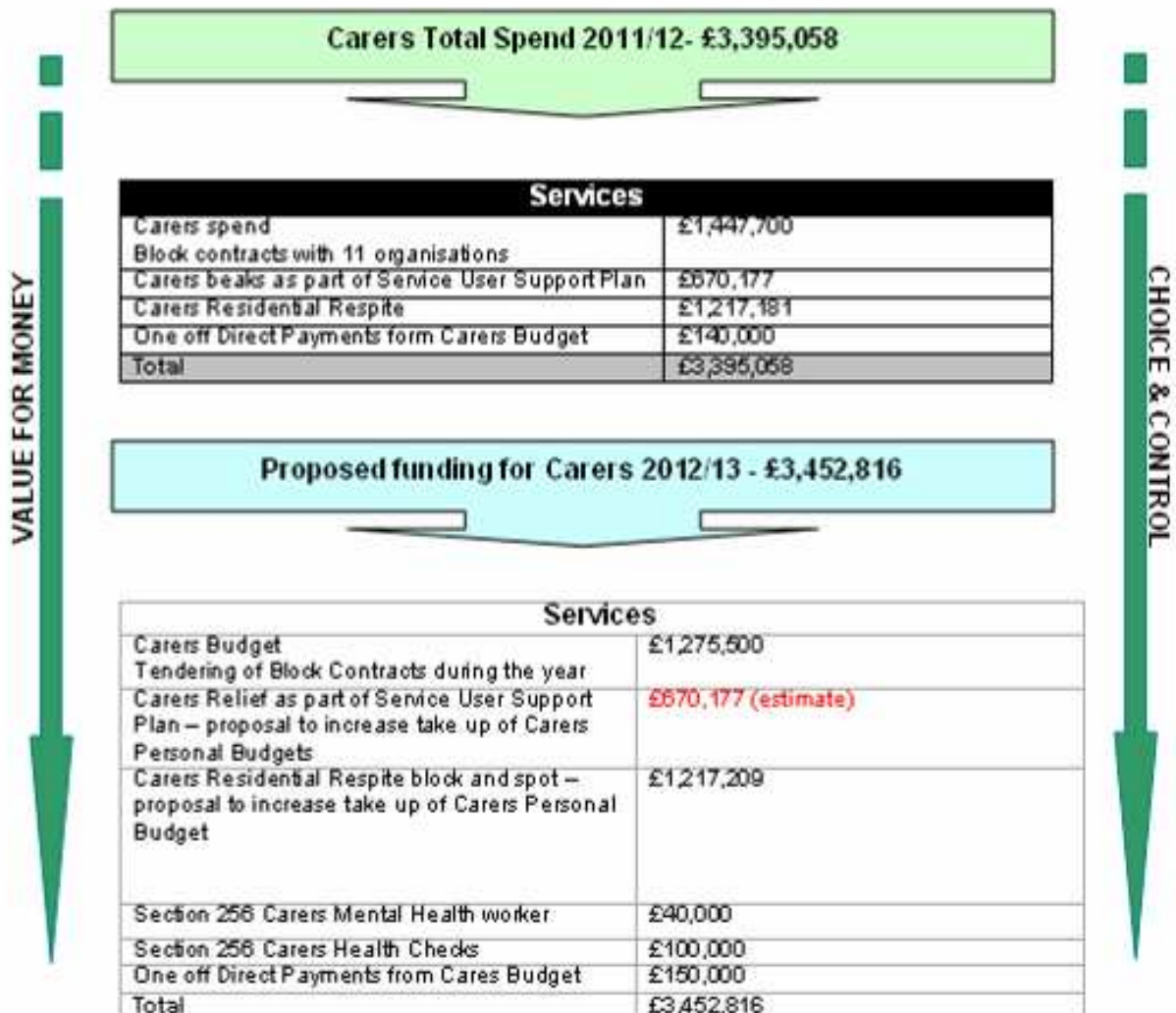
Mr X is from Bangladesh and his wife, Mrs Y, is his main carer. She has been caring for her husband since 2004 and had not had a Carers Assessment. Mrs Y suffers with many health issues: chronic back pain, diabetes, high blood pressure, high cholesterol; these health issues are putting a strain on her caring role. The impact of caring has been immense making it very hard for her to go out as she cannot leave her husband. This means that she finds it difficult to attend essential appointments such as doctors and exercise class and feels isolated. She would like to have some support so she can go out and recharge her batteries.

Since providing the service Mrs Y says she looks forward to time for herself and her husband looks forward to the company and to going out with his respite carer.

- 8.25 Table 9 outlines what we have spent during 2011/12 on carer services including the money coming from the previously ring fenced Carers Grant and the commissioning spend on residential respite and carers breaks as part of the cared for person's support plan and the spend for 2012/13.
- 8.26 Through efficient procurement of the block contracts for carer services including the residential respite contract, we anticipate that monies will be released and available for carers personal budgets and an increase in one off direct payments.

9. Summary of Commissioning Plan for 2012-2015

Table 8 Carers services total spend for 2011/12 and 2012/13



9.1 The commissioning plan for carers over the next three years falls under the following **five** domains:

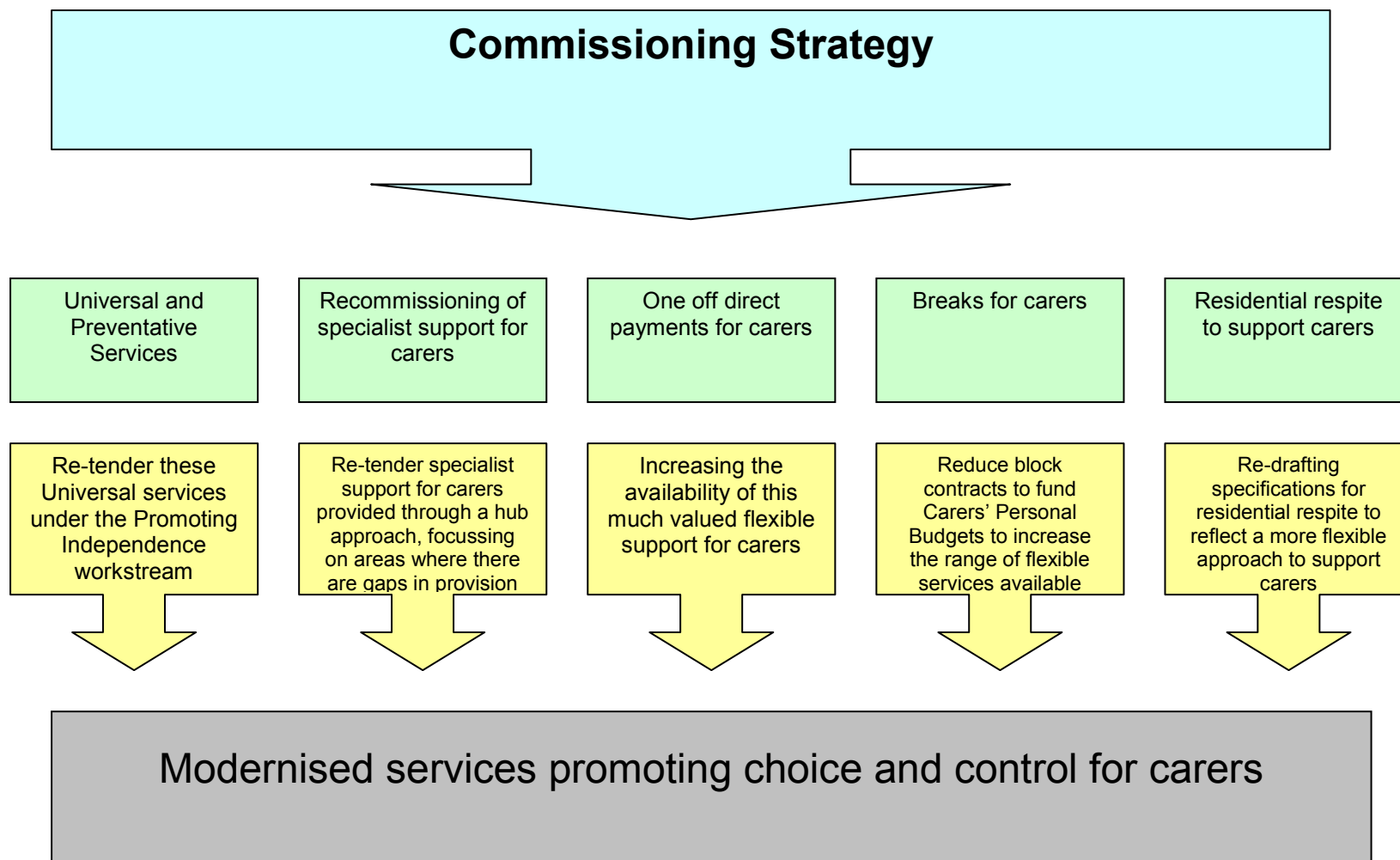
- § **Universal and preventative services for carers** which are currently provided by The Carers Centre, Alzheimer’s Society and culturally specific services (Apasenth, St Hilda’s, Usha Mohila Somity, Black Women’s Health and Family Support and Jewish Care). These contracts all fall within the remit of the “Promoting Independence Strategy and will be tendered during 2012-13.
- § **Recommissioning of the specialist support for carers:** the contract for the Carers Centre expires in the coming year and this will be retendered in line with the Council’s procurement rules. The specification will look to make up shortfalls in support for specific areas (for example support for LGBT carers) as noted in the Strategy above. We will also be looking to

trial specialist input from external providers on a sessional basis to the Council's First Response Team. For example this may include specialist advice for carers of people with dementia.

- § **One off direct payments for carers:** One off direct payments for carers are the reported by the Carers Centre as the most popular service for carers and each year the numbers have increased so that over the last 3 years the budget has increased by 300%. Carers like the flexibility they provide as they can purchase a break, a washing machine, a laptop and driving lessons-anything which helps to support their caring role. It is proposed that the budget for one off direct payments will be held at least at the current level over the next three years.
- § **Breaks for carers:** There are currently four block contracts for carers' breaks: two with TLC that provide short term and long term breaks and two with Age UK Tower Hamlets that provide short term/flexi breaks and long term Carer's breaks. We want to reduce the block contracts and transfer these funds into carers personal budgets and a newly commissioned shared lives service in order to allow carers to choose how they take a break or have a regular arrangement with a family or employ someone to provide respite care at the cared for person's home.
- § **Residential respite for carers of people with learning disabilities and other care groups:** Many of our current service users with a learning disability use Hotel in the Park situated within the borough with increasing take up of Sahara Homes in Barking which is purchased on a spot basis. The opening by Apasenth of a new respite unit in Woodford later in 2012, will increase the choice of provision further. The specifications for these services will be updated and modernised and used in a tendering exercise during 2012-13.

9.2 Table 9 below sets out the above 5 workstreams pictorially:

Table 9 Summary of Commissioned Services



10. Action Plan for 2012-2015

Table 10 Action plan

Priority	Actions	Desired Outcomes	How we know we have achieved the priority	Timescale	Lead Officers/Agency
Process					
1. Carers to be involved in the introduction of the Carers Personal Budgets including the promotion of Direct Payments	<ul style="list-style-type: none"> § Information and advice about personal budgets to be co-produced with carers § Carers budgets to be introduced and expanded to give carers control over the services they choose to receive § Ensure the range of service options for Carers are available on the Community Catalogue 	Carers report that they have informed choice and control	Number of carers receiving a payment	March 2013	Adults Health and Well being ,Carers lead Project Team for Carers Journey

2. Carers to be supported to maintain physical, mental health and wellbeing	<ul style="list-style-type: none"> § Introduction of a new Health Checks for Carers project linked to Virtual Community Wards development § To increase the number of Carers Registers in G.P. practices from 20% of practices to 80% § Training for carers to improve overall health for example training in manual handling 	Carers report improved health and well-being	<ul style="list-style-type: none"> § Number of carers having a health check § Number of Carers recorded on GP Carers' registers. 	March 2012	AHWB and NHS East London and the City
3. Carers to have a life outside of caring through the increase in number and flexibility of carers breaks	<ul style="list-style-type: none"> § Carers continue to be offered one off direct payments for breaks § Carers to receive carers budgets for breaks § To commission a Shared Lives Scheme for Tower Hamlets § Carers breaks can be provided flexibly so that the cared for person can remain at home 	Carers report improved health and wellbeing	<ul style="list-style-type: none"> • Number of carers receiving Direct Payments for a break • Take up of Shared Lives Service • Satisfaction rates of carers from surveys and focus groups 	April 2013	Adults Health and Wellbeing Commissioning NHS ELC
4. Carers to be supported in	§ Support and promote	Carers report that they have	• Number of carers	March 2014	Adult Health

accessing lifelong learning, training and ways to access employment	the Job Centre Plus project "Work focused support for carers" and lifelong learning in the borough	increased choice and control	accessing courses, training and employment		and Wellbeing Job Centre Plus
5. Carers are fully involved in and contribute to discharge planning	§ To implement and monitor the number of carers who are involved in the each discharge of the cared for person	Carers report that they have increased choice and control	<ul style="list-style-type: none"> Monitoring of the Decision Support Tools and Support Planning to evidence carer involvement Monitoring of re-ablement and Support Plans to evidence carer involvement 	March 2013	Adult Health & Wellbeing BLT East London NHS Foundation Trust NHS ELC
6. To support carers who experience abuse from the person they care for	§ To include carers in the Safeguarding procedures	Carers reporting improved health and well being	<ul style="list-style-type: none"> The number of carers who report safeguarding issues 	March 2013	Adults Health and Wellbeing
7. To consider a range of options around how carers are assessed and services provided	<ul style="list-style-type: none"> § To explore options around specialist services such as social workers and brokers § Carers have a single point of access to services 	Carers report they have increased choice and control	<ul style="list-style-type: none"> An increase in number of carers assessments 	March 2013	Adults Health and Wellbeing

Service Improvement					
8. To commission a range of community based services which support the health and well being of carers.	<ul style="list-style-type: none"> § Ensuring that the new contract arrangements provide value for money, are focused on desired outcomes for carers, and support the introduction of carers' personal budgets. 	<p>Carers report that they have increased choice and control</p> <p>Better value for money from new style contractual arrangements</p>	<ul style="list-style-type: none"> • Carers have more flexible arrangements for breaks • Increase in take up of specialist carers services 	March 2013	<p>AHWB Strategic Commissioning</p> <p>Council's Procurement Team</p>
9. Carers of people with a learning disability to be aware/ supported to enable the cared for person to take up annual health checks	<ul style="list-style-type: none"> § Joint work with NHS East London and the City to ensure annual health checks of the person they care for take place 	<p>Carers feel more supported by their GPs discuss</p>	<ul style="list-style-type: none"> • Number of people with a learning disability having an annual check • Monitored through the London Learning Disability Self Assessment Framework 	March 2013	<p>NHS East London and the City</p> <p>AHWB</p>
10. Carers of people with Autism have improved access to services and support	<ul style="list-style-type: none"> § To support the implementation of the new Tower Hamlets Strategy for Autism § To support co production of carers support groups 	<p>Carers report they have increased choice and control</p>	<ul style="list-style-type: none"> • Number of carers of people with Autism who receive a carers assessment 	March 2013	<p>AHWB</p> <p>NHS ELC</p>
Overlap with implementation of Autism Strategy					
11. To carry out feasibility study on making Leisure Passes available to carers of all service areas.	<ul style="list-style-type: none"> § To advise carers about free exercise opportunities from GLL § To liaise closely with 	<p>Carers report improved health and fitness</p>	<ul style="list-style-type: none"> • Number of carers accessing opportunities for low cost exercise 	March 2014	<p>AHWB</p> <p>Public Health</p>

	<p>NHS Commissioning re free exercise</p> <p>§ To extend current scheme for leisure passes</p>				Greenwich Leisure Limited
Advice and Information					
<p>13. Carers have easy access to good quality and up-to date information, advice and advocacy about services from a range of Council and NHS venues.</p> <p>Overlap with implementation of the Promoting Independence Strategy</p>	<p>§ The Council's new information, advice and advocacy services caters for the needs of carers</p> <p>§ To provide ongoing training for social care and health staff about minimum standards of information to be provided to carers</p> <p>§ Carers of people with specific conditions like stroke, dementia and substance misuse are provided with specific information and peer support</p> <p>§ To augment the Council's First Response Team and other services by commissioning specialist sessional</p>	<p>Carers report that they have informed choice and control</p> <p>Carers are able to access appropriate advice around their entitlement to benefits and support services</p>	<ul style="list-style-type: none"> • Satisfaction rates of carers from surveys and focus groups 	March 2013	AHWB Strategic Commissioning and NHS ELC

	<p>advice and information sessions.</p> <p>§ Access to information via G.P. practices and community pharmacies</p>				
<p>14 .Carers of people with dementia are able to access a range of appropriate services including specialist information, advice, advocacy and support</p> <p><i>Carried forward through the implementation of the Dementia Strategy</i></p>	<p>§ Ongoing implementation of Tower Hamlets Dementia Strategy and Dementia Awareness Raising Strategy</p> <p>§ Commissioning of services from specialist voluntary group for carers of people with dementia</p>	Carers report improved health and wellbeing	<p>§ Number of carers contacting the Alzheimer's Society</p> <p>§ number of carers contacting and access support through the Memory Clinic</p>	March 2013	NHS East London and the City
<p>15.To provide information and training for carers of people who have had a stroke</p>	<p>§ Joint work with NHS East London and the City to provide information and training as part of follow-up of CQC Review of Stroke services</p> <p>§ To support the co-production of carers groups providing peer support</p>	Carers report improved choice and control	<p>§ Number of carers receiving information and training</p> <p>§ Satisfaction rates of carers from surveys and focus groups</p>	March 2013	NHS East London and the City AHWB
<p>16.Carers of people with substance misuse issues be</p>	<p>§ To work closely with the DAAT team to increase</p>	Carers report improved health and wellbeing	<p>§ Number of carers being signposted</p>	March 2013	DAAT

made aware of help and support available	<p>awareness</p> <p>§ Co-production with carers groups providing peer support</p>		to universal services		AHWB
17.Support for carers of people with mental health problems	<p>§ Support for mental health carers through funding of dedicated worker</p>	Carers report improved health and wellbeing	§ Number of carers who have been supported	March 2012	AHWB ELFT
18.Contingency Plans for carers	<p>§ To ensure carers have contingency plans drawn up as part of support planning</p> <p>§ Carers are aware of the Carers Emergency Card</p>	Carers report improved health and wellbeing	§ Number of carers who have contingency plans in place	March 2013	AHWB

Appendices

<h3>Legislation</h3>

Current Legislation

- 1.1 Certain carers have a right, under the Carers (Recognition and Services) Act 1995 and the Carers and Disabled Children Act 2000, to request an assessment of their needs *as carers*, independent of the needs of the person they provide care to. These are carers who provide, or intend to provide, a substantial amount of care on a regular basis. Carers' assessments have two main purposes. The first is to consider the sustainability of the caring role. The second is to consider whether or not the carer works or wishes to work and whether or not the carer is undertaking or wishes to undertake education, training or leisure activity, and the impact that their caring role might have on these commitments or aspirations. Following an assessment, local authorities have a duty to consider whether or not to provide services to the carer.²²
- 1.2 The Practice Guidance to the Carers and Disabled Children's Act 2000 Act (para 70) requires social services departments to grade the 'extent of risk to the sustainability of the caring role' into one of four categories – namely 'critical, substantial, moderate and low'. The grading system is a formal determination of:
- “...the degree to which a carer's ability to sustain that role is compromised or threatened either in the present or in the foreseeable future by the absence of appropriate support...”***
- 1.3 Although the grading system has strong similarities with the eligibility criteria that regulate disabled people's assessments the consequences of a categorisation are different. If a disabled person's is assessed as having a 'critical' need, then this means that the local authority is under a duty to make services available to meet that need. However a categorisation of critical in relation to the caring relationship does not mean that the local authority is under a duty to make services available to the carer – since there is no duty under the 2000 Act to provide services (merely a 'power').
- 1.4 However, as a matter of public law, the categorising of a risk to the sustainability of a caring role as 'critical' brings with it an obligation by the authority to take steps to ensure that support is made available to ensure that the risks to the carers do not continue (or come to pass). Whilst the local authority is not legally obliged to provide the carer with services it is obliged to act.
- 1.4 In providing support to a carer with a critical risk a local authority may choose to provide the necessary support by either:

²²Prioritising need in the context of *Putting People First: A whole system approach to eligibility for social care Guidance on Eligibility Criteria for Adult Social Care, England 2010 (para 97)*

- Providing support to the carer by way of a service under the 2000 Act
or
 - Providing support in the form of additional support to the disabled person by provision of a community care service.
- 1.6 The bottom line is, however, that the identification of a critical risk in a Carers Act assessment triggers a local authority obligation to make an appropriate response to address this risk.
- 1.7 The practice guidance accompanying the 2000 Act stresses the importance of local authorities '*focussing on outcomes*' when they construct their eligibility criteria for services. Criteria based solely upon 'risk' could award services regardless of whether they were likely to make a real difference: as the guidance states, 'by focussing on outcomes, criteria should ensure 'best value solutions.

Proposed changes to Carers Legislation

- 1.8 The Law Commission's review of social care law has recommended the development of a legal definition of carers' rights - removing confusion and improving carers' access to rights. This is a landmark document setting out one of the biggest reforms to social care legislation ever.
- 1.8.1 The Law Commission has reported to Government. The Minister for Care Services, Paul Burstow MP, has announced his intention to find a new settlement for social care and to reform community care law which will be set out in a White Paper on Social Care (date not known at time of writing).

Provisional Timetable of Change	
Summer	Government considers response
Summer (July)	Commission for Future Funding of Social Care reports (Dilnot)
Autumn	Government looks at both proposals in tandem
Winter (December)	Government issues White Paper on social care reform
2012	Parliamentary Bill on social care reform
2015	Implementation of new social care laws

Proposals from the Law Commission

- 1.9 That the main parts of the social care law relating to adults caring for adults are incorporated into the new legislation. This means that the Private Member's Bills, for these carers, will cease to exist.
- 1.10 The proposal is that the ability to make Directions will cease to exist, but the statute will be followed by regulations and a code of practice.
- 1.11 That there should be a statute for England and one for Wales and that the latter should be made by an Act of the National Assembly of Wales.
- 1.12 Specific proposals for carers in the legislation include:
§ Keeping assessments for carers.

- § Remove the 'regular and substantial' test so that local authorities have to assess anyone for whom they have the power to provide services.
 - § Balanced and proportionate assessments i.e. you can carry out light assessments if a carer has lighter needs which should help to cut down on bureaucracy.
 - § Removal of need to request assessment – therefore removing a barrier for carers.
 - § New statute would keep main parts of the Carers (Equal Opportunities) Act 2004 – whether a carer wishes to work, or wishes to undertake, education, training or any leisure activity.
- 1.13 Test of 'well-being' for both carers and disabled people, supported by an outcomes checklist.
- 1.14 Development of new eligibility criteria for the provision of carers' services.
- 1.15 Introduction of new duty to provide carers services following assessment, (this is currently a power).
- 1.16 The report proposes a definition of carers' services which does not currently exist in statute.
- 1.17 Local Authorities would have discretion to assess a carer who receives payment for the care they provide or is a volunteer worker where the local authority believes the relationship is not principally a commercial or ordinary volunteering one.
- 1.18 A balancing of needs between disabled person and carer (compatible with human rights approach) so that the needs of one party do not override the needs of another party.
- 1.19 Statute will introduce ability to set out in regulations charging frameworks for social care services.
- 1.20 Proposal that rights for parent carers and young carers which would be beyond the scope of this legislation – are set out in a different statute and the thresholds for them will be set at similar levels as this legislation.

APPENDIX 2

Joint Strategic Needs Assessment May 2010

Executive Summary

- 2.1 This needs assessment provides a summary of the health and social care needs of carers of all ages in Tower Hamlets. The proportion of the Tower Hamlets population providing unpaid care does not differ substantially from the London or England average, but a higher proportion of the population provides 20-49 hours or 50 hours or more of unpaid care in Tower Hamlets than the London or England average. Tower Hamlets has a higher proportion of the population providing 50 hours or more of unpaid care per week than any other Inner London borough. At least 3.7% of the Tower Hamlets population (all ages) provide 20 hours or more unpaid care per week. This equates to around 9,000 people in the borough in 2010 who provide 20 hours or more unpaid care per week, of whom around 5,800 provide 50 hours or more per week. The majority of these carers are not currently recorded as receiving services in Tower Hamlets.
- 2.2 Certain groups of carers do not appear to be receiving the appropriate proportion of carers' assessments or reviews. Services should therefore be targeting:
- Asian women of all ages
 - Asian male carers aged 18-64
 - Carers of older people aged 65 and over with physical disabilities
- 2.3 Investigate whether the low levels of Chinese carers and carers of mixed heritage reflect actual low levels of caring or a lack of recognition of the caring role and entitlement to services.
- 2.4 It is important to identify and focus attention on the most vulnerable carers, including older people who care for adults with learning disabilities, and other such mutual caring relationships. It is vital that the most vulnerable carers receive assessments or reviews on an annual basis at a minimum.
- 2.5 Carers' services in Tower Hamlets (especially the Carers' Centre) should be advertised more widely in accessible formats, to increase awareness of the range of services currently available to support carers. Plans must be put in place to account for any expected increase in service use.
- 2.6 Carers identify experiencing financial difficulties and finding the benefits system difficult to navigate. Housing issues add a substantial amount of stress to already burdened caring roles. The Carers' Centre staff, and in particular the Welfare Benefits Advisor post should continue to be supported in providing advice and help with benefits and housing.

- 2.7 The specialist needs of people caring for someone with mental health conditions should be addressed separately, perhaps with a new Mental Health Carers' Strategy or action plan.
- 2.8 Home-carers should be appropriately trained to understand the specialist requirements of people with dementia, learning disabilities, mental health conditions, etc.
- 2.9 It appears that uptake of respite services would be improved if respite could be delivered sensitively in the home of the service user. This would increase service satisfaction and decrease disruption to important routines for the service user and carer.
- 2.10 All carers should be able to access appropriate psychological care, with any mental health needs (as well as physical health needs) identified at assessment or review, or through the carers' health checks. This is particularly applicable to carers of people with dementia or mental health conditions.
- 2.11 The 'work-focused support for carers' scheme at Job Centre Plus should be promoted as widely as possible.

**Carers Joint Strategic Needs Assessment
ACTION PLAN**

#	Recommendation	Action	Lead	Date due	Comments
Process					
1	All relevant stakeholders are informed of the results of the Carers JSNA and engaged in future feedback processes.	Present findings to a wide audience for consultation, including user groups.	Rachael Chapman/Natalia Clifford		<ul style="list-style-type: none"> § OPPB § Carers Strategy Implementation Group § MH carers Group § LDPB § Pan Disability Panel § Carers Centre Forum § Alzheimer's Society Forum § St Hilda's Carer's Group § Family Action-Carers Connect § Carers JSNA on Tower Hamlets webpages
2	All relevant stakeholders to agree additional recommendations in light of the carers survey results.	Present findings of carers' survey to a wide audience for consultation, including user groups.	Joanne Starkie / Carers Strategy Implementation Group		<ul style="list-style-type: none"> § OPPB § Carers Strategy Implementation Group § MH carers Group § LDPB § Pan Disability Panel § Carers Centre Forum

					<ul style="list-style-type: none"> § Alzheimer's Society Forum § St Hilda's Carer's Group § Family Action-Carers Connect
Service Improvement					
2	Every carer should have a high quality assessment or review at least once a year ²³ .	A standardised carers' assessment template is developed and used by all health and social care services. Quality indicators are included in performance monitoring data.	Deborah Cohen / Penny Collier		<p>All carers assessments and reviews should address</p> <ul style="list-style-type: none"> § Employment § Education § Leisure § Physical health needs § Mental health needs § Age-related needs § Emergency Card Scheme
3	Reduce inequalities in people receiving carers' assessments or reviews.	Increase uptake of carers' assessments or reviews by Asian women (All ages); Asian male carers (aged 18-64 years); Carers of Older People (aged 65 and over) with physical disabilities.	Health and Social Care providers / Penny Collier / Carers Strategy Implementation Group	New contracts in place by April 2013	<ul style="list-style-type: none"> § A system for monitoring and reviewing carers assessments to be set up across with voluntary sector at re-tender stage
4	All carers receive an annual health check which identifies any physical or mental health need.	Continue to support the Carers Health Checks Programme and monitor uptake.	Deborah Cohen / Carers Strategy Implementation Group	Recruitment of nurses complete by 31.05.12	New system for setting up health checks via Virtual Ward pilot and agreed by Older Peoples Delivery Group being

					progressed
5	High quality respite care is available when and where carers need it.	Ensure respite care is available at nights and weekends, both in and outside the home. All home-carers are trained to deliver high quality homecare that is sensitive to the specific needs of the service user (i.e. awareness around dementia, learning disabilities, etc).	Penny Collier / Carers Strategy Implementation Group		<p>§ Links across to commissioning Action Plan 2012-15 – Table 10 in main body of Plan</p> <p>§ Domiciliary Care re-tender specification addresses training needs</p>
6	Carers have contingency plans in case of an emergency in which they are unable to look after the person they care for.	Encourage uptake of the emergency card scheme	Penny Collier / Carers Strategy Implementation Group		To be reviewed as part of Customer Journey
7	People looked after by older carers are able to access adaptable care packages according to the capacity of the older carer.	Identify people with an older carer and ensure their care plan is up to date with the appropriate care package in place and with a contact if they need to access extra care support.	Penny Collier / Barbara Disney		If a carer has an urgent need for additional support they should be advised to contact First Response as part of new Customer Journey
8	Older carers of people with Learning Disabilities and those they care for are supported in unison to cope with the complex mutual caring relationship.	Identify people with Learning Disabilities who are cared for by older people and provide appropriate support for mutual caring.	CLDS / Cheryl Spencer / Penny Collier		If a carer has an urgent need for additional support they should be advised to contact Duty Social Service at CLDS
9	Improve specialist Young Carers Services and joint working between AHWB, Children's Services and NHS Tower Hamlets.	See Young Carers Strategy for actions.			

Access and Information					
10	All carers are easily able to access service information.	Revisit attempts to implement a single point of access for carers wishing to contact services.	Deborah Cohen / Penny Collier		<p>§ The national carers' helpline (0808 808 7777) should be promoted for general information and advice. However, this service is limited to Wednesdays and Thursdays only.</p> <p>§ If already in receipt of support, the Community Catalogue is also a source of information</p>
11	All carers and service users are aware of and able to access services in Tower Hamlets to support carers	Develop an information pack to include details of all services in the borough as well as national helplines for health and social care staff to give to people as soon as they are identified as potential carers. Promote the use of the online Healthy Lifestyle Programme Directory (in development).	Penny Collier / Carers Strategy Implementation Group		<p>§ Make a Change website contains information about healthy lifestyles and available services</p> <p>§ If already in receipt of support, the Community Catalogue is also a source of information</p>
12	Carers are easily able to access housing and welfare benefits advice and information.	Continue to support the Carers' Centre Welfare Benefits Advisor post and consider extending to include housing advice.	Penny Collier / Lyn Middleton		Ongoing

13	Carers are supported to be in employment as appropriate.	Continue to support and promote the Job Centre Plus 'work-focused support for carers' scheme.	Penny Collier / Carers Strategy Implementation Group		Ongoing
14	All carers of people with dementia are able to access specialist advice and support.	The Alzheimer's Society national helpline should be promoted for carers of people with dementia.	Richard Fradgley / Deborah Cohen		<p>§ The National helpline is open 8.30-6.30 Monday to Friday, 0845 300 0336 (calls charged at local rate) with a comprehensive translation service catering for many languages.</p> <p>§ GP referrals are available to Memory Clinic</p>
15	All carers are involved throughout the transition process for the person they care for between children's and adults' services.	Social workers and transition teams involve the carer as thoroughly as possible during transition	CLDS		<p>§ The development of the Transitions Team in CLDS is working across Childrens and Adults social care service to manage transition</p>
Plan					
16	Responsibility for carers needs is integrated across NHS TH, LBTH, ELFT and third sector organisations to ensure that carers' needs are considered across the patient pathway.	Health and social care providers, commissioners and carers to meet regularly and to promote the Carers Plan implementation Group as a	Barbara Disney/Penny Collier/NHS colleagues including Mental		<p>§ Identify NHS representation</p>

		partnership board and encourage attendance from NHS TH and LBTH	Health		
17	The needs of carers of people with mental health conditions are addressed.	Develop a Mental Health Carers' Plan or include in the refreshed LBTH Carers Plan (due 2012). Identify a commissioning lead for carers of people with mental health conditions.	Deborah Cohen / Richard Fradgley		§ Identify a commissioning lead for carers of people with mental health conditions.
18	Improve data quality of carers known to services.	Services to record postcode level data and share with commissioners (with carer consent) to enable appropriate provision of services and targeted interventions. This should be included in the AHWB Information Strategy.	Karen Sugars/Razia Bari		§ To be considered as part of new Monitoring Framework
19	Increase the number of carers known to services.	Develop a public and professional awareness campaign about the importance of recognising carers and signposting to relevant services. Work to increase self-recognition as carers, particularly amongst the Chinese community in TH.	Deborah Cohen / providers / Communications		§ There is an urgent need to address the issue of promoting services in the borough and providers' ability to cope with increased demand. § Increase recording in GP Registers. § See Carers Service

					Communications Plan 2010-2011.
20	Carers' needs are taken into account throughout any changes to care packages as a result of personalisation.	Ensure that all support planners fully involve carers in any discussions around changes to service users' care packages as appropriate.	Leah Keast/Catherine Weir		If a carer has a need for support they should be advised to contact First Response as part of new Customer Journey

Appendix 3

Carers Strategy Implementation Steering Group members – Sept 2011

Page 282

Deborah Cohen	Service Head, Commissioning & Strategy, AHWB (Chair)
Caroline Bailey	Senior Borough Manager
Lyn Middleton	Chief Executive of Tower Hamlets Carers Centre
John Webb	User and Carer Involvement Manager (DAAT)
John Kiedan	Commissioning Manager, NHS Tower Hamlets
Alli Anthony	Alzheimer's Society
Bill Gibbons	Alzheimer's Society
Samantha Rashid	PALS Manager, BLT
Stephanie Diffey –	Associate Director. Community Mental Health and Social Care, LA and ELFT
Tina Maynard	Job Centre Plus, Carers Lead
Natalia Clifford	Public Health Strategist
Sharron Currie	Carer Representative
Dianne Barham	THINK, Urban Inclusion, Director.
Joanne Starkie	User and Carer Involvement, AHWB
Khalida Khan	Children with Disabilities Integrated Service Manager, Children Services
Maxie Syma	Age UK Tower Hamlets - Care Services Manager
Mainul Haq	St Hildas, Carers Coordinator
Joycelyn Hayford	Operations Director, Black Woman's Health and Family Support
Sherine Briscoe	Social Work Student at TH Carers Centre
Penny Collier	Carers Commissioning Officer, AHWB
Hatice Kaya	Carers Monitoring Officer, AHWB (Minutes)

Voluntary Groups Providing Services for Carers

Tower Hamlets Carers Centre (Princess Royal Trust) |21 Brayford Square, Off Commercial Road, Stepney Green E1 0SG | Tel. 0207 790 1765 | www.carerscentretowerhamlets.org.uk
Carers hub providing benefits and financial advice, assessments for One Off Direct Payments and leisure passes, advice and advocacy, case work, carers forums, mental health support officer and therapies and outings

Alzheimer's Society Tower Hamlets (for carers of people with dementia and memory problems) | Tel: 0207 392 9631 | www.alzheimers.org.uk
Individual advice, advocacy and support for carers of people with dementia, carers groups and development worker for Bangladeshi community

Family Welfare Association (for support to families of people with mental health conditions) | 22-28 Underwood Rd, E1 5AW | Tel: 0207 364 3406
Carers support group, advice, advocacy and individual case work and breaks such as outings for carers of people with mental health problems

Age UK Tower Hamlets (for carers of older people) | 82 Russia Lane, E2 9LU | Tel: 0208 981 7124 | www.acth.org.uk

Short term/flexi breaks provided for carers in the form of a sitting service for carers of people over 50 years of age, permanent Carers Relief Service and Handy Person service for carers

APASENTH Care Services (for Asian families caring for someone with a learning disability) | The Brady Centre, 192-6 Hanbury St, E1 5HU | www.apasenth.org.uk

Weekend breaks for carers and weekend residential trips in the summer for Bangladeshi carers

St Hilda's East Community Centre | 18 Club Row, E2 7EY | Tel: 0207 739 8066 | www.sthildas.org.uk

Short flexible breaks for Bangladeshi carers

Black Women's Health and Family Support (support for Somalian carers) | 82 Russia Lane, E2 | Tel: 0208 980 3503 | Email: bwhafs@btconnect.com

Advice, information and advocacy for Somalian carers

Jewish Care | Tel: 0208 922 2222 | www.jewishcare.org

Assessments, support following hospital discharge and flexible breaks for older Jewish people

London Buddhist Centre | 51 Roman Road, Bethnal Green, London, E2 0HU | Tel: 0845 458 4716

A Drop-In service for carers, advice about relaxation and mindfulness and residential weekend respite

TLC Care Services | 3rd Floor, 77 East Road, London, N1 6AH | Tel: 020 7017 2836 | Fax: 020 7017 2837 | Email: towerhamletsrespite@tlccare.org.uk | www.tlccare.org.uk

Short term and long term break service and Emergency Card scheme

Usha Mohila Somity Group (Asian women's group for carers of children and adults with a learning difficulty)Discovery House,31-33,Sellman Street, London ,E1 5LQ | Tel:0207375 2792
| Email:info@ushamohiilasomity.org

Regular term time support group for Bangladeshi women with children who are adults and children with a learning disability. The project has an advice worker, SOL teacher and development worker

The Community Catalogue

The Community Catalogue is an information guide, which was set up in 2011 and lists of all the services and organizations that provide a service for customers and carers including information, advice, advocacy or support services.

The Community Catalogue is available on Tower Hamlets' Council web site

Visit: www.towerhamlets.gov.uk/communitycatalogue

Appendix 2. Carers Outcomes Framework

National Outcomes for Adult Carers	Expected service outcomes	Performance measures	Measured by
Carers feel mentally and physically well, treated with dignity	<p>Carers report feeling supported in their caring role</p> <p>Accessible and relevant support for carers</p> <p>Carers feel better informed about accessing support services</p> <p>Both carers and the cared for persons health and emotional wellbeing are maintained</p> <p>Carers from hard to reach groups know where to go for information</p>	<ul style="list-style-type: none"> • Number of carers receiving a Carers Assessment • Number of carers receiving a One Off Direct Payment • Number of carers who have received a Leisure Pass • Number of carers who have been signposted to a health check and been linked to G.P. practice • Number of carers of people with a long term condition supported to access a service • Number of carers supported in a crisis § Number of carers, previously not known to services supported into services § Number of carers who report feeling better after involvement with the Carers Hub 	<p>% of carers reporting that they feel supported</p> <p>Quarterly Monitoring information</p> <p>% of carers reporting a reduction in stress</p> <p>% of health checks completed/GP links made re carers health</p> <p>% of carers receiving specialist support around a range of long term conditions</p> <p>Quarterly Monitoring information</p> <p>Quarterly Monitoring information identifying a range of different carers</p> <p>Self reported by carers</p>
Carers are recognised and supported as an expert partner	More carers sustained in caring role	<ul style="list-style-type: none"> • Number of carers accessing carers' support services and types of support 	<p>% of carers reporting that they feel more recognised as an expert partner</p>

	<p>Carers are supported to feel confident in their caring role through training to care</p> <p>Partner organisations help identify carers and know where to signpost carers for advice and support</p>	<ul style="list-style-type: none"> • Number of carers ,who have had their training needs identified and received training re manual handling, stress relief etc § Number of peer support groups established and numbers of those who attend • Number of new referrals with source of referral 	<p>Quarterly Monitoring information</p> <p>% of carers reporting that they feel supported by peer groups</p> <p>Quarterly Monitoring information</p>
Not financially disadvantaged	<p>Carers know where to go for information and advice about benefits and the welfare reform changes</p> <p>Carers able to take part in educational, training or work opportunities</p>	<ul style="list-style-type: none"> • Number of carers receiving welfare benefits advice • Amount reclaimed for carers from Benefits Agency • Number of carers referred for training, educational and work opportunities 	<p>Quarterly Monitoring information</p> <p>Quarterly Monitoring information</p> <p>Quarterly Monitoring information</p>
Enjoying a life outside caring	<p>Carers are able to participate their local communities, including social and leisure activities</p> <p>Carers can balance their caring role and maintain a quality of life</p> <p>Carers have a voice in service development</p>	<ul style="list-style-type: none"> • Number of carers supported to access a break from their caring responsibilities • Number of carers accessing a relaxation therapy • Number of carers involved in service development,including London Borough of Tower Hamlets and NHS developments 	<p>% of carers reporting feeling better due to having a break</p> <p>% of carers reporting they have a life outside of caring</p> <p>% of carers reporting they have a voice in service development</p>

Agenda Item 9.3

Committee/Meeting: Cabinet	Date: 13 March 2013	Classification: Unrestricted,	Report No: CAB 84/123
Report of: Corporate Director Isobel Cattermole Originating officer(s) Deborah Cohen, Service Head, Commissioning and Health		Title: New Information, Advice and Advocacy Services Wards Affected: All	

Lead Member	Cllr Abdul Asad
Community Plan Theme	<ul style="list-style-type: none"> • A healthy community • A prosperous community • A safe and supportive community
Strategic Priority	Promoting Independence

1. **SUMMARY**

- 1.1 This report sets out the rationale for and outcome of the recent tender for a new Information, Advice and Advocacy (IAA) service. When in November 2011 the Promoting Independence Strategy was approved by Cabinet, it anticipated the changes resulting from the new Care and Support Bill. Information, Advice and Advocacy services are a central tenet to realise some of the Bill's aims: setting out what support people could expect from local government and what action the government would take to help people plan, prepare and make informed choices about their care.
- 1.2 The new Information, Advice and Advocacy Services will address the fragmented and inequitable nature of much of the current service delivery in the borough, specifically relating to identified gaps such as advocacy provision for older people. The aim is for a more integrated and joined up Information, Advice and Advocacy Services for adults with support needs delivered by a Network, Hub or Consortium.

2. **DECISIONS REQUIRED**

The Mayor in Cabinet is recommended to:-

- 2.1 Approve and award the contract for the Information, Advice and Advocacy services to the REAL who will lead a consortium of specialist providers.

- 2.2 Authorise the Assistant Chief Executive (Legal Services) to enter into all necessary documents to implement the decision at paragraph 2.1 once the standstill period has expired and any objections dealt with .

3. REASONS FOR THE DECISIONS

- 3.1 The new provider(s) as a consortium will be able to ensure joined up integrated service provision ensure organisations will not compete to hold onto clients and work in a more collaborative, person centred way. It also would be a more streamlined service with only one contract instead the current nine, reducing the resources spent on contract management both by providers and the Council and will be value for money as it will be able to support more local people with support needs.
- 3.2 The new contract specifies the requirement for the London Living Wage to be paid and for the provider to provide volunteering opportunities. In carrying out the procurement the Council has worked with TH CVS to facilitate a partnership approach to service delivery. Details of the consultation with the voluntary sector are at para 6.4 of this report.

4. ALTERNATIVE OPTIONS

- 4.1 An alternative option investigated was whether the new Information, Advice and Advocacy service could be delivered in house. However, in order to meet the various specialist service requirements and needs, a commissioned service was better able to address these and to also ensure impartiality.

5. BACKGROUND

- 5.1 The Adults, Health and Wellbeing (AHWB) Directorate has completed tendering for a new Information, Advice and Advocacy services with the aim to commission a more integrated and joined up Information, Advice and Advocacy (IAA) service for adults with support needs delivered by a Network, Hub or Consortium. Similar to the successful LinkAge Plus delivery model, the Network, Hub or Consortium will be led by one Service Provider who as the contract holder will be accountable to the LBTH but will operate as a Network, Hub or Consortium through collaborative working relationships with other providers to offer effective support to all people with support needs in the Borough.
- 5.2 The new IAA services will complement other more specialist commissioned services such as Information, Advice and Advocacy for carers and those delivered under the Mental Capacity Act 2005 – Independent Mental Capacity Advocacy (IMCA) and Deprivation of Liberty Safeguards (DOLS). Officers explored whether the new IAA services could be delivered in house. However, in order to meet the various specialist service requirements and needs, a commissioned service was better able to address these and to also ensure impartiality. Furthermore, officers undertook extensive consultation with current providers and local voluntary sector organisations on the proposed service delivery model.

5.3 The new IAA services are directed at people with support needs in the borough including those with sensory impairments, physical and learning disabilities, autism and living with HIV/AIDS. Good information, advice and advocacy (which provide the right support at the right time) are essential for all adults and their carers who need support in order to know their rights and to live independently. The new service will help people with support needs and carers make informed choices, enable them to take control and help service users and carers to maintain their abilities, skills and independence well into the future.

6. A New Information, Advice and Advocacy Service for People with Support Needs

6.1.1 The AHWB Directorate seeks to maximise the opportunities that the Transforming Adult Social Care agenda brings for people with support needs and for the Council itself. Among other things this means enabling better outcomes for people through maximising independence and minimising long term dependence.

6.1.2 The review of the current information, advice and advocacy provision culminated in a new Information, Advice and Advocacy (IAA) Strategy sitting under the Promoting Independence Strategy¹ approved by Cabinet in November 2011. The emphasis of the new IAA Strategy was on

- promoting choice and control,
- maximising independence,
- effective use of resources by commissioning services that provide value for money, are joined up and seamless, and avoid duplication.

6.1.3 The new IAA strategy recommended moving to a network, hub or consortium approach to ensure joined up integrated service provisions, avoid organisations competing to hold onto clients and work in a more collaborative, person centred way. It also would be a more streamlined service with only one contract instead the current nine, reducing the resources spent on contract management both by providers and the Council.

6.1.4 In May 2011 a steering group was set up with representation from the Strategy and Performance Team, Strategic Commissioning, Public Health, and Third Sector Team to oversee the development of the new service specification. Cross-reference with the new Carers Plan and the new Customer Journey were also ensured. Furthermore, the service specification specifies that the network, hub or consortium will be required to work collaboratively with the voluntary and statutory sector including Idea Stores, HealthWatch and LBTH First Response Team.

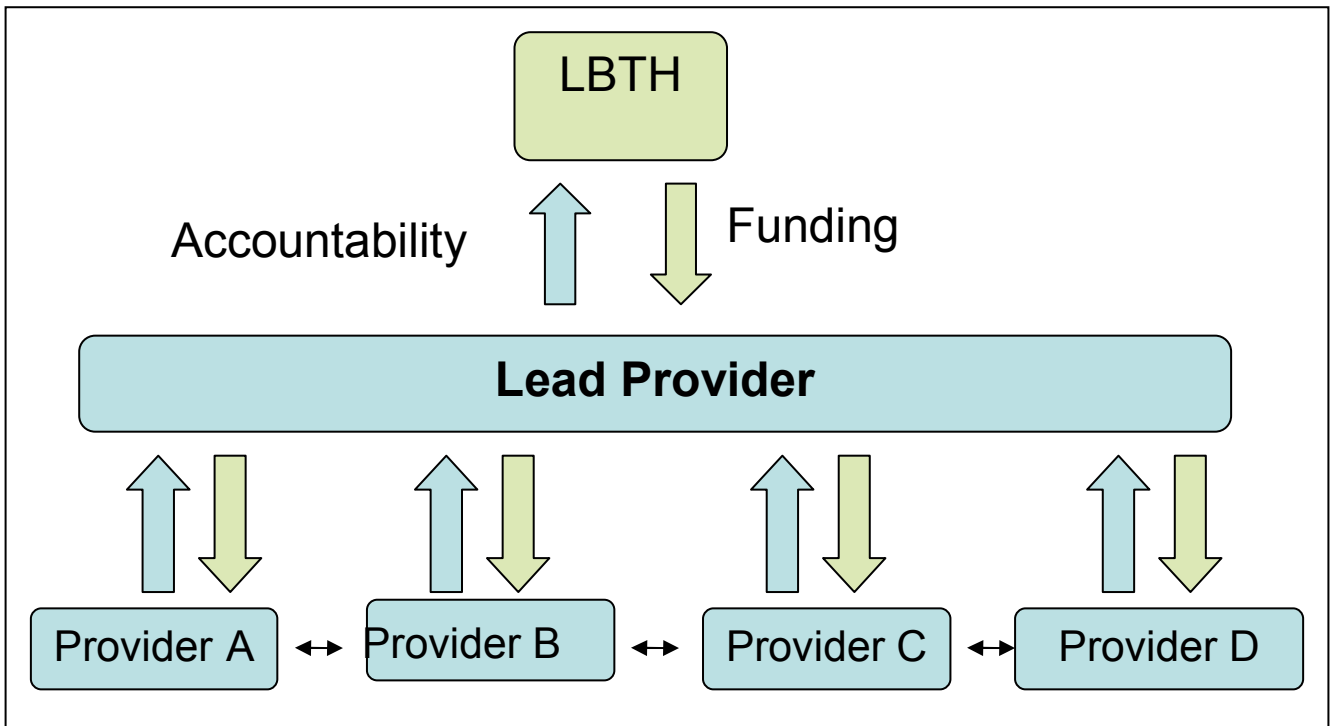
6.2. Proposed Delivery Model

6.2.1 The Information, Advice and Advocacy service will be delivered by one Network, Hub or Consortium with one Lead Provider to be responsible for ensuring safe, high quality non-discriminatory Information, Advice and Advocacy service appropriate to the cultural diversities of Tower Hamlets through:

¹ See <http://www.towerhamlets.gov.uk/default.aspx?page=16535>

- Performance management of the overall budget and contract, and to be the main contact with commissioners.
- Ensuring partner organisations meet the overall service objectives, outcomes and priorities.

Table 1. Lead Provider Model:



6.2.2 By working together the Network, Hub or Consortium is aiming to achieve:

- greater co-ordination of services for users,
- reduction in duplicated services
- efficiencies for commissioning organisations and providers
- increased sharing of best practice
- development of common protocols
- clear and consistent quality standards

6.2.3 The Network, Hub or Consortium will also

- Expand the principles of joined-up working and look to support access to a wide range of Information, Advice and Advocacy services, including health, leisure, volunteering and employment, social care and housing, financial and benefits advice as part of a seamless Service offered to residents with support needs and their carers.
- Coordinate the activities commissioned by the Network, Hub or Consortium to ensure that they form an integrated service network.

- Distribute resources appropriately across the Network, Hub or Consortium
- Build on effective links with local statutory and voluntary organisations and be driven by the needs and aspirations of all people using the service.

6.2.4 The new IAA Services will be tailored to the needs of individuals through a joined up and integrated service network that is accessible and culturally sensitive. Through an outcome based approach - an agreed set of outcomes that encourages a focus on the impact that the Service has and not just the inputs or processes – the prospective service provider(s) would be expected to demonstrate the difference the Information, Advice and Advocacy services has made to the lives of service users and their families.

6.2.5 It is recognised that the Network, Hub or Consortium will not be able to offer everything under one roof nor would it be desirable trying to do so. There is a wealth of experience and expertise in the community which should be promoted and built upon in a more strategic way.

6.3 Summary of Service Requirements

6.3.1 The services will consist of the provision of:

- Information and advice, and
- Advocacy (one to one, crisis, non-instructed advocacy, support self and peer advocacy)²

for adults with support needs and their families/carers within Tower Hamlets including people with sensory impairments, people living with HIV/AIDS, and people with physical and learning disabilities who need help because of their lack of knowledge or experience in accessing information.

6.3.2 The following specialist services will be delivered through the Network, Hub or Consortium:

- ◆ Benefits and welfare information and advice
- ◆ Housing advice and information
- ◆ Legal advice for service users with disabilities
- ◆ Welfare, money management and benefits information and advice
- ◆ Volunteering information and advice
- ◆ Crisis, one to one, group, citizen and self-advocacy

6.3.3 Knowledge of local infrastructure and services available to signpost and refer to other services as required including

- ◆ Healthy living

² **Advocacy is taking action to help people say what they want, secure their rights, represent their interest and obtain services they need, for example, for older people, people with learning disabilities or autism. There are different types of advocacy:**

Short term, issue based or crisis advocacy: When an advocate empowers someone to speak up about a particular issue, or speaks up for them to support them through a crisis.

Self and peer advocacy: When someone speaks and acts for their self to present their case or when the advocate has something in common with the person they are advocating for.

Non-instructed advocacy: Taking affirmative action with or on behalf of someone unable to give a clear indication of their views or wishes in a specific situation. For example, this could be someone with dementia, profound learning disabilities or brain damage.

- ◆ Recreation and leisure activities
- ◆ Employment including supported employment
- ◆ Transport support and information
- ◆ Voluntary organisations
- ◆ Range of services accessed through Adult Health and Wellbeing and accessing information

6.3.5 The service specification states that suitable and accessible premises within the London Borough of Tower Hamlets will be provided which will function as a base and a point of contact. Drop-ins and outreach will complement the accessibility of services delivered from these premises

6.4 Consultation of the Voluntary Sector:

6.4.1 A consultation with current providers took place during the summer of 2011, and with current and potential providers in April 2012 to get feedback on the delivery model, how specialist needs can be met, or what perceived gaps in service provisions have been identified.

6.4.2 One of the main challenges was to ensure that local providers had the capacity to be able to bid for the tender. The Strategic Commissioning Team worked with the TH CVS to facilitate this process which resulted in successful partnerships participating in the tender.

6.5 Tender Process

6.5.1 The tender advertisement went out on 28th August 2012. At the first stage of the tender process, four submissions were received. Of these, three organisations were invited to the next tender stage; out of these two submissions were received. Both were shortlisted to go forward to the interview/presentation stage. New services are expected to commence 1st April 2013 although they may be subject to a transition period.

6.5.2 The tender evaluation was based on a weighting of 50% for quality, 40% for price and 10% for innovation to be demonstrated during the presentation. The recommended tender with the highest score will be able to provide geographical cover across the borough with the use of local hubs and covering all the specialist requirements of the service specification across the required client groups.

6.5.3 The recommended tender with the highest score is REAL, a local IAA provider and one of the incumbent organisations. It has formed a consortium with eight other organisations of which six are current providers: Apasenth, Positive East, Mencap, TH Law Centre, Deaf Plus, AGE UK, and two new providers: Bromley by Bow Centre and the Alzheimer Society.

6.5.4 Together, the consortium will be able to provide geographical cover across the borough with the use of six local hubs and covering all the specialist requirements of the service specification across the required client groups. The consortium has already demonstrated effective partnership working and has the necessary partnership agreements in place. It will provide added value as service users will be

able to access their other services not commissioned by LBTH provided. Value for money will also be achieved by information sharing protocols and pooling of resources.

6.6 Contract Details:

- The contract will be for three years with annual reviews
- Services to commence 1st April 2013 but may be subject to a transition period
- The recommended tender has priced the service at £485,000 pa which is within budget
- The contract stipulates that the London Living Wage be paid
- The delivery model and the service specification require volunteering

7. COMMENTS OF THE CHIEF FINANCIAL OFFICER

- 7.1 This report seeks cabinet approval to award the new contract for the Information, Advice and Advocacy services to the recommended new provider leading a consortium of specialist providers as stated in section 2.1 and as detailed in section 6.5.2.
- 7.2 The current arrangements for Information, Advice and Advocacy services costs £487k and is spread across 9 different contracts with 7 different providers.
- 7.3 The new contract will result in a more integrated and joined up service that will be delivered within the existing funding envelope, costing £485k.
- 7.4 The new contract also incorporates the requirement for providers to pay the London Living Wage to staff working on the contract whereas previous arrangements did not have this as an explicit requirement. Thus in real terms, these new arrangements are more efficient and conform to the mayors priorities around London Living Wage.

8. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

- 8.1 The Council is required to provide a range of community care services to promote the welfare of vulnerable persons aged 18 or over. The duty arises under a number of statutes, including section 47 of the National Health Service and Community Care Act 1990 (the duty to assess needs and provide community care services), Part III of the National Assistance Act 1948, and section 2 of the Chronically Sick and Disabled Persons Act 1970 (provision of residential and non-residential welfare services).
- 8.2 The Council is, in some circumstances, under a statutory obligation to provide information, advice and advocacy services. For example, the Disabled Persons (Services, Consultation and Representation) Act 1986 makes provision for the appointment of authorised representatives for disabled people. Local authorities are

required to make provision for disabled persons or their authorised representatives to make representations before deciding whether a person's needs call for the provision of any statutory services. Where the disabled person or the person's authorised representative is unable to communicate or be communicated with, by reason of any mental or physical incapacity, the Council is to provide such services as are necessary to ensure that the incapacity does not prevent the making of representations. The Mental Capacity Act 2005 also imposes a duty on Councils to make arrangements for independent mental capacity advocates to represent and support persons who lack capacity to make decisions concerning significant welfare issues such as changes in their accommodation, in circumstances where they have no family or friends whom it would be appropriate to consult about those decisions.

- 8.3 The information advocacy and advice service anticipates the possible new duty on local authorities set out in the draft Care and Support Bill. The draft Bill proposes that local authorities establish and maintain a service for providing people with information and advice relating to care and support for adults, and support for carers.
- 8.4 Section 3 of the Local Government Act 1999 requires best value authorities, including the Council, to “make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness”. The Public Services (Social Values) Act 2013, which came into force on 31st January 2013, requires the Council to consider how the services it commissions and procures might improve the economic, social and environmental well-being of the area. The procurement procedure described above complies with these statutory duties and the Council’s procurement procedures and should be open for Cabinet to conclude that the proposed contracts will result in best value having regard to the duty outlined above.
- 8.5 The contracts are for Part B Services and so the full provisions of the Public Contract Regulations 2006 do not apply. However they are still expressly subject to the equality and transparency obligations under the Regulations and there is a requirement to have a fair and transparent process. This report explains how that has been achieved.
- 8.6 When awarding the contract, the Council must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don’t. Information relevant to these considerations is set out in the report.
- 8.7 Once the decision to award is taken the Council will issue the Standstill (also known as Alcatel) letters under Regulation 32 of the Public Contracts Regulations 2006. These letters inform bidders of their score against the award criteria, the winning score and name of the successful bidder
- 8.8 The 2007/66 EU Directive contains a requirement for a mandatory standstill period between notification of the contract award and conclusion of the contract, to allow for an effective challenge to the award decision before the contract is concluded. The basic standstill obligation is set out in Article 2a of the 2007/66 Directive.

8.9 This provides that following a decision to award a contract the contract may not actually be concluded until a certain period of time has elapsed after the contract award decision is notified to those concerned. In the timetable at paragraph 6.7 the anticipated contract date is 13th May 2013 to allow this period to expire. If a challenge is made the contract date may be delayed pending the outcome of the court proceedings

9. **ONE TOWER HAMLETS CONSIDERATIONS**

9.1 The service specification supports three of the four themes of the Community Plan:

- A healthy community

The Information, Advice and Advocacy (IAA) services will contribute to the healthy community theme by promoting independence and supporting the prevention agenda; it will furthermore, signpost and refer local people with support needs to healthy living and exercise activities and health promotions

- A prosperous community

The IAA service will contribute to the prosperous community theme by providing benefits and welfare advice, money management and debt advice. It will further contribute by requiring the service provider(s) to create opportunities for local employment and volunteering.

- A safe and supportive community

The IAA services will contribute to the safe and supportive community theme by promoting peer support and volunteering and ensuring that services are safe to use for service users

9.2 It is sought to remove or minimise disadvantages suffered by people due to their protected characteristics through promotion of services in different formats and languages, outreach and drop ins to reach underrepresented groups and monitoring of equality and diversity.

9.3 Due regard is given to taking steps to meet the needs of people from protected groups where these are different from the needs of other people. The Service ensures that it offers a range of services to meet the needs of a wide range of clients ranging from those with learning disabilities, physical disabilities and long term conditions such as living with HIV/AIDS. Special focus is given to providing services to the diverse faith and ethnic communities in Tower Hamlets through culturally appropriate best practice, a diverse workforce reflecting the community they service and a range of language skills.

9.4 Due regard is given to encourage people from protected groups to participate in public life or in other activities where their participation is disproportionately low through volunteering, and engagement in shaping services and decision that affect their own lives, such as involvement in user groups and steering groups.

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 10.1 There are no immediate sustainability or environmental issues to consider. The prospective service provider(s), as an organisation within the borough, would be required to comply with all national and local legislation regarding energy conservation, recycling etc. Services will be provided locally and using an outreach or surgery approach to reach local people. If local organisations or national organisations with a local branch would be contracted, many of their staff would be local too, thereby reducing commuting

11. RISK MANAGEMENT IMPLICATIONS

- 11.1 A detailed service specification will be negotiated and appropriate monitoring arrangements maintained to minimise risk of underperformance of these services. The service agreement will contain appropriate dispute, claw-back, liability and termination clauses.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

- 12.1 There are no immediate Crime and Disorder reduction implications.

13. EFFICIENCY STATEMENT

- 13.1 As approved by Cabinet on 7th November 2011, there will be non-cashable savings around the quality of the service: the service will be delivered in more efficient ways by enabling more people to use it and seeks to close identified gaps in current provision. Commissioning an integrated Information, Advice and Advocacy Service with only one contract will save resources in terms of contract management as the monitoring and performance management of the partner organisations will be undertaken by the Lead Service provider.
- 13.2 The new information, advice and advocacy network, hub or consortium will be able to support a wider group of individuals with support needs and thus will provide more for our money. This particular delivery model of a Lead Provider working with a network, hub or consortia to deliver an integrated service would provide more for less and would be better value for money with a better quality service.

14. APPENDICES

Appendix 1 – Information, Advice and Advocacy Service Specification

Brief description of "background papers"

Name and telephone number of holder
and address where open to inspection.

None

N/A

This page is intentionally left blank

**SERVICE SPECIFICATION FOR
INFORMATION,
ADVICE AND ADVOCACY
(ADULT HEALTH AND WELLBEING)**

1. Introduction

- 1.1. Adult Health and Wellbeing within the London Borough of Tower Hamlets (LBTH) is committed to provide a universal high quality, consistent and integrated Information, Advice and Advocacy Service. This service would play an important role in maximising people's independence and help preventing reliance and dependency on more intensive care and support.
- 1.2 Good information (which is current, relevant and accurate) is essential for all adults and their relatives who need, or may need support in order to know their rights and to live independently. Good information should help people with support needs and carers make informed choices, enable them to take control and help service users and carers to maintain their abilities, skills and independence well into the future.
- 1.3 **Information and advice** often go hand in hand, but for the purposes of this document, it is important to be clear about the distinct definitions. Using the definitions outlined in Putting People First, in this context **information** to mean 'the open and accessible supply of material deemed to be of interest to a particular population. This can either be passively available or actively distributed'.
- 1.4 **Advice** 'offers guidance and direction on a particular course of action which needs to be taken in order to realise a need, access a service or realise individual entitlements' (I&DeA, 2009: 4)¹.
- 1.5 The overall vision nationally for information and advice is set out in Putting People First milestone four:

'All citizens should be able to easily find locally relevant quality information and advice about their care and support needs in order to enable control and inform choice. Information should be available in a range of formats and through channels to make it accessible to all groups. Provision of information, advice and guidance should move from being largely developed from separate initiatives to a single coherent service strategy'.
- 1.6 The benefits of good quality information and advice are:

²_____

¹ I&DeA, 2009, Transforming adult social care: access to information, advice and advocacy, available at: <http://www.idea.gov.uk/idk/core/page.do?pagelId=9454439>

- The right advice and information at the right time that reduces people's need to require support from social care/enter the social care system

1.7 The **definitions of advocacy** in this context are:

“Advocacy is taking action to help people say what they want, secure their rights, represent their interests and obtain services they need. Advocates and advocacy schemes work in partnership with the people they support and take their side. Advocacy promotes social inclusion, equality and social justice.” (Action for Advocacy, 2010).

“Advocacy is about enabling every person to have a voice of their own and ensuring that they are not excluded because they do not express their views in ways that people understand.” (A voice of their own, BILD, 2006).

1.8 This can be achieved through a variety of models, ranging from statutory advocacy for example the Independent Mental Capacity Advocates, one to one professional advocacy or through volunteering models that support people to become citizen advocates. It is also important to recognise that people might “need different forms and types of advocacy at different times or indeed several at the same time”².

1.9 The Putting People First cross Government concordat published in 2007 set out the vision for Transforming Adult Social Care to enable people with support needs to have more choice and control over their support. To enable this to happen advocacy services are important to help people to make choices for themselves that might otherwise be made for them by other people.

2 Principles – Information, Advice and Advocacy Services

2.1 The Service Provider(s) will adhere to a common set of principles and will provide a clear statement and documentation of how they will meet these principles:

A. Dignity and Respect

People with support needs have the right to be treated with respect and dignity and have access to appropriate Information, Advice and Advocacy Services. The Service Provider(s) will promote equality and respect across all nine equality strands: age, gender, faith, disability, sexuality, ethnic background, marriage/civil partnership,

³_____

² Dunning A, 2005, Information, Advice and Advocacy for older people: Defining and Developing Services, John Rowntree Foundation, p 12

maternity/pregnancy and gender reassignment and will provide a clear statement on their complaints and mediation procedure. People should be offered services which are based on their individual circumstances, needs, choices and expectations; they have a right to participate in decision-making and must be given information where appropriate which will enable them to make informed decisions.

B. Community presence and participation

People with support needs are part of the community and all services should maintain and promote their integration. Services should be integrated into communities and neighbourhoods to foster a sense of belonging by means of access and use of a wide range of community facilities and services. Services will also encourage friendships and promote social networks to facilitate social inclusion and meaningful interaction with others. Services will be built in service user involvement in design, development and delivery of Services as well as its monitoring and evaluation.

C. Well-being and independence

The Service Provider(s) will promote the independence of people with support needs and enable them to enjoy an active and fulfilled life through the provision of Services that minimises social exclusion and promote good health and independence. They may require support in order to access both mainstream and specialist services such as in housing, education, employment, health services, social services, as well as community facilities including parks, community centres, shops, leisure and recreation etc. 'Participation' must be judged as interaction which is meaningful on the person's own terms.

D. Choice

The Service Provider(s) should facilitate the support people with support needs may need to make choices and decisions about their daily lives and activities along with clear information about options, responsibilities and consequences. They have the right to services which promote the taking of calculated risks and the holding of personal opinions. The Services will reflect the needs of the diversity of people in Tower Hamlets, their different aspirations and access requirements and will anticipate changing needs; Services will be easy to access in terms of location, opening times, transport etc. Information about available Services, how they are provided, under what

terms and conditions and how they can be accessed, will be provided in order to allow real choices to be exercised.

E. Competence

People with support needs should be offered opportunities to make use of and enjoy skills and interests they already have, and be given the support they need to develop new personal domestic and community skills. They must have access to appropriate aids and adaptations. In addition, the Service Provider(s) will demonstrate competence to meet quality standards such as the Action for Advocacy's Quality Standards for Advocacy Schemes as outlined in paragraph 18.1.

F. Communication

People with support needs have the right to participate fully in all aspects of their lives and in all decisions made about them. The Service Provider(s) should ensure that the Services provided are responsive to their needs and aspirations. The Service Provider(s) will demonstrate the ability to promote communication and access to be able to support, wherever required, individuals to develop communication skills.

G. Advocacy principles

Advocacy services should enable people with support needs to be in a position of being more able to advocate for themselves. Service users should be supported to make informed decisions; depending on the issues, they should have a choice about the different types of advocacy they use and they should be central to the process. The advocate should be dedicated to service users, and there should be no conflict of interest. Overall, the service and approach should support principles of equity and fairness.

3. Proposed Delivery Mechanism (Lead Provider Model)

- 3.1 The LBTH intends to commission Information, Advice and Advocacy Services that would address the fragmented nature of much of the current service delivery in Tower Hamlets and any identified gaps such as advocacy provisions for older people. The aim is for a more coordinated and joined up Information, Advice and Advocacy Service delivered by a Network, Hub or Consortium. The Network, Hub or Consortium would be led by one Lead Provider as the Managed Service Provider (MSP) who as the

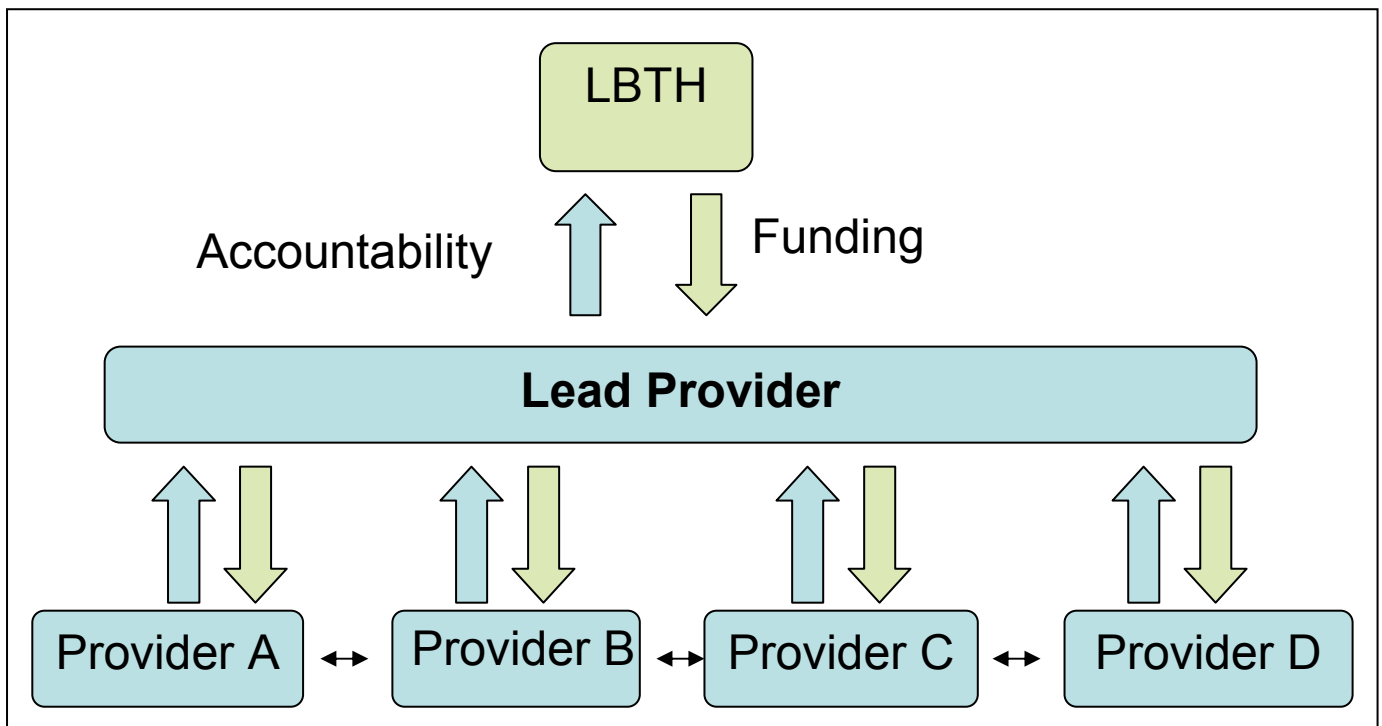
contract holder would be accountable to the LBTH but would operate as a Network, Hub or Consortium through collaborative and innovative working relationships with other providers to offer effective support to all people with support needs in the Borough:

3.2 The Lead Provider would act as a 'Bridging Organisation' and will host the coordination of those providers that will form the Network, Hub or Consortium, will manage funding and report to a Partnership Board to be set up which will include LBTH. A service provider itself, the Hub, Network or Consortium will bring together a range of Information, Advice and Advocacy Services for people with support needs. The Network Hubs or Consortium will work to the outcomes framework, detailed in this specification. The benefits of this approach for agencies working with people with support needs, will be greater efficiency and improved learning through joint working, cross-referral and co-location.

3.3 The Lead Provider as the 'bridging organisation' will be responsible for ensuring safe, high quality non discriminatory Information, Advice and Advocacy services appropriate to the cultural diversities of Tower Hamlets by:

- Performance management of the overall budget and contract, and to be the main contact with commissioners.
- Ensuring that service delivery by subcontracted organisations meets the overall objectives, outcomes and priorities as detailed in this service specification.

Lead Provider Model:



By working together the Network, Hub or Consortium is aiming to achieve:

- greater co-ordination of services for users,
- reduction in duplicated services
- efficiencies for commissioning organisations and providers
- increased sharing of best practice
- development of common protocols
- clear and consistent quality standards

3.4 This Service specification outlines the purpose and functions of the IAA Network, Hub or Consortium which will:

- a. Expand the principles of joined-up working and look to support access to a wide range of Information, Advice and Advocacy Services, including health, leisure, volunteering and employment, social care and housing, financial and benefits advice as part of a seamless Service offered to residents with support needs and their carers.
- b. Coordinate the activities of the Network, Hub or Consortium centres to ensure that they form an integrated Service network.
- c. Distribute resources equitably across the Network, Hub or Consortium

- d. Build on effective links with local statutory and voluntary organisations and be driven by the needs and aspirations of all people using the service.
- e. Provide independent, unbiased Advocacy, accept relevant referrals and act as a professional advocate for people
- f. Provide information on Advocacy provision, screening and redirection of customers to more appropriate services where required
- g. Promote the service for customers in a range of settings and through a range of different media.
- h. Provide one-to-one time-limited issues-based including crisis Advocacy that is delivered through a range of media and, where appropriate, delivered through group advocacy.
- i. Provide help to individuals to develop their own, independent support systems including self-advocacy to assist them towards improved independence and social inclusion

3.3 The model of service that is being proposed is that of a Network, Hub or Consortium as the focal point of a network of joined-up community-based Services. Across the network, professionals will work together to provide consistent, accurate and relevant Information, Advice and Advocacy Services including signposting to other services and sharing of good practice.

3.4 At the heart of this service model is the belief that the independence and general wellbeing is best promoted through easily accessible and independent Information, Advice and Advocacy Services. Provision of the Service should reflect the needs of the community and ensure that Services are provided in a sensitive and culturally appropriate manner. This will demand a shared commitment, by a wide range of agencies, to work together in order to provide a holistic response to service users' needs.

3.5 The Network, Hub or Consortium will play a fundamental role in delivering this vision. It will provide accessible gateways to a diverse range of services and will encourage and facilitate collaborative working to deliver those universal Information, Advice and Advocacy Services residents say are important to them. It will provide a base for people to access other community organisations, health professionals, social workers, advocates and advisers, either on a sessional basis, through drop-ins or surgeries,

outreach support to people in their own homes, or through referral from one agency to another.

- 3.6 To release the creativity of this service delivery model, the prospective Service Provider(s) will allow Services to be tailored to the needs of service users. This specification is outcomes based; an approach based on an agreed set of outcomes that encourages a focus on the impact that the Services have and not just the inputs or processes; the Service Provider(s) should demonstrate the difference the Information, Advice and Advocacy Services has made to the lives of service users and their families.
- 3.7 The Council recognises that the Network, Hub or Consortium cannot offer everything under one roof and does not consider it desirable that it should try to do so. There is a wealth of experience and expertise in the community which should be promoted and built upon and not be duplicated.

4. Summary of Service Requirements

4.1 The Services will consist of the provision of:

- Information and advice, and
- First level advocacy

for adults with “support needs” and their families/carers within Tower Hamlets.

4.2 “with support needs”, has a wide meaning in this context and includes older people, people with sensory impairments, people living with HIV/AIDS, and people with physical and learning disabilities who are in need of assistance because of their lack of knowledge or experience in a particular situation.

4.3 The Service Provider(s) will therefore have to have expertise in the following areas. This does not mean that all expertise is necessarily made available by the Service Providers, but they must be able to direct clients to the required expertise.

4.4 The Service Provider will be expected / must be able to provide the following information, advice and representation for adults with support needs and demonstrate:

:

- Experience of delivering services to the above mentioned client groups and understanding of their needs.

- The ability to deliver following services through the Network, Hub or Consortium:
 - ◆ Benefits and welfare information and advice
 - ◆ Housing advice and information
 - ◆ Legal advice for service users with disabilities
 - ◆ Welfare, money management and benefits information and advice
 - ◆ Volunteering information and advice
 - ◆ Crisis, one to one, group, citizen and self-advocacy
- Knowledge of local infrastructure and services available to signpost and refer to other services as required including
 - ◆ Healthy Living
 - ◆ Recreation and Leisure activities
 - ◆ Employment including supported employment
 - ◆ Community Meals
 - ◆ Free bus passes/blue badges
 - ◆ Range of services accessed through LBTH's Adult Health and Wellbeing team and ways of accessing these services

4.5 It would be expected that staff have or are working towards a range of qualifications including a minimum

- NVQ level 3 IAG
- NVQ level 3 Health and Social Care
- NVQ level 3 of the Independent Advocacy Certificate.

4.6 It would be further expected that organisations have relevant quality assurance standards in place such as the Advocacy's Quality Standards for Advocacy Schemes or the Community Legal Service (CLS) Quality Mark.

4.7 It is expected that there will be flexible service provision to meet service users' needs that will include out of hours cover including evenings and where necessary weekends. Where possible, clients should be seen straight away or as soon as possible; where appointments are required, clients should be seen within five working days maximum.

5. Eligibility

5.1 The Service Provider(s) will accept service users across all client groups who meet the following criteria:

- (a)** live in Tower Hamlets; and
- (b)** are aged 18 or over with support needs
- (c)** Carers (e.g. relatives) of the above on their behalf.

It will accept self-referrals – a prior social work assessment and referral is not necessary.

6. Building Requirements

- 6.1 The Service Provider(S) will provide suitable and accessible premises in the London Borough of Tower Hamlets which will function as a base and a point of contact. As specified by this service specification, drop ins and outreach will complement the accessibility of services delivered from these premises.
- 6.2 The premises will be well heated and ventilated, complying with DDA standards and Health and Safety legislation to create a safe environment for staff and service users.
- 6.3 The premises will be open to members of the public and will provide areas for confidential information, advice and advocacy.
- 6.4 They will provide a welcoming and user friendly environment.

7. Purpose of Information and Advice Network, Hub or Consortia

- 7.1 The broad purpose of the Network, Hub or Consortium is to act as a focal point and an accessible gateway to other services which in line with recognised quality marks and standards will:
 - a. Promote and enhance the independence and wellbeing of all individuals and groups.
 - b. Maximise the choice service users have by providing appropriate information and advice on the wide range of services available.
 - c. Meet the information and advice needs of a diverse local community and promote understanding and awareness of different needs.
 - d. Ensure the social inclusion of individuals and groups.
 - e. Promote and support joint working between local organisations.
 - f. Support the development of wider joint working and the provision of a comprehensive, high quality and independent Information and Advice Services for people with support needs.

8. Contract Period

The contract for the Information, Advice and Advocacy Service is to be awarded for three years with an opportunity to extend the period for a further two years subject to review.

9. Aims, Objectives And Outcomes of Information and Advice Services

9.1 The following focuses on Information and Advice Services only; aims, objectives and outcomes of the Advocacy Services are covered under the following section 10. The aims, objectives and outcomes of the Information and Advice Service are detailed, from the perspective of those using the Network, Hub or Consortium, under the following three themes:

- a. Independence and well-being
- b. Choice and control
- c. Accessible, Joined Up Services

Aim 1: Independence and Well-being

To maximise the independence and well-being of service users, reducing the need for more intensive interventions by health and social care services.

Objectives

- a. Work with other voluntary, statutory sector and independent organisations to ensure that service users have access to a range of Information and Advice Services that promote their independence, health and well-being.
- b. Offer information, advice and assistance, where appropriate, with practical matters that influence the ability of service users to remain independent within the community.
- c. Offer information, advice, and assistance through working with appropriate organisations to address service users' needs including but not exclusively health and healthy living, leisure and socialising, volunteering and employment, housing and benefits advice. Where necessary provide referrals to specialist services.

- d. Offer advice, support to service users with long-term medical conditions and facilitate links to other services to enable them to maintain or improve the quality of their lives, their independence and control.
- e. Ensure inclusiveness of small local groups/organisations and to support those with potentially less resources/capacity.
- f. Establish clear links with other relevant initiatives including the Council's First Response Team

Outcomes

- a. Service users remain as independent as possible and are able to access information and advice to maintain physical and mental health, their social and financial wellbeing and are able to preserve or increase their independence
- b. As a result of high quality Information and Advice Services, service users access relevant follow up services.
- c. Service users will report easy access routes to Information and Advice Services as a result of improved and more extensive partnership working leading to increasingly joined-up provision.
- d. Service users will report improved problem solving, improved ability to navigate the system, improved health/financial stability

Aim 2: Choice and Control

The Service Provider(s) will develop services that address local needs and offer the widest possible choice and control

Objectives

The Service Provider(s) will be required to:

- a. Actively seek the views and preferences of service users so as to develop comprehensive, innovative and culturally appropriate ways of responding to their needs.
- b. Provide a variety of channels and formats for service users to access high quality and independent information and advice.

- c. Establish a Network, Hub or Consortium of providers with expert knowledge of information and advice that is able to actively refer or signpost service users to services that will meet their needs and offer a consistent standard of service.
- d. Ensure that information and advice needs for all diverse communities are met and, where possible, ensuring that support is tailored to individual needs and preferences.
- e. Provide independent, unbiased, up to date information and advice on social care and include wider issues of relevance in service users' lives such as leisure, employment, lifelong learning, healthy living and maintain an accurate up to date knowledge data base on what services are available
- f. Support the Council's strategy of financial inclusion by providing
 - information and advice on financial literacy and education,
 - access to debt advice and appropriate credit solutions including referrals to credit unions
 - financial management information including referrals to the National Money Advice Service.
- g. Support in particular service users on welfare benefits and ensure their understanding of the changes from the Welfare Reform taking place over the next few years

Outcomes

- a. Service users are aware of the wide ranges of services available and are able to make informed personal choices about how to help themselves or who to approach for support.
- b. Service users are aware of their rights and entitlement including benefits, and know where and how to access services such as debt advice, money management services including planning for the future and appropriate credit.
- c. Service users feel that they are able to make informed decisions about issues affecting their lives including financial management.

- d. Service users' feed back reflects an accessible and high quality Service that provides choice, and flexibility and responds to service users needs and preferences.

Aim 3: Accessible and Joined Up Services

The Service Provider(s) will provide information and advice in a model which reduces duplication, and provide a seamless Service that will facilitate a range of services for people with support needs.

Objectives

The Service Provider(s) will be required to:

- a. Keep up to date knowledge and a database of local information and advice provisions and develop effective multi-agency collaborations with statutory organisations including the LBTH, NHS, and the community and voluntary sector including THCAN, THINK, the newly established Health Watch, and the Carers' Centre.
- b. Offer Information and Advice Services that are culturally specific, target and improve outcomes for white British people³, and ensure that for particular sections of Tower Hamlets communities, Services are based on detailed knowledge of the specific issues affecting them, e.g. people living with HIV/AIDS or sensory impairments.
- c. Provide information and advice that will enable service users to navigate their way around the services of statutory, voluntary sector or independent agencies.
- d. Provide Services through a wide range of
 - formats such as large print, Braille, and audio
 - communication channels that can be accessed by all groups such as via face to face, by phone, websites including the Council's community e-catalogue, in print including ` East End Life,
 - outlets such as voluntary sector organisations and community centres, GP and other community health provisions, and Post Offices or home visits.

- e. Provide Services that target situations and accessible locations where people are very likely to require information and advice about support services at key points in their lives, for example at the onset of disability, a decline in physical and mental health, retirement, a bereavement or due to discrimination
- f. Keep abreast of social policy, relevant initiatives, recognise trends, and make effective use of the analysis of data and monitoring information to be able to represent and give a voice (e.g. on the newly established Health Watch) to service users on any emerging health and wellbeing issues.
- g. Provide Services that clearly link to other providers such as LBTH's First Response Team, and One Stop Shops.
- h. Established suitable governance and management arrangements including a partnership board with LBTH representation among others to launch, promote and develop the Service.

Outcomes

- a. Information and Advice Services are accessible to and used by all sections of Tower Hamlets' diverse communities.
- b. Services address a wide range of cultural and social needs (e.g. ethnic groups, gender and faith groups, LGBT and people with disabilities) but also foster inclusiveness and understanding of others.
- c. Service users can effectively navigate their way around a wide range of Information and Advice Services, getting up to date, consistent, and accessible information and advice at transitional moments in their lives.
- d. Service users are more accurately signposted and referred to and between services.

10 Advocacy Services

10.1 The London Borough of Tower Hamlets is committed to provide an independent and high quality Advocacy Service. This Service will work in partnership with the service users it supports to lead more independent inclusive lives by providing advocacy support to enable them to become more aware of their own rights, to exercise those

rights and be involved in and influence decisions that are being made about their future. Crucially, advocacy empowers people to speak up for themselves thereby promoting social inclusion, equality and social justice.

10.2 Advocacy should help people to:

- Express their views and wishes
- Secure their rights
- Have their interests represented
- Access information and services
- Explore choices and options
- Achieve greater independence and maintain choice and control
- Express and present their views effectively and faithfully;
- Negotiate and resolve conflict.

10.3 For the purpose of this document advocacy does not provide:

- Befriending or social support
- Campaigning
- Counselling Befriending or social support
- Campaigning
- Counselling
- Working in the “best interests” of service users (where this involves the advocate making a judgement which may be inconsistent with the expressed wishes of the service user)

10.4 The following are outside of the scope of this service specification:

- Advocacy for victims of domestic violence
- A form of legal representation
- A formal complaints or mediation service
- IMHA
- IMCA
- Advocacy for people with mental health issues

11. The Purpose of the Advocacy Network, Hub or Consortia

11.1 The broad purpose of the Network, Hub or Consortium is to provide generic Independent Advocacy Service in line with recognised quality marks and standards,

that ensure independence, choice and control and to provide accessible gateways for service users including, but not restricted to:

- adults who have learning disabilities
- adults with autism or Asperger's syndrome,
- adults who have physical disabilities,
- adults who have acquired brain injury,
- adults who have sensory impairments,
- older people, including those with organic mental health problems,
- young people from the age of 14 in transitions between children's and adult services⁴.

11.2 In accordance with good practice models, the Service Provider(s) will:

- a. Ensure that all service users are treated with respect, listened to without making any assumptions or judgements and enable them to speak for themselves and to make informed choices unless they indicate otherwise
- b. Support and enable service users to make their own decisions to identify and access services that meet their needs thereby promoting autonomy of decision making
- c. Treat service users as individuals and respect their individual rights in a fair and equal manner and ensure that service users across all nine equality strands have equal access to the Service
- d. Be creative and resourceful in finding meaningful ways to communicate with service users
- e. Act independently and impartially from every other service
- f. Raise awareness, and challenge others when they are not listening to or respecting the views of service users.

⁴ From national research and discussions with providers locally there is an argument to suggest that young people in transitions could benefit from accessing advocacy services from the age of 14 when thinking about their adult futures, young people with learning disabilities are arguably the group with the highest need. In January 2010 there were 254 people known to the transitions team at CLDS although it is unlikely that all of these young people will need to access an advocacy service.

- g. Works in partnership with other voluntary, statutory and independent agencies to provide joint up and wide ranging services that can easily be accessed from a range of different entry points.
- h. Provide advocacy surgery and/or outreach to maximise the number and range of service users the service can reach, especially from Tower Hamlets diverse communities
- i. Support service users to take action if they feel they have been treated unfavourably
- j. Provide information on advocacy provision and act as an accessible gateway to Advocacy Services
- k. Refer service users to specialist providers or other services as relevant in order to ensure a seamless Advocacy Service
- l. Support service users with support needs and their families in order to enable them to obtain what they are entitled to by law
- m. Provide one-to-one time limited issue based advocacy including crisis advocacy.
- n. Provide client group neutral outreach Advocacy Service for people who are placed outside of the borough.

12 Aims, Objectives and Outcomes of Advocacy Services

12.1 The aims, objectives and outcomes are detailed, from the perspective of those using the Advocacy Service of the Network, Hub or consortium, under the following three themes:

- Independence and Wellbeing
- Dignity and Respect
- Exercise of Basic Human Rights - Choice and Control

Aim 1: Independence and Wellbeing

Objectives:

The Service Provider(s) will be required to:

- a. Provide Services that will enable service users to live as independently as possible and promote wellbeing and quality of life
- b. Provide Advocacy Services in a range of formats that will reach and be accessible to Tower Hamlets diverse community.
- c. Support service users to develop a range of own supports, including self-advocacy to assist them towards independence and social inclusion.
- d. Keep an up to date knowledge and database of local advocacy provisions and promote awareness of the range of Advocacy Services available
- e. Keep abreast of social policy, relevant initiatives, recognise trends, and make effective use of the analysis of data and monitoring information to be able to represent and give a voice (e.g. on the newly established Health Watch) to service users on any emerging health and wellbeing issues.
- f. Build links to and signpost other relevant services such as befriending, bereavement, older people, dementia and employment services
- f. Recognise service users' right to take risks in order to extend opportunities and ensure that they are able to choose the risks they want to take and be given support to understand the full implications of their choices.

Outcomes:

- a. Service users are able to learn and develop skills which lead to a greater independence or allow minimal support and reduce dependence and inactivity
- b. Service users can take meaningful risks and are encouraged to do things by themselves and they fully understand their rights and responsibilities
- c. Service users are able to live as independently as possible and can overcome perceived barriers
- d. Service users using advocates are able to develop the ability of self-advocacy and self determination

Aim 2: Dignity and Respect

Objectives:

The Service Provider(s) will be required to:

- a. Actively engage with and seek the views and preferences of service users so as to develop comprehensive, innovative and culturally appropriate ways of responding to their needs.
- b. Actively listen to the concerns and wishes of service users and not making any assumptions or judgements
- c. Provide a person centred service that is free of coercion, control and discrimination

Outcomes:

- a. Service users can freely express their wishes and concerns and make informed decisions about their lives
- b. Service users are at any time treated with respect and dignity and their needs are understood and responded to in appropriate ways
- c. Service users are treated as partners in decisions that affect their lives
- d. Service users are valued regardless of age, culture, faith, disability, gender, sexuality, marriage/civil partnership, maternity/pregnancy, and gender reassignment.

Aim 3: Exercise of Basic Human Rights - Choice and Control

Objectives:

The Service Provider(s) will be required to:

- a. Raise awareness among other service providers and reduce any social stigma and prejudice
- b. Challenge perceived assumptions about inability and incapacity
- c. Provide effective, timely, advocacy, triage screening and a seamless referral service which ensures that service users' needs and aspirations are heard, have to tell their story only once and wherever possible influence service delivery
- d. Ensure that equality and diversity are reflected in access to and provisions of Services, for example through combined interpretation and advocacy services for Somali people to meet both of these needs.

- e. Offer Advocacy Services that are culturally specific and ensure that for particular sections of the community, Services are based on detailed knowledge of the specific group/community issues, e.g. people living with HIV/AIDs, people with sensory impairments or especially vulnerable and socially isolated individuals/groups.
- f. Ensure that the health, safety and welfare of service users is promoted and protected at all times.
- g. Actively seek innovative ways to engage and communicate with service users and support them to overcome any barriers to express their needs, wishes and concerns

Outcomes:

- a. Service users report improved knowledge and understanding of their rights and choices
- b. Service users are supported to resolve the issue(s) which they sought advocacy for
- c. Service users are able to make informed choices and decisions about their support, are involved in the planning and report improved choice and control over the Services they receive
- d. Service users report easy access to Advocacy Services and feel safe to use the Service
- e. Service users are able to speak for themselves and/or, with the support of Advocacy Services to express their views.

13 Information, Advice and Advocacy Service Provision

- 13.1 The Service Provider will provide a flexible service to meet service users' needs that will include out of hours cover including evening and where necessary weekend cover.
- 13.2 To meet the needs of service users the Network, Hub or Consortium will provide an appropriate range and level of Services including the provision of:
 - a. Minimum Service provisions to include:
 - High Quality Information, Advice and Advocacy Services on welfare rights, housing, legal and debt and financial advice across all adult client groups and

their families and carers (older people including those with organic mental health problems, people with physical, and/or learning disabilities including autism or Asperger's syndrome, sensory impairments, and people living with HIV/AIDs, and young people in transition from the age of 14 years).

- High Quality Advocacy Services including crisis advocacy, self advocacy, group and citizen advocacy across all client groups as above.
 - Facilitate the exchange of best practice in Information, Advice and Advocacy Services including seminars, workshops and training for practitioners, service users and their families/carers.
 - Ensure an effective referral and sign posting service to a range of services such as employment, healthy living and leisure that help to maximise the independence of service users.
- b. Information produced and communicated in appropriate formats about the Service provisions of the Network, Hub or Consortium
- c. Service navigation to facilitate access to relevant statutory and voluntary sector services, information and advice including second tier legal advice, one to one and crisis advocacy, and citizen advocacy.
- d. Outreach Services and drop ins, in partnership with local community organisations, to ensure widest possible reach and cover.
- e. Facilitate and ensure smooth transition for service users to the new Services

13.3 The Network, Hub or Consortium shall have a recognised quality control system in place, for example the Community Legal Service (CLS) Quality Mark or Action for Advocacy "Advocacy Quality Performance Mark" which supports the following principles, which are based on Action for Advocacy's Quality Standards for Advocacy Schemes:

- Clarity of Purpose and Professionalism
- Independence
- Putting People First
- Empowerment
- Impartiality and Objectivity

- Diversity and Inclusion
- Accessibility
- Confidentiality
- Accountability
- Supporting Advocates (high quality training, supervision and development)

14 Procedure

- 14.1 Except where stated, the Network, Hub or Consortium are free to propose their own working methods. However as part of the contract requirements, the Service Provider(s) must submit its proposed methods for delivering the Service for approval to the Council's Lead Officer.
- 14.2 The Service Provider(s)' procedures shall reflect:
- a willingness to act reasonably and with due propriety at all time;
 - a commitment to the principle of equal opportunities in Service provision and staff recruitment;
 - full compliance with the relevant requirements of legislation including without limitation the Health & Safety at Work Act 1974, all subordinate legislation with particular attention to Management of Health & Safety at Work Regulations 1992, National Care Standards etc;
 - full compliance with the highest customer care principles, including ensuring People and their carers/relatives are provided with an informative, honest, sensitive, helpful and courteous Service at all times.
- 14.3 The Service Provider(s)' procedures shall not commit the Council to provide Services or give rights outside those provided by its policies, procedures and by legislation.
- 14.4 The Service Provider(s) will ensure that all necessary documentation is properly and completed in a timely fashion and that computer records are promptly updated.

15 Staffing

- 15.1 The Service Provider(s) must employ, throughout the Contract period, a sufficient number of suitably trained staff with appropriate skills; there is a particular emphasis

on training and understanding of the new duties under the Equalities Act 2010 and especially on the understanding of the needs of LGBT service users.

- 15.2 The Service Provider(s) must maintain, implement, review and adapt for the purpose of the provision of care a clear and professional policy to train staff to carry out their tasks in the provision of the Service, with training assessed on the basis of roles undertaken by post holders.
- 15.3 Staff including any agency staff employed by the Service Provider(s) in connection with the provision of the Service may be working with vulnerable people. Therefore, the Service Provider(s) must ensure, throughout the contract period, that all staff have been subject to Extended Criminal Records Bureau checks and that adequate disciplinary procedures are in place to protect vulnerable adults against any form of improper conduct by staff. Such conduct may include (without limitation) verbal abuse, emotional abuse, physical abuse and theft of personal possessions including cash. The Service Provider(s) must immediately report any such incident to Council's Lead Officer who will consider the necessity of taking action under the Tower Hamlets multi-agency Vulnerable Adults Protection Procedure.

16 Volunteers

- 16.1 The Service Provider(s) will:
- (a) maximise the involvement of service users in the work of the Network, Hub or Consortium as volunteers or in other capacity (service users forum).
 - (b) endeavour to involve volunteers as a complement to the staff in the operation and running of activities for service users, and as a means of preventing service users being isolated from their local communities;
 - (c) make certain that a designated staff member has the role of co-ordinating the training, supervision and recruitment of volunteers;
 - (d) taking up references and Enhanced Criminal Record Bureau checks on all volunteers and provide them with appropriate training and continuous support,

- (e) ensure that volunteers who start placements without an Enhanced CRB check receive ongoing supervision of an Enhanced CRB checked member of staff and do not have unsupervised contact with service users.

17 Legal Requirements

17.1 The Services will be delivered in accordance with and having proper regard for all relevant and applicable British and European Union legislation. The Service Provider(s) shall also comply with the Council's policies on the following:

- (a) The Protection of Vulnerable Adults
- (b) Risk Assessment

18 Quality Assurance

18.1 The Service Provider(s) shall provide the Council with copies of their Quality Assurance System and operational policies upon request. Management organisations must be able to demonstrate how these policies are implemented at an operational level, and how and when they are monitored to ensure quality Services are provided. In relation to this specification, the Quality Assurance System and operational policies will include the following:

- (a) Disciplinary procedures
- (b) Grievance procedures
- (c) Procedure dealing with gifts, money and gratuities
- (d) Confidentiality
- (e) Abuse at work - staff protection
- (f) Accident and incident reporting procedure
- (g) Complaints procedure
- (h) Equal Opportunities Procedure
- (i) Recruitment Policy
- (j) Supervision Policy

- (k) Monitoring Policy

18.2 This is not an exhaustive list of Policy documents but will form the basis of the management organisations Quality Assurance and Operational Management.

19 Policy Context

Equal Opportunities

19.1 The Service Provider(s) will ensure that Equal Opportunities and their implications in practice are intrinsic to the delivery of the Service.

Anti-Poverty Strategy

19.2 The Council has chosen to focus on poverty and initiatives to tackle this. All activities the Council carries out are assessed in terms of their impact on poverty.

19.3 Tower Hamlets Council adopted the following definition of poverty on 12th July 1995:

"We hold poverty to mean the denial, through lack of income or other means of support, of the opportunity to participate fully in the life of the community... It can be reflected in the lack of access to education, training, employment, health care, cultural and leisure pastimes, as well as the primary necessities of life, such as good housing, adequate food, clothing and fuel. This definition will be used throughout the Council as the working definition of poverty which will act as a foundation for the development of policy, procedure, and Service provision in this area."

19.4 The Service Provider(s) will support anti-poverty initiatives by:

- (a) recruiting staff, wherever appropriate, from the Tower Hamlets community and advertising vacancies within the Borough, and;
- (b) ensure that equal opportunities underpin the aforesaid activities.

The Tower Hamlets Inter-Agency Vulnerable Adults Protection Procedure

19.5 The Service Provider(s) will comply with the Tower Hamlets Inter-Agency Vulnerable Adults Protection Procedure. The Service Provider(s)'s Disciplinary and Grievance procedure shall take the Inter-Agency Vulnerable Adults Protection Procedure into account and ensure there is no conflict.

Data Protection

19.6 The Service Provider(s) shall ensure all software is compliant with the Data Protection Act 1998 and that all information held by it is secured and used as required by the Data protection Act 1998.

20 Customer Care

20.1 The Service Provider(s) will ensure that the Council's expectations regarding the highest standards of customer care are achieved at all times. These expectations require management organisations to ensure that all service users are treated in a non-discriminatory manner, with courtesy and dignity, and that their right of choice is respected.

Charges

20.2 The Service provider(s) will not charge customers for the information, advice and advocacy services provided under this contract.

Ombudsman And Members Enquiries

20.3 The Service Provider(s) shall ensure that all information and assistance is given to enable the Council to respond to enquire from the Local Government Ombudsman within 10 working days.

20.4 The Service Provider(s) shall respond to all Members' enquiries in a comprehensive and helpful manner within 10 working days.

Confidentiality

20.4 The Service Provider(s) shall treat all information and records on People as strictly confidential at all times.

20.5 The Service Provider(s) shall ensure that access to personal information or records maintained by the Council is restricted to those who have a genuine professional "*need to know*" (e.g. to ensure safety) or a statutory right of access.

Complaints

- 20.6 The Service Provider(s) shall ensure that complaints from service users and their carers are dealt with in a courteous and timely manner and that all reasonable attempts are made to resolve complaints locally.
- 20.7 The Service Provider(s) shall adhere to their complaints procedures when dealing with complaints. If they do not have such a procedure the Council will make available to them its own procedure and expect that it be adopted.
- 20.8 The Service Provider(s) shall ensure that People and carers are routinely provided with information regarding the it's complaints procedure.
- 20.9 The Service Provider(s) shall advise the complainant of their right to complain through the Council's complaints procedure, should they remain dissatisfied a management organisation's response, and provide the complainant with information about how to access that procedure.
- 20.10 The Service Provider(s) shall display and circulate to users and carers, publicity regarding their own and the Social Services complaints procedure.
- 20.11 The Service Provider(s) shall provide Social Services with an annual report regarding the number and types of complaints received in regards to the nine equality strands and the action taken in response to the complaints.
- 20.12 The Service Provider(s) shall take steps to reduce and eliminate failures in Service delivery at all times and to take remedial action regarding gaps in Service delivery identified by complaints, Members and Ombudsman enquiries.
- 20.13 The Service Provider(s) shall take all reasonable steps to co-operate with the Council in investigating any complaint under the its (the Council's) Complaints Procedure relating to a Service user. Management organisations will provide copies of all reports made in respect of investigated complaints about its Services to the Council.
- 20.14 The Service Provider(s) shall provide, on request, copies of reports made in respect of investigated complaints about its Services to the Council.

Incident reporting

- 20.15 Adverse incidents (sometimes referred to as serious untoward incidents or significant events) should be reported to the commissioning organisation, investigated and analysed to establish lessons to be learnt and to identify changes that will lead to

future improvements and prevent reoccurrence, in compliance with the commissioning organisations' organisations' policies in use during this contract.

20.16 The Service Provider(s) must have a policy and culture that encourages and supports staff to report adverse incidents. All incidents should be reported and fall into three categories:

- Incidents that have occurred
- Incidents that have been prevented; and
- Incidents that might happen

Service user involvement in service planning and delivery

20.17 The Service Provider(s) shall actively seek service user views and maintain appropriate records of service user feedback including any comments, complaints and/or compliments arising from meetings with service users, questionnaires, focus groups etc. The Service Provider(s) will demonstrate how such feedback is shaping service delivery. The Service Provider(s) will evidence how service users are fully involved in service planning and decision making across the Service Provider(s)' organisation

21 Monitoring And Evaluation Arrangements

21.1 A condition of this contract is that monitoring returns are supplied by the Lead Provider(s)' organisation from all potential partner organisations and will ensure that it complies with the reasonable monitoring requirements to be agreed with the Council. This information must be submitted at agreed intervals.

21.2 The Service Provider(s) will be directly accountable for its operations and performance against the specification and contract to LBTH.

21.3 The Service Provider(s) will undertake regular monitoring and review of its service including an annual service user survey and will prepare regular reports for monitoring and review meetings. The Service Provider(s) will ensure necessary administrative and record keeping systems are maintained to enable effective monitoring, review, planning and evaluation to take place.

21.4 The Service Provider(s) must ensure that double counting of Service take-up is avoided.

- 21.5 All payments in respect of this Contract are contingent on the satisfactory and timely presentation of required monitoring information.
- 21.6 The designated LBTH Lead Officer will convene regular monitoring meetings at mutually agreed frequency with the Service Provider(s) and agree with it what information is to be routinely collected for monitoring and evaluation purposes.
- 21.7 The Service Provider(s) must lead on the development of the network, hub or consortium objectives and to report to the mutually agreed relevant governance arrangements that include the LBTH as a member of any partnership board meetings or similar .
- 21.8 The Service Provider(s) shall ensure that the information systems, records and documentation necessary to effectively monitor the performance of this Contract are accurately maintained at all times and that such systems are regularly validated and audited.
- 21.9 The service will be visited on a mutually agreed frequency by the designated LBTH Lead Officer/s for monitoring purposes. The Service Provider(s) will make available all relevant documents, files, books information etc to the officers in order for monitoring to be carried out effectively. Reasonable notice of the visit will be given (normally at least 14 days), and of any documents, files, books information they may wish to inspect. Following the monitoring visit, the designated officer will write to the service detailing any areas of concern arising out of the visit and any further action required by the service provider (within a given time period).
- 21.10 The Service Provider(s) will provide quarterly monitoring reports in an agreed format to the designated LBTH Lead Officer. This report will be submitted within two weeks of the end of each quarter and in accordance with the schedule below:

Quarterly period	Deadline for submission of quarterly report
Quarter One: 1st April 2013 – 30th June 2013	15th July 2013
Quarter Two: 1st July 2013 – 30th Sept 2013	15th October 2013
Quarter Three: 1st Oct 2013 – 31st Dec 2013	15th January 2014
Quarter Four: 1st Jan 2014 – 31st March 2014	15th April 2014

- 21.11 In addition, an unannounced visit to the project may be made on an annual basis. Following the unannounced monitoring visit, the designated LBTH Lead Officer will

write to the service provider detailing any areas of concern arising out of the visit and any further action required by the Service Provider(s).

21.12 The Service Provider(s) shall ensure that all relevant data is retained for the duration of the Contract.

21.9 The Service Provider(s) must ensure that all partnership agencies are annually reviewed

Definitions and expectations

Outcomes Indicators

Outcomes Indicators can be defined as a quantitative measure of the products produced through your initiative, such as the number of individuals you have worked with, numbers entering training or employment or number of sessions run. They are the tasks that are done in order to achieve the outcomes of your project. They could include for example attendance at project activities, the number of outreach visits undertaken, volunteering or employment opportunities taken up.

Outcomes

Outcomes refer to changes that have taken place as a result of your project activities and should relate to the project's overall aim. They can be both quantitative, sometimes called 'hard' outcomes, or qualitative ('soft') outcomes, which are less easily measurable. Qualitative outcomes typically relate to 'distance travelled' by individuals, such as changes in attitudes or behaviour, lifestyle changes or improvements in relationships with others. Outcomes might include feeling safer, being more independent, being less isolated, having improved access to Services and being healthier.

ADVOCACY SERVICES

Aim	Outcomes	Outcome indicators
1. Independence and Wellbeing	Service users are able to learn and develop skills which lead to a greater independence or allow minimal support and reduce dependence and inactivity	Qualitative: <ul style="list-style-type: none"> • Service User feedback/Outcome Star • Case studies • Evidence of networking and partnership working Quantitative: <ul style="list-style-type: none"> • No of clients supported • No of new referrals • Route of referrals (e.g. self etc) • No of onward referrals and by type of service referred to • No of referrals made by phone, face to face, written and/or email
	Service users can take meaningful	Qualitative:

	risks or are encouraged to do things by themselves and they fully understand their rights and responsibilities	<ul style="list-style-type: none"> • Service User feedback/Outcome Star • Case studies <p>Quantitative:</p> <ul style="list-style-type: none"> • % of service users reporting high satisfaction with services received
	Service users are able to live as independently as possible and can overcome perceived barriers	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback/Outcome Star • Outcome star • Case studies <p>Quantitative:</p> <ul style="list-style-type: none"> • % of service users reporting high satisfaction with services received • Service user survey
	Service users using advocates are able to develop the ability of self-advocacy and self determination	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback • Case studies <p>Quantitative:</p> <ul style="list-style-type: none"> • No of people developing self advocacy • No service of users into volunteering
2. Dignity and Respect	Service users can freely express their wishes and concerns and make informed decisions about their lives	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback • Type of comments and complaints <p>Quantitative:</p> <ul style="list-style-type: none"> • Service user survey • % of service users reporting high satisfaction with services received • No of comments and complaints received

	Service users are treated as partners in decisions that affect their lives	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback <p>Quantitative:</p> <ul style="list-style-type: none"> • Service user survey • % of service users reporting high satisfaction with services received • No of service users involved in decision making processes
	Service users are at any time treated with respect and dignity and their needs are understood and responded to in appropriate ways	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback • Services reconfigured according to service users' feedback • Case studies <p>Quantitative:</p>
	Service users are valued regardless of age, culture, faith, disability, gender, sexuality	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback <p>Quantitative:</p> <ul style="list-style-type: none"> • Analysis of client data by age, gender, sexuality, faith, disability and ethnicity • Analysis of emerging patterns of referrals and non referrals that could indicate discrimination of any particular client group •
3. Exercise of Basic Human Rights - Choice and Control	Service users report improved knowledge and understanding of their rights and choices	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback/Outcome Star • Case studies • Evidence of staff training, community languages spoken by staff

		<p>Quantitative:</p> <ul style="list-style-type: none"> • Service user survey • % of service users reported high satisfaction with the service • No of service users' involvement of service planning
	Service users are supported to resolve the issue(s) which they sought advocacy for	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback <p>Quantitative:</p> <ul style="list-style-type: none"> • No of training courses, workshops or campaigns etc • No of open cases • Time taken to complete cases in total and by activity • No of complaints and by type
	Service users are able to make informed choices and decisions about their support, are involved in the planning and report improved choice and control over the Services they receive	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback/Outcome Star • Case studies <p>Quantitative:</p> <ul style="list-style-type: none"> • Service user survey • % of service users reported high satisfaction with the service
	Service users report easy access to Advocacy Services and feel safe to use the Service	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback • Analysis of emerging patterns of referrals and non referrals that could indicate discrimination of any particular client group <p>Quantitative:</p> <ul style="list-style-type: none"> • No of self referrals • No of word of mouth referrals
	Service users are able to speak for themselves and/or, with the support of Advocacy Services to express their views.	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback <p>Quantitative:</p>

	<ul style="list-style-type: none"> • Service user survey • No and type of complaints • No and type of incidents • % of service users reported high satisfaction with the service
--	--

INFORMATION AND ADVICE SERVICES

AIM	OUTCOME	OUTCOME INDICATOR
1. Independence and well-being	Service users remain as independent as possible and are able to access information and advice to maintain physical and mental health, their social and financial wellbeing and are able to preserve or increase their independence	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User, carer, family feedback/Outcome Star • Case studies <p>Quantitative:</p> <ul style="list-style-type: none"> • No of service users broken down by type of information of advice e.g. housing, benefits, healthy living etc • No of service users taking up freedom passes, blue badges, taxi cards
	As a result of acceptable Information and Advice Services, service users access relevant follow up services.	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback <p>Quantitative:</p> <ul style="list-style-type: none"> • No of referrals to other services, and type of services
	Service users will report easy access routes to Information and Advice Services as a result of improved and more extensive partnership working leading to increasingly joined-up provision.	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback • Evidence of networking and partnership working, • Evidence of training and capacity building <p>Quantitative:</p> <ul style="list-style-type: none"> • Service user survey
	Service users will report improved	Qualitative:

	problem solving, improved ability to navigate the system, improved health/financial stability	<ul style="list-style-type: none"> • Service User feedback/Outcome Star • Evidence of partnership working and links with other initiatives <p>Quantitative:</p> <ul style="list-style-type: none"> • Service user survey • No and type of referrals • No of service users taking up freedom passes, blue badges, taxi cards
2. Choice and Control	Service users are aware of the wide ranges of services available and are able to make informed personal choices about how to help themselves or who to approach for support.	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback • Evidence of service user engagement (e.g. user forums, service user representatives, user minutes of meetings etc) <p>Quantitative:</p> <ul style="list-style-type: none"> • Service user survey
	Service users are aware of their rights and entitlement including benefits, and know where and how to access services such as debt advice, money management services including planning for the future and appropriate credit.	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback • Case studies <p>Quantitative:</p> <ul style="list-style-type: none"> • No of service users referred to money management services etc • No of service users accessing benefits service • Amount of money successfully claimed as one –off payments and/or as benefits
	Service users feel that they are able to make informed decisions about issues affecting their lives	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback/Outcome Star • Case studies • Evidence of quality marks, staff training,

		Quantitative:
	Service users' feed back reflects an accessible and high quality Service that provides choice, and flexibility and responds to service users needs and preferences	Qualitative: <ul style="list-style-type: none"> • Service User feedback Quantitative: <ul style="list-style-type: none"> • No of service users taking up financial advice
3. Accessible and Joined Up Services	Information and Advice Services are accessible to and used by all sections of Tower Hamlets' diverse communities.	Qualitative: <ul style="list-style-type: none"> • Service User feedback Quantitative: <ul style="list-style-type: none"> • Demographic profile of service users including age, gender, disability, sexual orientation, faith, ethnicity
	Services address a wide range of cultural and social needs (e.g. ethnic groups, gender and faith groups, LGBT and people with disabilities) but also foster inclusiveness und understanding of others.	Qualitative: <ul style="list-style-type: none"> • Service User feedback Quantitative: <ul style="list-style-type: none"> • Demographic profile of service users including age, gender, disability, sexual orientation, faith, ethnicity • Analysis of emerging patterns of referrals and non referrals that could indicate discrimination of any particular client group •
	Service users can effectively navigate their way around a wide range of Information and Advice Services, getting up to date, consistent, and accessible information and advice at transitional moments in their lives	Qualitative: <ul style="list-style-type: none"> • Service User feedback Quantitative: <ul style="list-style-type: none"> • No of service users signposted to services and type of services • No of referrals and type of services referred to • No of new service users accessing services by type of services • No of drop ins, and sessions of outreach by type of venue

	<p>Service users are more accurately signposted and referred to and between services</p>	<p>Qualitative:</p> <ul style="list-style-type: none"> • Service User feedback • Evidence of networking, partnership working, joint initiatives etc. <p>Quantitative:</p> <ul style="list-style-type: none"> • No of referrals and type of services referred to • No of drop ins, and sessions of outreach by type of venue • No of home visits

Agenda Item 9.4

Committee/Meeting: Cabinet	Date: 13 March 2013	Classification: Report unrestricted. Appendices exempt	Report No: CAB 85/123
Report of: Corporate Director: Isobel Cattermole Originating officer(s) Deborah Cohen Service Head, Commissioning and Health		Title: Letting Supporting People Contracts 2012- 2015: The Mobilisation Plan Wards Affected: All	

Lead Member	Cllr. Abdul Asad
Community Plan Theme	A Safe and Supportive Community A Great Place to Live A Healthy Community
Strategic Priority	Providing effective local services and facilities Enabling people to live independently

1. **SUMMARY**

- 1.1 In March 2012 Cabinet agreed the contract award for the Supporting People Framework Agreement; a type of approved providers list against which all current Supporting People contracts will be let over a three year period. As these are effectively inherited services, this is the first time most will be subject to a competitive tender of this type.¹

In awarding the Framework, Cabinet agreed that each of the current contracts will be let to the supplier who offers best value in the relevant category; therefore removing the need to run separate competitive tendering exercises for each individual service.

- 1.2 The Framework is being used to let contracts for supported housing and floating support services for people who are vulnerable, homeless and in need of support, and can be broadly categorised into a number of service types:
- A. Hostels for the single homeless and rough sleepers with support needs-including complex substance misuse;
 - B. Refuge accommodation and floating support services for women and children fleeing domestic violence;
 - C. Support staff or “wardens” in sheltered accommodation;

¹ Supporting People Services were moved from central Government funding into a locally funded contracted framework in 2003.

- D. Floating support services for vulnerable people living in their own homes;
- E. Supported accommodation and floating support for adults with learning or physical disabilities, or mental health issues;
- F. Supported accommodation for young vulnerable homeless people.

1.4 These services provide a vital role in supporting the Council's ability to meet its statutory duty for those with critical and substantial needs, as well as improving its offer to those vulnerable people in the Borough who may not.

1.5 At any one time these services will be providing support to **2636** vulnerable people in supported housing and hostel schemes across the Borough. In addition, in the region of **523** vulnerable people will be making use of a floating support service to maintain their independence at home or to prevent an imminent eviction. A total of **2720** service users on a daily basis.

When considered over a period of time, the number of people who will benefit from one of these services is far greater. In the period 2011-2012 alone **4028** vulnerable people used one or more of these services to improve or maintain the quality of their lives.

1.6 The 2012-13 budget allocation for these services is **£14m**, which funds **105** established contracted services with **23** different third sector Providers.

1.7 Of note, a significant number of Supporting People contracts are currently due to expire on the 31st March 2013. Whilst we have made steady progress in re-contracting this complex portfolio of services, significant delays in finalising the Framework mean it is not possible to re-contract all existing services within this timeframe.

1.8 Therefore, it is considered necessary to programme the completion of this project over a 2 year period until March 2015. The timetable of mobilisation, detailed in appendix 2, clearly indicates the majority of this commissioning activity will take place during year one. However there is a need to schedule a small number of the contracts to be let in year 2 of the programme.

1.7 As stated the services listed are all scheduled to end on the 31st March 2013. If we are unable to extend for the periods highlighted, the contracts will cease and the services will have no option but to close on this date.

For the services listed, this equates to in the region of **2256** current service users for whom we will need to find alternative accommodation and or support at significant cost to the Council and service user disruption:

- 631 people in sheltered accommodation;
- 484 people living in hostels;

- 523 people receiving a floating support service in their own home. This will include service users with complex mental health issues under the care of Community Mental Health Teams, for whom we have a statutory responsibility; and
- 618 vulnerable people with support needs living in supported accommodation. Again, this will include service users for whom we have a statutory responsibility, including those with complex mental health needs under the care of Community Mental Health Teams and people with learning disabilities under the care of the Community Learning Disabilities Service.

2. DECISIONS REQUIRED

The Mayor in Cabinet is recommend to –

- 2.1 Agree the proposed re-commissioning mobilisation plan for the next 2 year period and the listed contract extensions required to facilitate this process.
- 2.2 Note that the extensions requested are for the maximum period required and allow contingency in the event of unforeseen issues arising. Officers will work to keep the required extension period to a minimum period possible. No blanket extensions will be applied. All extensions will be expressed as ‘up to’ the agreed period.
- 2.3 Authorise the Assistant Chief Executive (Legal Services) to enter into all necessary documents to implement the decision at 2.1.

3. REASONS FOR THE DECISIONS

- 3.1 Given the scale of the contracts to be let against the Framework Agreement, it will not be possible to enter into new contracts for all services due to expire on 31st March 2013. The framework itself is valid for four years and it is recommended that the programme of re contracting is staged over a two year period to be completed by 31st March 2015.

This will allow the commissioning, legal, and procurement services the capacity to respond to this tendering programme, within the Adult Services context of significant care services and public health commissioning over this same period.

- 3.2 Having considered all other options; unless we are able to extend these contracts beyond March 31st 2013 they will automatically cease and we will have no choice but to close services and seek to find alternative services for individuals.
- 3.3 In order to re-let the services against the Framework and then manage the potential handover period that follows, it will not be possible to condense the process into a shorter time-frame then listed. We are recommending the

minimum extension periods we consider feasible to deliver the re-commissioning programme in its entirety, and have significantly condensed this programme in light of previous comments received.

- 3.4 In recommending this action officers are mindful of the impact on service users and the need to allow for TUPE transfer of staff where providers are to change. There is also a need to fit this work in around other planned commissioning activity. Where possible the Procurement Policy Imperatives will be incorporated into extensions but this will be subject to negotiation with the current provider.

4. ALTERNATIVE OPTIONS

- 4.1 As procurement via the Framework is considered to be the most cost effective and efficient method of procurement, no alternative options are being proposed.
- 4.2 There are no suitable alternatives that would enable all existing services to be re-contracted within the short timeframe available, so eliminating the requirement of any contract extensions beyond March 31st 2013.
- 4.3 There are significant risks both to service continuity and the impact on service users should we seek to further reduce the recommended timescales.

5. BACKGROUND

5.1 What Are Supporting People Services?

- 5.1.1 Supporting People services support vulnerable people to access and maintain settled accommodation. Tower Hamlets currently has **105** Supporting People services which can be categorised as follows:
- Hostels for the single homeless and rough sleepers with support needs including complex substance misuse;
 - Refuge accommodation and floating support services for women and children fleeing domestic violence;
 - Support staff or “wardens” in sheltered accommodation;
 - Floating support services for vulnerable people living in their own homes;
 - Supported accommodation and floating support for adults with learning or physical disabilities, or mental health issues.
 - Supported accommodation for young vulnerable homeless.

5.1.2 The 2012-13 budget allocation for these services is **£14m**, which funds **105** established contracted services with **23** different third sector Providers, many of whom are local to the Borough.

Providers	% of Budget
ASRA	0.1%
Coram Leaving Care	0.7%
East Living	6.8%
Epic Trust	1%
Gateway Housing Association	4%
Industrial Dwellings Society	0.1%
Livability	0.8%
Look Ahead	24%
Mencap	0.7%
Mercers	0.1%
Nacro	1.2%
Notting Hill Trust	0.1%
Outward	3.8%
Providence Row / Kipper	27.8%
Radicle	0.4%
Refuge	1.4%
Salvation Army	15.6%
Sanctuary	2.1%
Spitalfields Crypt Trust	0.1%
Genesis	4.6%
Together	0.4%
Toynbee	1%
Veterans Aid	1.2%

5.1.3 At any one time these services will be providing support to **2636** vulnerable people in supported housing and hostel schemes across the Borough; a significant number of whom we have a statutory obligation to provide a service. In addition, in the region of **523** number of vulnerable people will be making use of a floating support service to maintain their independence at home or to prevent an imminent eviction.

When considered over a period of time, the number of people who will benefit from one of these services is far greater. In the period 2011-2012 alone **4028** vulnerable people used one or more of these services to improve the quality of their lives.

5.2 Procuring Services from the Framework: Why a 2 year Programme?

Implementing the Procurement Policy Imperatives

The Framework Agreement was established in March 2012, prior to the recent development of the Procurement Policy Imperatives.

Whilst all Supporting People contracts continue to promote workforce diversity and equality of opportunity and are committed to paying the London Living Wage; we are interested in exploring opportunities to include specific community benefit clauses that encourage and create local employment and training opportunities.

This will require further exploration and time to enable us to introduce this into our Framework Contracts through the mini-tendering processes to inform service design and contract award.

The Strategic Context

Services provided within these contracts work across Council Directorates to support the delivery of a number of key Council Strategies, including:

- The Homeless Strategy
- The Housing Strategy
- Mental Health Accommodation Strategy

The Supporting People Commissioning Strategy 2011- 2016, agreed by Cabinet in April 2011, was originally designed to inform the commissioning of all Supporting People Services over this period. Whilst this Strategy will continue to form the basis of all commissioning decisions it has been necessary to undertake more detailed strategic work in a number of key areas. Commissioning Plans due to be presented to MAB/ Cabinet later this year will set out the proposed future direction and commissioning framework for services within these categories.

- The Learning Disabilities Accommodation Commissioning Plan;
- The Young Peoples Supported Accommodation Commissioning Plan;
- The Hostels Commissioning Plan

Priority for new contracts will be given to those services linked to these significant pieces of strategic work. We anticipate major reconfiguration, decommissioning and an intensive programme of change management across a number of high profile client group area's to deliver both efficiency and quality targets and improve the service user experience; and would therefore require political assent prior to commencement.

Understanding the separation of buildings and support services

As stated, this is the first time these support services have been subject to a competitive tendering process. In the main, the accommodation where people live and are supported has been developed and is owned by the Support Provider.

This Framework re-contracting process sets out an ambitious programme of separating the support provision from the provision of accommodation; in a great many cases service users will continue to reside in the property managed by their RSL but the support provider may change as a result of the commissioning process.

We are working with Support Providers and Landlords to establish their position regarding this process as there is a risk to the continuation of the service if we are not able to secure agreement to this approach with the partners concerned. This has to be carefully managed to ensure that all inherent risks are recognised and mitigated at the earliest opportunity; adding significant time pressures to the traditional re-tendering process.

Mini Tenders: TUPE and Service Transfers

Whilst a Framework Agreement is in place, we are in the main tendering existing services which we wish to continue. We therefore anticipate TUPE rights will apply to the current staffing teams.

This requires us to carefully manage the process of costing services via a mini tender competition that includes all current staffing costs. This together with the services being targeted at vulnerable people requires a longer lead in process to both manage the decision process itself and the subsequent handover of services where this takes place.

Capacity of Providers to respond to Tenders

It is important to note that any accelerated programme of commissioning may significantly impact on the capacity of suppliers to respond to the tendering processes.

We are generally working with a small group of suppliers who will need to submit bids, submit tender documentation and also manage the processes of significant handovers we anticipate taking place for multiple tendering processes within a confined period.

Delivering the Mental Health Accommodation Strategy

Under this mobilisation plan we have scheduled all Mental Health Services to be re-contracted at the end of the programme in year 2.

The recently agreed Mental Health Accommodation Strategy commits the Borough to significant change in the provision of accommodation options for people with mental health needs who require; registered care, supported accommodation or support in their own homes. These commitments will deliver both a significant enhancement in service user experience and the quality of services, but also substantial efficiency savings in the region of £900k over a three year period.

In order to implement the substantial change we require in the supported accommodation services, and to meet challenging efficiency and outcome targets, we consider it vital to maintain stability in this area for the next two year period.

We have worked with current Providers to implement significant efficiency and outcome targets which would be seriously compromised if we were to commence the re-tendering process prior to this date.

5.3 The mobilisation Plan for entering into new contracts: Letting all existing services against the Framework Agreement

5.3.1 The significant advantage of implementing a framework is that both new and existing services can be quickly re-contracted in line with formally identified strategic need. The Call-Off timetable will deliver:

- Economically advantageous services
- An increase in the quality of services for vulnerable people
- Outcomes identified by the key strategic drivers
- Identified efficiency targets

5.3.2 Whilst we have made steady progress in re-contracting this complex portfolio of services, significant delays in finalising the Framework mean it is not possible to re-contract all existing services within this timeframe.

The tables set out in appendix 2 illustrate how the remaining services will be re-let over the coming forthcoming two year period. The star marks the quarter in which the new contract will be awarded.

5.3.3 In recognition that Supporting People contracts were all inherited and therefore commenced at the same time; this approach both enables the Council to enter into new effective contracts as part of this process as well as establishing a more sustainable rolling programme of contract end dates for the future.

6. COMMENTS OF THE CHIEF FINANCIAL OFFICER

6.1 The current budget for the services/contracts affected by this series of procurements is £14m and there are efficiency targets of over £1m required to be delivered through the framework arrangements detailed in this report.

6.2 The contract extensions requested would allow for the procurement process to be managed effectively and ensure that maximum efficiencies can be delivered. For the reasons detailed in section 5.2 it is not possible to complete the re-commissioning process for all services earlier.

6.3 Bringing forward the procurement timelines could impact on the quality of service design as well as the level of efficiencies that could potentially be realised from this process.

- 6.4 The financial implications of the contract extensions are expected to be managed within current budget allocations with no negative impact on the level or timing of savings required by the MTFP.

7. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

- 7.1 The planned procurement for these services is to use a Framework Agreement. The relevant EU directive (2004/18/EC) defines a framework agreement as an agreement with suppliers, the purpose of which is to establish the terms governing contracts to be awarded during a given period (usually 4 years) , in particular with regard to price and quantity.
- 7.2 In the UK the term framework agreement is normally used to cover agreements which set out the terms and conditions for subsequent call-offs but place no obligations, in themselves, on the Council to buy anything. The benefit of this kind of agreement is that, because the Council is not tied to the agreement, it is free to use the framework when it provides value for money, but can scale expenditure up or down depending on its needs and the availability of finance. Also there is an efficiency saving as when work is called off the contract there is no need to complete a separate contract for each call off as the terms have been set as the framework was awarded.
- 7.3 The key to this type of framework is that it is a means of reducing procurement work because contracts can be awarded under framework agreements without the need to re-advertise and re-apply the selection and award criteria. The Council's interests are protected as the contractors' financial viability, health and safety policy, equalities policy, insurances and quality procedures have all been assessed as the framework was awarded.
- 7.4 Due to the circumstances detailed above it is not possible to achieve the call offs by the time that the current contractual arrangements expire. It is therefore proposed to extend the existing contracts for a defined period so that the market is not destabilised by calling off too many services in a short period of time.
- 7.5 Although most health and social care services are the non-priority services of limited cross border interest set out in Schedule 3 of the Public Contract Regulations 2006 and so not covered by the regulations the Council does need to take into account the EU principles of proportionality, mutual recognition, transparency, non-discrimination and equal treatment. In 1998 this was been interpreted by the European Court of Justice as requiring a "degree of advertising sufficient to enable the market to be opened up to competition".
- 7.6 In undertaking any procurement the Council should have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don't.

Information relevant to these considerations is set out in the report, particularly in section 8.

- 7.7 The Public Services (Social Values) Act 2012 came into force on 31 March 2013. Under this Act, the Council is required to consider how the services they commission and procure might improve the economic, social and environmental well-being of the area. It applies to all public services contracts and those public services contracts with only an element of goods or works. It doesn't apply to public work contracts or public supply (goods) contracts.
- 7.8 The Act requires the authority, at the start of a procurement, to consider if it should consult on the best way to achieve the improvement of the economic, social and environmental well-being of the area. It sits alongside other procurement laws but does not override them so care will need to be taken on the extent to which it can be adopted. Value for money remains the overriding factor that should determine all public sector procurement decisions. However, there is a growing understanding of how value for money is calculated, and how "the whole-life cycle requirements" can include social and economic requirements. The new legislation reinforces the best practice of what can already take place. In negotiating the terms of the extensions these duties can be fulfilled.
- 7.9 The Council has a duty of best value under section 3 of the Local Government Act 1999. By virtue of this duty it is required to ensure continuous improvement in all its dealings. For local authorities, under their duty to achieve best value they must already consider social, economic and environmental value. The Best Value Statutory Guidance has been updated to take account of the Act.
- 7.10 The extension of contracts beyond their termination date is not recommended as it is open to challenge for being anti-competitive. It also makes it more difficult to fulfil the new duties under the Public Services (Social Values) Act 2012. However the risk to the Council is mitigated by the fact that these are Part B services and so not subject to the full rigour of EU procurement regime. The Council could also argue that it does have a clearly articulated plan as to how the services are to be reprocured but it is very important that this plan is strictly adhered to and there is no further slippage.

8. ONE TOWER HAMLETS CONSIDERATIONS

- 8.1 The recipients of supported housing services are among the most vulnerable members of the community and are provided with a high standard of accommodation and person centred support. Ability to meet the needs of the diverse community of Tower Hamlets effectively was a key criterion in the evaluation of the tenders; all suppliers selected for inclusion onto the Framework demonstrated understanding and experience of providing support to all service users of Tower Hamlets.

- 8.2 Due regard is given to remove or minimise disadvantages suffered by people due to their protected characteristics through promotion of services in different formats and languages.
- 8.3 Steps are taken to meet the needs of people from protected groups where these are different from the needs of other people. The Service ensures that it offers a range of services to meet the needs of a wide range of clients ranging from those with learning disabilities, physical disabilities and long term conditions such as living with HIV/AIDS. Special focus is given to providing services to the diverse faith and ethnic communities in Tower Hamlets through culturally appropriate best practice, a diverse workforce reflecting the community they service and a range of language skills.
- 8.4 The Council seeks to encourage people from protected groups to participate in public life or in other activities where their participation is disproportionately low through volunteering, and engagement in shaping services and decision that affect their own lives, such as involvement in user groups and steering groups.
- 8.5 All services will be required to implement London Living Wage as part of the re-contracting process.

9. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 9.1 The design, construction and running of any new facilities will follow best practice and the Council's Environmental Strategy.
- 9.2 The project will seek to deliver buildings which maximise energy efficiency and innovative design which could unlock additional Housing Corporation funding and follow the London Development Agency "Sustainable Development Guide: Implementing Sustainable Design & Construction". Work will be undertaken with planning an urban design on detailed planning briefs for each site to incorporate these aspects.

10. RISK MANAGEMENT IMPLICATIONS

As stated should the mobilisation plan not be agreed and the contracts currently scheduled to end on 31st March not be extended, this presents a significant risk to the Borough. The contracts for X number of services will cease, the services will have to close and we will lose x number of supported accommodation units. The Borough will have to address the immediate housing and support needs of 2256 vulnerable service users who currently live in this range of high to low supported accommodation and hostel provision.

The call-off timetable will not be achievable if the identified contracts are not extended.

11. CRIME AND DISORDER REDUCTION IMPLICATIONS

Supporting People services and their commissioning will play a vital role in this area. In developing a Hostels Commissioning Plan which will inform the tendering of hostel services, we are keen to establish minimum standards for these services to reduce crime and disorder issues often associated with this complex client group.

12. EFFICIENCY STATEMENT

- 12.1 The framework tender process was explicitly designed to ensure that potential suppliers could tangibly demonstrate both efficiency and value for money in each client group area applied for.
- 12.2 The Framework Agreement will significantly increase the range and quality of services, whilst having the added benefit of reducing current high cost services.
- 12.3 The Framework mobilisation or re-letting of the contracts will make a significant contribution to the Council's overall efficiency targets. The Supporting People Programme has to date delivered significant efficiency savings in the region of £1.2m and will continue to deliver further savings as the programme is implemented over the next two year period.

13. APPENDICES

The Appendices are exempt/restricted as they contain information falling within paragraphs 2, 3 and 4 of Schedule 12A of the Local Government Act 1972. The relevant categories are:

3) Information relating to the financial or business of any particular person (including the authority handling the information)

Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2012

Brief description of "background papers"	Name and telephone number of holder and address where open to inspection.
--	---

None

NA

Agenda Item 10.1

Committee/Meeting:	Date:	Classification:	Report No:
Cabinet	13/03/13	Unrestricted	CAB 88/123
Report of: Corporate Director Resources		Title: Strategic Performance and Corporate Revenue and Capital Budget Monitoring Q3 2012/13 (Month 9)	
Originating officer(s) Alan Finch, Service Head Financial Services, Risk & Accountability Louise Russell, Service Head Corporate Strategy and Equality		Wards Affected: All	
Community Plan Theme	All		
Strategic Priority	All		

1. **SUMMARY**

1.1 This monitoring report details the financial position of the Council at the end of Quarter 3 compared to budget, and service performance against targets. This includes year-end projection updates for the:

- General Fund Revenue and Housing Revenue Account;
- Capital Programme; together with
- An overview of performance for all of the reportable strategic measures.

1.2 This report will be considered by Overview & Scrutiny on 12th March.

1.3 Finance Overview

1.3.1 General Fund

As at the end of December 2012, Directorates forecast an overspend of £0.482m for the year end on an overall net budget of £292m. This is the same as the position reported at the end of quarter 2 and has therefore been taken into account within the budget reports/ medium term financial plan.

1.3.2 HRA

The HRA is projecting an overall underspend of £1.1m. Further information on this is provided both in Section 3 and Appendix 3 of this report.

1.3.3 Capital Programme

Directorates have spent 52% of their capital budgets for the year (£94.6m against budgets of £181.5m). Programme slippage of £21.5m is currently being projected, due in the main part to delays in negotiation of repurchase of leasehold properties in Blackwall Reach and planning permission is being

sought for development of St.Clements hospital site, the costs of which will instead be incurred in future years. Further information is provided in section 4 of the report and Appendix 4.

1.4 Strategic Measures

1.4.1 The strategic measures set enables the Council to monitor progress against our priorities. Of the 31 measures reportable this quarter (including subset of measures), 9 (29%) are at or above the standard target (lower bandwidth), with 11 (35.5%) meeting or exceeding the stretched target (GREEN).

1.4.2 Detailed monitoring information for the strategic measures is contained in the report and Appendix 5.

1.5 Appendices

More detailed performance and financial information is contained in the following report appendices:

- Appendix 1 - lists budget/target adjustments (including virements) for the General Fund and for the capital budget.
- Appendix 2 - provides the budget outturn forecast by Directorate and explanations of any major variances.
- Appendix 3 - provides the budget outturn forecast and explanations of major variances for the HRA.
- Appendix 4 – provides details of the capital programme and explanations of any major variances.
- Appendix 5 - provides an overview of performance for all of the reportable strategic measures.

2. **DECISIONS REQUIRED**

The Mayor in Cabinet is recommended to:-

2.1. Review and note the Quarter 3 2012/13 performance; and

2.2. Note the Council's financial position as detailed in sections 3 and 4 and Appendices 1-4 of this report.

3. **REVENUE**

3.1 The following table summarises the current expected outturn position for the General Fund.

SUMMARY	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Forecast Outturn £'000	Variance £'000
Adults Health and Wellbeing	100,854	68,526	68,319	(207)	100,854	0
Children, Schools and Families	81,513	61,107	84,414	23,307	80,995	(518)
<u>SUBTOTAL</u>						
Education, Social Care and Wellbeing	182,367	129,633	152,733	23,100	181,849	(518)
Chief Executive	9,547	7,163	7,010	(153)	9,547	0
Communities, Localities and Culture	79,026	49,649	51,893	2,244	79,026	0
Development and Renewal	20,240	15,180	12,518	(2,662)	20,240	0
Resources	11,810	8,856	9,408	552	12,810	1,000
Corporate Costs / Capital Financing	(10,724)	7,969	14,083	6,114	(10,724)	0
Total	292,266	218,450	247,645	29,195	292,748	482

3.2 Year-to-date variances are explained in the detailed budget analysis in Appendix 2.

3.3 Adults, Health and Wellbeing **NIL**

The directorate continues to forecast a breakeven position for the financial year 2012/13. This includes the use of budget contingencies to offset slippage in savings relating to Domiciliary Care Commissioning and In-House Home Care, which have been agreed for one-year only by the Lead-Member for Resources.

3.4 Children, Schools and Families **£0.518m Underspend**

Overall, the CSF budget is expected to break-even with the exception of the Mayor's Educational Allowance where originally estimated rates of claims and eligibility have proven to be too high, with the experience of the first full academic year of the initiative. The projected underspend on this activity for 2012/13 financial year is £0.518m.

3.5 Chief Executive **NIL**

A breakeven position is forecast for the financial year.

- 3.6 **Communities, Localities & Culture** **NIL**
A breakeven position is forecast for the financial year.
- 3.7 **Development and Renewal** **NIL**
A breakeven position is forecast for the financial year.
- 3.8 **Resources** **£1 million Reduced Income**
Housing Benefit subsidy has reduced since the start of the financial year because the introduction of new systems has improved the DWP's performance in identifying benefit recipients coming out of benefit. The knock-on effect of this is that overpayments have reduced and the Authority consequently no longer receives housing benefit subsidy at the same level. Over the course of a year, this is expected to cost an additional £1 million.
- In addition, the audit of grant claims reduced the value of the Council Tax Benefit claim for 2011/12 by £826,000 (0.3%). The underspend position at the end of 2011/12 was therefore inflated by this amount which will now need to be taken into account during 2012/13 and may need to be funded from General Reserves at the end of the financial year
- 3.9 **Corporate Costs & Capital Financing** **NIL**
A breakeven position is forecast for the financial year. Spend to date variance is due to items such as depreciation, severance payments and minimum revenue provision being processed at year-end.
- 3.10 **Projected General Fund Overspend**
The net projected overspend of £482,000 represents a 0.2% variance on total budget. Officers are required by standing orders to seek to contain costs within available budgets. Any overspend that exists at the year-end will need to be met in the first instance from budget contingencies.
- 3.11 **Housing Revenue Account (HRA)** **£1.1m Underspend**
The overall projected HRA underspend relates primarily to; a projected underspend of £0.4m on the energy budget (the 2012/13 budget anticipated that gas & electricity prices would increase by 30%, whereas in actual fact the increases will be substantially lower than that), and anticipated one-off income of approximately £0.5m in respect of the recovery of costs incurred by the council as part of a number of stock transfers carried out a few years ago. A detailed analysis of the HRA is attached as Appendix 3.

3.12 Income Collection Performance Targets

Details of income collection during 2012/13 are shown below.

Income Stream	Collected in 2011/12 %	2012/13 Target to 31.12.12 %	2012/13 Collected to 31.12.12 %	Direction of Travel
Business Rates	99.40	73.49	88.40	↑
Central Income	93.00	88.00	83.00	↓
Council Tax	95.40	71.30	70.88	↓
Housing Rents	99.61	99.60	99.78	↑
Penalty Charges Notice (Parking Control)	61.09	60.00	63.71	↑
Service Charges	£12.850m (102%)	£9.95m	£9.574m (96.2%)	↓

The central income collection is slightly below target but expected to recover in January.

Council tax collection is marginally behind target and is down on the same period last year following reductions in benefit, however the increase in the council tax base means a higher volume of income is being collected.

4. **CAPITAL**

- 4.1 The capital budget now totals £181.5m, compared to £192.8m in previous quarter. The main reason for the decrease in this budget is the re-profiling of Decent Homes backlog programme, Building Schools for the Future and Corporate General Fund provision for schemes under development.
- 4.2 Details of all the changes to the capital budget are set out in Appendix 1.
- 4.3 Total capital expenditure to the end of Quarter 3 represented 52% of the revised capital programme budget for 2012/13 as follows:

	Annual Budget as at 31-Dec-12	Spent to 31-Dec-12	% Budget Spent
	£m	£m	%
TOTALS BY DIRECTORATE:			
Communities, Localities and Culture	13.007	7.038	54.1%
Children, Schools and Families	17.029	9.859	57.9%
Resources	0.128	0.000	0.0%
Adults, Health and Wellbeing	0.242	0.063	26.0%
Development and Renewal	20.429	1.867	9.1%
Building Schools for the Future (BSF)	73.009	54.459	74.6%
Housing Revenue Account (HRA)	57.658	21.279	36.9%
Corporate GF provision for schemes under development	0.000	0.000	0.0%
GRAND TOTAL	181.502	94.565	52.1%

This compares with 62.8% at the same stage last year.

4.4 Projected capital expenditure for 2012/13 compared to budget is as follows:

	Annual Budget as at 31-Dec-12	Projection 31-Mar-13	Forecast Variance
	£m	£m	£m
Communities, Localities and Culture	13.007	11.630	-1.377
Children, Schools and Families	17.029	14.983	-2.046
Resources	0.128	0.000	-0.128
Adults, Health and Wellbeing	0.242	0.202	-0.040
Development and Renewal	20.429	11.325	-9.104
Building Schools for the Future (BSF)	73.009	73.009	0.000
Housing Revenue Account (HRA)	57.658	48.849	-8.809
Corporate GF provision for schemes under development	0.000	0.000	0.000
GRAND TOTAL	181.502	159.998	-21.504

Programme slippage of £21.5m is currently being projected, due in the main part to delays in negotiations of re-purchase of leasehold properties in Blackwall Reach area which is currently taking place and partners for development of St.Clements Hospital site has now been procured however, planning permission is still being sought, the costs of which will instead be incurred in future years. Potential schemes are being evaluated for Affordable Housing programme to utilise current slippage which will be considered for February 2013 cabinet.

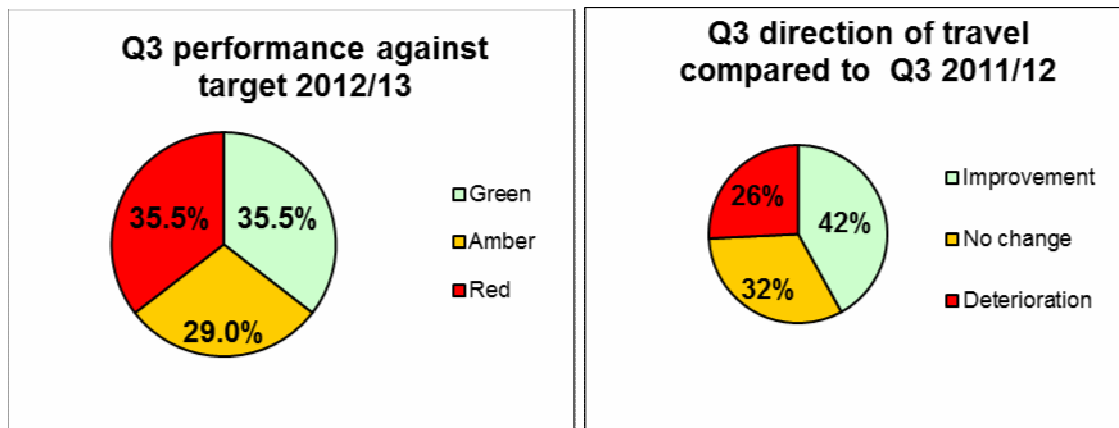
4.5 The total approved budget, taking into account the whole life of all capital schemes, is currently £793.6m against which spend of £762m is forecast resulting in a total underspend variance of £31.6m. The main reason for this underspend is that a £30m that was set aside in the budget for new General Fund schemes has not been allocated although £25m for this is earmarked to Poplar Baths/Dame Colet House schemes.

	All year budget as at 31-Dec-12	Projection 30-Dec-12	Variance
	£m	£m	£m
Communities, Localities and Culture	62.528	62.529	0.001
Children, Schools and Families Resources	92.544	92.546	0.002
Adults, Health and Wellbeing	2.236	2.236	0.000
Development and Renewal	0.840	0.840	0.000
Building Schools for the Future (BSF)	34.505	34.402	-0.103
Housing Revenue Account (HRA)	325.889	325.890	0.001
Corporate GF provision for schemes under development	245.008	243.508	-1.500
	30.000	0.000	-30.000
GRAND TOTAL	793.550	761.951	-31.599

5. STRATEGIC PERFORMANCE MEASURES

- 5.1 The strategic measures enable the Council to monitor progress against its priorities outlined in the Strategic Plan. The strategic measures set reflect the Council's continued commitment to set itself stretching targets. It is reviewed on an annual basis as part of the refresh of the Strategic Plan to ensure that it remains fit for purpose. Where necessary, there will also be in-year reviews of the measures.
- 5.2 Appendix 5 illustrates the latest performance against our strategic measures. Performance against the current stretching target is measured as either 'Red', 'Amber' or 'Green' (RAG). Should performance fall below the standard target – indicated as the dotted red line, it is marked as 'Red'. Should it be at or better than the standard target, but below the stretched target – indicated as the solid green line, it is 'Amber'. Where performance is at or better than the stretched target, it is 'Green'. Performance is also measured against the equivalent quarter for the previous year, as a 'direction of travel'. Where performance is deteriorating compared to the same time last year, it is indicated as a downward arrow ↓, if there is no change (or less than 5% change) it is neutral ↔, and where performance has improved compared to the previous year, it is indicated as an upward arrow ↑.
- 5.3 The number of strategic measures available for reporting fluctuates between periods due to the different reporting frequencies of the measures. Of the 47 measures in the strategic set, including subset of measures, 31 are reportable this quarter. Of these
- 11 (35.5%) are meeting or exceeding their stretch target (Green), with 9 of these an improvement from last year (↑);

- 9 (29%) are above the standard target but below the stretch target (Amber), with 3 of these improving (↑) and 1 deteriorating (↓) compared to last year's performance; and
- 11 (35.5%) are below the standard target (Red), with performance remaining unchanged for 4 measures and deteriorating for 6 measures (↓).



Performance Summary

- 5.4 The following sections detail our performance under three key headings:
- High performing areas;
 - Areas of improvement; and
 - High risk areas

5.5 High Performing Areas

The following measures exceeded their stretch targets.

Homelessness prevention through casework intervention

This outturn is the latest available and relates to September (Q2) rather than December. The outturn for Quarter 2 is above the stretch target, although there has been a slight reduction in performance compared to the same period last year. Due to a data collection time lag, the Q3 outturn will be available in late February.

Street cleanliness – litter

The outturn for this quarter is better than the stretch target. Litter levels remain very low. The outturn represents a significant improvement when compared to the same quarter in 2011/12.

Street cleanliness – detritus

The outturn for this quarter is better than the stretch target. The outturn represents an improvement when compared to the same quarter in 2011/12.

Achievement at level 4 or above in both English and Maths at Key Stage 2

The final result for achievement at level 4 or above in both English and Maths at Key Stage 2 in 2012/13 (academic year 2011/12) is 82%. This exceeds the target and is a significant improvement from the previous year. Tower Hamlets is above the national average of 80%.

Overall Employment Rate – Gap between the borough and London average rate

The latest employment figures relate to the period ending September 2012, and show a gap of 6.6 percentage points (pp) between the borough's employment rate and the London average. This is a further reduction of 1pp since the last reported period. Whilst the employment rate for TH improved by 1.5pp, the corresponding increase in the London average was only 0.6pp.

It could be suggested that employment initiatives and activities, including the Olympic Games time jobs, are a contributing factor for this larger increase in employment rate for Tower Hamlets. When comparing the employment rate to previous years since 2004, the current employment rate of 62.0% is the highest that it's been for the borough.

In addition to this, a recent study by Local Futures (in conjunction with the Municipal Journal) concluded that in relation to economic performance, Tower Hamlets is the top performing borough across the country in terms of our attraction to inward investors and businesses considering location. This rating considered several key measures concerning productivity, knowledge-driven businesses, business and enterprise, economic scale and growth in business stock.

JSA Claimant Rate – Gap between the borough and London average rate

Over the last year Tower Hamlets has performed well and exceeded the stretch target of a 2.0pp gap with London. The last four quarter updates show a steady positive trend in narrowing the gap. In December 2011, the JSA rate for the borough was 5.9%; in December 2012 the outturn is 5.6%. It is useful to look at the quarter updates against the same period from the year before as this will take into account seasonal adjustments. In terms of the number of claimants, there has been a total reduction of 529 JSA claimants from December 2011 to December 2012.

Crime - rate of residential burglary

This measure is on target and should remain so until the end of the current financial year.

Crime - rate of motor vehicle crime incident

This measure is on target and should remain so until the end of the current financial year.

Smoking cessation

This outturn is the latest available and relates to September (Q2) rather than December. The quarter 2 outturn (cumulative) far exceeds the stretch target and the standard target. Tower Hamlets continues to perform well and benchmarking data places us as the best performing London borough on this measure.

Carers receiving needs assessment or review and a specific carer's service, or advice and information

34% of carers received a needs assessment, review or carer's service in Quarter 3, above the target. This figure is provisional and finalised data will be available in February 2013.

5.6 Areas of Improvement

In addition to the high performing measures, three measures have also improved compared to last year.

Workforce to Reflect the Community - Percentage of senior staff that have a disability

Performance remains under target but has increased compared to last quarter. It is expected that in time, the outputs of the Navigate programme will help to continue improved performance against this indicator.

Work is on-going to develop action plans within directorates to improve performance. However, it is to be noted that reduced vacancies at this level will impact on performance.

Achievement of at least 78 points across the Early Years Foundation Stage with at least 6 in each of the scales in Personal Social and Emotional Development and Communication, Language and Literacy

The final results show that 55% of children achieved at least 78 points across the Early Years Foundation Stage, with at least 6 in each of the scales in Personal Social and Emotional Development and Communication, Language and Literacy. This is an improvement when compared to last year's outturn of 49.9% but falls short of the 60% stretch target.

Social care clients and carers in receipt of Self Directed Support

51.3% of social care clients are in receipt of self-directed support, as at Quarter 3. This figure is provisional and final data will be available in February 2013. Current interim performance is lower than the local quarterly target (58.6%) by 7.3 percentage points. Performance is showing an improvement trend and is far better than Quarter 1 (39.8%) and Quarter 2 (43.5%). A robust action plan is in place to help ensure that the annual target of 70% is achieved.

CAD calls for ASB

The Q3 outturn is slightly above the stretch target but substantially better than the standard target. This is a new indicator for 2012/13 and further commentary will be provided shortly.

5.7 High Risk Areas

As part of the monitoring of our performance each quarter, analysis is undertaken to identify those measures at risk of not achieving their annual targets. This includes measures that are below their standard target and have deteriorated since the corresponding quarter for the previous year. This quarter, the following measures have been identified as high risk, with commentary provided below.

Number of affordable homes delivered

Three schemes have been completed this quarter providing a total of 44 units. A number of other schemes due in Quarter 3 have now slipped to Quarter 4. Performance is therefore below the quarter's targets but the overall annual forecast remains at 580 for the year, which is 97% of the standard target of 600 units.

Major housing schemes take a number of months or years to complete and it is difficult to predict in exactly which month they will be completed. Nonetheless, we are confident that Tower Hamlets will remain a top performer nationally for this measure and we will deliver the Mayor's target of 4,000 affordable homes. Work is on-going with Registered Partners to ensure that issues are dealt with in a timely manner so that all schemes complete on time.

Number of social rented housing completion for family homes (gross)

In line with the decline in overall affordable homes delivered, this measure is also below the quarterly target. This is due to reprofiling of schemes; some schemes were in fact delivered early and fell into 2011/12 and others have been delayed into 2013/14. The Council is continuing to work with its partners to ensure that, where possible, all schemes complete on time. We are confident that Tower Hamlets will remain a top performer nationally for this measure.

Street cleanliness – graffiti

The outturn for this quarter is off- target. Three of the wards which were surveyed are known hotspots for graffiti and this is reflected in the elevated score. The majority of the graffiti was found on private property. Graffiti was high in the Spitalfields and Banglatown area which attracts international graffiti artists and there are a number of graffiti tours which are having a negative impact in the area. The Streetcare Team is meeting with Town Centre Police Teams to flag graffiti related criminal damage with an aim to increase profile and enforcement.

Street cleanliness – fly-posting

The outturn for this quarter is above target and higher than expected. An accumulation of stickers advertising shutter companies in Bow East ward increased the outturn – these stickers, usually stuck on newly installed or repaired shutters, advertise the services of the shutter company. Although they are small, these stickers are still classified as fly-posting as they are considered unlawful advertising. Fly-posting and unlawful advertising found on private property have impacted negatively on performance. Enforcement action by Streetcare Officers is being increased in hotspot areas to bring down the level of fly-posting.

16 to 19 year olds who are not in education, employment or training (NEET)

The outturn for this quarter is below target. It is normal for NEET figures to vary from month to month and the target of 4.5% is most applicable to the end of year value.

There has been an overall decline in performance across the whole of the East London Partnership (Barking & Dagenham, Bexley, Greenwich, Havering, Lewisham, Newham, Redbridge, and Tower Hamlets).

The calculation for the measure has changed, and now includes a larger cohort of young people. As this is the first year on the new count, the target may have been too ambitious but we will have a fuller picture once January figures are confirmed.

Out of the 629 currently classified as unknown 407 of these come in the category 'Cannot be contacted'. This means that the phone number they previously had is no longer valid and they are not at the address we had for them on the system. When these clients are visited at the address where they used to be unless we can confirm their new address with a neighbour or the

current occupant they remain on our register and cannot be classified as 'moved away' as previously. We are in touch with social landlords in the borough to see if they have a forwarding address for these clients. Under the standard formula a certain percentage of the unknown are added to the NEET figure and raise the NEET percentage.

The Youth Connexions Service is delivering a targeted programme for encouraging NEET youths to engage with Positive Activities for Young People (PAYP) which is aimed at reducing NEET levels in the borough.

Crime - rate of violence with injury

Although performance against this measure is the same when compared to the same quarter in 2011/12, it has been identified as a risk. The cumulative outturn for Q3 is off-target. However, when looking at just Q3, performance has improved and the Q3 outturn (2.07) is better than the stretch target for that period (2.1).

Although the violent crime rate has gone up, particularly in the area of Domestic Violence, this is due to changes to the method of recording Domestic Violence incidents rather than its occurrence as the number of people calling in regarding Domestic Violence has not increased.

The Council is committed to increasing the reporting of incidents of domestic abuse and the DV Team currently facilitate 3 weekly drop-in surgeries in partnership with other agencies in order to offer support to all victims of domestic abuse. The current arrest rate for domestic violence offences is 85.4%, that is, 85.4% of all reported domestic violence incidents lead to an arrest. This is a 2.3 percentage point increase compared to the same period in the previous year and Tower Hamlets is the 3rd best performing borough in London.

Two thirds of violent crime occurred in public spaces. Joint work is taking place between the Police and the THEOs in Brick Lane and Whitechapel. This area has the second largest night-time economy in London, after Westminster, and is a major ASB hotspot. In addition, the Police are doubling the town centre team in that area from 20 to 40. The THEOs are now working later hours in order to provide a response service to residents' concerns around ASB issues and provide more visible patrolling on estates. This allows the Police to concentrate activities in hot-spot locations and on any peaks in disorder, helping to reduce incidents of crime and disorder including those that may involve violence.

The Police have established a partnership Gang Unit, as part of the Council funded Partnership Taskforce, to address gang and serious youth violence.

6. COMMENTS OF THE CHIEF FINANCIAL OFFICER

- 6.1 Under Financial Regulations it is the responsibility of senior managers to spend within budgets and, where necessary, management actions will need to be taken over the remainder of the financial year to avoid overspend.
- 6.2 Any overspend we incur at the end of 2012/13, or at any time over the forthcoming period, will risk the financial position and would increase the savings targets required to meet funding cuts, with a potential impact on front-line services. The projected figures at this stage do not indicate that this is a significant risk.

7. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

- 7.1 The report provides performance information, including by reference to key performance indicators and the budget. It is consistent with good administration for the Council to consider monitoring information in relation to plans and budgets that it has adopted.
- 7.2 Section 3 of the Local Government Act 1999 requires the Council as a best value authority to “make arrangements to secure continuous improvement in the way in which its functions are exercised, having regard to a combination of economy, efficiency and effectiveness”. Monitoring of performance information is an important way in which that obligation can be fulfilled.
- 7.3 The Council is required by section 151 of the Local Government Act 1972 to make arrangements for the proper administration of its financial affairs. The Council’s chief finance officer has established financial procedures to ensure the Council’s proper financial administration. These include procedures for budgetary control. It is consistent with these arrangements for Members to receive information about the revenue and capital budgets as set out in the report.
- 7.4 When considering its performance, the Council must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don’t. Relevant information is set out in section 8 of the report and officers must consider the need for equality analysis when carrying out any action in discharge of the Council’s functions.

8. ONE TOWER HAMLETS CONSIDERATIONS

- 8.1 The Council's Strategic Plan and strategic measures are focused upon meeting the needs of the diverse communities living in Tower Hamlets and supporting delivery of One Tower Hamlets. In particular, strategic priorities include the reduction of inequalities and the fostering of strong community cohesion and are measured by a variety of strategic indicators.

9. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 9.1 An element of the monitoring report deals with environment, through the Great Place to Live theme.

10. RISK MANAGEMENT IMPLICATIONS

- 10.1 In line with the Council's risk management strategy, the information contained within the strategic measure set will assist the Cabinet, Corporate Directors and relevant service managers in delivering the ambitious targets set out in the Strategic Plan. Regular monitoring reports will enable Members and Corporate Directors to keep progress under regular review.
- 10.2 There is a risk to the integrity of the authority's finances if an imbalance occurs between resources and needs. This is mitigated by regular monitoring and, where appropriate, corrective action. This report provides a corporate overview to supplement more frequent monitoring that takes place at detailed level.
- 10.3 The explanations provided by the Directorates for the budget variances also contain analyses of risk factors.

11. CRIME AND DISORDER REDUCTION IMPLICATIONS

- 11.1 The strategic measure set contains a number of crime and disorder items under the Safe & Cohesive theme, however there are no specific crime and disorder reduction implications.

12. EFFICIENCY STATEMENT

- 12.1 Efficiencies for 2012/13 are incorporated within the estimated forecast outturn.

13. APPENDICES

- Appendix 1 - lists budget/target adjustments (including virements) for the General Fund and for the capital budget
- Appendix 2 - provides the estimate budget outturn forecast by Directorate for the General Fund and explanations of any major variances.

- Appendix 3 - provides the budget outturn forecast and explanations of major variances for the HRA.
- Appendix 4 – provides details of the capital programme and explanations of any major variances
- Appendix 5 – provides an overview of performance for the reportable strategic measures.

Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2012

List of “Background Papers” used in the preparation of this report

No “background papers” were used in writing this report

CONTROL BUDGET 2012-13									
	Total General Fund	Adults, Health and Wellbeing	Children Schools and Families	Communities, Localities and Culture	Development and Renewal	Chief Executive's	Resources	Corporate/ Capital	Central Items
	292,265,595	98,224,219	89,830,451	68,442,875	20,210,279	8,810,700	8,748,968	13,459,542	(15,461,439)
Inflation	0			1,025,139					(1,025,139)
Allocation of approved Growth - Freedom Passes	0			600,000					(600,000)
Allocation of approved Growth - Landfill Tax	0			871,000					(871,000)
Future Sourcing - Consolidation of IT budgets	0	(168,000)	(560,443)	(445,380)	(253,000)	(143,200)	2,297,299	(727,276)	
Use of Reserves - Graduate Management Scheme	0						480,800		(480,800)
ICT Budget Adjustment	0						260,000	(260,000)	
Use of Reserves - Corporate Initiatives	0					230,000			(230,000)
Facilities Management Salary Budgets	0	(122,000)			122,000				(100,000)
Use of Reserves- Corporate Initiatives	0					100,000			
Transfer of Finance staff from CSF to CLC	0		4,900	(4,900)					
Transfer of Finance staff from CSF to CLC	0		(21,100)	21,100					
CLC use of Reserves- Area Based Grant- Safer Stronger Communities	0			72,000					(72,000)
CLC use of Reserves- Education FEFC Access	0			123,332					(123,332)
CLC use of Reserves- Boishaki Mela	0			133,000					(133,000)
CLC use of Reserves- LAP Menus- Community Bus	0			48,000					(48,000)
CLC use of Reserves- Big Lottery Play	0			95,133					(95,133)
CLC use of Reserves- LSC Core funding- Lifelong Service	0			96,293					(96,293)
CLC use of Reserves- Safer Stronger Communities	0			63,390				(1,355,000)	(63,390)
CLC use of Contingency- Northumberland Wharf	0			1,355,000					
CHE use of Reserves- One Tower Hamlets	0					92,000			(92,000)
RES Use of Reserves- Procurement	0						373,000		(373,000)
RES Reversal of saving	0							(80,000)	
Stream Grants (MSG) top-slice	0	(23,000)	(87,000)	(28,000)	138,000				
Order People with Dementia & Learning Disability Growth	0	1,213,000							(1,213,000)
Respite	0	491,000						(491,000)	
Respite Homecare Slippage	0	650,000						(650,000)	
Transfer of Youth and Connexions Services	0		(5,542,732)	5,542,732					
Transfer of Community Languages	0		(786,210)	786,210					
CHE use of Reserves- Corporate Initiatives Reserve	0					100,000			(100,000)
ADU RES Telecare Budget Adjustment	0	547,398					(407,398)	(140,000)	
Whitechapel Street Lighting	0			66,000				(66,000)	
RES Use of Reserves- Mayor's Letter	0						50,000		(50,000)
CHE Use of Reserves- Mayor's Office	0					277,000			(277,000)
D&R Use of Reserves - Mayor's Community Events	0				100,000				(100,000)
ICT Baseline Adjustment	0			(7,800)					
Pre-valuation Depreciation Adjustment	0	41,430	(1,357,960)	171,220	(78,710)			1,224,020	
CHI Use of Reserves-Langdon Park School	0		33,295						(33,295)
	0								
	0								
	0								
	0								
	0								
Total Adjustments	0	2,629,828	(8,317,250)	10,583,469	28,290	735,800	3,061,501	(2,545,256)	(6,176,382)
Revised Current Budget 2012-13	292,265,595	100,854,047	81,513,201	79,026,344	20,238,569	9,546,500	11,810,469	10,914,286	(21,637,821)

Capital Control Budget 2012/13		Total Capital Budget	Adults, Health and Wellbeing	Building Schools For the Future	Chief Executive's/R esources	Children Schools and Families	Communities, Localities and Culture	Corporate	Development and Renewal	Housing Revenue Account
2012-13 Original Budget at February 2012 Cabinet		185,366,156	345,000	68,776,961	0	29,394,000	6,195,000	10,000,000	10,279,195	60,376,000
Q1 - Total Adjustments		994,575	56,726	(3,532,897)	127,873	(12,974,421)	7,821,936	0	3,439,805	6,055,553
Q1 - Budget		186,360,731	401,726	65,244,064	127,873	16,419,579	14,016,936	10,000,000	13,719,000	66,431,553
Q2 - Total Adjustments		6,405,888	0	0	0	285,000	(1,269,112)	0	7,390,000	0
Q2 - Budget		192,766,619	401,726	65,244,064	127,873	16,704,579	12,747,824	10,000,000	21,109,000	66,431,553
Cabinet Approvals										
CSF Capital Programme - PDC Conversion (Cabinet 05/09/12)		1,500,000								
CSF Capital Programme - Woolmore Primary School (Cabinet 05/09/12)		750,000								
Budgets Re-profiled*										
funds		(256,000)					(256,000)			
CLC Capital Programme - Fairfield Road/Tredegar Road Signals - as above		(248,000)					(248,000)			
CSF Capital Programme - Cavley Expansion - re-profiled to reflect spend in year		(1,565,000)				(1,565,000)				
CSF Capital Programme - Culloden Expansion - project complete, so re-profiled to 2012/13		100,000				100,000				
CSF Capital Programme - St Luke's Expansion - project complete, so re-profiled to 2012/13		100,000				100,000				
CSF Capital Programme - Woolmore Primary School Expansion - due to delays		(250,000)				(250,000)				
CSF Capital Programme - Refurbishment of Bethnal Green Centre - issues with tenants		(250,000)				(250,000)				
CSF Capital Programme - Blue Gate Fields Jnr & Inf - planning and power network delays		(100,000)				(100,000)				
HRA Capital Programme - Decent Homes Backlog - change in procurement process		(8,774,000)				(8,774,000)				(8,774,000)
HRA Capital Programme - Learning Dis. Hub - delay in recomm. process for LD Day		(160,000)	(160,000)							
HRA Capital Programme - High Street 2012 - Works to be carried out by East Thames		(680,000)								
Corporate GF provision for schemes under development - re-profiled to future years		(10,000,000)						(10,000,000)		
Building Schools for the Future - Budget brought forward due to increased activity in 2012/13		7,765,000		7,765,000						
Decisions Delegated to Corporate Directors**										
CLC Capital Programme - Legible London - Map based wayfinding systems		19,700								19,700
CLC Capital Programme - Banglatown Art Trail & Arches - completion of works		25,000								25,000
CLC Capital Programme - Mile End Park - completion of works		33,000								33,000
CLC Capital Programme - Crown Close Link - cycle and pedestrian improvements		200,000								200,000
CLC Capital Programme - Monier Road - cycle and pedestrian improvements		35,000								35,000
CLC Capital Programme - Dace Road - cycle and pedestrian improvements		25,000								25,000
CLC Capital Programme - Cycle Parking Fund Project - cycle parking for estates and shops		98,000								98,000
CLC Capital Programme - St Paul's Way - Installing vehicle active speed signs (VAS)		250,000								250,000
CLC Capital Programme - Bus Stop Works - drop kerbs, paved surfaces, upgrading shelters		117,417								117,417
CSF Capital Programme - Special needs adaptations at Mulberry School		32,000								32,000
Other Approvals/Adjustments										
CLC Capital Programme - Hackney Wick & Fish Island Improvements - reduced cost of works		(40,000)								(40,000)
CSF Capital Programme - Physical access for Staff / Pupils with disability - budget correction		8,000								8,000
Q3 - Total Adjustments		(11,264,883)	(160,000)	7,765,000	0	325,000	259,117	(10,000,000)	(680,000)	(8,774,000)
Total Revised Budget 2012-13		181,501,736	241,726	73,009,064	127,873	17,029,579	13,006,941	0	20,429,000	57,657,553

* This involves changes to the timing of spending not the purpose
 ** For items exceeding £100k and not exceeding £250k, see relevant noting report to cabinet

CORPORATE MONTHLY BUDGET MONITORING - December 2012

	FULL YEAR							
	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	(Latest Budget to Latest Forecast Outturn) £'000
ADULTS HEALTH & WELLBEING								
Expenditure	112,906	115,927	81,353	80,996	(357)	118,217	115,981	54
Income	(14,682)	(15,073)	(12,827)	(12,677)	150	(17,404)	(15,127)	(54)
Net Expenditure	98,224	100,854	68,526	68,319	(207)	100,812	100,854	0
CHIEF EXECUTIVES								
Expenditure	15,859	17,230	12,924	13,097	173	17,230	17,230	0
Income	(7,050)	(7,683)	(5,761)	(6,087)	(326)	(7,683)	(7,683)	0
Net Expenditure	8,809	9,547	7,163	7,010	(153)	9,547	9,547	0
CSF GENERAL FUND								
Expenditure	144,938	143,173	107,238	106,198	(1,040)	146,104	144,544	1,371
Income	(61,461)	(61,660)	(46,131)	(21,784)	24,347	(63,785)	(63,549)	(1,889)
Net Expenditure	83,477	81,513	61,107	84,414	23,307	82,319	80,995	(518)
COMMUNITIES, LOCALITIES & CULTURE								
Expenditure	115,308	130,400	90,286	89,964	(322)	130,801	130,900	500
Income	(46,865)	(51,374)	(40,637)	(38,071)	2,566	(52,004)	(51,874)	(500)
Net Expenditure	68,443	79,026	49,649	51,893	2,244	78,797	79,026	0
DEVELOPMENT & RENEWAL								
Expenditure	80,331	80,816	60,614	57,116	(3,498)	80,802	83,016	2,200
Income	(60,119)	(60,576)	(45,434)	(44,598)	836	(60,760)	(62,776)	(2,200)
Net Expenditure	20,212	20,240	15,180	12,518	(2,662)	20,042	20,240	0
RESOURCES								
Expenditure	325,713	329,431	247,075	264,529	17,454	329,370	330,431	1,000
Income	(316,964)	(317,621)	(238,219)	(255,121)	(16,902)	(316,560)	(317,621)	0
Net Expenditure	8,749	11,810	8,856	9,408	552	12,810	12,810	1,000
CORPORATE COSTS & CAPITAL FINANCING								
Expenditure	394	(8,329)	9,765	16,048	6,283	(9,027)	(8,329)	0
Income	(2,395)	(2,395)	(1,796)	(1,965)	(169)	(2,395)	(2,395)	0
Net Expenditure	(2,001)	(10,724)	7,969	14,083	6,114	(11,422)	(10,724)	0
TOTAL								
Expenditure	795,448	808,648	609,255	627,948	18,693	813,498	813,773	5,125
Income	(509,536)	(516,382)	(390,805)	(380,303)	10,501	(520,590)	(521,025)	(4,643)
Net Expenditure	285,912	292,266	218,450	247,645	29,195	292,908	292,748	482
CSF SCHOOLS BUDGET (DSG)								
Expenditure	318,580	347,523	260,669	118,680	(141,985)	347,444	348,382	1
Income	(318,580)	(347,523)	(260,643)	(2,218)	258,427	(347,444)	(348,382)	(1)
Net Expenditure	0	0	26	116,462	116,442	0	0	0

CORPORATE MONTHLY BUDGET MONITORING - December 2012

FULL YEAR

ADULTS, HEALTH & WELLBEING

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

Original Budget £'000 Latest Budget £'000 Actual to Date £'000 Variance to Date £'000 Previous Forecast £'000 Latest Forecast £'000 Variance (Latest Budget to Latest Forecast Outturn) %

Category	Original Budget £'000	Latest Budget £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast £'000	Latest Forecast £'000	Variance (Latest Budget to Latest Forecast Outturn) %	Proposed Mitigating Action and Dates
A53 Commissioning and Strategy M&A								
Expenditure	198	457	345	346	332	444	(13)	
Income	(30)	(155)	(84)	(84)	(139)	(140)	15	
Net Expenditure	168	302	261	262	193	304	2	1 Vote Budget Manager: D.Cohen Budget Risk: Low Date forecast last reviewed: October 2012
A04 Preventative Technology								
Expenditure	0	0	0	(7)	0	0	0	
Income	0	0	0	0	0	0	0	
Net Expenditure	0	0	0	(7)	0	0	0	0 Vote Budget Manager: K.Sugars Budget Risk: Low Date forecast last reviewed:
A05 Carers Grant								
Expenditure	1,041	1,199	800	762	1,181	1,229	30	
Income	0	(140)	0	(0)	(140)	(140)	0	
Net Expenditure	1,041	1,059	800	762	1,041	1,089	30	3 Increased demand for carers direct payments. 3 Vote Budget Manager: B.Disney Budget Risk: Medium Date forecast last reviewed: October 2012
A06 Older People Commissioning								
Expenditure	25,330	26,142	16,500	16,507	26,188	26,188	46	
Income	(4,482)	(4,482)	(3,050)	(3,050)	(4,484)	(4,484)	(2)	
Net Expenditure	20,848	21,660	13,450	13,457	21,704	21,704	44	0 Vote Budget Manager: B.Disney Budget Risk: High Date forecast last reviewed: October 2012
A08 Learning disabilities Commissioning								
Expenditure	21,147	22,079	15,700	15,729	23,689	22,689	610	
Income	(3,687)	(3,687)	(2,900)	(2,894)	(5,173)	(3,955)	(268)	
Net Expenditure	17,460	18,392	12,800	12,835	18,516	18,734	342	3 Projected overspends due to delays in delivering commissioning savings - 7 will be met by bringing forward other directorate efficiency projects. 2 Vote Budget Manager: B.Disney Budget Risk: High Date forecast last reviewed: October 2012
A44 Mental Health Commissioning								
Expenditure	9,640	9,386	6,550	6,573	9,785	9,785	399	
Income	(1,886)	(1,972)	(1,100)	(1,094)	(1,967)	(1,967)	5	
Net Expenditure	7,754	7,414	5,450	5,479	7,818	7,818	404	5 Potential delays with efficiency projects (Domcare recommissioning and Mental health resettlement). Projected overspends will be met through bringing forward other directorate efficiency projects. 0 Vote Budget Manager: R.Fraggley Budget Risk: High Date forecast last reviewed: October 2012
A45 Physical Disabilities Commissioning								
Expenditure	7,264	7,572	5,840	5,845	8,965	7,965	393	
Income	(1,714)	(1,715)	(515)	(518)	(2,764)	(1,764)	(49)	
Net Expenditure	5,550	5,857	5,325	5,327	6,201	6,201	344	5 Projected overspends due to delays in delivering commissioning savings - 3 will be met by bringing forward other directorate efficiency projects. 6 Vote Budget Manager: B.Disney Budget Risk: Medium Date forecast last reviewed: October 2012
A46 HIV Commissioning								
Expenditure	214	269	220	246	210	210	(59)	
Income	0	(55)	(56)	(56)	(55)	(55)	0	
Net Expenditure	214	214	164	190	155	155	(59)	0 Vote Budget Manager: B.Disney Budget Risk: High Date forecast last reviewed: October 2012

FULL YEAR

ADULTS, HEALTH & WELLBEING

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast £'000	Latest Forecast £'000	Variance		Budget Risk:	Date forecast last reviewed:
								Latest Forecast £'000	Outturn %		
A47 Access to Resources	1,076	1,125	940	950	10	1,286	1,320	196	17	Agency staff employed to process payments backlog	D.Ingram Low September 2012
Expenditure Income	0	0	0	0	0	(39)	(195)	(195)	0		
Net Expenditure	1,076	1,125	940	950	10	1,247	1,125	0	0		
A48 Strategic Commissioning	508	508	370	363	(7)	491	492	(16)	(3)		
Expenditure Income	(96)	(96)	(96)	(96)	96	(96)	(96)	(96)	0		
Net Expenditure	412	412	274	363	89	395	396	(16)	(4)		B.Disney Low September 2012
A50 Supporting People	13,962	14,390	11,000	10,862	(138)	13,433	13,378	(1,012)	(7)	Savings projects b/f (review of hostels service) to meet timing delays in other parts of the directorate efficiency programme.	C.Kipatrack Medium October 2012
Expenditure Income	0	(25)	(28)	(28)	0	(25)	(25)	0	0		
Net Expenditure	13,962	14,365	10,972	10,834	(138)	13,408	13,353	(1,012)	(7)		
A55 Quality and Performance	703	865	580	546	(34)	823	837	(28)	(3)	Underspend due to vacancies and secondment.	
Expenditure Income	(50)	(92)	0	0	0	(50)	(92)	0	0		
Net Expenditure	653	773	580	546	(34)	773	745	(28)	(4)		K.Sugars Low October 2012
A56 Social Services I.T.	356	550	130	129	(1)	550	550	0	0		
Expenditure Income	0	0	0	0	0	0	0	0	0		
Net Expenditure	356	550	130	129	(1)	550	550	0	0		E. Hussein Low October 2012
A58 Technical Resources	901	995	870	868	(2)	969	986	(9)	(1)		
Expenditure Income	(23)	(47)	(38)	(38)	0	(38)	(38)	9	(19)		
Net Expenditure	878	948	832	830	(2)	931	948	0	0		K.Sugars Medium October 2012
A59 Corporate Services	2,307	576	500	445	(55)	537	433	(143)	(25)		
Expenditure Income	(470)	(165)	(4,550)	(4,553)	(3)	(126)	(22)	143	(87)		
Net Expenditure	1,837	411	(4,050)	(4,108)	(58)	411	411	0	0		E. Hussein Medium October 2012
A61 Business Supp & Prog Management	710	692	350	263	(87)	579	395	(297)	(43)	Slippage in planned Telecare spend from section 256 monies, vacant posts and secondments.	
Expenditure Income	(150)	(238)	0	0	0	(113)	(101)	137	(58)		
Net Expenditure	560	454	350	263	(87)	466	294	(160)	(35)		K.Sugars Medium October 2012
A62 Strategy and Policy	122	122	90	94	4	134	134	12	10		
Expenditure Income	(67)	(67)	0	0	0	(67)	(67)	0	0		
Net Expenditure	55	55	90	94	4	67	67	12	22		K.Sugars Low October 2012
Commissioning & Strategy	85,479	86,927	60,785	60,521	(264)	89,152	87,036	109	(65)		
Expenditure Income	(12,655)	(12,936)	(12,417)	(12,315)	102	(15,276)	(13,141)	(205)	(163)		
Net Expenditure	72,824	73,991	48,368	48,206	(162)	73,876	73,895	(96)	(0)		D.Cohen

FULL YEAR

ADULTS, HEALTH & WELLBEING

Explanation of any variance that is considered to be significant and all variances greater than £100k are proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %		Proposed mitigating action and dates
								£'000	%	
A08 Older People Mental Health	380	380	285	281	(4)	402	394	14	4	
Expenditure Income	0	0	0	0	0	0	0	0	0	
Net Expenditure	380	380	285	281	(4)	402	394	14	4	Vote Budget Manager: H.Green Budget Risk: Low Date forecast last reviewed: July 2012
A15 Occupational Therapy	431	431	165	165	0	475	433	2	0	
Expenditure Income	0	0	22	22	0	0	0	0	0	
Net Expenditure	431	431	187	187	0	475	433	2	0	Vote Budget Manager: C.Squire Budget Risk: Medium Date forecast last reviewed: October 2012
A16 Community Equipment Service	1,169	1,169	685	689	4	1,259	1,229	60	5	
Expenditure Income	(250)	(250)	0	0	0	(250)	(300)	(50)	20	
Net Expenditure	919	919	685	689	4	1,009	929	10	1	Vote Budget Manager: C.Squire Budget Risk: High Date forecast last reviewed: October 2012
A30 Adult Resources Sub Div M&A	99	99	70	70	0	96	99	0	0	
Expenditure Income	0	0	0	0	0	0	0	0	0	
Net Expenditure	99	99	70	70	0	96	99	0	0	Vote Budget Manager: C.Oates Budget Risk: Low Date forecast last reviewed: 01/10/2012
A31 Physical Disabilities Establishments	549	549	360	306	(54)	497	483	(66)	(12)	
Expenditure Income	(1)	(1)	2	2	0	(2)	2	3	(300)	Holding part of vacant posts.
Net Expenditure	548	548	362	308	(54)	495	485	(63)	(11)	Vote Budget Manager: C.Oates Budget Risk: Medium Date forecast last reviewed: 01/10/2012
A33 Older People Day Centres	1,619	1,619	1,130	1,129	(1)	1,619	1,610	(9)	(1)	
Expenditure Income	(37)	(37)	(30)	(26)	4	(37)	(30)	7	(19)	
Net Expenditure	1,582	1,582	1,100	1,103	3	1,582	1,580	(2)	(0)	Vote Budget Manager: C.Oates Budget Risk: Medium Date forecast last reviewed: 01/10/2012
A34 Home Care	4,074	4,724	3,485	3,486	1	4,724	4,724	0	0	
Expenditure Income	(44)	(44)	0	0	0	(44)	(44)	0	0	
Net Expenditure	4,030	4,680	3,485	3,486	1	4,680	4,680	0	0	Vote Budget Manager: C.Oates Budget Risk: High Date forecast last reviewed: October 2012
A02 Disabilities & Health Divisional M&A	175	271	205	242	37	271	355	84	31	Backfilling of posts vacant due to maternity and the cost of consultancy in relation to strategy are the cause of this overspend.
Expenditure Income	0	0	0	0	0	0	0	0	0	
Net Expenditure	175	271	205	242	37	271	355	84	31	Vote Budget Manager: J.Rutherford Budget Risk: Low Date forecast last reviewed: September 2012
A13 Learning Dis Sub Division M&A	83	83	60	62	2	101	101	18	22	
Expenditure Income	(35)	(35)	(26)	(26)	0	(35)	(35)	0	0	
Net Expenditure	48	48	34	36	2	66	66	18	38	Vote Budget Manager: S.Howard Budget Risk: Low Date forecast last reviewed: September 2012

FULL YEAR

ADULTS, HEALTH & WELLBEING

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast £'000	Latest Forecast £'000	Variance (Latest Budget to Latest Forecast) £'000	%	
A14 Learning Dis Assess & Care Mgmt.	976 (204)	772 (204)	720 (141)	732 (153)	12 (12)	1,083 (454)	1,094 (322)	118 (118)	0	Additional Income due to use of section 256 funding against transition team. Vote Budget Manager: S.Howard Budget Risk: Medium Date forecast last reviewed: September 2012
Net Expenditure	772	772	579	579	0	629	772	0	0	
A19 Adult Protection	310 (38)	330 (38)	200 0	205 0	5 0	330 (38)	330 (38)	0 0	0	Vote Budget Manager: A.Tyrer Budget Risk: Low Date forecast last reviewed: September 2012
Net Expenditure	272	292	200	205	5	292	292	0	0	
A23 Mental Health Sub Division M&A	92 (90)	92 (90)	70 (60)	68 (45)	(2) (15)	92 (67)	90 (68)	(2) (24)	22	East London Foundation Trust have eased funding of this post from 1/1/2013 Vote Budget Manager: S.Difley Budget Risk: Medium Date forecast last reviewed: September 2012
Net Expenditure	2	2	10	23	13	25	22	1,000	0	
A24 Area Mental Health Teams	2,458 (277)	2,458 (277)	1,780 (120)	1,802 (110)	22 (10)	2,545 (245)	2,518 (251)	60 (26)	26	Service review may be necessary to contain costs within budget. Vote Budget Manager: S.Difley Budget Risk: Medium Date forecast last reviewed: September 2012
Net Expenditure	2,181	2,181	1,660	1,692	32	2,300	2,267	86	4	
A25 Mental Health Day Centres	477 (34)	477 (11)	355 0	340 0	(15) 0	477 0	464 0	(13) 0	(3)	Vote Budget Manager: L.A.Johnson Budget Risk: Medium Date forecast last reviewed: October 2012
Net Expenditure	443	466	355	340	(15)	477	464	(13)	0	
A27 Learning disabilities Day Centre	472 (5)	418 (5)	310 (3)	309 (3)	(1) 0	337 (5)	322 (5)	(96) 0	0	Vote Budget Manager: S.Howard Budget Risk: Medium Date forecast last reviewed: September 2012
Net Expenditure	467	413	307	306	(1)	332	317	(96)	(23)	
A37 Emergency Duty Social Work Service	231 (20)	361 (20)	275 0	331 (3)	56 (3)	441 (23)	442 (23)	81 (3)	22	Cost pressures arising from the increased cost of single status enhancements. Vote Budget Manager: I.Williamson Budget Risk: Medium Date forecast last reviewed: September 2012
Net Expenditure	211	341	275	328	53	418	419	78	23	
A81 First Response	2,229 (102)	2,876 (192)	2,110 (17)	2,111 17	1 34	2,875 (192)	2,875 (192)	(1) 0	(0)	Vote Budget Manager: Leah Drake Budget Risk: Medium Date forecast last reviewed: September 2012
Net Expenditure	2,127	2,684	2,093	2,128	35	2,683	2,683	(1)	(0)	
A82 Reablement	2,341 (126)	2,375 (169)	1,690 0	1,692 0	2 0	2,332 (126)	2,375 (169)	0 0	0	Vote Budget Manager: Christine Oates Budget Risk: Medium Date forecast last reviewed: October 2012
Net Expenditure	2,215	2,206	1,690	1,692	2	2,206	2,206	0	0	
A83 Longer Term Support - Social Care	2,385 0	2,385 0	1,780 (6)	1,767 (6)	(13) 0	2,360 0	2,363 0	(2) 0	(1)	Vote Budget Manager: A.Tyrer Budget Risk: Medium Date forecast last reviewed: September 2012
Net Expenditure	2,385	2,385	1,774	1,761	(13)	2,360	2,363	(22)	(1)	

FULL YEAR

ADULTS, HEALTH & WELLBEING

Explanation of any variance that is considered to be significant and all variances greater than £100k
Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %	Vote Budget Manager: Date forecast last reviewed:	Budget Risk:	K.Marks
A84 Longer Term Support - OT		933	575	570	(6)	927	922	(11)			
Expenditure	0	0	0	0	0	0	0	0			
Income	0	0	0	0	0	0	0	0			
Net Expenditure	933	933	575	570	(5)	927	922	(11)			
Vote Budget Manager:									C. Squire	Medium	
Budget Risk:									October 2012		
Adult Social Care											
Expenditure	21,483	23,006	16,310	16,357	47	23,243	23,223	217			
Income	(1,263)	(1,373)	(379)	(331)	48	(1,518)	(1,475)	(102)			
Net Expenditure	20,220	21,633	15,931	16,026	95	21,725	21,748	115			
Vote Budget Manager:											
Budget Risk:											
A66 Learning and Development											
Expenditure	587	587	335	288	(47)	568	568	(19)			
Income	0	0	0	0	0	0	0	0			
Net Expenditure	587	587	335	288	(47)	568	568	(19)			
Vote Budget Manager:									E. Hussein	Medium	
Budget Risk:									October 2012		
A71 Finance Services											
Expenditure	1,500	1,550	1,020	927	(93)	1,397	1,297	(253)			
Income	(764)	(764)	(31)	(31)	0	(612)	(511)	253			
Net Expenditure	736	786	989	896	(93)	785	786	0			
Vote Budget Manager:									E. Hussein	Medium	
Budget Risk:									October 2012		
090 Support Services Holding A/C											
Expenditure	3,857	3,857	2,903	2,903	0	3,857	3,857	0			
Income	0	0	0	0	0	0	0	0			
Net Expenditure	3,857	3,857	2,903	2,903	0	3,857	3,857	0			
Vote Budget Manager:									E. Hussein	Low	
Budget Risk:									October 2012		
Other											
Expenditure	5,944	5,994	4,258	4,118	(140)	5,822	5,722	(272)			
Income	(764)	(764)	(31)	(31)	0	(612)	(511)	253			
Net Expenditure	5,180	5,230	4,227	4,087	(140)	5,210	5,211	(19)			
Vote Budget Manager:									E. Hussein	Low	
Budget Risk:									October 2012		
TOTAL FOR ADULTS HEALTH & WELLBEING											
Expenditure	112,906	115,927	81,353	80,996	(357)	118,217	115,981	54			
Income	(14,682)	(15,073)	(12,827)	(12,677)	150	(17,405)	(15,127)	(54)			
Net Expenditure	98,224	100,854	68,526	68,319	(207)	100,812	100,854	0			
Vote Budget Manager:									0 Director:		
Budget Risk:											
Energy Costs (excluding schools, tenants, leaseholders)			25	26	1						

CORPORATE MONTHLY BUDGET MONITORING - December 2012

2% to 5% Amber
 <2% Green
 2% - 5% Amber
 >5% Red

CHIEF EXECUTIVES	FULL YEAR										Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates
	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast		Latest Forecast		Variance (Latest Budget to Latest Forecast Outturn) %	
						Outturn	Outturn	Outturn	Outturn		
C14 Communications	2,658 (2,627)	2,948 (2,627)	2,211 (1,970)	2,325 (2,013)	114 (43)	2,948 (2,627)	2,948 (2,627)	2,948 (2,627)	2,948 (2,627)	0	0 Risk with achievement of income target - expected to manage within budget overall during the year.
Net Expenditure	31	321	241	312	71	321	321	321	321	0	Vote Budget Manager: Takki Sulaiman Budget Risk: Medium Date forecast last reviewed: 17/01/2013
TOTAL FOR COMMUNICATIONS	2,658 (2,627)	2,948 (2,627)	2,211 (1,970)	2,325 (2,013)	114 (43)	2,948 (2,627)	2,948 (2,627)	2,948 (2,627)	2,948 (2,627)	0	
C16 Corporate Strategy & Equalities	1,504	1,564	1,173	1,190	17	1,564	1,564	1,564	1,564	0	0 Service Head: Takki Sulaiman
Net Expenditure	1,504	1,564	1,173	1,128	(45)	1,564	1,564	1,564	1,564	0	Vote Budget Manager: Louise Russell Budget Risk: Low Date forecast last reviewed: 29/01/2013
C54 One Tower Hamlets	665 (9)	648 (9)	486 (6)	395 (44)	(91)	648 (9)	648 (9)	648 (9)	648 (9)	0	
Net Expenditure	656	639	480	351	(129)	639	639	639	639	0	Vote Budget Manager: Louise Russell Budget Risk: Low Date forecast last reviewed: 29/01/2013
TOTAL FOR STRATEGY & PERFORMANCE	2,169 (9)	2,212 (9)	1,659 (6)	1,585 (106)	(74)	2,212 (9)	2,212 (9)	2,212 (9)	2,212 (9)	0	
C55 Legal Services	3,336 (3,519)	3,311 (3,529)	2,483 (2,647)	2,656 (2,819)	173 (172)	3,311 (3,529)	3,311 (3,529)	3,311 (3,529)	3,311 (3,529)	0	0 Service Head: Louise Russell
Net Expenditure	(183)	(218)	(164)	(163)	1	(218)	(218)	(218)	(218)	0	Vote Budget Manager: Sue Hayes Budget Risk: Low Date forecast last reviewed: 15/01/2013
C56 Electoral Registration	708	693	520	536	16	693	693	693	693	0	
Net Expenditure	708	693	520	520	0	693	693	693	693	0	Vote Budget Manager: Sue Hayes Budget Risk: Low Date forecast last reviewed: 15/01/2013
C60 Borough Elections	30	28	21	55	34	28	28	28	28	0	
Net Expenditure	30	28	21	55	34	28	28	28	28	0	Vote Budget Manager: Sue Hayes Budget Risk: Low Date forecast last reviewed: 15/01/2013
C62 Business Unit Support team	94	714	536	549	13	714	714	714	714	0	
Net Expenditure	94	91	69	82	13	91	91	91	91	0	Vote Budget Manager: Sue Hayes Budget Risk: Low Date forecast last reviewed: 15/01/2013
C64 Information Governance & Complaints	519 (409)	516 (409)	387 (307)	318 (219)	(69)	516 (409)	516 (409)	516 (409)	516 (409)	0	
Net Expenditure	110	107	80	99	19	107	107	107	107	0	Vote Budget Manager: David Galpin Budget Risk: Low Date forecast last reviewed: 15/01/2013
TOTAL FOR LEGAL, ELECTORAL SERVICES & BUSINESS SUPPORT	4,687 (3,928)	5,262 (4,561)	3,947 (3,421)	4,114 (3,521)	167 (100)	5,262 (4,561)	5,262 (4,561)	5,262 (4,561)	5,262 (4,561)	0	
Net Expenditure	759	701	526	593	67	701	701	701	701	0	0 Service Head: Isabella Freeman

FULL YEAR										Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates
CHIEF EXECUTIVES	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %		
								£'000	%	
C56 Registration of Births, Deaths	774 (479)	758 (479)	569 (359)	655 (446)	86 (87)	758 (479)	758 (479)	0	0	JohnS Williams Low 17/01/2013
Net Expenditure	295	279	210	209	(1)	279	279	0	0	Vote Budget Manager: Budget Risk: Date forecast last reviewed:
C62 Democratic Services	2,609 (7)	2,969 (7)	2,227 (5)	2,142 (0)	(85) 5	2,969 (7)	2,969 (7)	0	0	JohnS Williams Low 17/01/2013
Net Expenditure	2,602	2,962	2,222	2,142	(80)	2,962	2,962	0	0	Vote Budget Manager: Budget Risk: Date forecast last reviewed:
C78 Demo Representation & Mgt	861	861	646	646	0	861	861	0	0	JohnS Williams Low 17/01/2013
Net Expenditure	861	861	646	646	0	861	861	0	0	Vote Budget Manager: Budget Risk: Date forecast last reviewed:
TOTAL FOR DEMOCRATIC & REGISTRARS SERVICES	4,244 (486)	4,588 (486)	3,442 (364)	3,443 (446)	1 (82)	4,588 (486)	4,588 (486)	0	0	
C80 Corporate Management	2,101	2,220	1,665	1,630	(35)	2,220	2,220	0	0	JohnS Williams
Net Expenditure	2,101	2,220	1,665	1,629	(36)	2,220	2,220	0	0	0 Service Head: Vote Budget Manager: Budget Risk: Date forecast last reviewed:
TOTAL FOR CHIEF EXECUTIVES	15,859 (7,050)	17,230 (7,683)	12,924 (5,761)	13,097 (6,087)	173 (326)	17,230 (7,683)	17,230 (7,683)	0	0	Isabella Freeman Low 17/01/2013
Net Expenditure	8,809	9,547	7,163	7,010	(153)	9,547	9,547	0	0	0 Director: Isabella Freeman
Energy Costs (excluding schools, tenants, leaseholders)			0	0	0					

CORPORATE MONTHLY BUDGET MONITORING - December 2012

7

FULL YEAR

CHILDREN, SCHOOLS AND FAMILIES
(Dedicated Schools Grant)

Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn)	
								£'000	%

TOTAL FOR PRE-PRIMARY EDUCATION										
Expenditure	4,968	4,418	3,314	2,490	(824)	4,418	4,418	0	0	
Income	(103)	(103)	(77)	(46)	31	(103)	(103)	0	0	
Net Expenditure	4,865	4,315	3,237	2,444	(793)	4,315	4,315	0	0	Service Head Budget Risk: High Date forecast last reviewed: 23.01.2013
TOTAL FOR PRIMARY EDUCATION DSG										
Expenditure	150,741	158,570	118,928	45,249	(73,679)	158,629	159,102	532	0	£532k of £1,062m forecast overspend on School Specific Contingency, reported to Schools Forum 23rd January 2013.
Income	(4,841)	(12,670)	(9,503)	(812)	8,691	(12,429)	(12,670)	0	0	
Net Expenditure	145,900	145,900	109,425	44,437	(64,988)	146,200	146,432	532	0	Service Head Budget Risk: High Date forecast last reviewed: 23.01.2013
TOTAL FOR SECONDARY EDUCATION DSG										
Expenditure	123,161	143,757	107,843	50,711	(57,132)	144,000	144,418	661	0	£530k of £1,062m forecast overspend on School Specific Contingency, reported to Schools Forum 23rd January 2013.
Income	(17,729)	(38,325)	(28,744)	(1,007)	27,737	(38,263)	(38,325)	0	0	Also, technical change of £0.131m agreed by Schools Forum to be effected. Will clear when budget virement done.
Net Expenditure	105,432	105,432	79,099	49,704	(29,395)	105,737	106,093	661	1	Service Head Budget Risk: High Date forecast last reviewed: 23.01.2013
TOTAL FOR SPECIAL EDUCATION DSG										
Expenditure	13,972	14,143	10,607	3,271	(7,336)	14,125	14,125	(18)	(0)	
Income	(911)	(1,081)	(811)	(75)	736	(1,064)	(1,064)	17	(2)	
Net Expenditure	13,061	13,062	9,796	3,196	(6,600)	13,061	13,061	(1)	(0)	Service Head Budget Risk: High Date forecast last reviewed: 23.01.2013

FULL YEAR

CHILDREN, SCHOOLS AND FAMILIES
 (Dedicated Schools Grant)

 Explanation of any variance that is considered to be significant and all variances greater than £100k
 Proposed mitigating action and dates

 Variance
 (Latest Budget to
 Latest Forecast
 Outturn) %
 £'000 %
 Previous Forecast
 Outturn £'000
 Latest Forecast
 Outturn £'000
 Variance to
 Date £'000
 Actual to
 Date £'000
 Budget to
 Date £'000
 Latest
 Budget
 £'000
 Original
 Budget
 £'000

G17 Support For Learning Service DSG	Expenditure	3,773	2,830	2,736	(94)	3,753	3,753	3,753	(20)	(1)	The expenditure / income to date, whilst not in line with the notional budget to date, is within the budget manager's expectation and has been factored into their forecast.
	Income	(897)	(673)	(518)	155	(909)	(909)	(909)	(12)	1	
	Net Expenditure	2,876	2,157	2,218	61	2,844	2,844	2,844	(32)	(1)	Vote Budget Manager: Liz Vickarie Medium Date forecast last reviewed: 14.01.2013
G29 Pupil Referral Unit	Expenditure	4,924	3,839	3,287	(552)	5,164	5,138	5,138	20	0	the PRU will carry forward £97k into 2013/14 when it will operate as a school in its own right. Break-even will occur in 2012/13, therefore.
	Income	(727)	(545)	(747)	(202)	(775)	(747)	(747)	(20)	3	
	Net Expenditure	4,197	3,294	2,540	(754)	4,389	4,391	4,391	0	0	Vote Budget Manager: John Watkins High Date forecast last reviewed: 15.01.2013
H10 Learning & Achievement M & A DSG	Expenditure	908	881	908	227	908	908	908	0	0	
	Income	0	0	0	0	0	0	0	0	0	
	Net Expenditure	908	881	908	227	908	908	908	0	0	Vote Budget Manager: Anne Canning Low Date forecast last reviewed: 20.11.2012
H16 Early Years Service DSG	Expenditure	3,853	3,302	3,180	(122)	4,179	4,179	4,179	(224)	(5)	Forecast position on 3 and 4 year olds costs. One final term's allocations still to be made.
	Income	0	0	0	0	0	0	0	0	0	
	Net Expenditure	3,853	3,302	3,180	(122)	4,179	4,179	4,179	(224)	(5)	Vote Budget Manager: Monica Forty Low Date forecast last reviewed: 12.12.2012
H16 Special Education Needs DSG	Expenditure	8,587	6,440	3,399	(3,041)	8,442	8,407	8,407	(180)	(2)	
	Income	(2,316)	(1,737)	989	2,726	(2,087)	(2,087)	(2,087)	229	(10)	
	Net Expenditure	6,271	4,703	4,388	(315)	6,355	6,320	6,320	49	(12)	Vote Budget Manager: David Carroll High Date forecast last reviewed: 11.01.2013
H18 Education Psychology Service DSG	Expenditure	188	141	188	47	188	188	188	0	0	
	Income	0	0	0	0	0	0	0	0	0	
	Net Expenditure	188	141	188	47	188	188	188	0	0	Vote Budget Manager: David Carroll Low Date forecast last reviewed: 14.01.2013
H78 Pupil Admissions & Excl DSG	Expenditure	892	762	656	(106)	993	1,103	1,103	87	9	includes £110k expected costs for City Gateway Alternative Provision
	Income	(152)	(114)	(10)	104	(152)	(152)	(152)	0	0	reflected in figures provided to Schools Forum 23rd January 2013.
	Net Expenditure	740	648	646	(2)	841	951	951	87	10	Vote Budget Manager: Terry Bryan Low Date forecast last reviewed: 15.01.2013
TOTAL FOR LEARNING & ACHIEVEMENT	Expenditure	23,125	17,995	14,354	(3,641)	23,627	23,676	23,676	(317)	1	
	Income	(4,092)	(3,069)	(266)	2,783	(3,923)	(3,923)	(3,923)	197	(6)	
	Net Expenditure	19,033	14,926	14,068	(853)	19,704	19,781	19,781	(120)	(8)	Service Head: Anne Canning

FULL YEAR

CHILDREN, SCHOOLS AND FAMILIES
(Dedicated Schools Grant)

Explanation of any variance that is considered to be significant and all variances greater than £100k
Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Forecast Outturn) £'000	%	Proposed mitigating action and dates
H55 Children Looked After DSG										
Expenditure	289	319	239	216	(23)	319	319	0	0	
Income	0	0	0	8	8	0	0	0	0	
Net Expenditure	289	319	239	224	(15)	319	319	0	0	Vote Budget Manager: Susan Kelly Low Budget Risk: Date forecast last reviewed: 11.12.2012
H62 Attendance & Welfare Service										
Expenditure	55	55	41	55	14	55	55	0	0	
Income	0	0	0	0	0	0	0	0	0	
Net Expenditure	55	55	41	55	14	55	55	0	0	Vote Budget Manager: David Hough Low Budget Risk: Date forecast last reviewed: 07.11.2012
TOTAL FOR CHILDRENS SOCIAL CARE										0 Service Head: 0 Children's Social Care
Expenditure	344	374	280	271	(9)	374	374	0	0	
Income	0	0	0	8	8	0	0	0	0	
Net Expenditure	344	374	280	279	(1)	374	374	0	0	
H79 CSF Resources Mgmt DSG										
Expenditure	1,037	1,037	778	838	60	1,037	1,037	0	0	Forecast surplus on schools catering contract of £500k.
Income	0	0	0	0	0	(500)	(500)	(500)	0	
Net Expenditure	1,037	1,037	778	838	60	537	537	(500)	(48)	Vote Budget Manager: Kate Bingham Low Budget Risk: Date forecast last reviewed: 14.01.2013
H83 CSF Human Resources DSG										
Expenditure	1,232	1,232	924	1,500	576	1,232	1,232	0	0	
Income	0	0	0	0	0	0	0	0	0	
Net Expenditure	1,232	1,232	924	1,500	576	1,232	1,232	0	0	Vote Budget Manager: Mark Keeble High Budget Risk: Date forecast last reviewed: 14.01.2013
TOTAL FOR CHILDRENS SERVICES RESOURCES										0 Kate Bingham
Expenditure	2,269	2,269	1,702	2,338	636	2,269	2,269	0	0	
Income	0	0	0	0	0	(500)	(500)	(500)	0	
Net Expenditure	2,269	2,269	1,702	2,338	636	1,769	1,769	(500)	(22)	0 Service Head: (22) Kate Bingham
TOTAL FOR EXTERNAL FUNDING (H68)										
Expenditure	0	0	0	0	0	0	0	0	0	Net forecast underspend of £441k will result in a lower drawdown of grant than originally planned. Plus £131k more grant has already been agreed by Schools Forum and this element of the variance will clear when virement done.
Income	(290,905)	(291,253)	(218,440)	0	218,440	(291,162)	(291,825)	(572)	0	
Net Expenditure	(290,905)	(291,253)	(218,440)	0	218,440	(291,162)	(291,825)	(572)	0	0 Service Head High Budget Risk: Date forecast last reviewed: 23.01.2013
TOTAL FOR CSF SCHOOLS BUDGET (DSG)										
Expenditure	318,580	347,523	260,669	118,680	(141,985)	347,444	348,382	858	0	
Income	(318,580)	(347,523)	(260,643)	(2,218)	258,427	(347,444)	(348,382)	(858)	0	
Net Expenditure	0	0	26	116,462	116,442	0	0	0	0	0 Director: Isobel Cattermole
Energy Costs (excluding schools, tenants, leaseholders)		44	33	0	(33)					

CORPORATE MONTHLY BUDGET MONITORING - December : 7

FULL YEAR

CHILDREN, SCHOOLS AND FAMILIES
(General Fund Budget)

Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates

Variance (Latest Budget to Latest Forecast Outturn) %

Latest Forecast Outturn £'000

Previous Forecast Outturn £'000

Variance to Date £'000

Actual to Date £'000

Budget to Date £'000

Latest Budget £'000

Original Budget £'000

	Expenditure	Income	Net Expenditure	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %	Proposed mitigating action and dates
TOTAL FOR PRE-PRIMARY EDUCAT	46	0	46	47	35	47	12	46	47	0	
	Expenditure	Income	Net Expenditure	47	0	47	0	0	0	0	
				0	0	0	0	0	0	0	
				47	35	47	12	46	47	0	Service Head Budget Risk: Low Date forecast last reviewed: 23.01.2013
TOTAL FOR PRIMARY EDUCATION C	4,975	0	4,975	5,454	4,091	5,454	1,363	4,975	5,454	0	Schools General Fund Budget only include Capital Financing Charges that are made later in the year
	Expenditure	Income	Net Expenditure	5,454	0	5,454	0	0	0	0	
				0	0	0	0	0	0	0	
				5,454	4,091	5,454	1,363	4,975	5,454	0	Service Head Budget Risk: Low Date forecast last reviewed: 23.01.2013
TOTAL FOR SECONDARY EDUCATIC	6,767	0	6,767	3,814	2,861	3,745	884	6,767	3,814	0	Schools General Fund Budget only include Capital Financing Charges that are made later in the year
	Expenditure	Income	Net Expenditure	3,814	0	3,745	884	6,767	3,814	0	
				0	0	0	0	0	0	0	
				3,814	2,861	3,745	884	6,767	3,814	0	Service Head Budget Risk: Low Date forecast last reviewed: 23.01.2013
TOTAL FOR SPECIAL EDUCATION G	1,015	0	1,015	1,709	1,282	1,709	427	1,015	1,709	0	Schools General Fund Budget only include Capital Financing Charges that are made later in the year
	Expenditure	Income	Net Expenditure	1,709	0	1,709	0	0	0	0	
				0	0	0	0	0	0	0	
				1,709	1,282	1,709	427	1,015	1,709	0	Service Head Budget Risk: Low Date forecast last reviewed: 23.01.2013
G10 Learning & Achievement M & A GF	244	(160)	84	244	(120)	(160)	(49)	242	242	(2)	
	Expenditure	Income	Net Expenditure	244	183	134	(49)	242	242	(2)	
				(160)	(120)	(160)	(40)	(160)	(160)	0	
				84	63	(26)	(89)	82	82	(2)	Vote Budget Manager: Anne Canning Budget Risk: Low Date forecast last reviewed: 20.11.2012
G11 Early Years Service GF	3,839	(3,454)	385	3,829	(2,583)	(679)	(1,053)	3,643	3,643	(186)	
	Expenditure	Income	Net Expenditure	3,829	2,872	1,819	(1,053)	3,643	3,643	(186)	
				(3,454)	(2,583)	(679)	1,904	(3,275)	(3,275)	169	
				385	289	1,140	851	368	368	(17)	Vote Budget Manager: Jo Green Budget Risk: Low Date forecast last reviewed: 20.11.2012
G12 Local Authority Day Nurse	2,996	(2,573)	423	2,989	(1,925)	(175)	(345)	2,967	2,967	(22)	
	Expenditure	Income	Net Expenditure	2,989	2,242	1,897	(345)	2,967	2,967	(22)	
				(2,573)	(1,925)	(175)	1,750	(2,577)	(2,577)	(11)	
				423	317	1,722	1,405	390	390	(33)	Vote Budget Manager: Monica Forty

CORPORATE MONTHLY BUDGET MONITORING - December : 7

FULL YEAR

**CHILDREN, SCHOOLS AND FAMILIES
(General Fund Budget)**

Explanation of any variance that is considered to be significant and all variances greater than £100k

Variance (Latest Budget to Latest Forecast Outturn) %

Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %	Budget Risk:	Date forecast last reviewed:
G13 Childrens Centres									Low	20.11.2012
Expenditure	11,114	10,971	8,228	6,455	(1,773)	10,987	10,871	(100)		
Income	(10,020)	(9,892)	(7,419)	(53)	7,366	(9,836)	(9,792)	100		
Net Expenditure	1,094	1,079	809	6,402	5,593	1,151	1,079	0	Mohammed Jolli	
									Low	14.01.2013
G14 School Improvement Prima										
Expenditure	674	674	506	680	174	832	832	158		
Income	(476)	(479)	(359)	(435)	(76)	(664)	(664)	(185)		
Net Expenditure	198	195	147	245	98	168	168	(14)		
									Monica Forry	
									Low	10.12.2012
G16 Special Educational Needs										
Expenditure	3,996	3,995	2,996	2,547	(449)	3,996	4,056	61		
Income	(125)	(125)	(94)	(148)	(54)	(177)	(177)	(52)		
Net Expenditure	3,871	3,870	2,902	2,399	(503)	3,819	3,879	9	Doug Kieran	
									High	10.12.2012
G17 Educational Psychology										
Expenditure	1,685	1,682	1,262	1,020	(242)	1,668	1,668	(14)		
Income	(854)	(854)	(641)	(843)	(202)	(854)	(854)	0		
Net Expenditure	831	828	621	177	(444)	814	814	(14)	David Carroll	
									Low	14.01.2013
G18 Parental Engagement & Support - TRANSFERRED FROM YPC										
Expenditure	2,029	1,997	1,498	1,108	(390)	2,156	2,156	159		
Income	(421)	(398)	(299)	(226)	73	(514)	(514)	(116)		
Net Expenditure	1,608	1,599	1,199	882	(317)	1,642	1,642	43	Jill McGinley	
									High	07.12.2012
G20 School Governance & Information										
Expenditure	328	319	239	184	(55)	319	319	0		
Income	(50)	(50)	(38)	(40)	(2)	(50)	(50)	0		
Net Expenditure	278	269	201	144	(57)	269	269	0	Hania Franek	
									Low	10.12.2012
G26 School Improvement Secondary										
Expenditure	2,925	2,855	2,141	1,041	(1,100)	2,331	2,331	(524)		
Income	(1,090)	(1,026)	(770)	(851)	(81)	(1,022)	(1,022)	4		
Net Expenditure	1,835	1,829	1,371	190	(1,181)	1,309	1,309	(28)	First full year of Mayor's Bursary suggests lower eligibility and take-up than originally estimated. Figures have been revised and an underspend of £0.518m is forecast if eligibility pattern of first academic year recurs.	
									Anne Canning	
									Medium	20.11.2012
G30 Arts & Music Service										
Expenditure	1,562	1,562	1,172	917	(255)	1,702	1,702	140		
Income	(1,419)	(1,419)	(1,064)	(655)	409	(1,559)	(1,559)	(140)		
Net Expenditure	143	143	108	262	154	143	143	0	Karen Brock / Shabbir Ahmed	
									Medium	12.12.2012

FULL YEAR

**CHILDREN, SCHOOLS AND FAMILIES
(General Fund Budget)**

Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates

Variance (Latest Budget to Latest Forecast Outturn) %

Latest Forecast Outturn £'000

Previous Forecast Outturn £'000

Latest Budget £'000

Original Budget £'000

Budget to Actual Date £'000

Variance to Date £'000

	Original Budget £'000	Latest Budget £'000	Budget to Actual Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %	Proposed mitigating action and dates
H40 Careers Service - TRANSFERRED FROM YPC	1,281	1,281	961	874	1,356	1,356	75	
Expenditure	(1,122)	(1,122)	(842)	(267)	(1,198)	(1,198)	(76)	
Income	159	159	119	607	158	158	(1)	
Net Expenditure	160	160	119	60	159	159	0	
G41 Healthy Lives - TRANSFERRED FROM YPC	442	441	331	263	397	397	(44)	
Expenditure	(282)	(282)	(212)	(203)	(238)	(238)	44	
Income	160	159	119	60	159	159	0	
Net Expenditure	160	159	119	60	159	159	0	
H17 Support for Learning Services	0	0	0	0	0	0	0	
Expenditure	0	0	0	0	0	0	0	
Income	0	0	0	0	0	0	0	
Net Expenditure	0	0	0	0	0	0	0	
G49 Pupil Admissions & Exclusions	1,060	1,060	795	594	939	933	(127)	
Expenditure	1,060	1,060	795	594	939	933	(127)	
Income	0	0	0	0	0	0	0	
Net Expenditure	1,060	1,060	795	594	939	933	(127)	
TOTAL FOR LEARNING AND ACHIEVEMENT	34,175	33,899	25,426	19,533	33,535	33,473	(426)	
Expenditure	(22,046)	(21,817)	(16,366)	(4,735)	(22,124)	(22,080)	(263)	
Income	12,129	12,082	9,060	14,798	11,411	11,393	(689)	
Net Expenditure	12,129	12,082	9,060	14,798	11,411	11,393	(689)	
G49 Childrens Social Care M&A	169	287	215	317	331	331	44	
Expenditure	(118)	(118)	(89)	(1)	(118)	(118)	0	
Income	169	169	126	316	213	213	44	
Net Expenditure	169	169	126	316	213	213	44	
G50 Child Protection & Review	2,634	2,627	1,970	1,638	2,596	2,604	(23)	
Expenditure	0	0	0	(23)	0	0	0	
Income	2,634	2,627	1,970	1,615	2,596	2,604	(23)	
Net Expenditure	2,634	2,627	1,970	1,615	2,596	2,604	(23)	
G51 Childrens Res M&A	826	903	677	508	904	904	1	
Expenditure	(79)	(79)	(59)	59	(79)	(79)	0	
Income	826	824	618	508	825	825	1	
Net Expenditure	826	824	618	508	825	825	1	

CORPORATE MONTHLY BUDGET MONITORING - December : 7

FULL YEAR

CHILDREN, SCHOOLS AND FAMILIES
(General Fund Budget)

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance		Proposed mitigating action and dates
								Latest Forecast Outturn £'000	%	
Date forecast last reviewed: 15.01.2013										
G52 Childrens Res Residential	1,856	1,845	1,384	1,148	(236)	1,782	1,797	(48)	(3)	Explanation of any variance that is considered to be significant and all variances greater than £100k
Expenditure	0	0	0	0	0	0	0	0	0	
Income	1,856	1,845	1,384	1,148	(236)	1,782	1,797	(48)	(3)	
Net Expenditure										
Vote Budget Manager: Hilary Bull Budget Risk: Medium Date forecast last reviewed: 14.01.2013										
G53 Childrens Res Family Placement										(Currently the staffing underspend is due to vacant posts as a result of maternity leave. This would be slightly overspent if all staff were in post. The support services are over spent as there have been fewer external assessments completed by independent social workers. A more accurate forecast is planned for the next CMBM.)
Expenditure										
Income	3,106	3,102	2,327	1,845	(482)	3,102	3,102	0	0	
Net Expenditure	3,040	3,036	2,277	1,724	(553)	2,965	2,965	(71)	(2)	
Vote Budget Manager: Hilary Bull Budget Risk: Low Date forecast last reviewed: 05.12.2012										
G54 Childrens Res Commissioning										Previously projected associated support costs are unlikely to be at the high level as in previous years. This is due to reduced contact costs, close scrutiny of spend and rigorous approval processes with LAC numbers continuing to remain relatively stable. The projection now is for a larger underspend on expenditure. Monitoring will continue to be undertaken monthly with continuous close scrutiny of the budget. Income for UASC is also adjusted as there are two cases which are under review by the HO and may result in them not being valid for the claim
Expenditure										
Income	15,003	14,823	11,117	9,301	(1,816)	14,842	14,652	(171)	(1)	
Net Expenditure	(214)	(214)	(161)	(189)	(28)	(414)	(344)	(130)	(2)	
Vote Budget Manager: Hilary Bull Budget Risk: High Date forecast last reviewed: 15.01.2013										
G55 Children Looked After GF										Vote Budget Manager: Jenny Boyd Budget Risk: Low Date forecast last reviewed: 12.12.2012
Expenditure	2,332	2,318	1,739	1,460	(279)	2,336	2,336	18	1	
Income	0	0	0	0	0	0	0	0	0	
Net Expenditure	2,332	2,318	1,739	1,460	(279)	2,336	2,336	18	1	
Vote Budget Manager: Jenny Boyd Budget Risk: Low Date forecast last reviewed: 12.12.2012										
G56 Leaving Care										Vote Budget Manager: Shahid Tilly Budget Risk: High Date forecast last reviewed: 15.01.2013
Expenditure	2,596	2,587	1,940	1,608	(332)	2,615	2,615	28	1	
Income	(129)	(129)	(97)	(3)	94	(56)	(56)	73	(57)	
Net Expenditure	2,467	2,458	1,843	1,605	(238)	2,559	2,559	101	4	
Vote Budget Manager: Shahid Tilly Budget Risk: High Date forecast last reviewed: 15.01.2013										
G57 Fieldwork Advice & Assessment										Vote Budget Manager: Paul McGee Budget Risk: Medium Date forecast last reviewed: 15.01.2013
Expenditure	5,409	5,521	4,141	3,395	(746)	5,501	5,542	21	0	
Income	(236)	(171)	(128)	(45)	83	(172)	(171)	0	0	
Net Expenditure	5,173	5,350	4,013	3,350	(663)	5,329	5,371	21	0	
Vote Budget Manager: Paul McGee Budget Risk: Medium Date forecast last reviewed: 15.01.2013										

CORPORATE MONTHLY BUDGET MONITORING - December : 7

FULL YEAR

CHILDREN, SCHOOLS AND FAMILIES
(General Fund Budget)

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

Variance (Latest Budget to Latest Forecast Outturn) %

Latest Forecast Outturn £'000

Previous Forecast Outturn £'000

Variance to Date £'000

Actual to Date £'000

Budget to Date £'000

Latest Budget £'000

Original Budget £'000

Expenditure

Income

Net Expenditure

Expenditure

Income

Net Expenditure

G58 Children with Disabilities	Expenditure	4,699	3,517	3,801	284	4,779	5,281	592	13	BUPA now manages the nursing component of support services more cheaply hence have achieved savings per head compared to previous years. Whereas before the cost was in the region of £800k, since BUPA have taken over, the estimated cost for 2012/13 is £600K. This is because BUPA provide healthcare workers and NOT nurses and are cheaper to employ
	Income	(964)	(723)	(176)	547	(964)	(1,778)	(814)	84	
	Net Expenditure	3,729	2,794	3,625	831	3,815	3,503	(222)	(6)	Vote Budget Manager: Khalida Khan Budget Risk: Medium Date forecast last reviewed: 15.01.2013
G59 Emergency Duty Team	Expenditure	440	326	310	(16)	466	466	32	7	
	Income	(22)	(17)	0	17	(23)	(23)	(1)	5	
	Net Expenditure	418	309	310	1	443	443	31	8	Vote Budget Manager: Paul McGee Budget Risk: Low Date forecast last reviewed: 12.12.2012
G60 Youth Offending Service - TRANSFERRED FROM YPC	Expenditure	1,913	1,508	1,305	(203)	2,276	2,276	266	13	
	Income	(717)	(538)	(36)	502	(983)	(983)	(266)	37	
	Net Expenditure	1,196	970	1,269	299	1,293	1,293	0	0	Vote Budget Manager: Stuart Johnson Budget Risk: Medium Date forecast last reviewed: 19.11.2012
G61 Children with Mental Health	Expenditure	1,581	1,065	763	(302)	1,368	1,368	(52)	(4)	
	Income	(34)	(26)	0	26	0	0	34	(100)	
	Net Expenditure	1,547	1,039	763	(276)	1,368	1,368	(18)	(1)	Vote Budget Manager: Bill Williams Budget Risk: Low Date forecast last reviewed: N/A
G62 Attendance & Welfare Serv	Expenditure	2,116	1,583	1,293	(290)	2,111	2,111	0	0	
	Income	(845)	(634)	(516)	118	(867)	(867)	(22)	3	
	Net Expenditure	1,271	949	777	(172)	1,244	1,244	(22)	(2)	Vote Budget Manager: David Hough Budget Risk: Low Date forecast last reviewed: 10.12.2012
H57 Family Support & Protectio	Expenditure	5,496	3,271	2,677	(594)	4,314	4,349	(12)	(0)	
	Income	(1,083)	0	0	0	0	0	0	0	
	Net Expenditure	4,413	3,271	2,677	(594)	4,314	4,349	(12)	(0)	Vote Budget Manager: Moksuda Uddin Budget Risk: Medium Date forecast last reviewed: 14.01.2013
H63 Family Intervention Service	Expenditure	0	864	1,078	214	2,283	1,833	681	59	
	Income	0	(809)	(436)	373	(2,209)	(1,762)	(684)	63	
	Net Expenditure	0	74	642	567	74	71	(3)	(4)	Vote Budget Manager: Nikki Bradley Budget Risk: Medium Date forecast last reviewed: 14.01.2013
G75 IT Social Care	Expenditure	705	407	377	(30)	544	544	2	0	
	Income	(347)	(260)	0	260	(347)	(347)	0	0	
	Net Expenditure	358	147	377	230	197	197	2	1	Vote Budget Manager: Andrew Cross Budget Risk: Low

CORPORATE MONTHLY BUDGET MONITORING - December : 7

FULL YEAR

**CHILDREN, SCHOOLS AND FAMILIES
(General Fund Budget)**

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance		Proposed mitigating action and dates
								(Latest Budget to Latest Forecast Outturn) £'000	%	
TOTAL FOR CHILDRENS SOCIAL CA	50,876 (4,657)	50,733 (4,783)	38,051 (3,591)	32,824 (1,546)	(5,227) 2,045	52,150 (6,369)	52,111 (6,665)	1,379 (1,881)	102 204	05.11.2012
Net Expenditure	46,218	45,950	34,460	31,278	(3,182)	45,781	45,446	(504)	(1)	Steve Liddicott
G37 Youth & Community Learning M&A - TRANSFERRED FROM YPC	269	269	202	144	(58)	237	237	(32)	(12)	
G65 Transformation Project	103	134	101	88	(13)	130	130	(4)	(3)	Mary Durkin Medium 21.11.2012
G71 Strategy & Policy	818	817	613	414	(199)	770	770	(47)	(6)	Anthony Walters Low 08.11.2012
CP	792	791	593	408	(185)	758	758	(33)	(4)	Layla Richards Low 11.01.2013
CP	605	604	453	339	(114)	590	590	(14)	(2)	Sasta Miah Low 11.01.2013
CP	605	604	453	339	(114)	590	590	(14)	(2)	Sasta Miah Low 11.01.2013
TOTAL FOR DIRECTOR'S SERVICES	1,795 (26)	1,824 (26)	1,369 (20)	985 (6)	(384) 14	1,727 (12)	1,727 (12)	(97) 14	(5) (54)	Isobel Cattermole
G79 CSF Resources Manageme	246 (47)	240 (47)	180 (35)	183 (28)	3 7	256 (55)	256 (55)	16 (8)	7 17	Kate Bingham Low 14.01.2013
G67 Commissioned Services	1,927 (1,257)	1,837 (1,170)	1,378 (878)	1,064 (311)	(314) 567	1,837 (1,170)	1,837 (1,170)	0 0	0 0	no forecast was submitted this month therefore last month's figures were used
G68 Major Government Grant Funding	670	667	500	753	253	667	667	0	0	Karen Badgery Low 22.11.2012
	0	0	0	0	0	0	0	0	0	David Tully Low 14.01.2013

CORPORATE MONTHLY BUDGET MONITORING - December : 7

FULL YEAR

**CHILDREN, SCHOOLS AND FAMILIES
(General Fund Budget)**

Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates

Variance (Latest Budget to Latest Forecast Outturn) %

Latest Forecast Outturn £'000

Previous Forecast Outturn £'000

Variance to Date £'000

Actual to Date £'000

Budget to Date £'000

Latest Budget £'000

Original Budget £'000

	Expenditure	Income	Net Expenditure	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %	Proposed mitigating action and dates
G70 Childrens Information Systems	291	0	291	290	218	184	(34)	300	300	10	
				0	0	(10)	(10)	(10)	(10)	(10)	
				291	218	174	(44)	290	290	0	Vote Budget Manager: Iqbal Vaza Budget Risk: Low Date forecast last reviewed: 15.01.2013
G72 Programme Management	175	0	175	174	131	100	(31)	167	167	(7)	
				0	0	0	0	0	0	0	
				175	131	100	(31)	167	167	(7)	Vote Budget Manager: John Mitchell Budget Risk: Low Date forecast last reviewed: 19.11.2012
G80 Information & Support Services	358	0	358	356	267	228	(39)	356	356	0	
				0	0	0	0	0	0	0	
				356	267	228	(39)	356	356	0	Vote Budget Manager: Chris Canty Budget Risk: Low Date forecast last reviewed: N/A
G82 Building Dev & Tech Service	6,553	6,983	(430)	6,983	5,237	6,731	1,494	6,524	6,983	459	
				(32)	(24)	0	24	(32)	(32)	0	
				6,521	5,213	6,731	1,518	6,492	6,951	459	Vote Budget Manager: Pat Watson Budget Risk: High Date forecast last reviewed: 07.12.2012
G82 Childrens Services Finance	949	183	766	941	706	631	(75)	983	983	42	
				(183)	(137)	(118)	19	(225)	(225)	(42)	
				766	569	513	(56)	758	758	0	Vote Budget Manager: David Tully Budget Risk: High Date forecast last reviewed: 14.01.2013
G83 CSF Human Resources GF	1,810	250	1,560	1,940	1,455	870	(585)	1,940	1,956	16	
				(380)	(285)	0	285	(380)	(380)	0	
				1,560	1,170	870	(300)	1,560	1,576	16	Vote Budget Manager: Mark Keeble Budget Risk: High Date forecast last reviewed: 19.10.2012
G86 Professional Dev Centre	685	594	91	688	516	533	17	718	734	16	
				(594)	(446)	(466)	(20)	(560)	(570)	(10)	
				91	70	67	(3)	158	164	6	Vote Budget Manager: Ciare Goodbody Budget Risk: Medium Date forecast last reviewed: 14.01.2013
G87 Contract Services	13,996	(13,996)	0	13,996	10,497	9,206	(1,291)	14,377	13,742	(635)	
				(13,996)	(10,497)	(7,952)	2,545	(14,377)	(13,742)	635	Catering surplus forecast of £500k to be transferred to DSG.
				0	0	1,254	1,254	0	0	0	Vote Budget Manager: Michael Hales Budget Risk: High Date forecast last reviewed: 14.01.2013
H82 Holding Account & Support Services	34	(86)	(52)	(86)	(90)	8,343	8,433	256	583	(778)	
				(39)	(224)	0	224	(259)	(259)	(13)	Forecast spend includes £31k for holding a/c deficits, £682k for prospective allocations of reserves and the offset of £590k for forecast overspends elsewhere in the department. The actual spend to date includes the central recharges waiting for reallocation.
				(73)	(314)	8,343	8,657	(3)	324	(184)	Vote Budget Manager: David Tully

CORPORATE MONTHLY BUDGET MONITORING - December : 7

FULL YEAR

**CHILDREN, SCHOOLS AND FAMILIES
(General Fund Budget)**

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %	Budget Risk: Date forecast last reviewed:
H87 Building & Technical Services	740	740	432	413	(19)	718	718	(22)	High 14.01.2013
Expenditure									
Income	(740)	(740)	(432)	(292)	140	(755)	(755)	(15)	
Net Expenditure	0	0	0	121	121	(37)	(37)	(37)	Neil Bartlett High 16.01.2013
TOTAL FOR CHILDRENS SERVICES RESOURCES	27,696	28,099	20,927	28,486	7,559	28,432	28,615	516	
Expenditure									
Income	(17,138)	(17,440)	(12,958)	(9,177)	3,781	(17,823)	(17,198)	242	
Net Expenditure	10,558	10,659	7,969	19,309	11,340	10,609	11,417	758	Kate Bingham
G91 Revenue Holding Accounts	17,594	17,594	13,196	13,415	219	17,457	17,594	0	
Expenditure									
Income	(17,594)	(17,594)	(13,196)	(6,320)	6,876	(17,457)	(17,594)	0	
Net Expenditure	0	0	0	7,095	7,095	0	0	0	David Tully Various 15.01.2013
G92 PCCN Pooled Budgets	0	0	0	0	0	0	0	0	
Expenditure									
Income									
Net Expenditure	0	0	0	0	0	0	0	0	Khalida Khan Low N/A
TOTAL FOR HOLDING ACCOUNTS	17,594	17,594	13,196	13,415	219	17,457	17,594	0	
Expenditure									
Income	(17,594)	(17,594)	(13,196)	(6,320)	6,876	(17,457)	(17,594)	0	
Net Expenditure	0	0	0	7,095	7,095	0	0	0	Steve Liddicott
TOTAL FOR CSF GENERAL FUND	144,938	143,173	107,238	106,198	(1,040)	146,104	144,544	1,371	
Expenditure									
Income	(61,461)	(61,660)	(46,131)	(21,784)	24,347	(63,785)	(63,549)	(1,889)	This represents the underspend on the Mayor's Bursary, with the remainder of the Directorate's budget balancing.
Net Expenditure	83,477	81,513	61,107	84,414	23,307	82,319	80,995	(518)	(1) Director: Isobel Cattermole
Energy Costs (excluding schools, tenants,	222	222	167	43	(124)	222	222	0	

2% to 5%
Amber
>5% Red

2% -

COMMUNITIES, LOCALITIES & CULTURE		Original Budget £'000	Latest Budget £'000	Budget to Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) £'000	%	Explanation of any variance that is considered to be significant and all variances greater than £,000	Proposed mitigating action and dates
E01 Management & Admin											
Expenditure	3,617	3,937	2,976	2,748	(228)	3,890	3,937	0	0	Variance to date reflects adjustments to support cost allocations	
Income	(3,617)	(3,662)	(2,746)	(2,655)	91	(3,615)	(3,662)	0	0		
Net Expenditure	0	275	230	93	(137)	275	275	0	0		Robin Beattie Low December 2012
E02 Olympics											
Expenditure	225	265	241	241	(24)	265	265	0	0		
Income	0	(40)	(40)	(45)	(5)	(40)	(40)	0	0		
Net Expenditure	225	225	225	196	(29)	225	225	0	0		Robin Beattie Low December 2012
Strategy & Resources Total											
Expenditure	3,842	4,202	3,241	2,989	(252)	4,155	4,202	0	0		
Income	(3,617)	(3,702)	(2,786)	(2,700)	86	(3,655)	(3,702)	0	0		
Net Expenditure	225	500	455	289	(166)	500	500	0	0		Robin Beattie Low December 2012
E10 Public Realm M&A											
Expenditure	719	718	539	509	(30)	718	718	0	0		
Income	(728)	(718)	(52)	(49)	3	(718)	(718)	0	0		
Net Expenditure	(9)	0	487	460	(27)	0	0	0	0		Jamie Blake Low December 2012
E12 Transportation & Highways											
Expenditure	11,134	11,564	5,374	8,161	2,787	11,306	11,564	0	0	Variance to date reflects timing issues in processing large value payments	
Income	(4,608)	(4,641)	(3,562)	(2,100)	1,462	(4,616)	(4,641)	0	0	with contractor and profling of depreciation	
Net Expenditure	6,526	6,923	1,812	6,061	4,249	6,690	6,923	0	0		Margaret Cooper High December 2012
E13 Clean & Green											
Expenditure	31,633	34,762	23,228	22,043	(1,185)	35,055	34,762	0	0	Variance to date reflects timing delays in processing high value invoices.	
Income	(7,103)	(7,357)	(4,749)	(4,534)	215	(7,612)	(7,357)	0	0		
Net Expenditure	24,530	27,405	18,479	17,509	(970)	27,443	27,405	0	0		Simon Baxter High December 2012
E23 Concessionary Fares											
Expenditure	7,968	8,576	6,248	6,158	(90)	8,576	8,576	0	0		
Income	0	(11)	(8)	(11)	(3)	(11)	(11)	0	0		
Net Expenditure	7,968	8,565	6,240	6,147	(93)	8,565	8,565	0	0		Jamie Blake Low December 2012
E24 Parking Control											
Expenditure	7,856	7,903	5,957	5,858	(99)	7,862	7,903	0	0		
Income	(7,856)	(7,903)	(11,639)	(11,639)	0	(7,662)	(7,903)	0	0		
Net Expenditure	0	0	(5,682)	(5,781)	(99)	0	0	0	0		Jamie Blake Low December 2012
Public Realm Total											
Expenditure	59,310	63,523	41,346	42,729	1,383	63,317	63,523	0	0		
Income	(20,293)	(20,630)	(20,010)	(18,333)	1,677	(20,619)	(20,630)	0	0		
Net Expenditure	39,017	42,893	21,336	24,396	3,060	42,698	42,893	0	0		Jamie Blake

COMMUNITIES, LOCALITIES & CULTURE

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) £'000	%	
E80 Safer Communities Management										
Expenditure	151	171	128	186	58	171	171	0		
Income	(155)	(171)	(128)	(116)	12	(155)	(171)	0		
Net Expenditure	(4)	0	0	70	70	16	0	0		Vote Budget Manager: Andy Bamber Budget Risk: Low Date forecast last reviewed: December 2012
E81 Community Safety Partnership, DV & HC										
Expenditure	2,425	2,589	1,466	1,078	(388)	2,588	2,589	0		
Income	(321)	(393)	(237)	(193)	44	(393)	(393)	0		
Net Expenditure	2,104	2,196	1,229	885	(344)	2,195	2,196	0		Variance to date due to timing issues on large payment to Metropolitan Police.
E83 Enforcement & Intervention										
Expenditure	2,434	2,337	1,717	1,850	133	2,335	2,337	0		
Income	(196)	(176)	(113)	(147)	(34)	(176)	(176)	0		
Net Expenditure	2,238	2,161	1,604	1,703	99	2,159	2,161	0		Vote Budget Manager: Emily Fierah-Reed Budget Risk: Medium Date forecast last reviewed: December 2012
E84 Drugs Action Team										
Expenditure	5,732	5,707	4,109	3,520	(589)	5,704	5,707	0		
Income	(4,161)	(4,161)	(3,794)	(3,621)	173	(4,161)	(4,161)	0		In year variances due to timing/budget profiling issues
Net Expenditure	1,571	1,546	315	(101)	(416)	1,543	1,546	0		Vote Budget Manager: Rachael Sadegh Budget Risk: Low Date forecast last reviewed: December 2012
E85 Env Commercial Services										
Expenditure	4,337	4,632	3,439	3,315	(124)	4,635	4,632	0		
Income	(1,345)	(1,674)	(1,430)	(1,716)	(286)	(1,674)	(1,674)	0		
Net Expenditure	2,992	2,958	2,009	1,599	(410)	2,961	2,958	0		Vote Budget Manager: Collin Perrins Budget Risk: Medium Date forecast last reviewed: December 2012
E80 Env Health Protection Services										
Expenditure	4,221	4,208	3,042	2,975	(67)	4,203	4,208	0		
Income	(922)	(986)	(651)	(621)	30	(986)	(986)	0		
Net Expenditure	3,299	3,222	2,391	2,354	(37)	3,217	3,222	0		Vote Budget Manager: Andrew Weaver Budget Risk: Medium Date forecast last reviewed: December 2012
E80 Youth & Connexions Service										
Expenditure	0	8,839	6,629	4,993	(1,636)	8,839	8,839	0		
Income	0	(3,296)	(2,472)	(320)	2,152	(3,296)	(3,296)	0		
Net Expenditure	0	5,543	4,157	4,673	516	5,543	5,543	0		In year variances due to timing/budget profiling issues
Safer Communities Total										
Expenditure	19,300	28,483	20,530	17,917	(2,613)	28,475	28,483	0		
Income	(7,100)	(10,857)	(8,825)	(6,734)	2,091	(10,841)	(10,857)	0		
Net Expenditure	12,200	17,626	11,705	11,183	(522)	17,634	17,626	0		Vote Budget Manager: Dinar Hossain Budget Risk: Medium Date forecast last reviewed: December 2012
										Service Head: Andy Bamber
E40 Divisional Management										
Expenditure	134	129	97	144	47	129	129	0		
Income	(134)	(129)	(97)	(114)	(17)	(129)	(129)	0		
Net Expenditure	0	0	0	30	30	0	0	0		Vote Budget Manager: Heather Bonfield Budget Risk: Low Date forecast last reviewed: December 2012
E41 Idea Stores										
Expenditure	8,401	8,162	5,986	6,187	201	8,167	8,162	0		
Income	(1,233)	(1,233)	(913)	(898)	15	(1,233)	(1,233)	0		
Net Expenditure	7,168	6,929	5,073	5,289	216	6,934	6,929	0		Variance to date due to timing/budget profiling issues
										Vote Budget Manager: Judith St John Budget Risk: Medium Date forecast last reviewed: December 2012

COMMUNITIES, LOCALITIES & CULTURE

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) £'000	%	
E42 Sports & Physical Activity										
Expenditure	3,892	4,058	3,404	3,601	197	4,044	4,058	0	0	Variance to date due to timing/budget profiling issues
Income	(338)	(379)	(66)	95	(161)	(379)	(379)	0	0	
Net Expenditure	3,554	3,679	3,338	3,696	358	3,665	3,679	0	0	Vote Budget Manager: Lisa Pottinger Budget Risk: High Date forecast last reviewed: December 2012
E43 Parks & Open Spaces										
Expenditure	3,153	3,282	2,425	2,675	250	3,263	3,282	0	0	Variance to date reflects timing of payment of invoices.
Income	(221)	(231)	(174)	(208)	(34)	(231)	(231)	0	0	
Net Expenditure	2,932	3,051	2,251	2,467	216	3,032	3,051	0	0	Vote Budget Manager: Michael Rowan Budget Risk: Medium Date forecast last reviewed: December 2012
E44 Arts & Events										
Expenditure	2,261	2,377	1,917	2,176	259	2,368	2,377	0	0	Variance to date reflects timing issues/profiling of event income
Income	(984)	(984)	(809)	(1,255)	(446)	(984)	(984)	0	0	
Net Expenditure	1,277	1,393	1,108	921	(187)	1,384	1,393	0	0	Vote Budget Manager: Steve Murray Budget Risk: Low Date forecast last reviewed: December 2012
E45 Mile End Park										
Expenditure	763	741	539	565	26	741	741	0	0	
Income	(763)	(741)	(562)	(735)	(173)	(746)	(741)	0	0	
Net Expenditure	0	0	(23)	(170)	(147)	(5)	0	0	0	Vote Budget Manager: Michael Rowan Budget Risk: Low Date forecast last reviewed: December 2012
E47 Lifelong Learning										
Expenditure	5,219	5,317	3,348	3,663	315	5,317	5,317	0	0	
Income	(3,553)	(3,553)	(187)	(165)	22	(3,553)	(3,553)	0	0	
Net Expenditure	1,666	1,764	3,161	3,498	337	1,764	1,764	0	0	Vote Budget Manager: Judith St John Budget Risk: Low Date forecast last reviewed: December 2012
E48 Community Languages										
Expenditure	0	1,093	819	695	(124)	1,093	1,093	0	0	Variance to date due to timing/budget profiling issues
Income	0	(306)	(230)	(252)	(22)	(306)	(306)	0	0	
Net Expenditure	0	787	589	443	(146)	787	787	0	0	Vote Budget Manager: Jamal Uddin Budget Risk: Low Date forecast last reviewed: December 2012
Cultural Services Total	23,823	25,159	18,535	19,706	1,171	25,122	25,159	0	0	
Net Expenditure	(7,226)	(7,556)	(3,038)	(3,532)	(494)	(7,561)	(7,556)	0	0	0 Service Head:
	16,597	17,603	15,497	16,174	677	17,561	17,603	0	0	Heather Bomfield
E71 Service Integration										
Expenditure	404	404	303	203	(100)	404	404	0	0	
Income	0	0	0	(35)	(35)	0	0	0	0	
Net Expenditure	404	404	303	168	(135)	404	404	0	0	Service Head Shazia Hussain Budget Risk: Medium Date forecast last reviewed: December 2012
Service Integration Total										

COMMUNITIES, LOCALITIES & CULTURE

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn)		Budget Risk:	Date forecast last reviewed:
								£'000	%		
E30 Fleet Management	922	922	651	1,279	628	1,422	1,422	500	54	Low	December 2012
Expenditure	(922)	(922)	(614)	(1,256)	(642)	(1,422)	(1,422)	(500)	54	Low	December 2012
Income	0	0	37	23	(14)	0	0	0	0	Low	December 2012
Net Expenditure	922	922	574	1,279	628	1,422	1,422	(500)	54	Low	December 2012
Variance to date reflects higher projected level of activity											
Variance to date reflects higher projected level of activity											
Vote Budget Manager: Margaret Cooper											
Budget Risk: Low											
Date forecast last reviewed: December 2012											
E31 Passenger Transport	4,937	4,937	3,599	3,442	(157)	5,137	4,937	0	0	Low	December 2012
Expenditure	(4,937)	(4,937)	(3,317)	(3,234)	83	(5,137)	(4,937)	0	0	Low	December 2012
Income	0	0	282	208	(74)	0	0	0	0	Low	December 2012
Net Expenditure	4,937	4,937	3,599	3,442	(157)	5,137	4,937	0	0	Low	December 2012
Variance to date due to timing differences with payment of invoices.											
Vote Budget Manager: Margaret Cooper											
Budget Risk: Low											
Date forecast last reviewed: December 2012											
E32 DSO Vehicle Workshop	456	456	342	308	(34)	456	456	0	0	Low	December 2012
Expenditure	(456)	(456)	(308)	(242)	66	(456)	(456)	0	0	Low	December 2012
Income	0	0	34	66	32	0	0	0	0	Low	December 2012
Net Expenditure	456	456	342	308	(34)	456	456	0	0	Low	December 2012
Variance to date due to timing differences with payment of invoices.											
Vote Budget Manager: Margaret Cooper											
Budget Risk: Low											
Date forecast last reviewed: December 2012											
E82 Street Trading	2,314	2,314	1,739	1,391	(348)	2,314	2,314	0	0	Medium	December 2012
Expenditure	(2,314)	(2,314)	(1,739)	(2,005)	(266)	(2,314)	(2,314)	0	0	Medium	December 2012
Income	0	0	0	0	(614)	0	0	0	0	Medium	December 2012
Net Expenditure	2,314	2,314	1,739	1,391	(348)	2,314	2,314	0	0	Medium	December 2012
Variance to date due to timing of raising quarterly invoices in advance to stall-holders.											
Vote Budget Manager: Gavin Dooley											
Budget Risk: Medium											
Date forecast last reviewed: December 2012											
TOTAL FOR COMMUNITIES, LOCALITIES & CULTURE	115,308	130,400	90,286	89,964	(322)	130,802	130,900	500	0		
Expenditure	(46,865)	(51,374)	(40,637)	(38,071)	2,566	(52,005)	(51,874)	(500)	1		
Income	68,443	79,026	49,649	51,893	2,244	78,797	79,026	0	0		
Net Expenditure	68,443	79,026	49,649	51,893	2,244	78,797	79,026	0	0	Director:	Stephen Halsey
Energy Costs (excluding schools, tenants, leaseholders)		751,526	590,945		(160,581)						

CORPORATE MONTHLY BUDGET MONITORING - December 2012

DEVELOPMENT & RENEWAL
(General Fund)

FULL YEAR

Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates

Variance (Latest Budget to Latest Forecast Outturn) %

Latest Forecast Outturn £'000

Previous Forecast Outturn £'000

Variance to Date £'000

Budget to Date £'000

Latest Budget £'000

Original Budget £'000

Expenditure

Income

Net Expenditure

Net Expenditure

	574	547	411	434	23	531	596	49	9	
	(347)	(316)	(237)	(103)	134	(398)	(389)	(73)	23	
	227	231	174	331	157	133	207	(24)	(10)	
	1,848	1,742	1,307	1,339	32	1,764	1,761	19	1	
	(1,967)	(1,967)	(1,475)	(1,525)	(50)	(2,117)	(2,083)	(116)	6	
	(119)	(225)	(168)	(186)	(18)	(353)	(322)	(97)	43	
	1,000	1,062	796	489	(307)	990	792	(270)	(25)	
	(1,000)	(1,073)	(805)	(459)	346	(990)	(689)	384	(36)	
	0	(11)	(9)	30	39	0	103	114	(1,036)	
	505	865	649	356	(293)	869	841	(24)	(3)	
	(287)	(817)	(613)	(449)	164	(817)	(896)	(69)	8	
	218	48	36	(93)	(129)	52	(45)	(93)	(194)	
	0	0	0	241	241	350	262	262	0	
	0	0	0	(113)	(113)	(350)	(261)	(261)	0	
	0	0	0	128	128	0	1	1	0	
	1,795	2,077	1,558	1,102	(456)	1,795	1,908	(169)	(8)	
	(90)	(366)	(275)	(83)	192	(90)	(366)	0	0	
	1,705	1,711	1,283	1,019	(264)	1,705	1,542	(169)	(10)	
	261	261	196	197	1	261	263	2	1	
	(48)	(48)	(36)	0	36	(48)	(48)	0	0	
	213	213	160	197	37	213	215	2	1	
	492		0	0	0	0	0	0	0	
	(430)		0	0	0	0	0	0	0	
	62	0	0	0	0	0	0	0	0	
	6,475	6,554	4,917	4,158	(759)	6,560	6,423	(131)	(26)	
	(4,169)	(4,587)	(3,441)	(2,732)	709	(4,810)	(4,722)	(135)	2	
	2,306	1,967	1,476	1,426	(59)	1,750	1,701	(489)	(24)	
J04 BC Revenue										
J06 Development Decisions										
K99 Building Control Trading Account										
J44 Application Support										
J45 Planning Projects & Initiative										
J46 Plan Making and Plan Delivery										
J47 PBC Management										
K98 Local Land Charges Account										
TOTAL FOR DEVELOPMENT & BUILDING CONTROL										

FULL YEAR

DEVELOPMENT & RENEWAL
(General Fund)

Explanation of any variance that is considered to be significant and all variances greater than £100k
Proposed mitigating action and dates

Original Budget £'000 Latest Budget £'000 Budget to Date £'000 Actual to Date £'000 Variance to Date £'000 Previous Forecast Outturn £'000 Latest Forecast Outturn £'000 Variance (Latest Forecast to Latest Forecast Outturn) £'000 %

Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Forecast to Latest Forecast Outturn) £'000	%	Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates
J08 Programmes and Projects Funding									
Expenditure	25	25	19	332	313	25	432	1,628	Various regeneration projects - which will be recharged to capital
Income	0	0	0	0	0	0	(415)	(100)	Reserves re: Ocean Regeneration Trust
Net Expenditure	25	25	19	332	313	25	17	(8)	Vote Budget Manager: Chris Holme Budget Risk: Low
J12 Resources									
Expenditure	2,158	2,051	1,538	1,882	344	2,158	2,549	498	Relating to one off project staff costs - funded by HRA and Capital
Income	(559)	(546)	(410)	(488)	(78)	(559)	(1,029)	(483)	Reserves drawdown to finance one off project spend, Recharges to capital for one off project costs
Net Expenditure	1,599	1,505	1,128	1,394	266	1,599	1,520	15	Vote Budget Manager: Chris Holme Budget Risk: Low
TOTAL FOR RESOURCES									
Expenditure	2,183	2,076	1,557	2,214	657	2,183	2,981	905	
Income	(559)	(546)	(410)	(488)	(78)	(559)	(1,444)	(898)	
Net Expenditure	1,624	1,530	1,147	1,726	579	1,624	1,537	7	0 Service Head: Chris Holme
J14 Management & Support Services									
Expenditure	1,425	1,855	1,392	215	(1,177)	1,855	1,813	(42)	Support services recharge to be re-allocated
Income	(20)	(20)	(15)	(37)	(22)	(20)	0	0	Recharge to HRA
Net Expenditure	1,405	1,835	1,377	178	(1,199)	1,835	1,793	(42)	Aman Dalvi Low
J16 Asset Management									
Expenditure	1,724	1,692	1,269	1,297	28	1,692	1,720	28	
Income	(643)	(643)	(482)	(280)	202	(643)	(593)	50	
Net Expenditure	1,081	1,049	787	1,017	230	1,049	1,127	78	Ann Sutcliffe Medium
J18 Olympics									
Expenditure	672	704	528	140	(388)	672	704	0	
Income	(87)	(114)	(85)	(9)	76	(87)	(123)	(9)	
Net Expenditure	585	590	443	131	(312)	585	581	(9)	Chris Holme Low
J20 Strategy, Regeneration and Sustainability									
Expenditure	7,528	7,507	5,630	4,279	(1,351)	7,505	7,942	435	Forecast also includes New Home Bonus £4.3m Transfer to Reserve to finance Decent Homes Capital programme.
Income	(1,737)	(1,737)	(1,303)	(934)	369	(1,737)	(1,950)	(213)	
Net Expenditure	5,791	5,770	4,327	3,345	(982)	5,768	5,992	222	Jackie Oduroye Medium

FULL YEAR

DEVELOPMENT & RENEWAL
(General Fund)

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast £'000	Latest Forecast £'000	Variance (Latest Budget to Latest Forecast) £'000	% Outturn	
J22 Housing Regeneration	368	368	276	329	53	368	445	77	21	Budget Risks: pressures on revenue due to costs of dealing with the capital asset portfolio – the on-going requirement for the Directorate to explore possible development opportunities has led to additional project feasibility and development costs being incurred.
Expenditure										
Income										
Net Expenditure	(420)	(420)	(315)	(17)	297	(420)	(472)	(52)	12	Service Head Jackie Oduoyo Budget Risk: Medium
J24 Employment & Enterprise	2,128	2,240	1,680	1,489	(191)	2,219	2,269	29	1	Additional project related costs - one off funded by Reserve, reflected in income
Expenditure										
Income	(1,145)	(1,170)	(878)	(454)	424	(1,145)	(1,197)	(27)	2	
Net Expenditure	983	1,070	802	1,035	233	1,074	1,072	2	0	Service Head Chris Holme Budget Risk: Low
J26 Lettings	2,610	2,566	1,924	1,697	(227)	2,610	2,273	(293)	(11)	Due to vacant posts
Expenditure										
Income	(1,480)	(1,480)	(1,110)	(1,003)	107	(1,480)	(1,337)	143	(10)	
Net Expenditure	1,130	1,086	814	694	(120)	1,130	936	(150)	(14)	Service Head Colin Cormack Budget Risk: Low
J30 BSF Programme	1,155	1,155	867	630	(237)	1,155	1,187	32	3	Project staff costs - recharged to BSF capital - this is reflected in the income
Expenditure										
Income	(940)	(940)	(705)	(551)	154	(940)	(972)	(32)	3	
Net Expenditure	215	215	162	79	(83)	215	215	0	0	Service Head Ann Sutcliffe Budget Risk: Medium
J32 Admin Buildings	20,136	20,070	15,053	15,681	628	20,033	20,164	94	0	Variance due to recharges will be processed and recharged, e.g., relating to NINDR & energy, recharges
Expenditure										
Income	(18,289)	(18,289)	(13,717)	(14,656)	(939)	(18,289)	(18,587)	(298)	2	
Net Expenditure	1,847	1,781	1,336	1,025	(311)	1,744	1,577	(204)	(11)	Service Head Ann Sutcliffe Budget Risk: Low
J34 Depots	371	262	196	305	109	283	413	151	58	
Expenditure										
Income	(459)	(459)	(344)	(244)	100	(459)	(551)	(92)	20	
Net Expenditure	(88)	(197)	(148)	61	209	(176)	(138)	59	(30)	Service Head Ann Sutcliffe Budget Risk: High
J40 Homeless & Housing Advice										Budget Risk: Pressures have arisen on the Bad Debts provision as a result of a lower recovery of rental income through the housing benefit system than historically budgeted. This has arisen from the introduction by the DWP of the new 'Automated Transfers to Local Authority System' (ATLAS II), which has resulted in client entitlement to benefits now being adjusted in real time.
Expenditure										
Income	31,274	31,274	23,455	23,160	(295)	31,274	31,940	666	2	
Net Expenditure	1,153	1,153	864	(13)	(877)	1,153	1,152	(1)	(0)	Vote Budget Manager: C.Cormack Budget Risk: High
TOTAL FOR DEVELOPMENT & RENEWAL	78,049	78,323	58,744	55,594	(3,150)	78,409	80,274	1,951	2	
Expenditure	(60,069)	(60,526)	(45,396)	(44,578)	817	(60,710)	(62,756)	(2,230)	4	
Net Expenditure	17,980	17,797	13,348	11,016	(2,333)	17,699	17,518	(279)	(2)	Director: Jackie Oduoyo

FULL YEAR

**DEVELOPMENT & RENEWAL
(General Fund)**

Explanation of any variance that is considered to be significant and all variances greater than £100k
Proposed mitigating action and dates

SERVICE TRANSFER TO/FROM OTHER DIRECTORATES

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast £'000	Latest Forecast £'000	Variance (Latest Forecast Outturn) £'000	%	
J48 Third Sector Team - transfer from CE	2,282	2,493	1,870	1,522	(348)	2,393	2,742	249	10	<p>Budget Risks: The employee costs exceeds the base budget that was inherited by the Directorate incorporates a shortfall in resources of approximately £200k, including staff numbers that exceed the establishment</p> <p>Vote Budget Manager: Chris Holme Budget Risk: High</p>
	(50)	(50)	(38)	(20)	18	(50)	(20)	30	(60)	
Net Expenditure	2,232	2,443	1,832	1,502	(330)	2,343	2,722	279	11	

REVISED TOTAL FOR DEVELOPMENT & RENEWAL

Expenditure	80,331	80,816	60,614	57,116	(3,498)	80,802	83,016	2,200	3	<p>Budget Risks: Third sector employee costs, potential forecast risks of £248k.</p> <p>Director: Aman Dalvi</p>
Income	(60,119)	(60,576)	(45,434)	(44,598)	836	(60,760)	(62,776)	(2,200)	4	
Net Expenditure	20,212	20,240	15,180	12,518	(2,662)	20,042	20,240	0	0	

Energy Costs
(excluding schools, tenants, leaseholders)

			395,767	345,700	(50,067)					<p>Include only Council's Admin buildings and Depot. These costs are recharged across the directorates as part of the accommodation costs</p>
--	--	--	---------	---------	----------	--	--	--	--	---

FULL YEAR

RESOURCES

Explanation of any variance that is considered to be significant and all variances greater than £100k
Proposed mitigating action and dates

	Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %		
								£'000	%	
R34 Internal Audit	814	805	604	671	67	805	805	0	0	0 The budget to date versus the actuals to date reflects accruals and audit contract expenditure to be incurred at year-end.
Expenditure	(817)	(817)	(613)	(691)	(78)	(817)	(817)	0	0	
Income	(3)	(12)	(9)	(20)	(11)	(12)	(12)	0	0	
Net Expenditure										Mimesh Jani Low 13/12/2012
R40 Risk Management	575	575	431	479	48	575	575	0	0	Vote Budget Manager: Budget Risk: Date forecast last reviewed:
Expenditure	(575)	(575)	(431)	(479)	(48)	(575)	(575)	0	0	Mimesh Jani Low 13/12/2012
Income	0	0	0	0	0	0	0	0	0	
Net Expenditure										
TOTAL FOR AUDIT & RISK	1,389	1,380	1,035	1,150	115	1,380	1,380	0	0	
Expenditure	(1,392)	(1,392)	(1,044)	(1,170)	(126)	(1,392)	(1,392)	0	0	
Income	(3)	(12)	(9)	(20)	(11)	(12)	(12)	0	0	0 Service Head:
Net Expenditure										Mimesh Jani
R36 Council Tax & NNDR	38,050	37,966	28,475	26,443	(2,032)	37,966	37,966	0	0	
Expenditure	(35,705)	(35,655)	(26,741)	(24,710)	2,031	(35,655)	(35,655)	0	0	
Income	2,345	2,311	1,734	1,733	(1)	2,311	2,311	0	0	
Net Expenditure										Roger Jones Medium 31/01/2013
R42 Debtors Income Service	910	898	674	644	(30)	898	898	0	0	
Expenditure	(910)	(910)	(683)	(696)	(13)	(910)	(910)	0	0	
Income	0	(12)	(9)	(52)	(43)	(12)	(12)	0	0	
Net Expenditure										Roger Jones Low 14/01/2013
R44 Cashiers	398	380	285	373	88	380	380	0	0	
Expenditure	(398)	(398)	(299)	(358)	(59)	(398)	(398)	0	0	
Income	0	(18)	(14)	15	29	(18)	(18)	0	0	
Net Expenditure										Roger Jones Low 14/01/2013
R48 Information Services	7,487	11,211	8,408	12,115	3,707	11,211	11,211	0	0	
Expenditure	(6,906)	(7,599)	(5,699)	(9,406)	(3,707)	(7,599)	(7,599)	0	0	
Income	0	0	0	0	0	0	0	0	0	0 Budget to date versus the actuals to date variance reflects anticipated expenditure to be incurred as the ICT contract progresses during 2012-13 and also repayments by Agilisys that will net this expenditure down.
Net Expenditure										Manjit Soroya Low 28/01/2013
R50 Customer Access	5,339	4,692	3,519	3,455	(64)	4,692	4,692	0	0	
Expenditure	(2,305)	(2,118)	(1,589)	(1,455)	134	(2,118)	(2,118)	0	0	
Income	3,034	2,574	1,930	2,000	70	2,574	2,574	0	0	
Net Expenditure										Claire Symonds Medium 21/01/2013
R54 Housing Benefits	249,924	249,924	187,443	198,835	11,392	250,924	250,924	1,000	40%	0 Projected net adjustment to housing benefits - £1M - due to changes in Housing Benefits subsidy at the start of the financial year affecting the levels of overpayments and their qualification for subsidy grant income.
Expenditure	(249,429)	(249,429)	(187,072)	(197,714)	(10,642)	(249,429)	(249,429)	0	0%	
Income	495	495	371	1,121	750	1,495	1,495	1,000		
Net Expenditure										Steve Hill Medium 31/01/2013
R58 Benefits Admin	7,251	7,151	5,363	6,066	703	7,151	7,151	0	0	
Expenditure	(6,216)	(6,216)	(4,662)	(5,365)	(703)	(6,216)	(6,216)	0	0	
Income	1,035	935	701	701	0	935	935	0	0	
Net Expenditure										Steve Hill Low 31/01/2013

Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates

RESOURCES

Variance (Latest Budget to Latest Forecast Outturn) %

	Original Budget £'000	Latest Budget £'000	Budget to Actual Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %	Vote Budget Manager:	Budget Risk:	Date forecast last reviewed:
R60 Reprographics	478	478	359	371	478	478	0	Steve Burr	Low	14/01/2013
Expenditure	(478)	(478)	(359)	(310)	(478)	(478)	0			
Income	0	0	0	61	0	0	0			
Net Expenditure	0	0	0	61	0	0	0			
R70 ICT Client	0	540	405	359	540	540	0	Manjit Soroya	Low	28/01/2013
Expenditure	0	540	405	359	540	540	0			
Income	0	0	0	(46)	0	0	0			
Net Expenditure	0	540	405	359	540	540	0			
TOTAL FOR CUSTOMER ACCESS & ICT	309,837	313,240	234,931	248,661	313,762	314,240	1,000			
Expenditure	(302,347)	(302,803)	(227,104)	(240,014)	(302,325)	(302,803)	0			
Income	7,490	10,437	7,827	8,647	11,437	11,437	1,000	Claire Symonds		
Net Expenditure	1,081	(1,081)	(811)	(912)	(1,081)	(1,081)	0			
R38 Procurement	0	193	145	(6)	193	193	0	Claire Symonds	Low	24/01/2013
Expenditure	0	193	145	(6)	193	193	0			
Income	0	0	0	0	0	0	0			
Net Expenditure	0	193	145	(6)	193	193	0			
R46 Payments	446	446	335	338	446	446	0	Paul Thorogood	Low	15/01/2013
Expenditure	(445)	(445)	(334)	(337)	(445)	(445)	0			
Income	1	1	1	1	1	1	0			
Net Expenditure	1	1	1	1	1	1	0			
TOTAL FOR PROCUREMENT & PAYMENTS	1,527	1,720	1,291	1,244	1,720	1,720	0			
Expenditure	(1,526)	(1,526)	(1,145)	(1,249)	(1,526)	(1,526)	0			
Income	1	184	146	(5)	194	194	0	Claire Symonds		
Net Expenditure	1	184	146	(5)	194	194	0			
R32 Corporate Finance	2,431	2,412	1,809	1,810	2,412	2,412	0	Alan Finch	Low	17/01/2013
Expenditure	(2,446)	(2,446)	(1,835)	(1,835)	(2,446)	(2,446)	0			
Income	(15)	(34)	(26)	(25)	(34)	(34)	0			
Net Expenditure	(15)	(34)	(26)	(25)	(34)	(34)	0			
R6 Non-Distributed Costs	255	255	191	191	255	255	0	Alan Finch	Low	17/01/2013
Expenditure	0	0	0	0	0	0	0			
Income	255	255	191	191	255	255	0			
Net Expenditure	255	255	191	191	255	255	0			
R76 Finance & HR Development	0	583	437	253	583	583	0	Paul Thorogood	Low	17/01/2013
Expenditure	0	(583)	(437)	(253)	(583)	(583)	0			
Income	0	0	0	0	0	0	0			
Net Expenditure	0	583	437	253	583	583	0			
TOTAL FOR CORPORATE FINANCE, NDC &	2,686	3,250	2,437	2,254	2,667	3,250	0			
Expenditure	(2,446)	(3,029)	(2,272)	(2,088)	(2,446)	(3,029)	0			
Income	240	221	165	166	221	221	0	Alan Finch & Paul Thorogood		
Net Expenditure	240	221	165	166	221	221	0			
R62 Business Development	965	492	369	3,857	492	492	0	Mohammed Zamam	Low	26/11/2012
Expenditure	0	0	0	(3,488)	0	0	0			
Income	965	492	369	3,857	492	492	0			
Net Expenditure	965	492	369	3,857	492	492	0			
TOTAL FOR BUSINESS DEVELOPMENT	965	492	369	3,857	492	492	0			
Expenditure	0	0	0	(3,488)	0	0	0			
Income	965	492	369	3,857	492	492	0	Alan Finch		
Net Expenditure	965	492	369	3,857	492	492	0			

RESOURCES

Explanation of any variance that is considered to be significant and all variances greater than £100k

Proposed mitigating action and dates

Variance (Latest Budget to Latest Forecast Outturn) £'000 %

	Original Budget £'000	Latest Budget £'000	Budget to Actual Date £'000	Actual to Variance Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) £'000 %	
R90 HR Strategy	967	1,000	750	719	1,000	1,000	0	
Expenditure	(968)	(968)	(726)	(726)	(968)	(968)	0	
Income	(1)	(32)	24	(7)	32	32	0	Simon Kilbey Low 16/01/2013
Net Expenditure	(969)	(999)	(702)	(733)	(936)	(936)	0	
R92 HR Consultancy	1,721	1,671	1,253	1,301	1,671	1,671	0	
Expenditure	(1,723)	(1,489)	(1,117)	(1,158)	(1,489)	(1,489)	0	
Income	(2)	182	136	143	182	182	0	Simon Kilbey Low 16/01/2013
Net Expenditure	(1,725)	(1,307)	(981)	(1,015)	(1,307)	(1,307)	0	
R94 HR Operations	4,678	4,573	3,430	3,772	4,573	4,573	0	
Expenditure	(4,672)	(4,716)	(3,537)	(3,887)	(4,716)	(4,716)	0	
Income	6	(143)	(107)	(8)	(143)	(143)	0	Simon Kilbey Low 16/01/2013
Net Expenditure	(4,666)	(4,859)	(3,644)	(3,895)	(4,859)	(4,859)	0	
R96 PAS Schemes	1,261	1,500	1,125	1,116	1,500	1,500	0	
Expenditure	(1,274)	(1,082)	(812)	(879)	(1,082)	(1,082)	0	
Income	(13)	418	313	237	418	418	0	Simon Kilbey Low 16/01/2013
Net Expenditure	(1,287)	(664)	(499)	(642)	(664)	(664)	0	
TOTAL FOR HR SERVICES	8,628	8,744	6,558	6,908	8,744	8,744	0	
Expenditure	(8,637)	(8,255)	(6,192)	(6,650)	(8,255)	(8,255)	0	
Income	(9)	489	366	258	489	489	0	Simon Kilbey
Net Expenditure	(8,646)	(7,766)	(5,826)	(6,392)	(7,766)	(7,766)	0	
R80 Directors Office	681	605	454	455	605	605	0	
Expenditure	(616)	(616)	(462)	(462)	(616)	(616)	0	
Income	65	(11)	(8)	(7)	(11)	(11)	0	Juno Begum Low 11/01/2013
Net Expenditure	(551)	(627)	(460)	(469)	(627)	(627)	0	
TOTAL HR RESOURCES	325,713	329,431	247,075	264,529	329,431	330,431	1,000	
Expenditure	(316,964)	(317,621)	(238,219)	(255,121)	(316,560)	(317,621)	0	
Net Expenditure	(91,251)	(88,190)	(91,144)	(90,602)	(86,129)	(87,190)	1,000	8 Director
Energy Costs (excluding schools, tenants, leaseholders)	0	0	0	0	0	0	0	

CORPORATE MONTHLY BUDGET MONITORING - December 2012

		FULL YEAR										Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates
CORPORATE COSTS & CAPITAL FINANCING		Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) %			
CORPORATE COSTS & CAPITAL FINANCING												
	Expenditure Income	15,855	13,309	9,765	16,048	6,283	12,151	13,309	0	0		
		(2,395)	(2,395)	(1,796)	(1,965)	(169)	(2,395)	(2,395)	0	0		
	Net Expenditure	13,460	10,914	7,969	14,083	6,114	9,756	10,914	0	0		
Contingency and Below the line items												
		(15,461)	(21,638)	(21,638)	0	21,638	(21,178)	(21,638)	0	0		
	Net Expenditure	(2,001)	(10,724)	(13,669)	14,083	27,751	(11,422)	(10,724)	0	0	0	A Finch
Energy Costs (excluding schools, tenants, leaseholders)												
				0	0	0	0	0				

This page is intentionally left blank

2% to 5% Amber
->5% Red

<2% Green
2% - 5% Amber
->5% Red

CORPORATE MONTHLY BUDGET MONITORING - DECEMBER 2012

RAG Status	Explanation of any variance that is considered to be significant and all variances greater than £100k Proposed mitigating action and dates	FULL YEAR											
		Original Budget £'000	Latest Budget £'000	Budget to Date £'000	Actual to Date £'000	Variance to Date £'000	Previous Forecast Outturn £'000	Latest Forecast Outturn £'000	Variance (Latest Budget to Latest Forecast Outturn) £'000	Variance (Previous & Latest Forecast Outturn) %	Variance (Latest Forecast Outturn) %		
DIRECTLY CONTROLLED INCOME BUDGETS													
	Dwelling & Non Dwelling Rents	(66,696)	(66,696)	(50,022)	(50,464)	(442)	(66,398)	(66,635)	61	0	0	Over 700 Right to Buy applications have been received in the first 9 months of 2012/13, and five sales have taken place. Further sales are anticipated in the last quarter of the year, and THH is forecasting that rental income will be lower than budgeted. RISK: If a large number of Right to Buy applications proceed to the sale stage over the remainder of the year there will be pressures on this budget.	0%
	Net Income	(66,696)	(66,696)	(50,022)	(50,464)	(442)	(66,398)	(66,635)	61	0	0	Vote Budget Manager: Tower Hamlets Homes Budget Risk: Low	
	Tenant & Leaseholder Service Charges	(16,861)	(16,861)	(15,170)	(15,844)	(674)	(17,271)	(17,430)	(569)	(0)	(0)	The 2011/12 actualisation process has been finalised, and leasehold service charge income is higher than originally anticipated when the budget was set.	0%
	Net Income	(16,861)	(16,861)	(15,170)	(15,844)	(674)	(17,271)	(17,430)	(569)	(0)	(0)	Vote Budget Manager: Tower Hamlets Homes Budget Risk: High	
INDIRECT INCOME BUDGETS													
	Investment Income Received	(190)	(190)	0	0	0	(190)	(156)	34	0	0		0%
	Net Income	(190)	(190)	0	0	0	(190)	(156)	34	0	0	Vote Budget Manager: Chris Holme Budget Risk: Low	
	General Fund Contributions	(166)	(166)	0	0	0	(115)	(115)	51	(31)	(31)		-31%
	Net Income	(166)	(166)	0	0	0	(115)	(115)	51	(31)	(31)	Vote Budget Manager: Chris Holme Budget Risk: Low	
	Total Income	(83,913)	(83,913)	(65,192)	(66,308)	(1,116)	(83,974)	(84,336)	(423)	(31)	(31)		0%
	Net Income	(83,913)	(83,913)	(65,192)	(66,308)	(1,116)	(83,974)	(84,336)	(423)	(31)	(31)		
DIRECTLY CONTROLLED EXPENDITURE BUDGETS													
	Repairs & Maintenance	21,410	21,410	16,014	16,893	879	21,567	21,771	361	0	0	It is forecast that there will be some small overspends on the Repairs budget, due to higher than anticipated expenditure on shops and the housing stock.	0%
	Net Expenditure	21,410	21,410	16,014	16,893	879	21,567	21,771	361	0	0	Vote Budget Manager: Tower Hamlets Homes Budget Risk: High	
	Supervision & Management	25,215	25,215	16,145	17,260	1,115	23,922	22,735	(2,480)	(4)	(4)	The year-end projected underspend arises as it is forecast that capital fee income recharged at year-end from capital to revenue will be higher than budgeted. Any underspends within this budget heading will enable revenue resources to be set aside to finance part of the non grant element of the Decent Homes capital programme, as agreed by Cabinet in September 2011 - this is reflected in the increased revenue contribution to capital outlay below. In addition, it is anticipated that during the current financial year the Authority will receive 'one-off' payments totalling approximately £0.5m in respect of the recovery of costs incurred as part of various stock transfers carried out a few years ago.	-4%
	Net Expenditure	25,215	25,215	16,145	17,260	1,115	23,922	22,735	(2,480)	(4)	(4)	Vote Budget Manager: Chris Holme Budget Risk: Low	

FULL YEAR

RAG Status

Explanation of any variance that is considered to be significant and all variances greater than £100k
Proposed mitigating action and dates

Variance (Previous & Latest Forecast Outturn) %

Variance (Latest Budget to Latest Forecast Outturn) %

Latest Forecast Outturn £'000

Previous Forecast Outturn £'000

Variance to Date £'000

Budget to Date £'000

Latest Budget £'000

Original Budget £'000

Special Services, Rent Rates & Taxes

Expenditure	17,109	17,109	10,700	9,061	(1,639)	16,690	16,678	(231)	(2)	0	It is forecast that the energy budget will underspend by £0.4m due to the fact that when this budget was set it was anticipated that 2012/13 gas & electricity prices would increase by between 20% and 40%, whereas in fact bulk gas prices in 2012/13 will be only 13% higher than in 2011/12, and bulk electricity will be 2% lower. This budget will continue to be closely monitored.
Net Expenditure	17,109	17,109	10,700	9,061	(1,639)	16,690	16,678	(231)	(2)	0	Vote Budget Manager: Tower Hamlets Homes Budget Risk: Medium

INDIRECT EXPENDITURE BUDGETS

Provision for Bad & Doubtful Debts	900	900	0	0	0	900	900	0	0	0	RISK: The first tranche of the Government's Welfare Reforms is already in effect, in relation to changes to non-dependant deductions and Working Tax Credits. Therefore there is a risk that rent collection arrears will increase as a result of these changes, leading to potential pressures on this budget at year-end.
Net Expenditure	900	900	0	0	0	900	900	0	0	0	Vote Budget Manager: Chris Holme Budget Risk: Medium

Capital Financing Charges

Expenditure	20,771	20,771	0	15,776	15,776	22,195	22,668	1,897	6	0	The projected overspend is due to the projection that 2012/13 non-dwellings depreciation will be higher than originally anticipated when the budget was set in February. This however, will be matched by a corresponding increase in the amount transferred from the Major Repairs Reserve (below). In addition, it is anticipated that a higher than budgeted revenue contribution to capital outlay will be made, as outlined in 'Supervision & Management' above.
Net Expenditure	20,771	20,771	0	15,776	15,776	22,195	22,668	1,897	6	0	Vote Budget Manager: Chris Holme Budget Risk: High

TOTAL EXPENDITURE

Expenditure	85,405	85,405	42,859	58,990	16,131	85,274	84,952	(453)	0	0	
Net Expenditure	85,405	85,405	42,859	58,990	16,131	85,274	84,952	(453)	0	0	

TOTAL NET

Total Net Expenditure	1,492	1,492	(22,333)	(7,318)	15,015	1,300	616	(876)	(31)	0	
------------------------------	--------------	--------------	-----------------	----------------	---------------	--------------	------------	--------------	-------------	----------	--

Contributions from Reserves

Income	(1,492)	(1,492)	0	0	0	(1,758)	(1,758)	(266)	18	0	The transfer from the Major Repairs Reserve will increase due to a higher than budgeted non-dwellings depreciation charge (see Capital Financing Charges above).
Net Expenditure	(1,492)	(1,492)	0	0	0	(1,758)	(1,758)	(266)	18	0	

TOTAL FOR HOUSING REVENUE ACCOUNT

Total Net Expenditure	(0)	(0)	(22,333)	(7,318)	15,015	(458)	(1,142)	(1,142)	(13)	0	Director: Aman Dalvi
------------------------------	------------	------------	-----------------	----------------	---------------	--------------	----------------	----------------	-------------	----------	-----------------------------

Capital Monitoring Q3

	All Years		In Year - 12/13						FY Total		All Years	
	Approved Budget	Spend to 31st March	Revised Budget 12/13	Spent to Q3	Projected Spend	Variance	% Spent Q3	Budget	Projected Spend	Variance		
	A £m	B £m	C £m	D £m	E £m	C - E £m	D/C %	H = F+G £m	I = B+E+H £m	A - I £m		
Children, Schools and Families	92.544	49.907	17.029	9.859	14.983	-2.047	58%	25.605	92.546	0.002		
Communities, Localities and Culture	62.528	42.860	13.007	7.038	11.630	-1.377	54%	6.661	62.529	0.001		
Development & Renewal	34.505	6.642	20.429	1.867	11.325	-9.104	9%	7.435	34.402	-0.103		
Building Schools for the Future	325.889	193.724	73.009	54.459	73.009	0.000	75%	59.156	325.889	0.000		
Resources/Chief Executive's	2.236	2.108	0.128	0.000	0.000	-0.128	0%	0.000	2.236	0.000		
Adults, Health and Wellbeing	0.840	0.158	0.242	0.063	0.202	-0.040	26%	0.440	0.840	0.000		
HRA	245.008	32.279	57.658	21.279	48.849	-8.809	37%	155.071	243.508	-1.500		
Corporate GF provision for schemes under development	30.000	0.000	0.000	0.000	0.000	0.000	0%	30.000	0.000	-30.000		
Grand Total	793.550	327.679	181.502	94.565	159.998	-21.505	52%	284.368	761.951	-31.599		

Quarter 3 Capital Monitoring 2012-13

Key: spend =less than 70% - Orange
 spend = between 70% & 100% - Green
 spend = over 100% - Red

Children, Schools & Families

	All Years		In Year - 12/13					FY Total		All Years		
	Approved Budget	Spend to 31st March	Revised Budget 12/13	Spend to Q3	Projected Spend	Projected Variance	% Spent Q3	REASONS FOR VARIANCES TO DATE	REASONS FOR PROJECTED VARIANCES	Budget	Projected Spend	Variance
	A	B	C	D	E	C - E	D/C	Please comment where % Budget Spent is outside the range 65-85%	Please comment where Projected Variance is £100k or greater, or >10% variance from budget (whichever is	H = F+G	I = B+E+H	A - I
£m	£m	£m	£m	£m	£m	£m	%			£m	£m	£m
Condition & Improvement	3.804	0.278	1.066	0.699	0.999	-0.067	66%			2.460	3.800	-0.004
Bishop Challoner - Community Facilities	0.600	-	0.600	-	-	-0.600	0%	Scheme not finalised due to number of parties involved. This project has been linked to Lukin Street land purchase.	Linked to land purchase, Lukin Street.	-	0.600	-
Bishop's Square	0.300	-	0.300	0.300	0.300	0.000	100%	One off payment was due and project is completed.		-	0.300	-
Basic Need/Expansion	62.674	25.951	13.576	8.469	13.114	-0.462	62%	Project commencement delayed and currently under development, expenditure will need to be carried forward to 13/14.	Expenditure will need to be carried forward to 13/14.	23.145	62.639	-0.035
Sure Start	3.731	3.705	0.026	0.019	0.025	-0.001	73%			-	3.730	-0.001
Primary Capital Programme	13.339	12.747	0.592	0.281	0.438	-0.154	48%	Projects completed - some final accounts to be agreed - awaiting contractor information.	Contractor information awaited. Payment will be made in 13/14.	-	13.371	0.032
Lukin Street land purchase from Network Rail	0.768	-	0.768	-	-	-0.768	0%	Land deal not yet completed. The project is linked to Bishop Challoner/Diocese of Westminster.	Land deal not yet completed.	-	0.768	-
Osmani - Redevelopment	4.566	4.559	0.007	0.016	0.016	0.009	245%	£15k income has been received from Football Foundation to cover expenditure.	Income received to cover over spent.	-	4.575	0.009
RCCO	0.061	0.051	0.010	-	0.010	-0.000	0%	Contractor in administration the budget is set aside to cover the provision for settlement.		-	0.061	-0.000
Short Breaks	0.213	0.180	0.034	0.034	0.034	0.000	100%	Final payments for 11/12 programme.		-	0.214	0.001
Youth Service (BMX Mile End)	0.601	0.549	0.052	0.040	0.047	-0.005	78%			-	0.601	0.000
ICT	-	-	-	-	-	-	N/A			-	-	-
Other	1.887	1.887	-0.000	-	-	0.000	0%			-	1.887	0.000
CSF TOTAL	92.544	49.907	17.029	9.859	14.983	-2.047	58%			25.605	92.546	0.002

Key: spend = less than 70% - Orange
 spend = between 70% & 100% - Green
 spend = over 100% - Red

	All Years		In Year - 12/13					FY Total		All Years		
	Approved Budget	Spend to 31st March	Revised Budget 12/13	Spend to Q3	Projected Spend	Projected Variance	% Spent Q3	REASONS FOR VARIANCES TO DATE	REASONS FOR PROJECTED VARIANCES	Budget	Projected Spend	Variance
	A	B	C	D	E	C - E	D / C	Please comment where % Budget Spent is outside the range 65-85%	Please comment where Projected Variance is £.100k or greater, or >10% variance from budget (whichever is	H = F+G	I = B+E+H	A - I
£m	£m	£m	£m	£m	£m	£m	%			£m	£m	£m
Transport												
TfL schemes including safety, cycling and walking	14.600	8.419	4.023	1.915	4.023	0.000	48%	Schemes progressing as per programme.		2.157	14.599	-0.001
Public Realm improvements	0.943	0.933	0.010	0.009	0.009	-0.001	98%	Works Complete.		-	0.942	-0.001
Highway improvement programme	3.000	-	1.000	0.962	1.000	-	96%	Works Complete, awaiting final invoices.		2.000	3.000	-
Developers Contribution	3.252	1.373	0.901	0.372	0.810	-0.091	41%	Schemes progressing as per programme.	Schemes programmed for 2013/14.	0.978	3.250	-0.002
OPTEMS	1.055	0.060	0.491	0.022	0.342	-0.149	4%	Works commissioned to study carried out by Ringway Jacobs as per programme from OPTEMS.	Works will be programmed in 2013/14 after outcome of the study.	0.504	1.056	0.001
Hackney Wick & Fish Island improvements	0.210	-	0.210	0.050	0.210	-	24%	Scheme progressing as per programme.		-	0.210	-
Transport Total	23.060	10.786	6.634	3.330	6.394	-0.240	50%			5.639	23.058	-0.002
Parks												
Millwall Park/Island Gardens	0.206	0.201	0.005	0.002	0.005	0.000	32%	Scheme progressing as per programme.		-	0.206	0.000
Poplar Park	0.200	0.157	0.044	-	0.002	-0.042	0%	Awaiting planning approval.	Awaiting planning approval.	-	0.201	0.001
Schoolhouse Lane Multi Use Ball Games Area	0.100	0.093	0.007	-	-	-0.007	0%	Retention held for any defect and to be completed in 13/14.	Snagging works to be completed in 13/14.	-	0.100	-0.000
Bethnal Green improvements	0.478	0.448	0.030	-	0.030	0.000	0%	Scheme progressing as per programme.		-	0.478	0.000
Victoria Park Masterplan	10.298	8.916	1.382	1.030	1.382	0.000	75%			-	10.298	0.000
Victoria Park - Changing Block Extension & Upgrade	0.325	-	0.325	-	-	-0.325	0%	S106 Funds identified for the works to be completed in Q4.	S106 Funds identified for the works to be completed in Q4.	-	0.325	-
Cotton Street Open Space Landscape improvements	0.097	0.097	-	-	-	-	N/A			-	0.097	0.000
Pennyfields	0.046	-	0.046	-	0.046	-	0%	Delays due to site unavailable until February 2013. Works will be delivered in Q4.		-	0.046	-
Parks Total	11.750	9.913	1.838	1.032	1.465	-0.373	56%			-	11.752	0.002

Key: spend = less than 70% - Orange
 spend = between 70% & 100% - Green
 spend = over 100% - Red

	All Years		In Year - 12/13					FY Total		All Years		
	Approved Budget	Spend to 31st March	Revised Budget 12/13	Spend to Q3	Projected Spend	Projected Variance	% Spent Q3	REASONS FOR VARIANCES TO DATE	REASONS FOR PROJECTED VARIANCES	Budget	Projected Spend	Variance
	A	B	C	D	E	C - E	D / C	Please comment where % Budget Spent is outside the range 65-85%	Please comment where Projected Variance is £.100k or greater, or >10% variance from budget (whichever is	H = F+G	I = B+E+H	A - I
£m	£m	£m	£m	£m	£m	£m	%			£m	£m	£m
Culture and major projects												
Brady Centre	0.245	0.243	0.002	0.001	0.002	- 0.000	59% !	Retention payments to be made as soon as the defects rectified.		-	0.245	0.000
Tennis courts	0.116	0.089	0.026	0.014	0.026	- 0.000	55% !	Retention payments to be made.		-	0.115	-0.001
Mile End Leisure Centre - Security Enhancements	0.199	0.198	0.002	-	0.002	0.000	0% !	Retention payments to be made.		-	0.200	0.001
Bartlett Park	0.035	-	0.035	-	0.035	-	0% !	Manged with TfL scheme, progressing as per programme		-	0.035	-
Mile End Stadium Track resurfacing	0.244	0.173	0.072	0.066	0.072	0.000	92% ✔	Retention payments to be cleared.		-	0.245	0.001
Public Art Projects	0.250	-	0.250	0.007	0.010	- 0.240	3% !	Delays due to change in project manager. Location to be agreed with the developer		-	0.250	-
Mile End Park Capital	0.219	0.114	0.040	0.020	0.040	0.000	50% !	Scheme progressing as per programme		0.065	0.219	0.000
Bancroft Library	0.145	-	0.145	-	0.080	- 0.065	0% !	Delays in appointing the preferred bidder. Further funds still to be identified and PID to be written.		-	0.145	-
Bancroft Library Phase 2b	0.500	0.031	0.469	0.055	0.086	- 0.383	12% !	Delays in appointing the preferred bidder.		-	0.500	-0.000
Watney Market Ideas Store	4.151	1.386	2.766	2.058	2.765	- 0.001	74% ✔			-	4.151	-0.000
Culture - LPP	0.255	0.246	0.008	-	0.009	0.001	0% !	Delays in appointing the preferred bidder. The scheme is jointly managed with Phase 2 of Bancroft Library.		-	0.255	0.000
Major Projects - LPP	18.067	17.973	0.095	0.064	0.095	0.000	67% !	Scheme progressing as per programme.		-	18.068	0.001
Banglatown Art Trail & Arches	2.020	1.403	0.025	0.004	0.025	-	17% !	Scheme progressing as per programme.		0.592	2.020	-
Culture and Major projects total	26.446	21.855	3.935	2.290	3.247	- 0.688	58% !			0.657	26.447	0.001

Key: spend = less than 70% - Orange
 spend = between 70% & 100% - Green
 spend = over 100% - Red

	All Years		In Year - 12/13					FY Total		All Years		
	Approved Budget	Spend to 31st March	Revised Budget 12/13	Spend to Q3	Projected Spend	Projected Variance	% Spent Q3	REASONS FOR VARIANCES TO DATE	REASONS FOR PROJECTED VARIANCES	Budget	Projected Spend	Variance
	A	B	C	D	E	C - E	D / C	Please comment where % Budget Spent is outside the range 65-85%	Please comment where Projected Variance is £.100k or greater, or >10% variance from budget (whichever is	H = F+G	I = B+E+H	A - I
£m	£m	£m	£m	£m	£m	£m	%			£m	£m	£m
Other												
CCTV Improvement and Enhancement	0.300	-	0.300	0.276	0.300	-	92% ✔	Scheme progressing as per programme.		-	0.300	-
Generators @ Mulberry Place & Anchorage Hse	0.250	0.239	0.011	0.002	0.011	0.000	14% !	Works on hold due to dispute with contractor.		-	0.250	-0.000
Litter Bins	0.150	-	0.150	0.109	0.150	-	72% ✔			-	0.150	-
Essential Health & Safety	0.280	0.017	0.063	-	0.063	0.000	0% !	Works to Chicksand due to commence shortly and expected to be completed in Q4.		0.200	0.280	0.000
Contaminated land survey and works	0.291	0.050	0.077	-	-	-0.077	0% !	Revised Project plan following Strategy approval at Cabinet.		0.165	0.292	0.000
Other Total	1.271	0.306	0.600	0.387	0.524	-0.076	64% !			0.365	1.272	0.001
CLC TOTAL	62.528	42.860	13.007	7.038	11.630	-1.377	54% !			6.661	62.529	0.001

Key: spend = less than 70% - Orange
 spend = between 70% & 100% - Green
 spend = over 100% - Red

[Development & Renewal](#)

	All Years		In Year - 12/13					FY Total		All Years		
	Approved Budget	Spend to 31st March	Revised Budget 12/13	Spend to Q3	Projected Spend	Projected Variance	% Spent Q3	REASONS FOR VARIANCES TO DATE	REASONS FOR PROJECTED VARIANCES	Budget	Projected Spend	Variance
	A	B	C	D	E	C - E	D / C	Please comment where % Budget Spent is outside the range 65-85%	Please comment where Projected Variance is £.100k or greater, or >10% variance from budget (whichever is	H = F+G	I = B+E+H	A - I
£m	£m	£m	£m	£m	£m	£m	%			£m	£m	£m
Millennium Quarter	0.491	0.007	0.384	0.054	0.384	-0.000	14%	Section 106 Funded Scheme. Expenditure is expected to be in line with the budget by the end of the financial year.		0.100	0.491	-0.000
Bishops Square	0.264	0.114	0.150	-0.000	0.004	-0.146	0%	Section 106 Funded Scheme. No further expenditure is expected to be incurred in 2012-13, with resources slipping into 2013-14.		-	0.264	0.000
Town Centre & High Street Regeneration	0.208	0.061	0.147	-	0.147	0.000	0%	English Heritage and Section 106 Funded Scheme. Expenditure is expected to be in line with the budget by the end of the financial year.		-	0.208	0.000
Whitechapel Centre	0.067	0.062	0.005	0.007	0.007	0.002	136%	Final phase payments have been made which slightly exceed the anticipated budget by approximately £2,000.		-	0.069	0.002
Regional Housing Pot	7.080	0.850	3.230	0.083	0.110	-3.120	3%	Cabinet approved the proposed grant funded contract for the St Clement's Hospital site with the GLA in September 2012. Development partners have now been procured, however planning permission is still being sought. Once approved, in accordance with the grant contract with the GLA, the funding of £5.5 million will be released to the GLA. This is now expected to be early in the 2013-14 financial year.		3.000	7.080	0.000
Affordable Housing Measures	5.675	-	2.900	-	-	-2.900	0%	Potential schemes are being evaluated. February 13 2013. Cabinet will consider a scheme to utilised £1.7 million of these allocated resources.		2.775	5.675	-
High Street 2012	8.453	3.701	4.653	0.929	2.194	-2.459	20%	The High Street 2012 project is now scheduled to be completed by December 2013. Resources have been slipped accordingly in agreement with the external funding partners.		0.100	8.453	-0.000
Disabled Facilities Grant	3.440	0.991	0.989	0.649	0.989	-0.000	66%	The final outturn is expected to be in line with the budget. The spend to date (66%) is consistent with the profile of the grant commitments that have been entered into.		1.460	3.440	-0.000
Private Sector Improvement Grant	1.300	0.785	0.515	0.144	0.190	-0.325	28%	Lower than anticipated demand for funding. Resources are ringfenced to finance these grants and will therefore be slipped into 2013-14, along with any commitments.		-	1.300	-0.000

Key: spend = less than 70% - Orange
 spend = between 70% & 100% - Green
 spend = over 100% - Red

	All Years			In Year - 12/13					FY Total		All Years	
	Approved Budget	Spend to 31st March	Revised Budget 12/13	Spend to Q3	Projected Spend	Projected Variance	% Spent Q3	REASONS FOR VARIANCES TO DATE	REASONS FOR PROJECTED VARIANCES	Budget	Projected Spend	Variance
	A	B	C	D	E	C - E	D / C	Please comment where % Budget Spent is outside the range 65-85%	Please comment where Projected Variance is £100k or greater, or >10% variance from budget (whichever is	H = F+G	I = B+E+H	A - I
£m	£m	£m	£m	£m	£m	£m	%			£m	£m	£m
Genesis Housing	0.363	-	0.363	-	0.363	-	0%	It is anticipated that the Local Authority Grant payment to Gemini Housing Group will be fully paid in 2012-13. The contribution will be paid in accordance with HCA grant conditions.		-	0.363	-
Installation of Automatic Energy Meters	0.200	0.051	0.149	0.001	0.045	-0.104	1%	The scheme is projected to underspend, although further costs are anticipated to be incurred prior to March 2013. The overall scheme is being reviewed with the potential that unapplied resources can be made available to fund other priorities.		-	0.096	-0.104
Facilities Management (DDA)	0.074	0.021	0.053	-	0.002	-0.051	0%	No further expenditure expected to be incurred in 2012-13. However, commitments will be carried forward into 2013-14.		-	0.074	-0.000
New Energy Efficiency Programme	0.190	-	0.190	-	0.190	-	0%	Energy audits of key buildings have identified required energy saving measures with full expenditure to be incurred by the end of the financial year in accordance with grant conditions.		-	0.190	-
Bromley by Bow Station Upgrade - Section 106	3.500	-	3.500	-	3.500	-	0%	Section 106 resources to be passported to Transport for London. Funds are expected to be transferred by 1 March 2013.		-	3.500	-
Wellington Way Health Centre - Section 106	3.200	-	3.200	-	3.200	-	0%	Section 106 resources to be passported to NHS. Planning permission is awaited with funds expected to be transferred by 31 March 2013.		-	3.200	-
D&R TOTAL	34.505	6.642	20.429	1.867	11.325	-9.104	9%			7.435	34.402	-0.103

Key: spend = less than 70% - Orange
 spend = between 70% & 100% - Green
 spend = over 100% - Red

	All Years		In Year - 12/13					FY Total		All Years		
	Approved Budget	Spend to 31st March	Revised Budget 12/13	Spend to Q3	Projected Spend	Projected Variance	% Spent Q3	REASONS FOR VARIANCES TO DATE	REASONS FOR PROJECTED VARIANCES	Budget	Projected Spend	Variance
	A	B	C	D	E	C - E	D / C	Please comment where % Budget Spent is outside the range 65-85%	Please comment where Projected Variance is £.100k or greater, or >10% variance from budget (whichever is	H = F+G	I = B+E+H	A - I
£m	£m	£m	£m	£m	£m	£m	%			£m	£m	£m
BSF Design and Build Schemes	300.978	184.388	68.494	51.433	68.495	0.001	75%			49.771	302.654	1.677
ICT infrastructure schemes	21.000	8.045	3.512	2.500	3.512	0.000	71%			8.413	19.970	-1.030
Wave 5 BSF (previously LPP)	3.911	1.290	1.003	0.527	1.002	-0.001	53%	Expected to be in line with overall budget by year end.		0.972	3.264	-0.647
BSF Total	325.889	193.724	73.009	54.459	73.009	-0.000	75%			59.156	325.889	-0.000

[Buildings Schools for the Future](#)

Key: spend = less than 70% - Orange
 spend = between 70% & 100% - Green
 spend = over 100% - Red

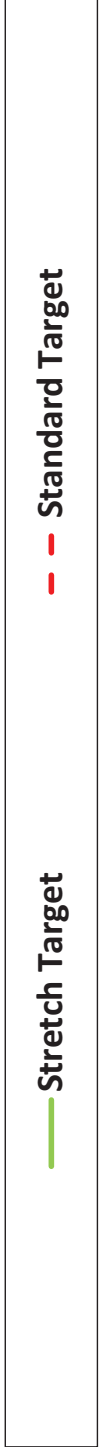
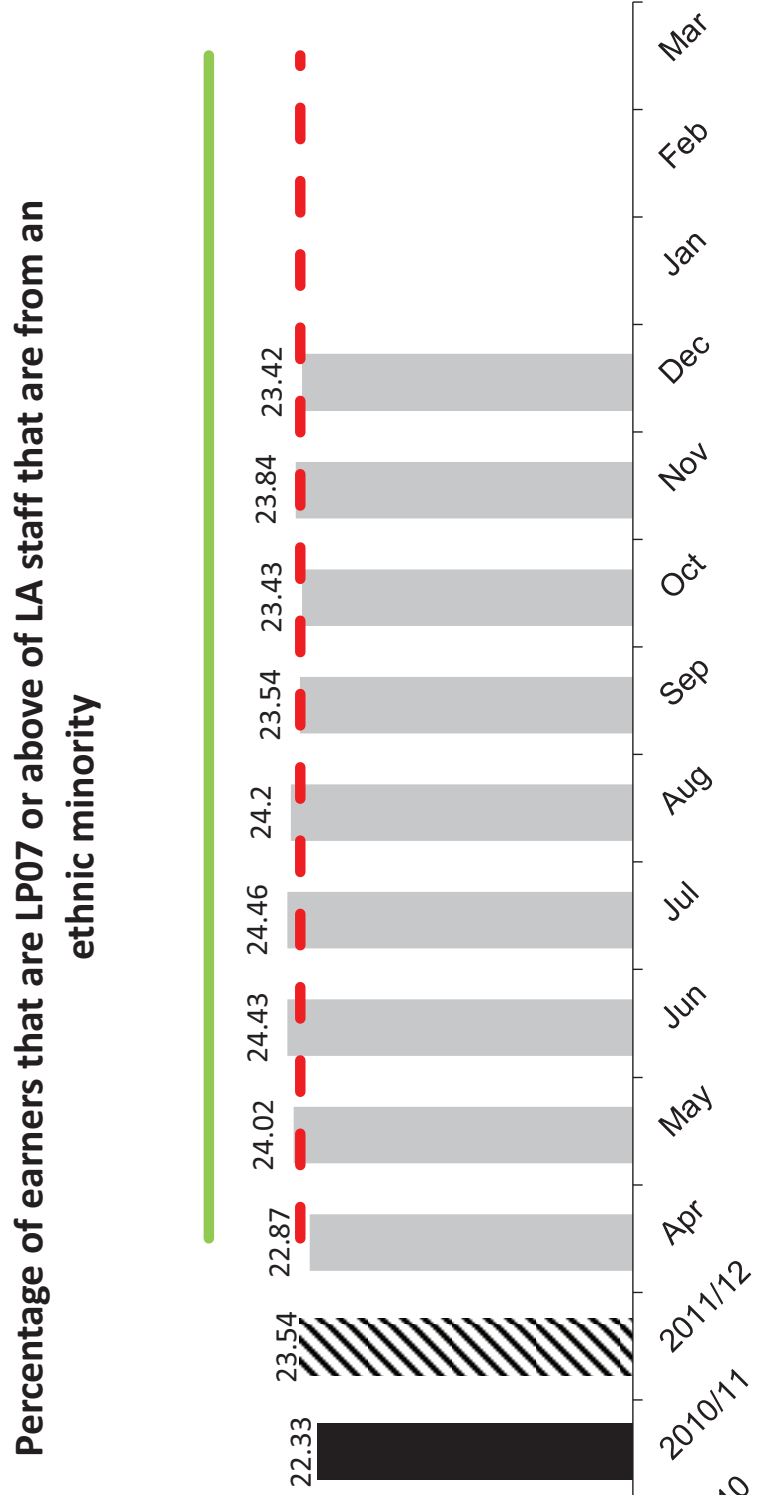
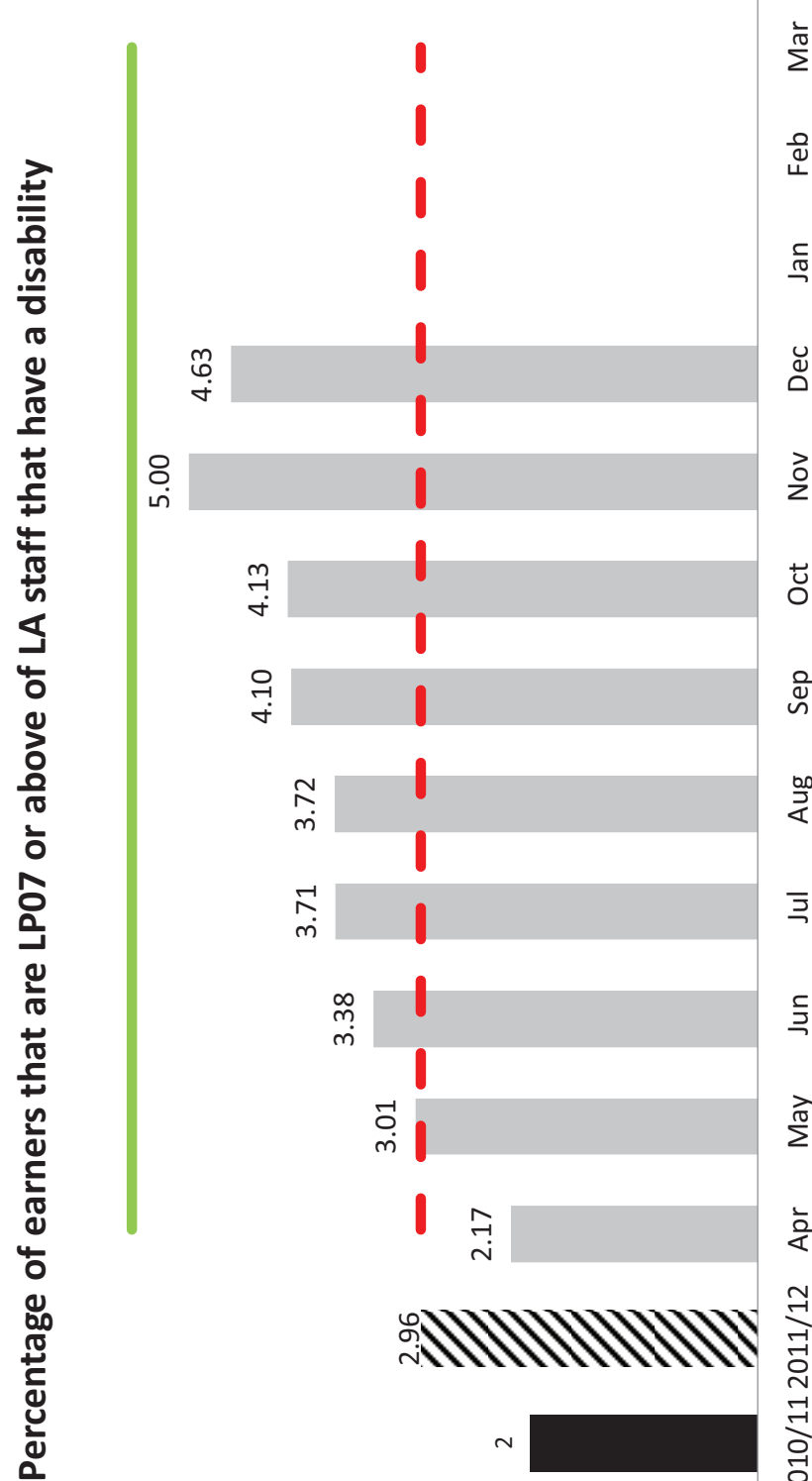
[Housing Revenue Account](#)

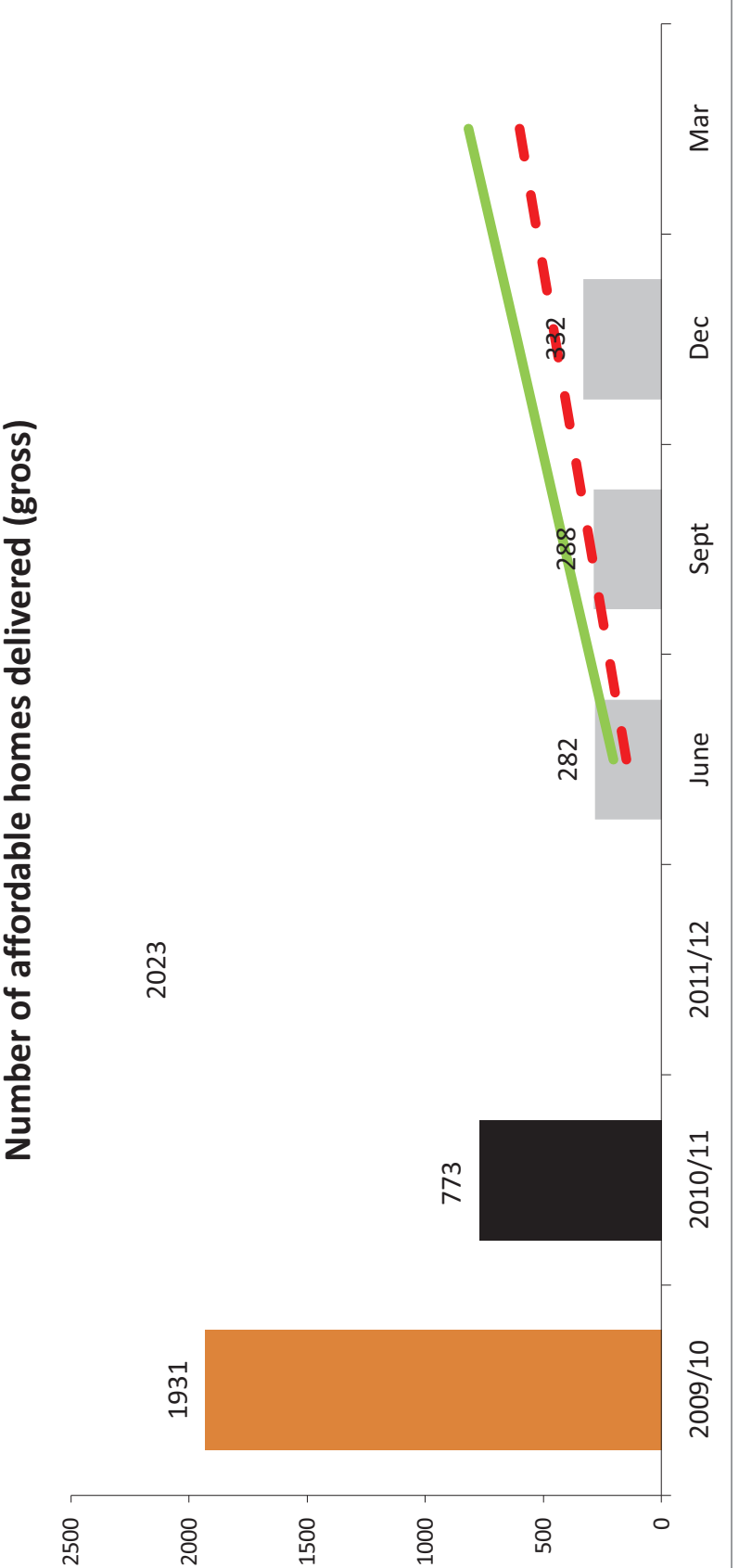
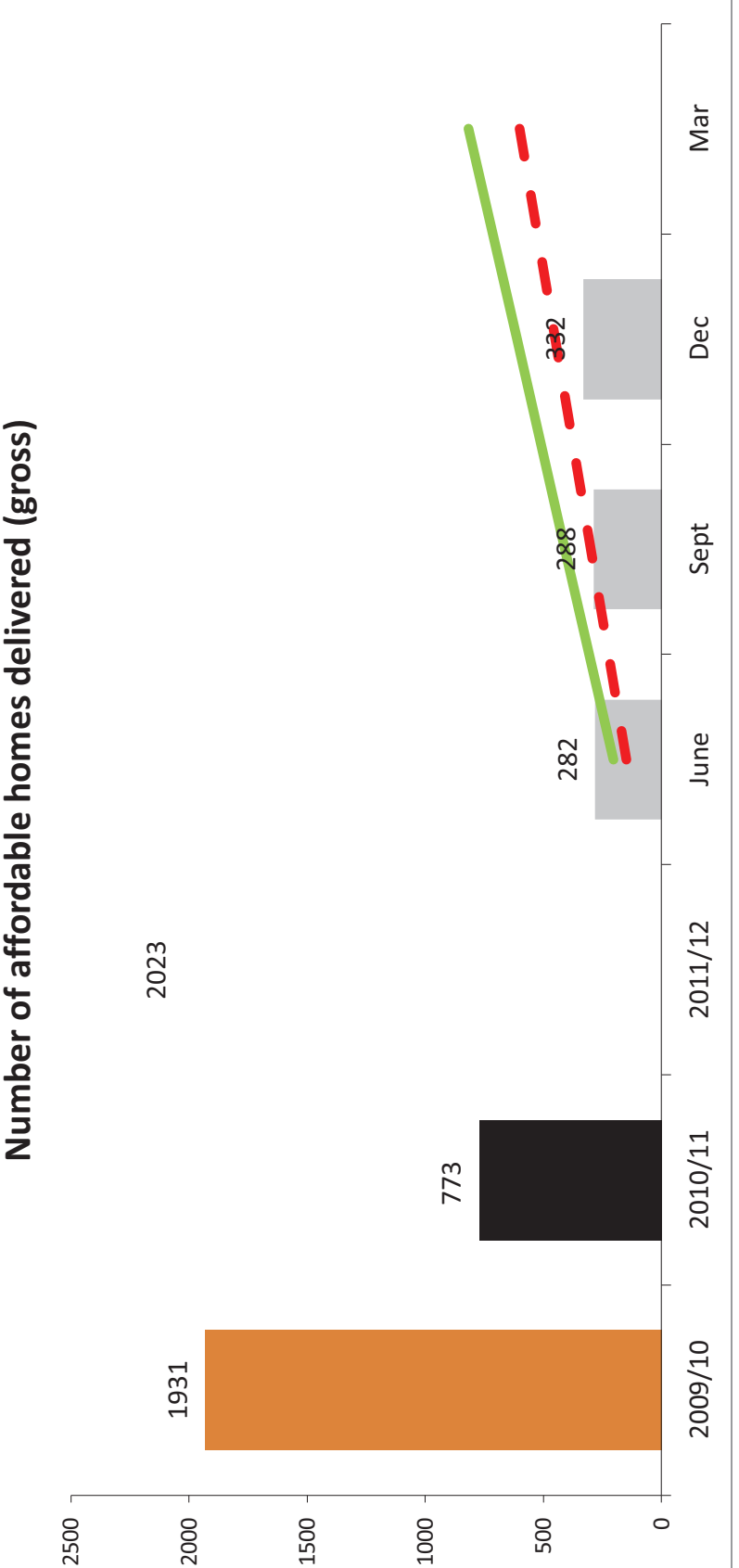
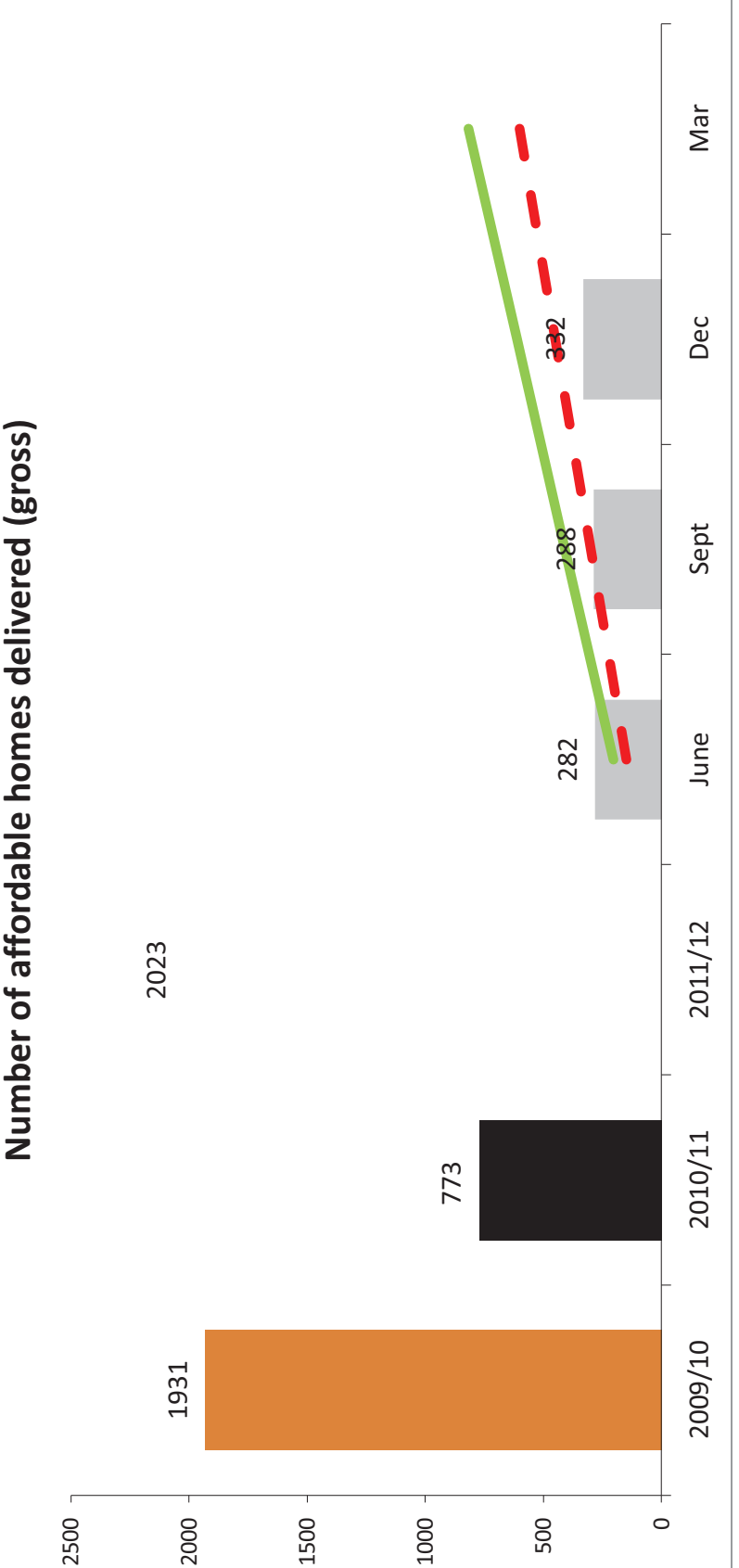
	All Years		In Year - 12/13					FY Total		All Years		
	Approved Budget	Spend to 31st March	Revised Budget 12/13	Spend to Q3	Projected Spend	Projected Variance	% Spent Q3	REASONS FOR VARIANCES TO DATE	REASONS FOR PROJECTED VARIANCES	Budget	Projected Spend	Variance
	A	B	C	D	E	C - E	D / C	Please comment where % Budget Spent is outside the range 65-85%	Please comment where Projected Variance is £100k or greater, or >10% variance from budget (whichever is)	H = F+G	I = B+E+H	A - I
£m	£m	£m	£m	£m	£m	£m	%			£m	£m	£m
Decent Homes Backlog	42.021	14.227	19.020	12.027	19.020	- 0.000	63%	Please comment where % Budget Spent is outside the range 65-85%	Please comment where Projected Variance is £100k or greater, or >10% variance from budget (whichever is)	8.774	42.021	- 0.000
Housing Capital Programme	25.797	8.220	17.578	1.653	13.400	- 4.178	9%	Expenditure in the first three quarters has met the requirements of the GLA to maximise grant funding (£11 million in total for 2012-2013). However, changes to the procurement process has meant that expenditure during 2012-13 has had to be reprofiled with a realistic spend in the range of £19.020 million. Apart from the GLA grant element, the resources are not time limited and will be carried forward into later years of the programme, and it is anticipated that works carried forward will be undertaken early in 2013-14.		-	24.298	- 1.499
Ocean Estate Regeneration	19.006	-	12.819	6.752	11.700	- 1.119	53%	Slippage of schemes into 2013-14, including the delay of the Lister and Treeves Houses decent homes works. In addition, the budget includes a contingency of £1 million which is not likely to be fully utilised.		6.187	19.006	0.000
Notional Residual Decent homes Capital Profiling - In Development	107.470	-	-	-	-	-	N/A	Due to delay in Ocean programme, works scheduled to 2012-13 will complete in QTR 1 of 2013-14. There is expected slippage of expenditure into 2013-14.		107.470	107.470	-
Resources available - Non Decent homes Schemes to be developed	31.726	-	1.673	-	1.673	-	0%	Cabinet in January 2013 approved the adoption of Capital Estimates totalling £71 million for the year 3 and 4 decent homes programme. These approvals will be incorporated into future monitoring returns.		30.053	31.726	-
Council Housebuilding Initiative	4.568	4.012	0.556	- 0.162	0.556	0.000	-29%	The final contract sum is being negotiated with the contractor, with final payment anticipated before March 2013.		-	4.568	- 0.000
Blackwall Reach	14.420	5.821	6.012	1.008	2.500	- 3.512	17%	This budget relates to the repurchase of leasehold properties within the Blackwall Reach area. On-going negotiations are taking place to acquire properties, but the resources are flexible between years and can be reprofiled as necessary.		2.587	14.420	- 0.000
HRA Total	245.008	32.279	57.658	21.279	48.849	- 8.809	37%			155.071	243.508	- 1.500

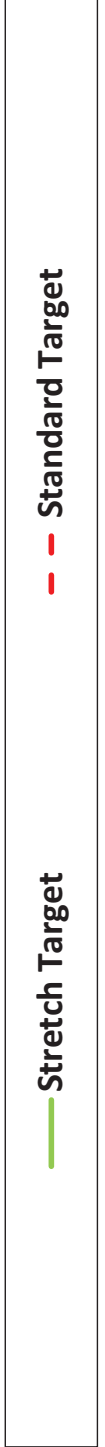
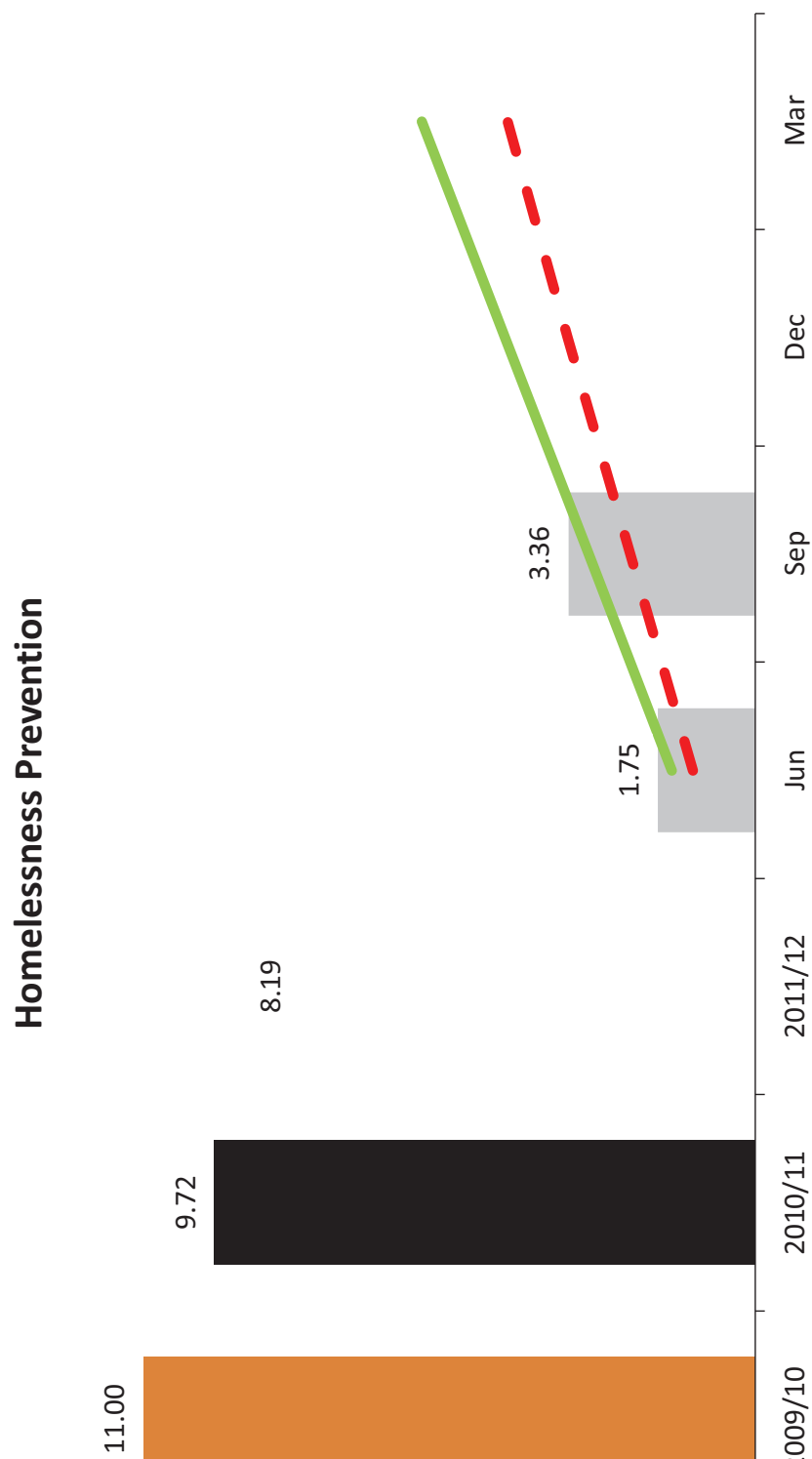
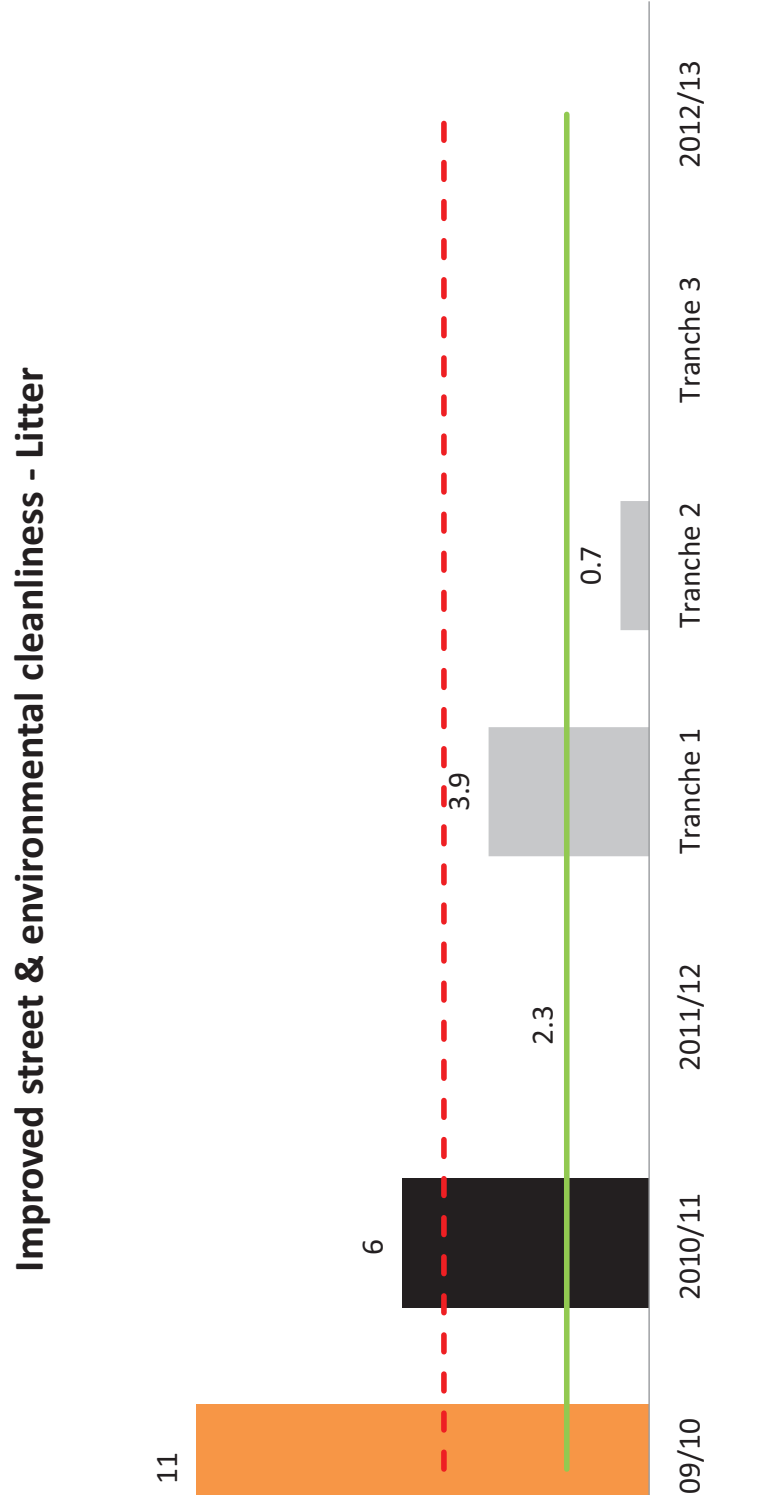
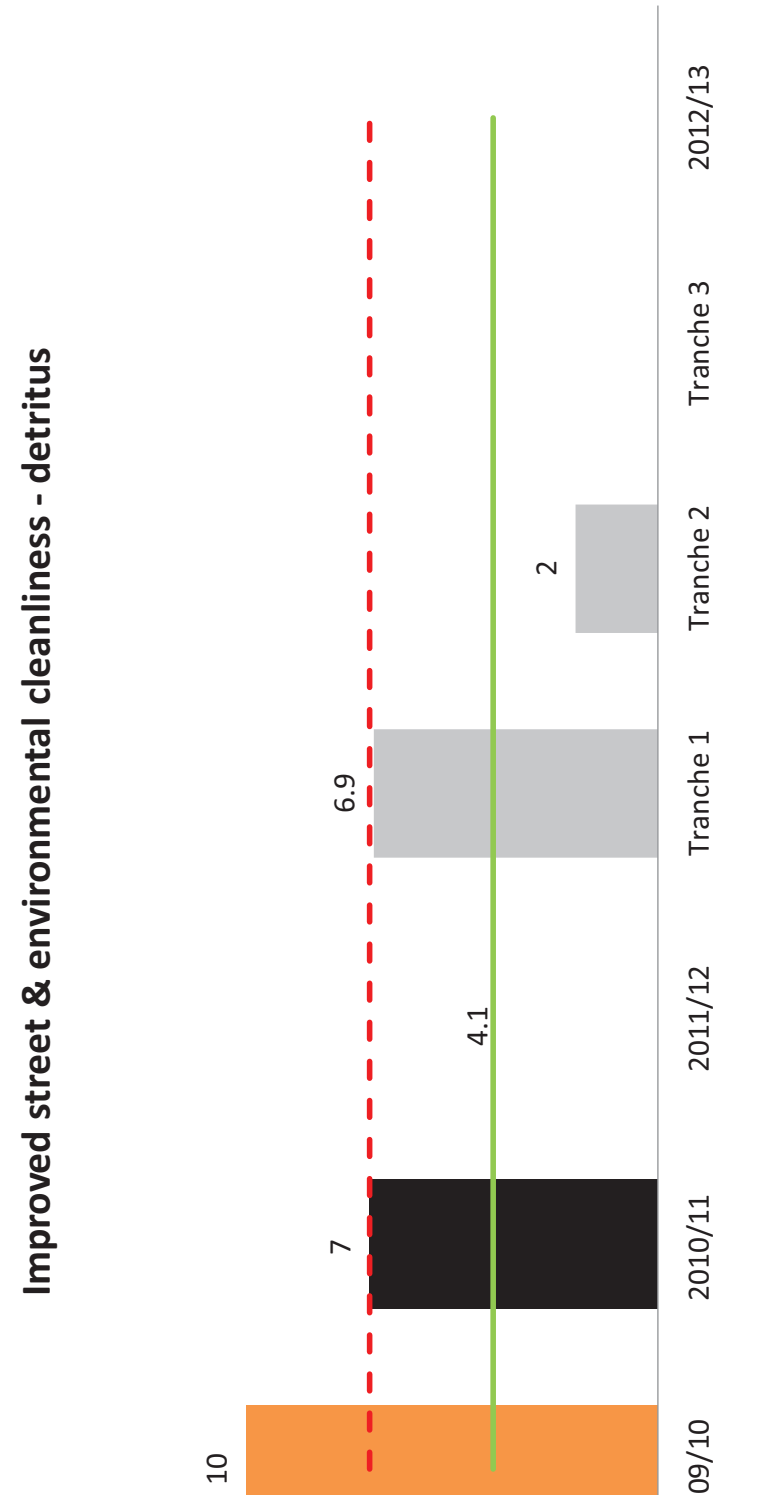
Key: spend = less than 70% - Orange
 spend = between 70% & 100% - Green
 spend = over 100% - Red

	All Years				In Year - 12/13				FY Total	All Years			
	Approved Budget	Spend to 31st March	Revised Budget 12/13	Spend to Q3	Projected Spend	Projected Variance	% Spent Q3	REASONS FOR VARIANCES TO DATE		REASONS FOR PROJECTED VARIANCES	Budget	Projected Spend	Variance
	A	B	C	D	E	C - E	D / C	Please comment where % Budget Spent is outside the range 65-85%		Please comment where Projected Variance is £100k or greater, or >10% variance from budget (whichever is	H = F+G	I = B+E+H	A - I
	£m	£m	£m	£m	£m	£m	%			£m	£m	£m	
Resources & Chief Exec's													
ICT - Software Licences	0.862	0.862	-0.000	-	-	0.000	0%			-	0.862	0.000	
Priority Service Remediation /Backup Expansion	0.220	0.092	0.128	-	-	-0.128	0%	Cost this year is being funded from elsewhere, further work is required in 2013-14. This fund will be fully utilised.		-	0.220	0.000	
Accommodation Strategy	1.154	1.154	-0.000	-	-	0.000	0%			-	1.154	0.000	
TOTAL CHIEF EXEC/RESOURCES	2.236	2.108	0.128	-	-	-0.128	0%			-	2.236	0.000	
Adults Health & Wellbeing													
Mental health services	0.137	0.080	0.057	0.010	0.057	0.000	18%	Budget committed December 2012. Actual expenditure met by March 2013.		-	0.137	0.000	
Safety checks	-	-	-	-	-	-	N/A			-	-	-	
Improving the Care Home Environment for Older People	0.020	-	0.020	0.017	0.020	-	84%			-	0.020	-	
Efficiency Project - System/technology	0.078	0.078	-	0.011	-	-	N/A			-	0.078	0.000	
Tele Care/Telehealth Equipment	0.300	-	0.100	0.025	0.060	-0.040	25%	The project go-live date was postponed from June to November 2012 to avoid the Olympics period. This resulted in an underspend on the new range of assistive technology devices.		0.200	0.300	-	
Ronald Street Roof Replacement	0.065	-	0.065	-	0.065	-	0%	Delays on programming due to structural investigations. Roof replacement programmed to start 21st Jan - complete 22nd Feb. Expenditure met by March 2013.		-	0.065	-	
Development of Learning Disability Hubs	0.240	-	-	-	-	-	N/A			0.240	0.240	-	
AHWP TOTAL	0.840	0.158	0.242	0.063	0.202	-0.040	26%			0.440	0.840	0.000	
Corporate GF provision for Schemes under development	30.000	-	-	-	-	-	N/A			30.000	-	-30.000	
Total	793.550	327.679	181.502	94.565	159.998	-21.505	52%			284.368	761.951	-31.599	

Description		Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)								
One Tower Hamlets														
<p>Customer Access Overall Satisfaction</p> <p>Measured in: % Good Performance: Higher</p>	<table border="1"> <caption>Customer Access Overall Satisfaction</caption> <thead> <tr> <th>Year</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>2010/11</td> <td>87</td> </tr> <tr> <td>2011/12</td> <td>90.48</td> </tr> </tbody> </table>	Year	Value	2010/11	87	2011/12	90.48	92	92	90.48	AMBER	↔		
Year	Value													
2010/11	87													
2011/12	90.48													
<p>The month-on-month upward trend noted in September has been sustained to give an improved figure of 90.48% satisfaction for the October-December quarter. Satisfaction survey take-up remains high and further staff training initiatives in the fourth quarter should see a continuation of this trend.</p>														
<p>Number of working days/shifts lost to sickness absence per employee (nr)</p> <p>Measured in: Number (the aggregate of working days lost due to sickness absence divided by the average number of FTE staff) Good Performance: Lower</p>	<table border="1"> <caption>Number of working days/shifts lost to sickness absence per employee</caption> <thead> <tr> <th>Year</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>8.8</td> </tr> <tr> <td>2010/11</td> <td>7.9</td> </tr> <tr> <td>2011/12</td> <td>7.17</td> </tr> </tbody> </table>	Year	Value	2009/10	8.8	2010/11	7.9	2011/12	7.17	6.5	6.5	7.17	RED	↔
Year	Value													
2009/10	8.8													
2010/11	7.9													
2011/12	7.17													
<p>This output is the latest available and relates to November data. This is 0.68 days above the target of 6.5 days and an increase of 0.04 days compared to the previous month. Short term absence has increased from 3.52 to 3.59 days and long term has decreased from 3.61 to 3.58 days.</p> <p>The number of days lost to sickness absence per employee has stabilised. The Corporate and Directorate Absence Management Panels will continue to develop local targets for service areas in order to ensure sickness cases are dealt with consistently and robustly. Specific action is being developed in respect of sickness returns. Sickness reporting and sickness management are areas which are being looked at as part of the adoption of improved HR IT systems.</p> <p>Tower Hamlets is in the top quartile in London for this indicator.</p>														
<p>Percentage of LP07 or above Local Authority staff that are women (%)</p> <p>Measured in: % Good Performance: Higher</p>	<table border="1"> <caption>Percentage of LP07 or above Local Authority staff that are women</caption> <thead> <tr> <th>Year</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>50</td> </tr> <tr> <td>2010/11</td> <td>46.34</td> </tr> <tr> <td>2011/12</td> <td>48.23</td> </tr> </tbody> </table>	Year	Value	2009/10	50	2010/11	46.34	2011/12	48.23	50	50	46.91	RED	↔
Year	Value													
2009/10	50													
2010/11	46.34													
2011/12	48.23													
<p>Although this quarter shows an increase from 46.21% in the previous quarter, performance remains below target. It is planned that the Navigate programme, the new career development initiative, will positively impact on performance. Following recent recruitment, 54% of those successfully nominated to the management development pool were women.</p>														

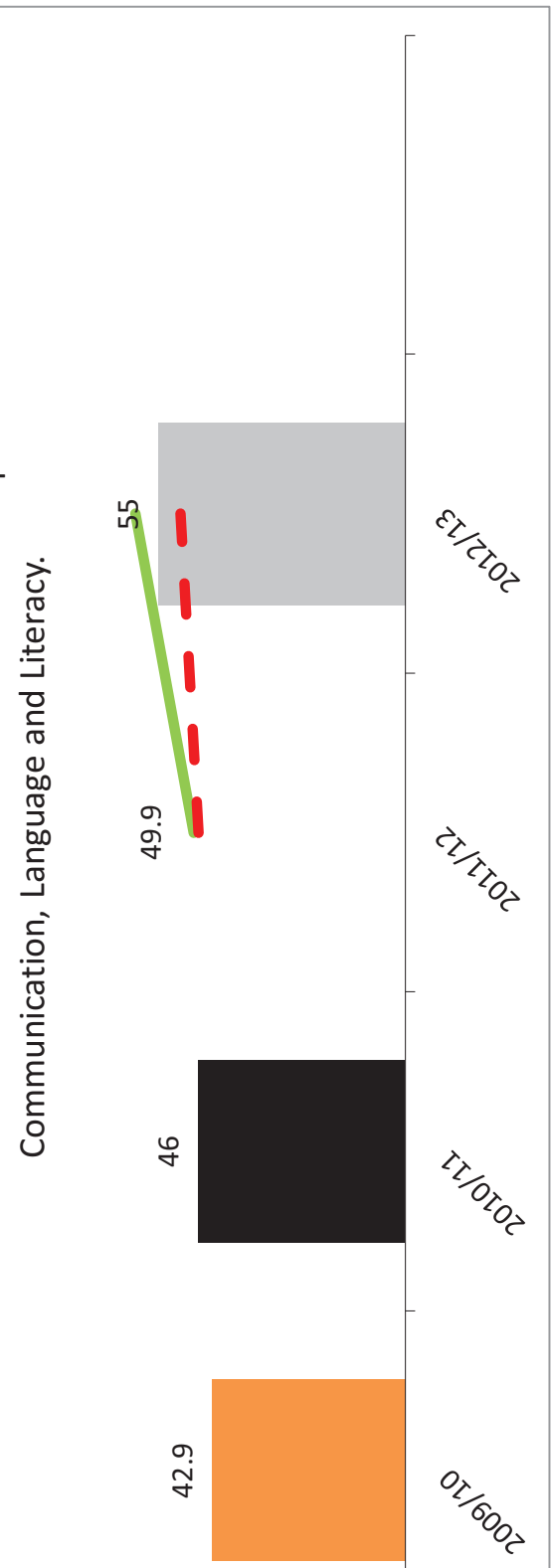
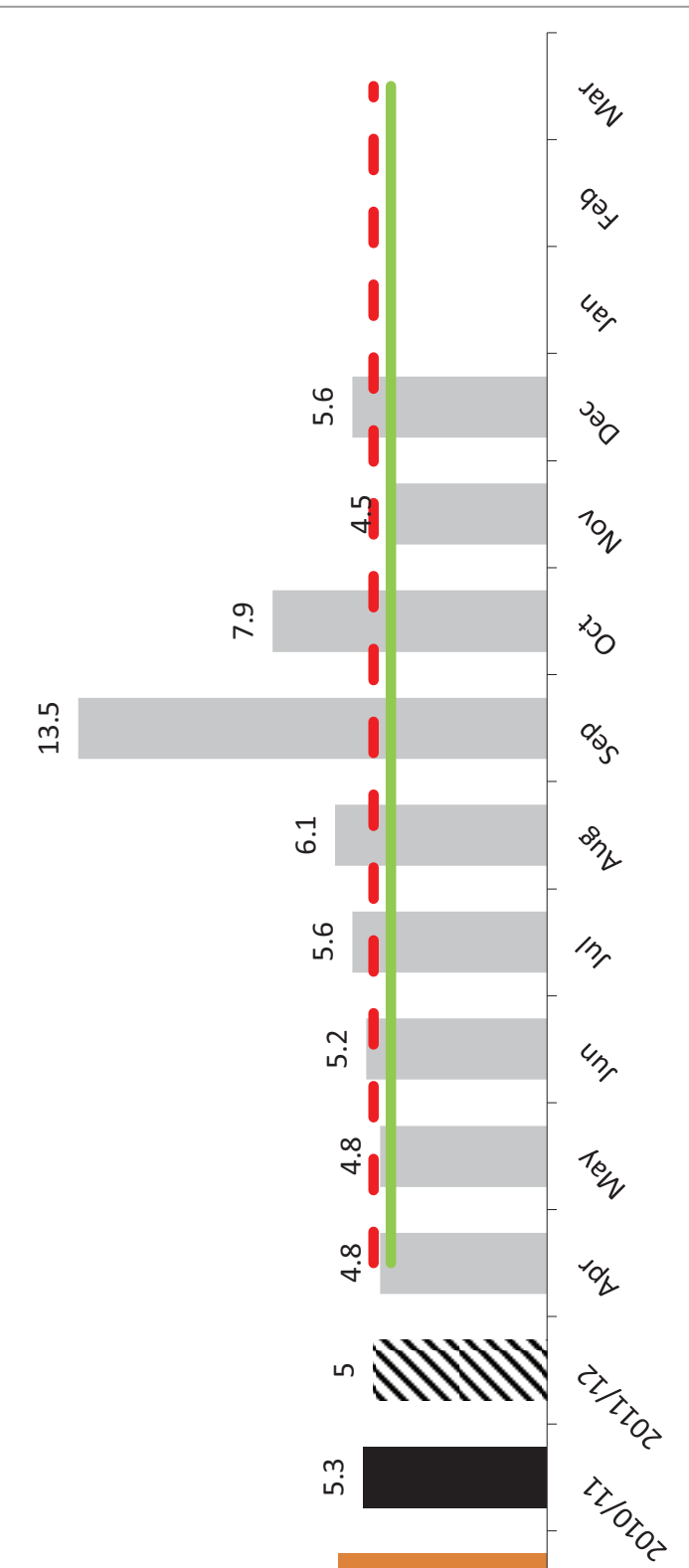
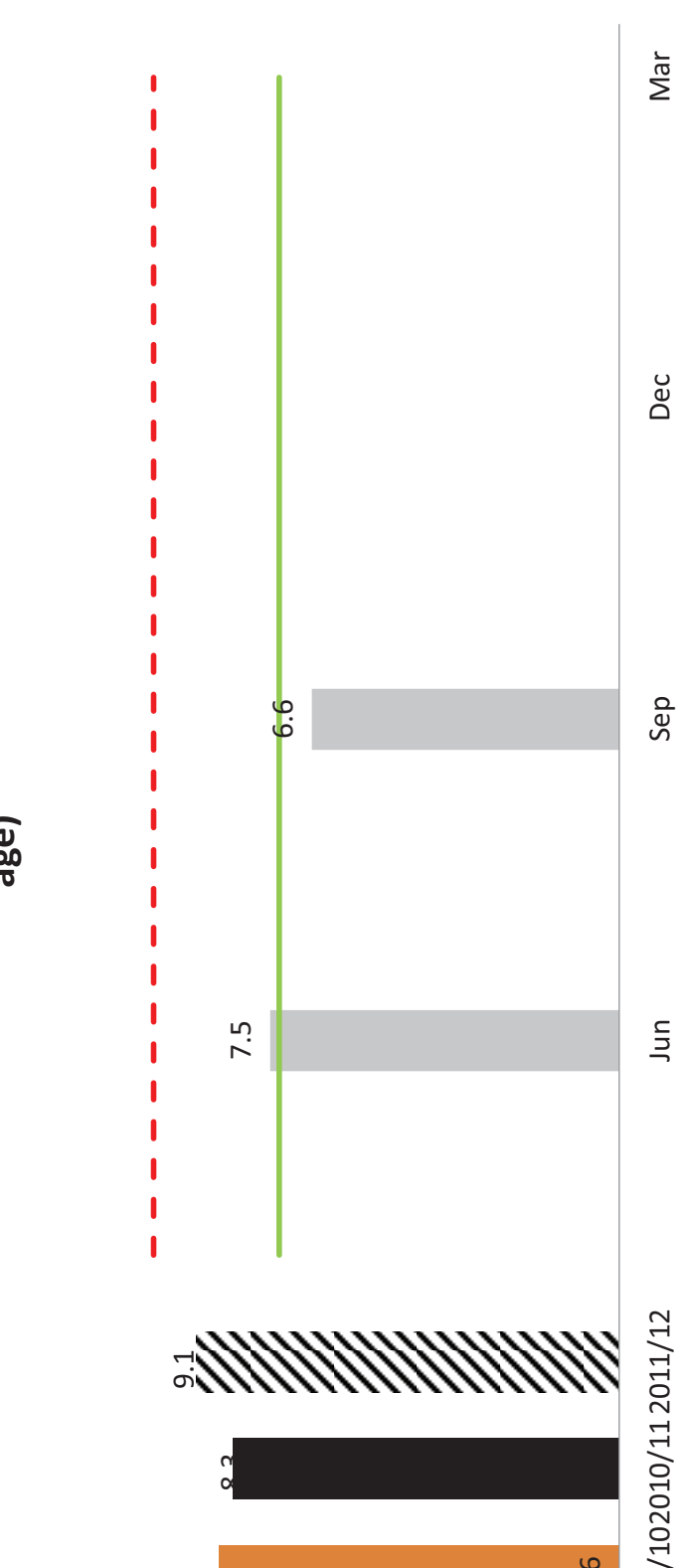
Description		Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)																																
<p>Percentage of LP07 or above Local Authority staff that are from an ethnic minority (%)</p> <p>Measured in: % Good Performance: Higher</p>	 <table border="1"> <caption>Percentage of earners that are LP07 or above of LA staff that are from an ethnic minority</caption> <thead> <tr> <th>Year</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>2009/10</td><td>17</td></tr> <tr><td>2010/11</td><td>22.33</td></tr> <tr><td>2011/12</td><td>23.54</td></tr> <tr><td>2012/13 (Actual)</td><td>23.56</td></tr> <tr><td>2012/13 (Target)</td><td>30</td></tr> <tr><td>2013</td><td>22.87</td></tr> <tr><td>2014</td><td>24.02</td></tr> <tr><td>2015</td><td>24.43</td></tr> <tr><td>2016</td><td>24.46</td></tr> <tr><td>2017</td><td>24.2</td></tr> <tr><td>2018</td><td>23.54</td></tr> <tr><td>2019</td><td>23.43</td></tr> <tr><td>2020</td><td>23.84</td></tr> <tr><td>2021</td><td>23.42</td></tr> <tr><td>2022</td><td>23.42</td></tr> </tbody> </table>	Year	Value (%)	2009/10	17	2010/11	22.33	2011/12	23.54	2012/13 (Actual)	23.56	2012/13 (Target)	30	2013	22.87	2014	24.02	2015	24.43	2016	24.46	2017	24.2	2018	23.54	2019	23.43	2020	23.84	2021	23.42	2022	23.42	30	30	23.56	AMBER	↔
Year	Value (%)																																					
2009/10	17																																					
2010/11	22.33																																					
2011/12	23.54																																					
2012/13 (Actual)	23.56																																					
2012/13 (Target)	30																																					
2013	22.87																																					
2014	24.02																																					
2015	24.43																																					
2016	24.46																																					
2017	24.2																																					
2018	23.54																																					
2019	23.43																																					
2020	23.84																																					
2021	23.42																																					
2022	23.42																																					
<p>Percentage of LP07 or above Local Authority staff who have a disability (excluding those in maintained schools) (%)</p> <p>Measured in: % Good Performance: Higher</p>	 <table border="1"> <caption>Percentage of earners that are LP07 or above of LA staff that have a disability</caption> <thead> <tr> <th>Year</th> <th>Value (%)</th> </tr> </thead> <tbody> <tr><td>2009/10</td><td>2</td></tr> <tr><td>2010/11</td><td>2</td></tr> <tr><td>2011/12</td><td>2.96</td></tr> <tr><td>2012/13 (Actual)</td><td>4.59</td></tr> <tr><td>2012/13 (Target)</td><td>5.5</td></tr> <tr><td>2013</td><td>3.01</td></tr> <tr><td>2014</td><td>3.38</td></tr> <tr><td>2015</td><td>3.71</td></tr> <tr><td>2016</td><td>3.72</td></tr> <tr><td>2017</td><td>4.10</td></tr> <tr><td>2018</td><td>4.13</td></tr> <tr><td>2019</td><td>4.63</td></tr> <tr><td>2020</td><td>4.63</td></tr> <tr><td>2021</td><td>4.63</td></tr> <tr><td>2022</td><td>4.63</td></tr> </tbody> </table>	Year	Value (%)	2009/10	2	2010/11	2	2011/12	2.96	2012/13 (Actual)	4.59	2012/13 (Target)	5.5	2013	3.01	2014	3.38	2015	3.71	2016	3.72	2017	4.10	2018	4.13	2019	4.63	2020	4.63	2021	4.63	2022	4.63	5.5	5.5	4.59	AMBER	↑
Year	Value (%)																																					
2009/10	2																																					
2010/11	2																																					
2011/12	2.96																																					
2012/13 (Actual)	4.59																																					
2012/13 (Target)	5.5																																					
2013	3.01																																					
2014	3.38																																					
2015	3.71																																					
2016	3.72																																					
2017	4.10																																					
2018	4.13																																					
2019	4.63																																					
2020	4.63																																					
2021	4.63																																					
2022	4.63																																					

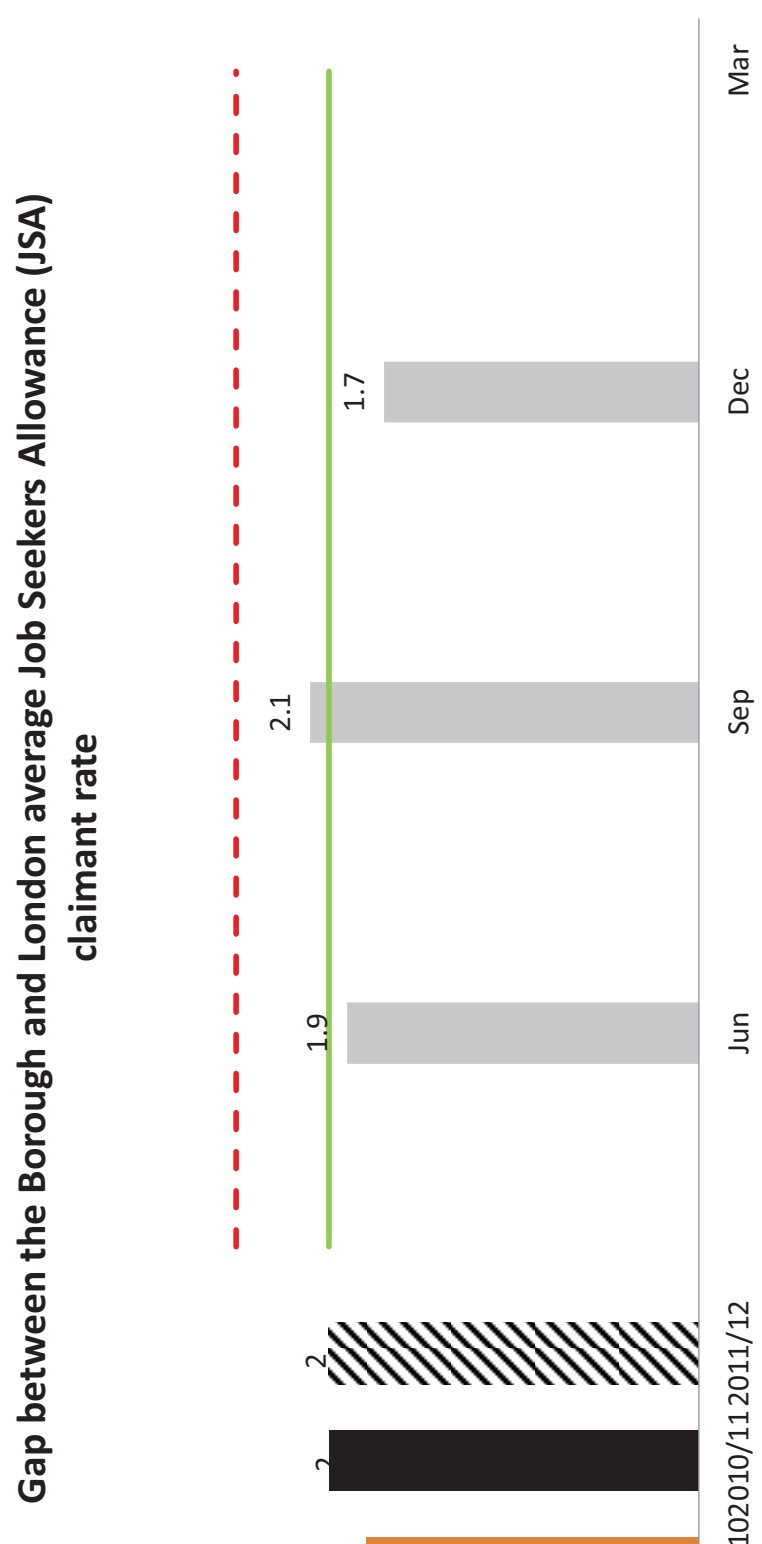
Description	Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)
<p>Great Place to Live</p>					
<p>Number of affordable homes delivered (gross)</p> <p>Measured in: Number (the sum of social rent housing and intermediate housing - low cost home ownership and intermediate rent) Good Performance: Higher</p>	817	612	332	RED	<p style="text-align: center;">↓</p>
 <p>Number of affordable homes delivered (gross)</p>					
<p>Three schemes have been completed this quarter providing a total of 44 units. A number of other schemes due in Quarter 3 have now slipped to Quarter 4. Performance is therefore below the quarter's targets but the overall annual forecast remains at 580 for the year, which is 97% of the standard target of 600 units.</p> <p>Major housing schemes take a number of months or years to complete and it is difficult to predict exactly in which month they will be completed. Nonetheless, we are confident that Tower Hamlets will remain a top performer nationally for this measure and the Mayor's target of 4,000 affordable homes will be delivered. Work is on-going with Registered Partners to ensure that issues are dealt with in a timely manner so that all schemes complete on time.</p>					
<p>Number of social rented housing completions for family housing (gross figures only)</p> <p>Measured in: Number (a count of the number of affordable housing - local authority, housing associations, and co-operative tenants. Family housing is 3 bedrooms or more) Good Performance: Higher</p>	225	168	69	RED	<p style="text-align: center;">↓</p>
 <p>Nr of social rented housing completions for family housing (gross figures only)</p>					
<p>In line with the decline in overall affordable homes delivered, this measure is also below the quarterly target. This is due to reprofiling of schemes; some schemes were in fact delivered early and fell into 2011/12 and others have been delayed into 2013/14. The Council is continuing to work with its partners to ensure that, where possible, all schemes complete on time. We are confident that Tower Hamlets will remain a top performer nationally for this measure.</p>					
<p>The number of overcrowded families rehoused, lets to overcrowded households</p> <p>Measured in: Number (count of lets to overcrowded housing applicants and tenants of CHR partner landlords lacking one or more bedrooms) Good Performance: Higher</p>	1200	900	808	AMBER	<p style="text-align: center;">↓</p>
 <p>Lets to overcrowded families</p>					
<p>The downward direction of travel has been primarily due to an overall reduction in the number of lets this year, when compared to last year's figures. In addition, other cases with higher priority, such as homeless households, are being let to while not necessarily being overcrowded. It is projected that there will be 2,000 lets this year, compared to 2,703 last year. Based on current analysis and recent performance, if the number of lets to overcrowded applicants increase during the next few months we are likely to achieve the standard target of 1,000 lets to overcrowded applicants.</p>					

Description		Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)
<p>The number of households who considered themselves as homeless, who approached the local authority's housing advice service(s), and for whom housing advice casework intervention resolved their situation.</p> <p>Measured in: The number of cases assisted through successful casework intervention divided by the number of thousand households in the local authority area. Good Performance: Higher</p>		6	3	3.36	GREEN	↓
<p>Level of street and environmental cleanliness - litter (%)</p> <p>Measured in % Good performance: Lower</p>		2	2	0.7	GREEN	↑
<p>Level of street and environmental cleanliness - debris (%)</p> <p>Measured in % Good performance: Lower</p>		4	4	2	GREEN	↑

Description		Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)										
<p>Improved street and environmental cleanliness - graffiti (%)</p> <p>Measured in % Good performance: Lower</p>	<table border="1"> <caption>Improved street & environmental cleanliness - Graffiti</caption> <thead> <tr> <th>Year</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>20</td> </tr> <tr> <td>2010/11</td> <td>8</td> </tr> <tr> <td>2011/12</td> <td>6</td> </tr> <tr> <td>2012/13</td> <td>12.4</td> </tr> </tbody> </table>	Year	Value	2009/10	20	2010/11	8	2011/12	6	2012/13	12.4	6	6	12.4	RED	↗
Year	Value															
2009/10	20															
2010/11	8															
2011/12	6															
2012/13	12.4															
<p>Improved street and environmental cleanliness - fly-posting (%)</p> <p>Measured in % Good performance: Lower</p>	<table border="1"> <caption>Improved street & environmental cleanliness - Fly-posting</caption> <thead> <tr> <th>Year</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>8</td> </tr> <tr> <td>2010/11</td> <td>3</td> </tr> <tr> <td>2011/12</td> <td>2</td> </tr> <tr> <td>2012/13</td> <td>4.6</td> </tr> </tbody> </table>	Year	Value	2009/10	8	2010/11	3	2011/12	2	2012/13	4.6	2	2	4.6	RED	↗
Year	Value															
2009/10	8															
2010/11	3															
2011/12	2															
2012/13	4.6															
<p>Percentage of household waste sent for reuse, recycling and composting</p> <p>Measured in % Good performance: Higher</p>	<table border="1"> <caption>Percentage of household waste sent for reuse, recycling & composting</caption> <thead> <tr> <th>Year</th> <th>Value</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>26.5</td> </tr> <tr> <td>2010/11</td> <td>27.3</td> </tr> <tr> <td>2011/12</td> <td>26.8</td> </tr> <tr> <td>2012/13</td> <td>26.5</td> </tr> </tbody> </table>	Year	Value	2009/10	26.5	2010/11	27.3	2011/12	26.8	2012/13	26.5	29	29	26.52	RED	↔
Year	Value															
2009/10	26.5															
2010/11	27.3															
2011/12	26.8															
2012/13	26.5															

Description		Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)											
Prosperous Community																	
<p>A Level Average Points Score per student in Tower Hamlets. Measured in % Good performance: Higher</p>	<table border="1"> <caption>A Level Average Points Score per student in Tower Hamlets</caption> <thead> <tr> <th>Year</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>631</td> </tr> <tr> <td>2010/11</td> <td>637</td> </tr> <tr> <td>2011/12</td> <td>642.4</td> </tr> <tr> <td>2012/13</td> <td>644.9</td> </tr> </tbody> </table>	Year	Score	2009/10	631	2010/11	637	2011/12	642.4	2012/13	644.9	700	700	644.9	AMBER	↔	
Year	Score																
2009/10	631																
2010/11	637																
2011/12	642.4																
2012/13	644.9																
<p>The final A-Level Average Point Score per learner is 644.9 for the academic year 2011/12 (financial year 2012/13). This is a 2.5 point increase on the previous year (642.4); placing us above the standard target of 642.4, but below the stretch target of 700. Although we are below the national average of 733, we continue to narrow the gap between the national and local average, which has decreased from 103.5 in 2010/11 to 88.1 this year.</p>	<p>Achievement of 5 or more A*-C grades at GCSE or equivalent including English and Maths. Measured in % Good performance: Higher</p>	<table border="1"> <caption>Achievement of 5 or more A*-C grades at GCSE or equivalent including English and Maths</caption> <thead> <tr> <th>Year</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>45.8</td> </tr> <tr> <td>2010/11</td> <td>51.8</td> </tr> <tr> <td>2011/12</td> <td>61.4</td> </tr> <tr> <td>2012/13</td> <td>61.8</td> </tr> </tbody> </table>	Year	Percentage	2009/10	45.8	2010/11	51.8	2011/12	61.4	2012/13	61.8	64.1	64.1	61.8	AMBER	↔
Year	Percentage																
2009/10	45.8																
2010/11	51.8																
2011/12	61.4																
2012/13	61.8																
<p>The provisional results were reported in Q2. The confirmed results were released in January 2013. In the academic year 2011/12 (financial year 2012/13) 61.8% of KS4 students achieved 5+ A*-C GCSEs (or equivalent), including English and Maths GCSEs. This is a slight increase compared to the previous year's figure of 61.4%, but 2.9ppt below our target of 64.1%. Tower Hamlets performs above the national average of 59% and ranks 16th amongst London Boroughs.</p>	<p>Achievement at level 4 or above in both English and Maths at Key Stage 2. Measured in % Good performance: Higher</p>	<table border="1"> <caption>Achievement at level 4 or above in both English and Maths at Key Stage 2</caption> <thead> <tr> <th>Year</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>74</td> </tr> <tr> <td>2010/11</td> <td>76</td> </tr> <tr> <td>2011/12</td> <td>76</td> </tr> <tr> <td>2012/13</td> <td>82</td> </tr> </tbody> </table>	Year	Percentage	2009/10	74	2010/11	76	2011/12	76	2012/13	82	78	78	82	GREEN	↑
Year	Percentage																
2009/10	74																
2010/11	76																
2011/12	76																
2012/13	82																
<p>The final result for achievement at level 4 or above in both English and Maths at Key Stage 2 in 2012/13 (academic year 2011/12) is 82%. This exceeds the target and is a significant improvement from the previous year. Tower Hamlets is above the national average result of 80%.</p>																	

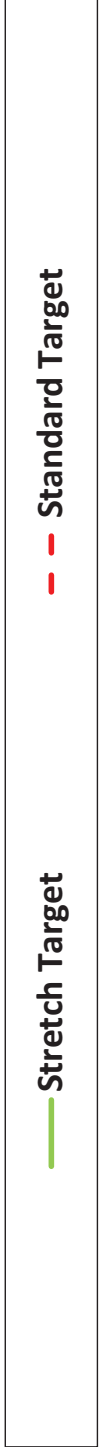
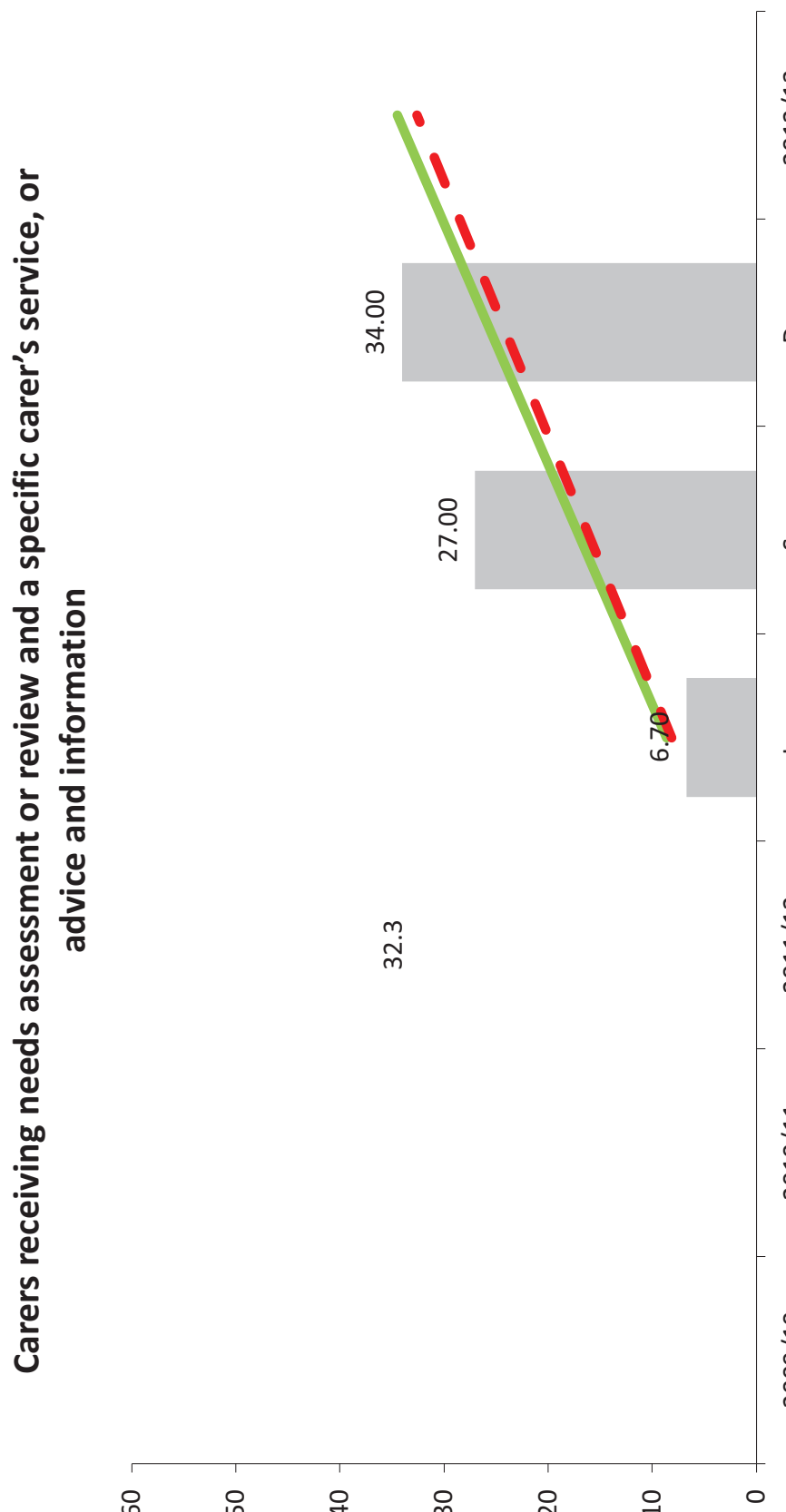
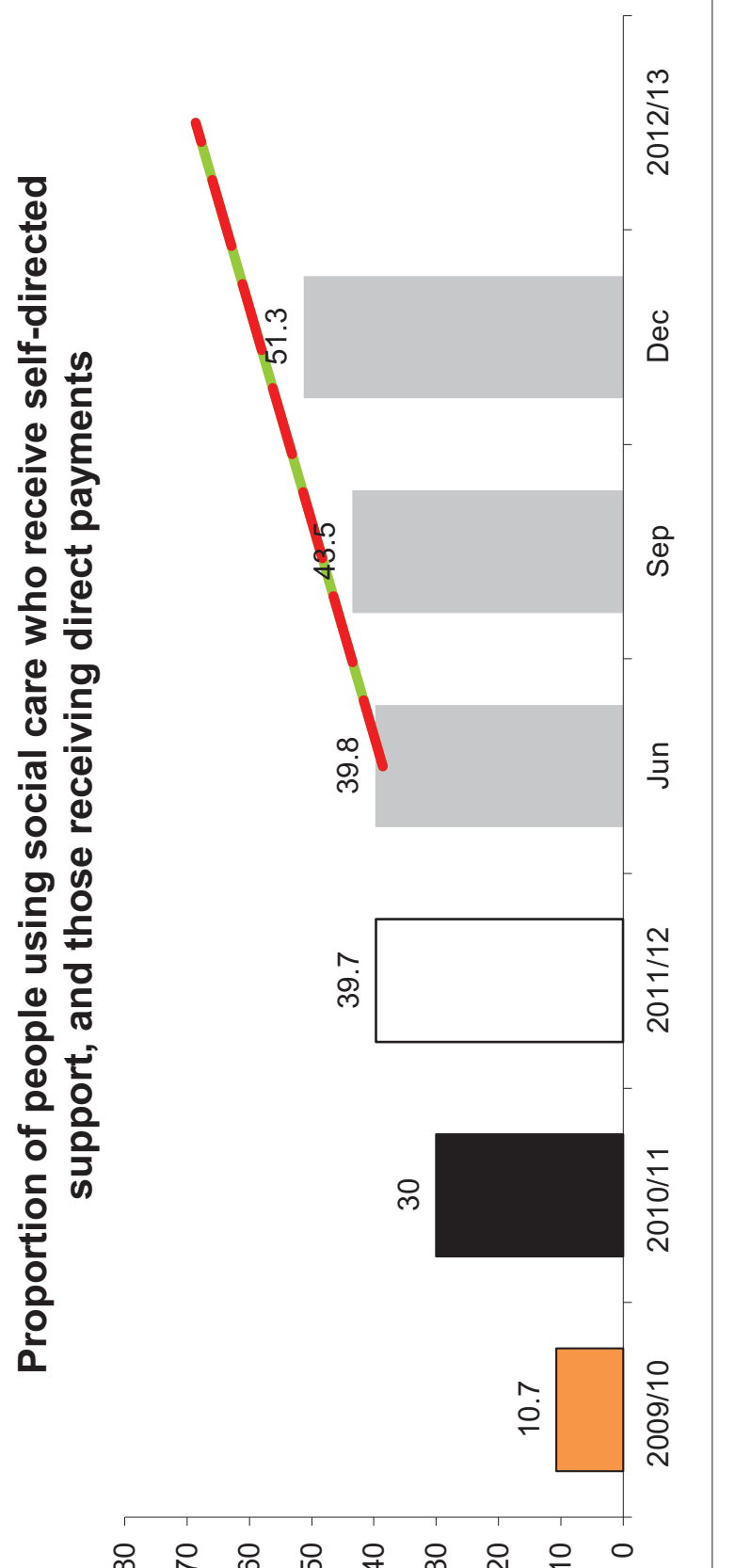
Description	Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)
<p>Achievement of at least 78 points across the Early Years Foundation Stage with at least 6 points across the Early Years Foundation Stage with at least 6 in each of the scales in Personal Social and Emotional Development and Communication, Language and Literacy.</p> <p>Measured in % Good performance: Higher</p>	60	60	55	AMBER	↕
	<p>The final results show that 55% of children achieved at least 78 points across the Early Years Foundation Stage, with at least 6 in each of the scales in Personal Social and Emotional Development and Communication, Language and Literacy. This is an improvement when compared to last year's outturn of 49.9% but falls short of the 60% stretch target.</p>				
<p>16 to 19 year olds who are not in education, employment or training (NEET)</p> <p>Measured in: % Good Performance: Lower</p>	4.5	4.5	5.6	RED	↘
	<p>It is normal for NEET figures to vary from month to month and the target of 4.5% is most applicable to the end of year value. The calculation for the measure has changed, and now includes a larger cohort of young people. As this is the first year on the new count, the target may have been too ambitious but we will have a fuller picture once January figures are confirmed. Out of the 629 young people currently classified as unknown 407 of these come in the category 'Cannot be contacted'. This means that the phone number they previously had is no longer valid and they are not at the address we had for them on the system. When these clients are visited at the address where they used to be, unless we can confirm their new address with a neighbour or the current occupant, they remain on our register and cannot be classified as 'moved away' as previously. We are in touch with social landlords in the borough to see if they have a forwarding address for these clients. Under the standard formula a certain percentage of the unknown are added to the NEET figure and raise the NEET percentage. The Youth Connexions Service is delivering a targeted programme for encouraging NEET youths to engage with Positive Activities for Young People (PAYP) which is aimed at reducing NEET levels in the borough.</p>				
<p>Overall employment rate - gap between the Borough and London average rate (working age) (%)</p> <p>Measured in: % Good Performance: Gap - Lower</p>	7.3	7.3	6.6	GREEN	↕
	<p>The latest employment figures relate to the period ending September 2012, and show a gap of 6.6pp between the borough's employment rate and the London average. This is a further reduction of 1pp since the last reported period. Whilst the employment rate for TH improved by 1.5pp, the corresponding increase in the London average was only 0.6pp. It could be suggested that employment initiatives and activities, including the Olympic Games time jobs, are a contributing factor for this larger increase in employment rate for TH. When comparing the employment rate to previous years since 2004, the current employment rate of 62.0% is the highest that it's been for TH. The gap reduction target of 7.3pp has been exceeded. In addition to this, a recent study by Local Futures (in conjunction with the Municipal Journal) concluded that in relation of economic performance, Tower Hamlets is the top performing borough across the country in terms of our attraction to inward investors and businesses considering location. This rating considered several key measures concerning productivity, knowledge-driven businesses, business and enterprise, economic scale and growth in business stock.</p>				

Description	Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)
<p>JSA Claimant Rate (gap between the Borough and London average rate (working age) (%)</p> <p>Good Performance: Gap - Lower</p>  <p>Gap between the Borough and London average Job Seekers Allowance (JSA) claimant rate</p>	2	2	1.7	GREEN	↑
<p>Over the last year Tower Hamlets has performed well and exceeded the stretch target of a 2.0 percentage point gap with London. The last four quarter updates show a steady trend in the gap indicator. In December 2011, the JSA rate for the borough was 5.9%; in December 2012 the outturn is 5.6%. It is useful to look at the quarter updates against the same period from the year before as this will take into account seasonal adjustments. In terms of the number of claimants, there has been a total reduction of 529 JSA claimants from December 2011 to December 2012.</p>					

Description	Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)
Safe and Cohesive Community					
<p>Rate of personal robbery incidents 1,000 population</p> <p>Measured in: Number (No. of personal robbery incidents/total population x 1,000)</p> <p>Good Performance: Lower</p>	5.2	3.9	4.1	AMBER	↔
<p>Number of personal robbery incidents (per 1,000 population)</p>	<p>The council and the Metropolitan Police continue to proactively target known robbers, undertaking additional patrols and working hard on underlying gang issues with partners. Additional police resources will be used to proactively target Robbery offences and offenders. However, it is anticipated that end of year stretched target will not be reached.</p>				
<p>Rate of residential burglary incidents per 1,000 households</p> <p>Measured in: Number (No. of residential burglary incidents/total population x 1,000)</p> <p>Good Performance: Lower</p>	15.9	11.9	11.1	GREEN	↑
<p>Number of residential burglary incidents (per 1,000 households)</p>	<p>This measure is on target and should remain so until the end of the current financial year.</p>				

Description		Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)																						
<p>Rate of motor vehicle crime incidents per 1,000 population</p> <p>Measured in: Number (No. of residential burglary incidents/total population x 1,000) Good Performance: Lower</p>	<table border="1"> <caption>Number of motor vehicle incidents (per 1,000 population)</caption> <thead> <tr> <th>Month</th> <th>Value</th> </tr> </thead> <tbody> <tr><td>2011/12</td><td>13</td></tr> <tr><td>Apr</td><td>0.99</td></tr> <tr><td>May</td><td>1.92</td></tr> <tr><td>Jun</td><td>2.95</td></tr> <tr><td>Jul</td><td>3.91</td></tr> <tr><td>Aug</td><td>5.17</td></tr> <tr><td>Sep</td><td>6.03</td></tr> <tr><td>Oct</td><td>6.67</td></tr> <tr><td>Nov</td><td>7.66</td></tr> <tr><td>Dec</td><td>8.37</td></tr> </tbody> </table>	Month	Value	2011/12	13	Apr	0.99	May	1.92	Jun	2.95	Jul	3.91	Aug	5.17	Sep	6.03	Oct	6.67	Nov	7.66	Dec	8.37	12	9	8.37	GREEN	↑
Month	Value																											
2011/12	13																											
Apr	0.99																											
May	1.92																											
Jun	2.95																											
Jul	3.91																											
Aug	5.17																											
Sep	6.03																											
Oct	6.67																											
Nov	7.66																											
Dec	8.37																											
<p>This measure is on target and should remain so until the end of the current financial year.</p>																												
<p>Rate of violence with injury crimes per 1,000 population</p> <p>Measured in: Number (No. of residential burglary incidents/total population x 1,000) Good Performance: Lower</p>	<table border="1"> <caption>Number of violence with injury incidents (per 1,000 population)</caption> <thead> <tr> <th>Month</th> <th>Value</th> </tr> </thead> <tbody> <tr><td>2011/12</td><td>8.7</td></tr> <tr><td>Apr</td><td>0.77</td></tr> <tr><td>May</td><td>1.68</td></tr> <tr><td>Jun</td><td>2.43</td></tr> <tr><td>Jul</td><td>3.26</td></tr> <tr><td>Aug</td><td>4.13</td></tr> <tr><td>Sep</td><td>4.91</td></tr> <tr><td>Oct</td><td>5.33</td></tr> <tr><td>Nov</td><td>5.93</td></tr> <tr><td>Dec</td><td>6.63</td></tr> </tbody> </table>	Month	Value	2011/12	8.7	Apr	0.77	May	1.68	Jun	2.43	Jul	3.26	Aug	4.13	Sep	4.91	Oct	5.33	Nov	5.93	Dec	6.63	8.4	6.3	6.63	RED	↔
Month	Value																											
2011/12	8.7																											
Apr	0.77																											
May	1.68																											
Jun	2.43																											
Jul	3.26																											
Aug	4.13																											
Sep	4.91																											
Oct	5.33																											
Nov	5.93																											
Dec	6.63																											
<p>Although the violent crime rate has gone up, particularly in the area of Domestic Violence, this is due to changes to the method of recording Domestic Violence incidents rather than its occurrence as the number of people calling in regarding Domestic Violence has not increased.</p> <p>The Council is committed to increasing the reporting of incidents of domestic abuse and the DV Team currently facilitate 3 weekly drop-in surgeries in partnership with other agencies in order to offer support to all victims of domestic abuse. The current arrest rate for domestic violence offences is 85.4%, that is, 85.4% of all reported domestic violence incidents lead to an arrest. This is a 2.3 percentage point increase compared to the same period in the previous year and is the 3rd best performing borough in London.</p> <p>The cumulative outturn for Q3 is off-target. However, when looking at just Q3, performance has improved and the Q3 outturn (2.07) is better than the stretch target for that period (2.1).</p> <p>Additional commentary is provided in the body of the report.</p>																												
<p>CAD calls for ASB</p> <p>Measured in: Number (No. of CAD calls/total population x 1,000) Good Performance: Lower</p>	<table border="1"> <caption>Number of CAD calls for ASB (per 1,000 population)</caption> <thead> <tr> <th>Month</th> <th>Value</th> </tr> </thead> <tbody> <tr><td>2011/12</td><td>93.23</td></tr> <tr><td>Apr</td><td>5.87</td></tr> <tr><td>May</td><td>13.73</td></tr> <tr><td>Jun</td><td>20.49</td></tr> <tr><td>Jul</td><td>28.72</td></tr> <tr><td>Aug</td><td>37.3</td></tr> <tr><td>Sep</td><td>44.47</td></tr> <tr><td>Oct</td><td>50.89</td></tr> <tr><td>Nov</td><td>55.27</td></tr> <tr><td>Dec</td><td>59.17</td></tr> </tbody> </table>	Month	Value	2011/12	93.23	Apr	5.87	May	13.73	Jun	20.49	Jul	28.72	Aug	37.3	Sep	44.47	Oct	50.89	Nov	55.27	Dec	59.17	77.98	58.48	59.17	AMBER	↑
Month	Value																											
2011/12	93.23																											
Apr	5.87																											
May	13.73																											
Jun	20.49																											
Jul	28.72																											
Aug	37.3																											
Sep	44.47																											
Oct	50.89																											
Nov	55.27																											
Dec	59.17																											
<p>The Q3 outturn is slightly above the stretch target but substantially better than the standard. This is a new indicator for 2012/13.</p>																												

Description	Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)
Healthy and Supportive Community					
<p>Stopping smoking Measured in: the number of four-week smoking quitters who have attended NHS Stop Smoking Services per 100,000 . Good Performance: Higher</p>					<p>2686</p> <p>1200</p> <p>1533</p> <p>GREEN</p> <p>↑</p>
<p>All-age all-cause mortality rate - Male Measured in: Standardised mortality rate per 100,000 population, from all causes at all ages (three year rolling average) Good Performance: Lower</p>					<p>749</p> <p>749</p> <p>782.24</p> <p>RED</p> <p>↓</p>
<p>All-age all-cause mortality rate - Female Measured in: Standardised mortality rate per 100,000 population, from all causes at all ages (three year rolling average) Good Performance: Lower</p>					<p>529</p> <p>529</p> <p>524.38</p> <p>GREEN</p> <p>↔</p>

Description		Annual Stretched Target (2012/13)	Q3 Stretched Target (Sept-Dec 2012/13)	Q3 Actual (Sept-Dec 2012/13)	Variance (performance against Q3 stretch target)	Direction of Travel (comparing Q3 12/13 and Q3 11/12 actual)																				
<p>Carers receiving needs assessment or review and a specific carer's service, or assessment or review and a specific carer's service, or advice and information (%)</p> <p>Measured in: % (number of carers whose needs were assessed or reviewed by the council in a year who received a specific carer's service, or advice and information in the same year as a percentage of people receiving a community based service in the year) Good Performance: Higher</p>	<p>Carers receiving needs assessment or review and a specific carer's service, or advice and information</p>  <table border="1"> <caption>Carers receiving needs assessment or review and a specific carer's service, or advice and information (%)</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Stretch Target (%)</th> <th>Standard Target (%)</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>6.70</td> <td>32.3</td> <td>27.00</td> </tr> <tr> <td>2010/11</td> <td>30</td> <td>32.3</td> <td>27.00</td> </tr> <tr> <td>2011/12</td> <td>39.7</td> <td>32.3</td> <td>27.00</td> </tr> <tr> <td>2012/13</td> <td>34.00</td> <td>32.3</td> <td>27.00</td> </tr> </tbody> </table>	Year	Actual (%)	Stretch Target (%)	Standard Target (%)	2009/10	6.70	32.3	27.00	2010/11	30	32.3	27.00	2011/12	39.7	32.3	27.00	2012/13	34.00	32.3	27.00	34.5	25.88	34.00	GREEN	↑
Year	Actual (%)	Stretch Target (%)	Standard Target (%)																							
2009/10	6.70	32.3	27.00																							
2010/11	30	32.3	27.00																							
2011/12	39.7	32.3	27.00																							
2012/13	34.00	32.3	27.00																							
<p>Social care clients and carers in receipt of Self Directed Support</p> <p>Measured in: % (Number of adults, older people and carers receiving social care through a Direct Payment (and/or an Individual Budget) in the year to 31st March per 100,000 population aged 18 or over) Good Performance: Higher</p>	<p>Proportion of people using social care who receive self-directed support, and those receiving direct payments</p>  <table border="1"> <caption>Proportion of people using social care who receive self-directed support, and those receiving direct payments</caption> <thead> <tr> <th>Year</th> <th>Actual (%)</th> <th>Stretch Target (%)</th> <th>Standard Target (%)</th> </tr> </thead> <tbody> <tr> <td>2009/10</td> <td>10.7</td> <td>43.5</td> <td>39.8</td> </tr> <tr> <td>2010/11</td> <td>30</td> <td>43.5</td> <td>39.8</td> </tr> <tr> <td>2011/12</td> <td>39.7</td> <td>43.5</td> <td>39.8</td> </tr> <tr> <td>2012/13</td> <td>51.3</td> <td>43.5</td> <td>39.8</td> </tr> </tbody> </table>	Year	Actual (%)	Stretch Target (%)	Standard Target (%)	2009/10	10.7	43.5	39.8	2010/11	30	43.5	39.8	2011/12	39.7	43.5	39.8	2012/13	51.3	43.5	39.8	68.6	58.6	51.3	RED	↑
Year	Actual (%)	Stretch Target (%)	Standard Target (%)																							
2009/10	10.7	43.5	39.8																							
2010/11	30	43.5	39.8																							
2011/12	39.7	43.5	39.8																							
2012/13	51.3	43.5	39.8																							

Qtr. 3 performance is above the local target of 25.87%. Performance is showing a positive trend and is far better than Qtr. 1 (6.70%) and Qtr. 2 (27.0%). The number of carers receiving needs assessment or review and a specific carer's service, or advice and information, as a percentage of clients receiving community based service was 34.0% at the end of Quarter Three. This figure is provisional until being processed as part of the statutory returns process in 2013, therefore figures can go up as well as down.

The latest performance against NI130 as at 31 December 2012 is 51.3%. This figure is provisional. Finalised Qtr.3 results will be available in February 2013. Current interim performance is lower than the local quarterly target (58.6%) by 7.3 percentage points. Performance is showing an improvement trend and is far better than Qtr. 1 (39.8%) and Qtr. 2 (43.5%).
Action being taken includes:

- Teams to be given targets to achieve 70% by 31st March 2013.
- 100 new PB/DPs achieved across social care teams per week.
- Regular monitoring
- Staff workshop.
- Carer's personal budgets rolled out as part of the Carers Customer Journey.

Agenda Item 10.2

Committee/Meeting: Cabinet	Date: 13 March 2013	Classification: Unrestricted	Report No: CAB 89/123
Report of: Stephen Halsey, Corporate Director Communities Localities and Culture Originating officer(s) Shazia Hussain, Service Head Localisation		Title: Implementing Local Structures – Local Community Ward Forums Wards Affected: All	

Lead Member	Mayor Lutfur Rahman
Community Plan Theme	One Tower Hamlets
Strategic Priority	Reducing Inequalities Work efficiently and effectively as One Council

1. **SUMMARY**

- 1.1 This paper provides Cabinet with further detail on the content, process and implementation of the Local Community Ward Forums (LCWFs). This expands on the previous report presented to Cabinet on the 8th February 2012, which provided an overview of the new Partnership structures including the introduction of the LCWFs. In consultation with the Executive and lead members of the Partnership the process for delivering the Forums has been further developed and is set out in this report. This report seeks Cabinet's agreement on the detailed delivery of the LCWF meetings.

2. **DECISIONS REQUIRED**

The Mayor in Cabinet is recommended to:-

- 2.1 Approve a yearly programme of 3 x LCWF meetings in each of the Borough's wards.
- 2.2 Agree the detail for each of the LCWF meetings in the yearly programme.
- 2.3 Agree to implement a participatory budgeting process and the allocation of £10K per ward for 2013/14 and 14/15.
- 2.4 Agree the role of the Community Plan Delivery Groups (CPDGs) in co-commissioning services identified through LCWF priority setting.

3. REASONS FOR THE DECISIONS

- 3.1 The Mayor is committed to ensuring greater levels of community engagement, empowerment and accountability across the Partnership. The Council must also ensure that the Partnership continues to align service delivery infrastructure with new government policy seen in a number of landmark pieces of legislation introduced by the coalition government including the Localism Act 2011, the Police Reform and Social Responsibility Act 2011 and the Health and Social Care Act 2012. The LCWFs will play an important role in meeting this agenda.

4. ALTERNATIVE OPTIONS

- 4.1 No Action:
There is currently no localised community partnership structure. Doing nothing would hinder the Council and its partner's ability to engage with citizens of Tower Hamlets and reduce our ability to provide appropriate services for local residents. It would also risk reputational damage and have an adverse impact on our ability to work effectively and in a joined up way with our partners at a local level.
- 4.2 Reduce the numbers of forums:
It would be possible to implement a local partnership structure with fewer local forums. However, this would reduce the accountability of the approach with the potential of creating disproportionate representation in different parts of the borough. Fewer forums would result in a less responsive partnership offer.
- 4.3 Reinstatement of the Local Area Partnership (LAP) Steering Groups:
The LAP Steering Groups were introduced during the early part of the Partnership's formation, at a time when the local infrastructure for the key public agencies was in its infancy. At the time central government funding was also available to enable and grow local structures that brought about greater local participation with local service providers. However, given the current funding constraints, such a structure would no longer be appropriate or sustainable. There is also an explicit need for citizens to be able to participate in a local structure which is more locally appropriate, publicly accessible and community owned.

5. BACKGROUND

- 5.1 Following agreement on the principles for creating and delivering the local structures this update advises Cabinet on the processes of identifying and addressing ward priorities through the Forums. Forums will be delivering a ward level participatory budgeting programme at the same time as continuing to maximise the roll-out of the Mayor's Community Champions programme and Neighbourhood Agreements.
- 5.2 The LCWFs are part of the revised Partnership structures which were agreed by Cabinet in February 2012. In reviewing our partnership arrangements it

has been critical both to embrace new ways of working and to build on what has worked successfully in the past. The LCWFs will replace the LAP Steering Groups. It has been recognised that the local community want to engage on a more localised basis and the new LCWFs have been designed on a ward level to meet these local needs.

- 5.2 Additionally, the implementation of LCWFs has considered the relationship with other existing and anticipated local groups. For example, as a result of the Localism Act and development of Neighbourhood Planning Forums within Tower Hamlets, discussion between Localisation Officers and Planning Officers has taken place to ensure that the two initiatives are developed efficiently and in a joined up way.

6. BODY OF REPORT

- 6.1. The detailed programme of LCWF meeting arrangements is contained within appendix 1. It is proposed that the LCWFs will have a budget of £10K per ward for participatory budgeting through the 'Mayor Asks You to Decide!' programme for 2013/14 and that this commitment is also made for 2014/15. The checks and balances for the PB process will remain as agreed for previous years PB 'you decide' initiatives and will be the subject of an audit at its conclusion.

7. COMMENTS OF THE CHIEF FINANCIAL OFFICER

- 7.1 Future costs of maintaining the Local Community Ward Forums will need to be kept under review due to the innovative nature of the initiative and the lack of clear bench marks. The Mayor has set out previously his aspirations to provide £10,000 per Ward for allocation through a participatory budgeting programme. Resource of £170,000 for 2013/14 has been set aside for this purpose and a further commitment of £170,000 in 2014/15 funded from earmarked reserves. The matter is further complicated by the Boundary Commission changes which will impact on the funding requirements for the number of Wards in the Borough.

8. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

- 8.1 The report proposes implementation of Local Community Ward Forums. Community engagement and supporting a powerful public form one of the cross-cutting principles which underpin the Tower Hamlets Community Plan. The Community Plan sets out the Council's sustainable community strategy within the meaning of section 4 of the Local Government Act 2000.
- 8.2 The Council is subject by section 3A of the Local Government Act 1999 to a duty to involve, which requires the Council to take such steps as it considers appropriate to involve representatives of local people in the exercise of its functions. The detailed arrangements proposed in the report may contribute to the discharge of this duty.

- 8.3 Community engagement through the proposed forums may support discharge by the Council of its statutory functions. By virtue of section 111 of the Local Government Act 1972, the Council has power to do anything which is calculated to facilitate, or is conducive or incidental to, the discharge of any of its functions. This may involve expenditure, borrowing or lending of money or the acquisition or disposal of any property or rights.
- 8.4 If any additional source of power were required, section 1 of the Localism Act 2011 provides a general power of competence for local authorities to do anything that an individual generally can do. The only restriction is that there must be no statutory prohibition against the proposed action. It is considered that setting up consultative forums is something that an individual may do and there appears to be no relevant prohibition on the Council taking such a step.
- 8.5 Before taking the steps recommended in the report the Council must have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don't. Information is set out in the report relevant to these considerations.

9. ONE TOWER HAMLETS CONSIDERATIONS

- 9.1 The Partnership structures and working arrangements are a key means of local public agencies working with local residents to improve services for the communities who live and work in the Borough. The new LCWFs build on our approach of bringing diverse communities together to engage in decision making and empowerment of their public services. These opportunities for strengthening citizen engagement are demonstrated through the LCWFs and through involvement in local decision making, supporting the Council's One Tower Hamlets priority. The community leadership role of our residents is supported by the framework for developing Community Champion Coordinators.
- 9.2 The strong connection between the work of the Partnership and the Tower Hamlets Community Plan objectives is such that work done through the Partnership arrangements is likely to promote equality of opportunity and foster good relations within the meaning of section 149 of the Equality Act 2010. The Community Plan was itself the subject of equality impact assessment prior to being adopted in its revised form by the Council in July 2011.

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 10.1 The refresh of the Partnership and the move of the Great Place to Live CPDG to the Development & Renewal directorate created increased links to the sustainability agenda. This will be further enhanced through the creation of LCWFs and any priorities and opportunities which are identified through them to support the creation of smart and sustainable communities.

11. RISK MANAGEMENT IMPLICATIONS

11.1 Establishing effective LCWFs enables the public services of the Council, Police and NHS to provide more responsive services for residents. It is the intention that the LCWF's are self-supporting necessitating minimal resource from the Council to organise and service. The model is breaking new ground and as such represents a risk. If the Council were required to provide more significant levels of support resource to the LCWF's this may prove challenging to finance in the difficult public sector funding environment currently prevailing.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

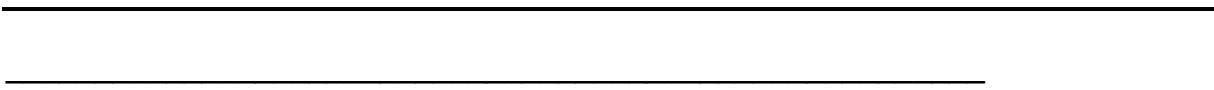
12.1 Opportunities for the Council and our Partners to engage with LCWFs will be capitalised on to ensure that key local issues will be addressed in an increasingly coherent way, reducing duplication and effectively targeting and dealing with crime and disorder.

13. EFFICIENCY STATEMENT

13.1 There are clear benefits with introducing LCWFs into the Partnership structures to ensure that it continues to provide efficient and enhanced service delivery.

14. APPENDICES

Appendix 1 – Local Community Ward Forums: Structure and Process
Appendix 2 – Equality Analysis Quality Assurance Checklist



Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2012

Brief description of “background papers” Name and telephone number of holder and address where open to inspection.

None N/A

This page is intentionally left blank

Local Community Ward Forum Meetings: Structure and Process

Preparation

Toolkit for CCCs: Ward Profile, Mayor's Priorities Community Plan Priorities etc.

Officer Invites: Service Integration Teams

Communications: Residents invited

Neighbourhood Planning Forums: Liaise on issues/consultation

MEETING 1

Activities

Agree Priorities



- Review ward level data/Mayor's Priorities/Neighbourhood Agreements/ local issues (visual information: maps, photos, charts)
- Review local relevant Neighbourhood Planning arrangements
- Identify residents keen on advancing non-financial action
- Identify and rank ward priorities for PB
- Utilise existing Community Champions (e.g. Clean and Green)
- Existing public service routes (e.g. reporting lines, joint tasking)

Next Steps

COMMUNITY CHAMPION COORDINATORS:

- * Advance links with services to address issues
- * Devise options for PB with services
- * Engage ward's community in issue resolution

RESIDENTS:

- * Address issue through community action

LOCALISATION SERVICE:

- * Collate Borough-wide Ward Priorities

SERVICE PROVIDERS:

- * Trouble shooting for CCCs, as required

MEETING 2

Commissioning Activities



- Purchase of Participatory Budgeting (PB) options
- Community Offer to address local issues
- Non-purchased PB options advanced through non-financial solutions

COMMUNITY CHAMPION COORDINATORS:

- * Coordinate next steps of PB

- * Foster local activism to address non-PB issues
- * Building networks with Borough-wide CCCs to share best practice and joint problem solve

RESIDENTS:

- * Delivering commitments as part of Community Offer

SERVICE PROVIDERS:

- * Troubleshooting for CCCs, as required

MEETING 3

Measuring Outcomes



- Review progress: Participatory Budgeting and Community Offer
- Neighbourhood Agreements
- Continue raising local public service issues
- Focus for next year's cycle of the Forum, successes and lesson's learned

COMMUNITY CHAMPION COORDINATORS:

- * Evaluation of yearly LWF activities with Localisation Service

- * Continue reviewing progress meeting priorities through PB and Community Offer
- * Continue raising local public service issues

- * Engage ward's community in issue resolution

RESIDENTS:

- * Delivering commitments as part of Community Offer

SERVICE PROVIDERS:

- * Troubleshooting for CCCs, as required

Preparation

Toolkit for CCCs: Ward Profile, Mayor's Priorities Community Plan Priorities etc.

Officer Invites: Service Integration Teams

Communications: Residents invited

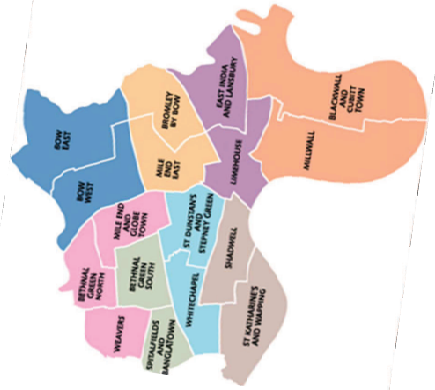
Neighbourhood Planning

Forums: Liaise on issues/consultation

Activities

Agree Priorities

- * Review ward level data/Mayor's Priorities/Neighbourhood Agreements/ local issues (visual information: maps, photos, charts)
- * Review local relevant Neighbourhood Planning arrangements
- * Identify residents keen on advancing non-financial action
- * Identify and rank ward priorities for PB
- * Utilise existing Community Champions (e.g. Clean and Green)
- * Existing public service routes (e.g. reporting lines, joint tasking)



Next Steps

COMMUNITY CHAMPION COORDINATORS:

- * Advance links with services to address issues
- * Devise options for PB with services
- * Engage ward's community in issue resolution

RESIDENTS:

- * Address issue through community action

LOCALISATION SERVICE:

- * Collate Borough-wide Ward Priorities

SERVICE PROVIDERS:

- * Trouble shooting for CCCs, as required



Preparation

PB: options for priorities created by CCCs with services

Communications: Residents invited

Activities

Commissioning Activities

- Purchase of Participatory Budgeting (PB) options
- Community Offer to address local issues
- Non-purchased PB options advanced through non-financial solutions



Handy Person Service
Option 1: Receive 200 hours of the use of a handy person = £10K
Option 2: Receive 100 hours of the use of a handy person and resident volunteers = £5K
Option 3: receive support of resident volunteers = **NO COST**

Clean-up
Option 1: Clean up area with resources and labour costs = £1500
Option 2: Clean up area with resident volunteers and ½ labour and ½ volunteers = £1000
Option 3: Clean up area with volunteers = £500

Bulb Planting
Option 1: Plant 1000 bulbs with labour costs = £1000
Option 2: Plant 1000 bulbs with ½ labour and ½ resident vols = £500
Option 3: Plant 1000 bulbs by volunteers = £200

Next Steps

COMMUNITY CHAMPION COORDINATORS:

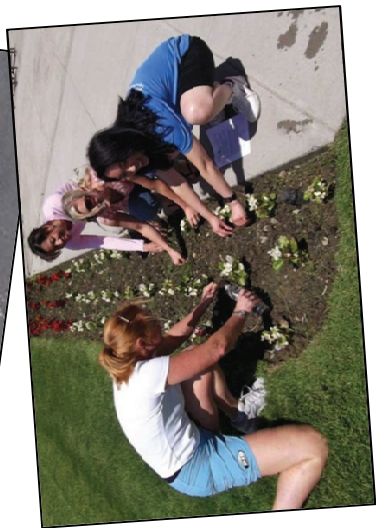
- * Coordinate next steps of PB
- * Foster local activism to address non-PB issues
- * Building networks with Borough-wide CCCs to share best practice and joint problem solve

RESIDENTS:

- * Delivering commitments as part of Community Offer

SERVICE PROVIDERS:

- * Troubleshooting for CCCs, as required



Preparation

PB: Evaluation of impact by CCCs
Communications: Residents invited

Activities

Measuring Outcomes

- Review progress: Participatory Budgeting and Community Offer
- Neighbourhood Agreements
- Continue raising local public service issues
- Focus for next year's cycle of the Forum, successes and lesson's learned



Next Steps

COMMUNITY CHAMPION COORDINATORS:

- * Evaluation of yearly LWF activities with Localisation Service
- * Continue reviewing progress meeting priorities through PB and Community Offer
- * Continue escalating local public service issues
- * Engage ward's community in issue resolution

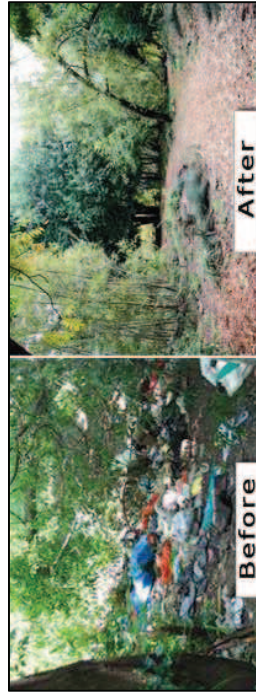
RESIDENTS:

- * Continue delivering commitments as part of Community Offer

SERVICE PROVIDERS:

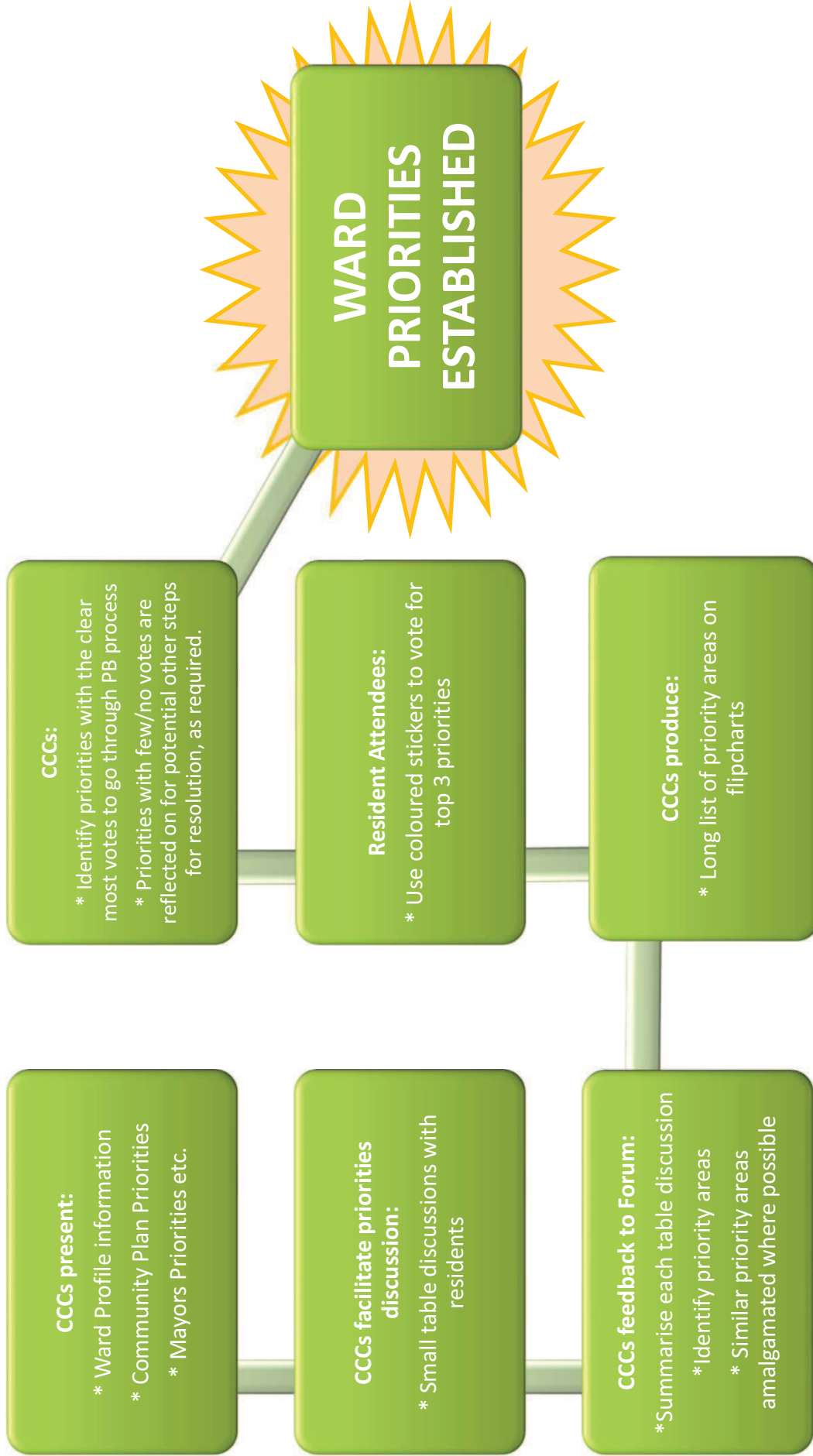
- * Troubleshooting for CCCs, as required

MEETING 3

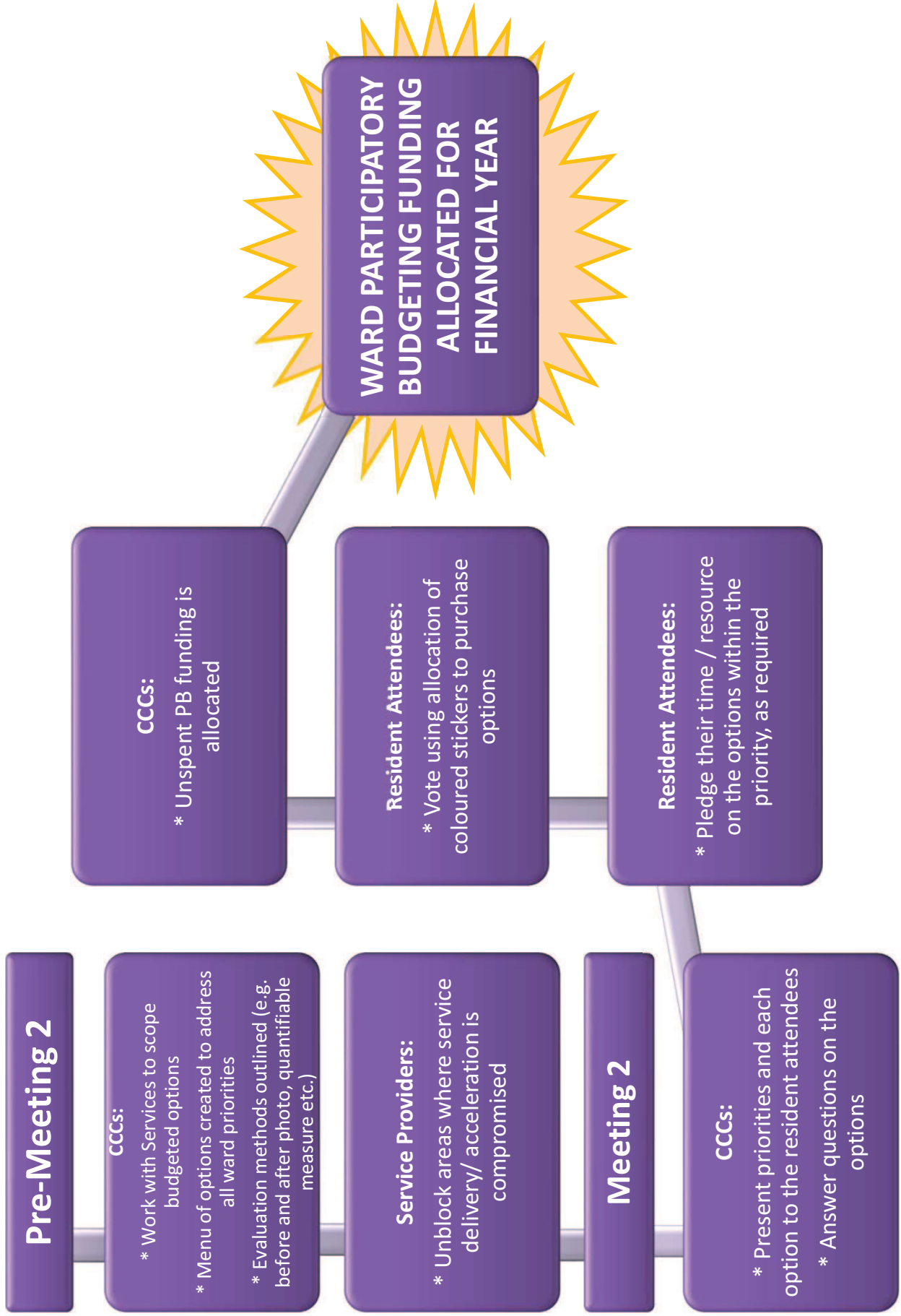


Participatory Budgeting: Process

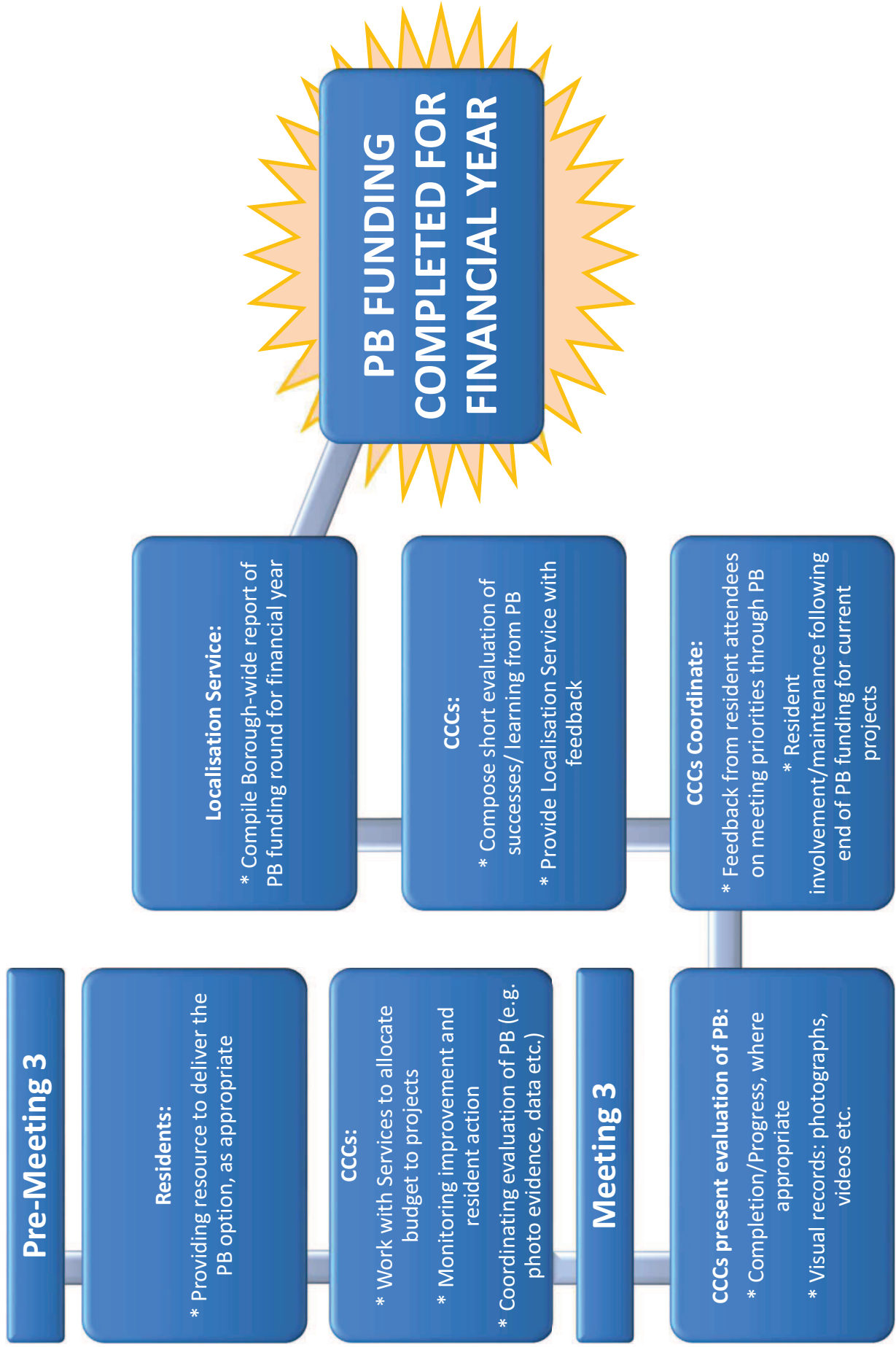
Participatory Budgeting Process: Meeting 1



Participatory Budgeting Process: Pre-Meeting 2 and Meeting 2

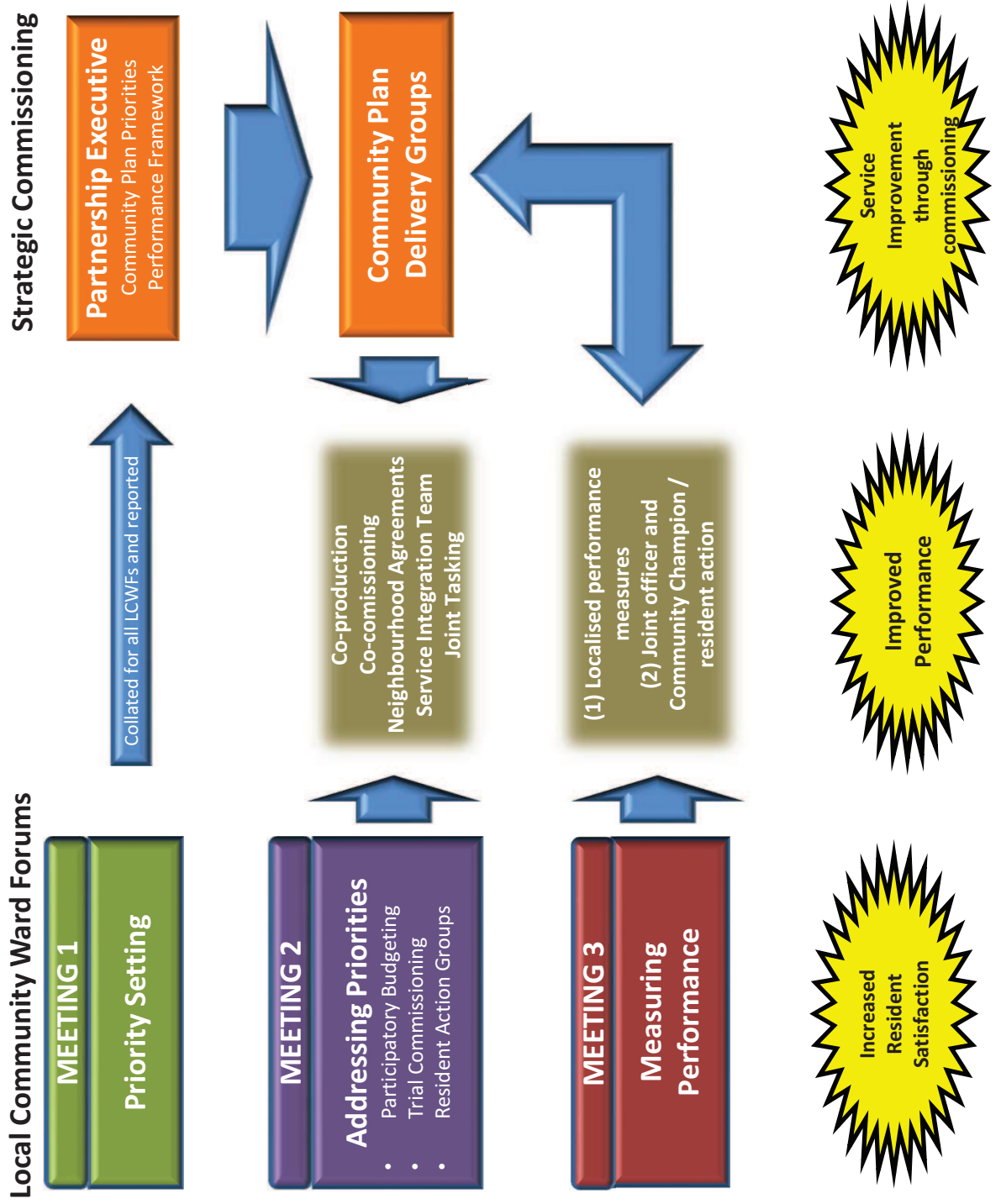


Participatory Budgeting Process: Pre-Meeting 3 and Meeting 3



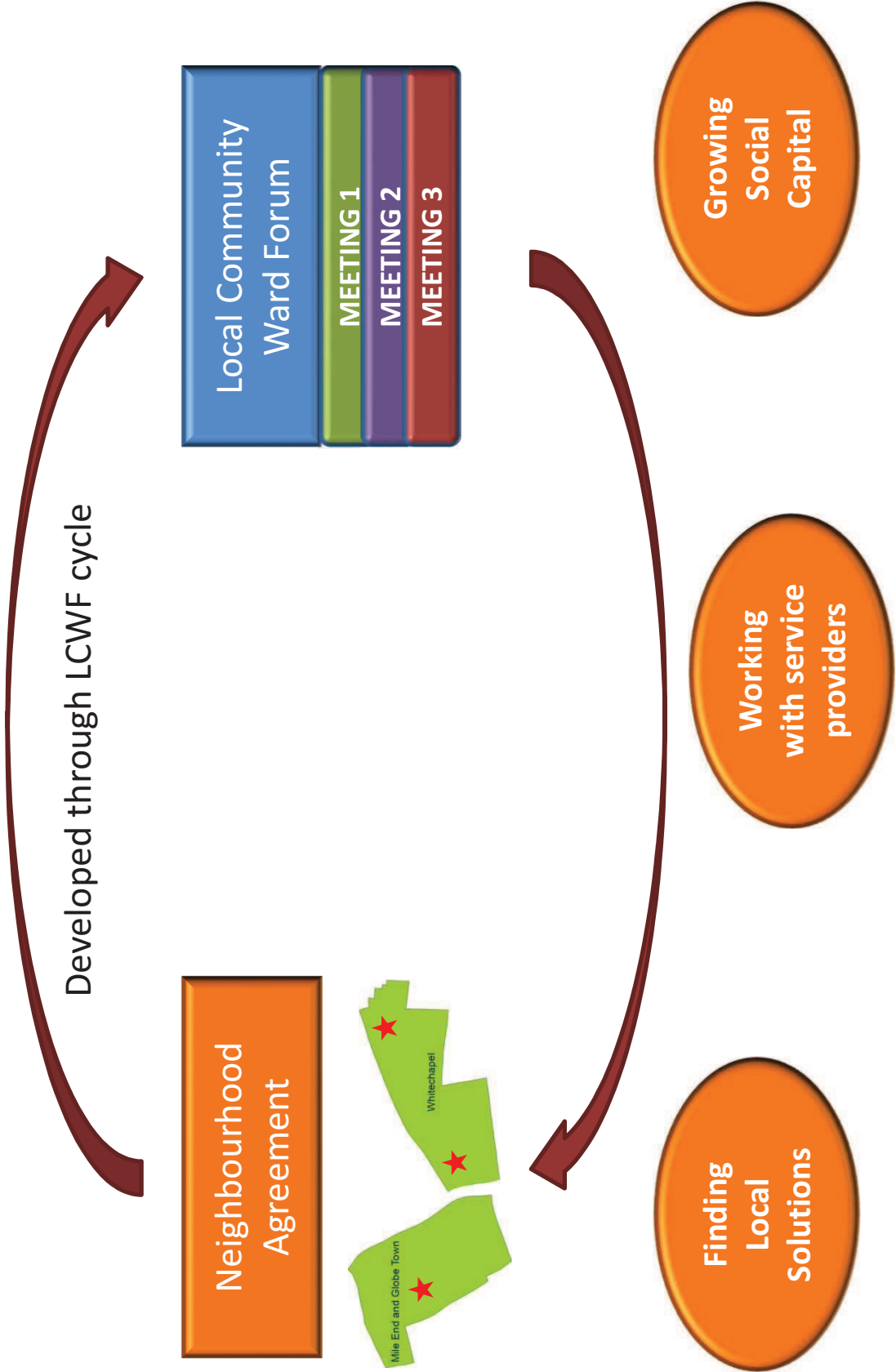
Local Community Ward Forum & Partnership Structures Relationship

Local Community Ward Forums and The Partnership Structures



Neighbourhood Agreements

Neighbourhood Agreements and Local Community Ward Forums

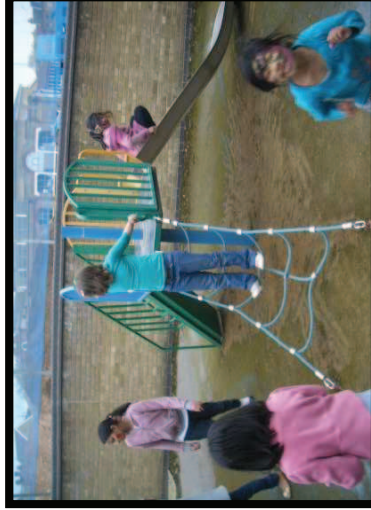


Leopold Wingmore Gascoigne Neighbourhood Agreement

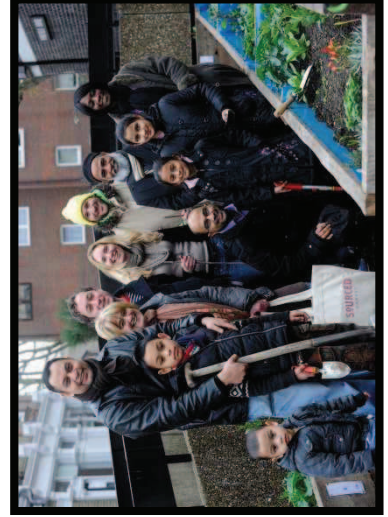
Refurbished
Hut



Safe
Playground



Greening
Project



Leopold Wingmore Gascoigne Neighbourhood Agreement

Service Provision



Community Cohesion



Finding Local Solutions

Working with service providers

Growing Social Capital

The Mayor's Community Champions Programme

The Mayor's Community Champions

- Programme under Mayor's Community Champions branding
- Coherent framework supporting service acceleration
- Meeting the priorities of Local Community Ward Forums
- Pool learning, experience and resources
- E.g.:

Clean and Green – Monitoring and Inspections
Adult Social Care – Co-commissioning and health champions
Capital Assets – Resident management of community assets
Open spaces - Managing soft works
Financial - Money Matters Month



The Mayor's community
CHAMPIONS
tower hamlets volunteers

This page is intentionally left blank

EQUALITY ANALYSIS QUALITY ASSURANCE CHECKLIST

Name of 'proposal' and how has it been implemented (proposal can be a policy, service, function, strategy, project, procedure, restructure/savings proposal)	Local Community Ward Forums (LCWFs) LCWFs are the most localised arrangements of the new Partnership structures.
Directorate / Service	CLC, Localisation Service
Lead Officer	Shazia Hussain
Signed Off By	Shazia Hussain

Stage	Checklist Area / Question	Yes / No / Unsure	Comment (If the answer is no/unsure, please ask the question to the SPP Service Manager or nominated equality lead to clarify)
1	Overview of Proposal		
a	Are the outcomes of the proposals clear?	Yes	<p>This report presents the processes for the implementation of the Local Community Ward Forums (LCWFs).</p> <p>The Partnership structures have recently been refreshed and as part of this process it was agreed that the most localised arrangements will operate on a ward level as a LCWF. The LCWF will be coordinated by the Community Champion Coordinators (volunteers, recruited from within each ward) who will bring together local residents from within the ward. Through a programme of yearly meetings, residents will agree local priorities, create the means of addressing and undertake evaluation.</p> <p>The LCWFs will also have clear links to local arrangements including existing SNTs and any future Neighbourhood</p>

			<p>Forums and, if appropriate local Neighbourhood Agreements. They will also operate locally as a clear means of escalating local issues to localised services and Community Plan Delivery Groups (CPDGs) as appropriate.</p> <p>The arrangements will provide a clear mechanism for residents to address local priorities and empowering local people to co-produce services appropriate to local needs.</p>
b	<p>Is it clear who will be or is likely to be affected by what is being proposed (inc service users and staff)? Is there information about the equality profile of those affected?</p>	Yes	<p>All of the Borough's residents will have the opportunity to take an active part in the LCWFs. To monitor the profile of applicants ward level residents' data will be used.</p> <p>In the first instance this will be through the Community Champion Coordinator (CCC) application process. All residents who submit an application and fulfil the minimum criteria will be considered for this role. Equalities information is available on the Borough's residents through nationally undertaken population profiles and counts, such as the Census results and the applications process for CCCs will be mindful of this when recruiting CCCs.</p> <p>All residents will have the opportunity to play an active part in both the priority setting and addressing processes. Once priorities have been established and means of addressing agreed equalities issues will be considered as appropriate.</p> <p>The local arrangements have been designed to be as inclusive as possible – with ward level considered to be an appropriate level of geography to ensure that our communities can continue to be heard and shape the delivery of services locally.</p>
c	<p>If there a narrative in the proposal where NO impact has been identified? Please note – if a Full EA is not be undertaken based on the screen or fact that a proposal has not been 'significantly' amended, a narrative needs to be</p>	No	<p>It is anticipated that the equalities impacts will be positive for the protected groups - given the opportunities for addressing local priorities and the 'community offer' which the Council is making available.</p>

	included in the proposal to explain the reasons why and to evidence due regard		
2	Monitoring / Collecting Evidence / Data and Consultation		
a	Is there reliable qualitative and quantitative data to support claims made about impacts?	Yes	Information on the equalities profile of our residents is available corporately. As the LCWFs are rolled out across the Borough this information will be used when analysing the CCC recruitment process, attendance at LCWF meetings and the priority addressing process. This information will be monitored and addressed, as appropriate.
	Is there sufficient evidence of local/regional/national research that can inform the analysis?	Yes	See above
b	Has a reasonable attempt been made to ensure relevant knowledge and expertise (people, teams and partners) have been involved in the analysis?	Yes	See above
c	Is there clear evidence of consultation with stakeholders and users from groups affected by the proposal?	Yes	Stakeholders representing the Borough's community have been consulted with. For example, this has included the Partnership Executive, Voice and Representation group and internal Council stakeholders.
3	Assessing Impact and Analysis		
a	Are there clear links between the sources of evidence (information, data etc) and the interpretation of impact amongst the nine protected characteristics?	Yes	Ward level equalities data will contribute to assessing the impact of the implementation of this proposal amongst the protected characteristics.
	Is there a clear understanding of the way in which proposals applied in the same way can have unequal impact on different groups?	Yes	
b	Has the assessment sufficiently considered the three aims of the Public Sector Equality Duty (PSED) and OTH objectives?	Yes	The objectives this proposal include promoting equalities and cohesion in the borough
4	Mitigation and Improvement Action Plan		
a	Is there an agreed action plan?	N/A	An implementation plan is set out within this report. The LCWFs will consider the arrangements for delivering the meetings in appropriate venues and presenting opportunities for all our communities to be involved. The means of

			addressing LCWF priorities through the 'Community Offer' will be evaluated individually for implications on protected characteristics. If required, mitigating activity will be undertaken.
b	Are all actions SMART (Specific, Measurable, Achievable, Relevant and Time Bounded)	N/A	See above
c	Are the outcomes clear?	N/A	See above
d	Have alternative options been explored	N/A	See above. However, alternative options for delivering the LCWFs have been explored.
6	Quality Assurance and Monitoring		
a	Are there arrangements in place to review or audit the implementation of the proposal?	Yes	The LCWF arrangements include a meeting which undertakes evaluation on effectiveness of addressing the local priorities.
b	Is it clear how the progress will be monitored to track impact across the protected characteristics??	Yes	See above
7	Reporting Outcomes and Action Plan		
a	Does the executive summary contain sufficient information on the key findings arising from the assessment?	Yes	
8	Sign Off and Publication		
a	Has the Lead Officer signed off the EA? Please note – completed and signed off EA and Quality Assurance checklists to be sent to the One Tower Hamlets team	Yes	

Any other comments	
Signature	Date 20/11/2012

Please keep this document for your records and forward an electronic version to the One Tower Hamlets Team

Agenda Item 10.3

Committee: Cabinet	Date: 13 March 2013	Classification: Unrestricted	Report No: CAB 90/123
Report of: Acting Chief Finance Officer Originating officer(s): Alan Finch- Service Head, Financial Services, Risk and Accountability		Title: Fees and Charges 2013-14 Wards Affected: ALL	

Lead Member	Cllr Alibor Choudhury (Cabinet Member for Resources)
Community Plan Theme	One Tower Hamlets
Strategic Priority	Ensuring Value for Money across the Council

1. **SUMMARY**

- 1.1 This report details the proposed changes to fees and charges across all directorates, to take effect from 1st April 2013 (or as soon as is practical thereafter).
- 1.2 Fees and charges fall into two broad categories:
- Statutory – those set by the government
 - Discretionary – those set at the discretion of local authorities.

Whilst the recommendations in this report relate to discretionary charges the statutory charges have been included in the appendices (**see Appendix 6**) to provide the overall picture for the Council.

- 1.3 The current level of inflation (CPI= 2.7%, RPI= 3.0%) is a key factor in determining any recommended changes. However, as the report points out there are several other factors that directorates have considered including service demand, the projected cost of providing the different services and the impact of the general economic situation on the Council's residents.

2. **RECOMMENDATIONS**

- 2.1 The Mayor in Cabinet is recommended to:-

Adults, Health and Wellbeing

- 2.2 Approve the revised fees and charges as set out in **Appendix 1** with effect from 1st April 2013 (or as soon as is practical thereafter)

Chief Executives

- 2.3 Approve the revised fees and charges as set out in **Appendix 2** with effect from 1st April 2013 (or as soon as is practical thereafter)

Communities, Localities and Culture

- 2.4 Approve the revised fees and charges as set out in **Appendix 3** with effect from 1st April 2013 (or as soon as is practical thereafter)

Children's, Schools and Families

- 2.5 Approve the revised fees and charges as set out in **Appendix 4** with effect from 1st April 2013 (or as soon as is practical thereafter)

Development & Renewal

- 2.6 Approve the revised fees and charges as set out in **Appendix 5** with effect from 1st April 2013 (or as soon as is practical thereafter)

3. REASONS FOR THE DECISIONS

- 3.1 Fees and charges are reviewed annually as part of the financial and business planning process. This ensures that they are set at the appropriate level for the prevailing economic circumstances and represents good practice in terms of the Council's aim to provide value for money.

4. ALTERNATIVE OPTIONS

- 4.1 Whilst the changes to fees and charges recommended in the report follow a review of existing charges by each directorate, other alternatives can be adopted by Members. The financial impact of any alternatives will need to be reflected in the Council's Medium Term Financial Plan (MTFP).

5. BACKGROUND

- 5.1 The application of fees and charges has an important role to play in helping the Council to achieve its strategic objectives, for example, by:
- Providing a source of funding for re-investment in services;
 - Influencing resident behaviour i.e. controlling service demand whilst, through appropriate discounts/concessions, ensuring that only those who can afford to pay are required to pay;
 - Working as a driver to reduce unit costs.
- 5.2 The Council is committed to optimising its income in a fair and proportionate way.

- 5.3 In 2008 the Audit Commission published 'Positively Charged – Maximising the Benefits of Local Public Service Charges'. The report found that charges could potentially play a more significant contribution to Council finances.
- 5.4 The authority currently generates some £30.5m through fees and charges, in the main through parking £15.2m, school meals £3.2m, street trading £2.3m, commercial waste £3.3m and planning and building control fees £3.5m. The income generated through fees and charges is reinvested in the associated services. No service seeks to make a surplus from fees and charges income.
- 5.5 The fees and charges fall into two broad categories: (1) statutory charges which are set by statute (this includes most planning fees) and (2) discretionary charges which can be determined by the Council (this includes commercial waste and leisure services). A few charges do not fall clearly into either of these two categories in that they are not under the direct control of the Council: this includes Penalty Charge Notices which are set by local authorities through London Council, with the approval of the London Mayor and Secretary of State.
- 5.6 Whilst the on-street parking charges are driven by traffic management considerations, a key factor in determining the level of charge for the other main sources of income is the cost of service provision. However, Council policy has largely dictated that the ability of people to pay is a prime consideration. The table below sets out the key principles guiding the Council's approach to charging for services.

Fairness	Rationale & Prioritisation	Stability & Predictability
Subsidy should be a conscious choice i.e. a presumption to full cost recovery	Fees and charges should reflect key priorities	The impact of pricing changes should be managed over time where the impact is high
Concessions for services should be logical	There should be a logic for charges for different levels of the same service	Charges should be affordable to both users and the taxpayer
Charges should not provide subsidy to businesses from the taxpayer	Charges should be transparent, clear and simple	Charges should generate income to help delivery capacity, efficiency, and support continuous improvement
A tough stance to be taken on payment avoidance	Charges should take account of the wider market for similar or alternative services	Charges should be communicated to users as soon as practical

- 5.7 All directorates have undertaken a review of their fees and charges as part of the financial and business planning process having regard to these principles. Any additional income generated from increases will be used to offset the savings requirement in the MTFP.

- 5.8 This year the provision for inflation in the MTFP does not include an assumption that fees and charges will increase. This means that in some circumstances increasing fees and charges will provide additional income over and above that assumed in the MTFP. The main exception to this is where services are managed through trading accounts and fees and charges are levied in order to recover the costs of services.
- 5.9 The general rule is that except in very particular circumstances fees and charges may not be set at such a level as to generate a surplus. Again there are exceptions to this.
- 5.10 Set out below is a more detailed narrative on the outcome of the review process within each directorate. The report sets out where special circumstances apply.

6. ADULTS, HEALTH AND WELLBEING

Meals Service for Social Service Clients (Appendix 1, section 1.1)

- 6.1 The meals service provides the meals on wheels service, meals to lunch clubs and day services. The service provides meals to elderly and vulnerable adults and currently charges £2.40 per meal for both hot and frozen meals which generates approximately £385k per annum.
- 6.2 There are no proposals to increase prices during 2013/14.
- 6.3 However, the Meals Service for Social Service Clients remains a heavily subsidised service with the actual cost of meals being on average approximately £7. The majority of other London Boroughs charge for this service in excess of £3 per meal for the service with some being as high as £6; there is therefore the potential to increase the charge further and thus reduce the level of subsidy in the future.

Day care Services (Appendix 1, section 1.2)

- 6.4 Day services are currently not charged for when clients meet the Council's eligibility criteria of substantial and critical need and the client lives in the Borough.
- 6.5 Charges are however levied on clients attending LBTH day care centres where the placement is made by another local authority.
- 6.6 Current charges range from £44.20 to £64.29 per day, depending on which centre clients attend, and this generates approximately £10k per annum.
- 6.7 The current charges are already believed to be competitive and thus no further increases are proposed for 2013/14.

Extra Care for Sheltered Housing and Supported Living Clients (Appendix 1, section 1.3)

- 6.8 Client contributions towards extra care at sheltered housing is means tested and currently capped at £173.83 per week at Coopers Court, Duncan Court, Donnybrook Court and Sonali Gardens and at £188.16 per week at Sue Starkey and Shipton House.
- 6.9 The cost of extra care for supported living clients, although uncapped, is also means tested using our fairer charging policy.
- 6.10 There are no proposals to change these arrangements as they are in line with the commissioned contracts in place and thus fees and charges will be frozen during 2013/14. Thus current income levels of £410k per annum are not expected to change during 2013/14.

7. CHIEF EXECUTIVES

Electoral Services (Appendix 2, section 2.1)

- 7.1 The Electoral Services generates approximately £4k per annum through fees and charges. Prices were last increased in 2010/11. Following this year's review no further increases are recommended during 2013/14.

Registrars Services (Appendix 2, section 2.2)

- 7.2 Registrar's Services currently generates £593k per annum approximately from a combination of fees from statutory services such as the registration of births, deaths, marriages and civil partnerships but also other services such as citizenship ceremonies, approved premises' licenses etc.
- 7.3 No further increases are recommended at present. However, the service will continue to review the prices to ensure they remain competitive.

8. COMMUNITIES, LOCALITIES AND CULTURE

Parking (Appendix 3, section 3.1) [Trading Account]

- 8.1 In setting Parking fees and charges, account has been taken of the current and continuing weak economic situation and its impact on residents and businesses but also the effectiveness of the current level of fees and charges on areas of parking pressure.
- 8.2 Pay and Display fees have been reviewed and it is not proposed that these should increase in 2013/14. Resident permits will be increased by 5% and business permits will be increased by 10% in 2013/14. Both increases were identified as part of 2012/13 budget deliberations and are rounded to the nearest pound
- 8.3 Doctor's permits are currently charged at £525 per annum and are the only permits not linked to a vehicle's CO2 emissions/engine size. It is proposed that the specific charge for doctor's permits is removed and that these permits are offered as business permits in line with the emissions bands. Practices using

smaller vehicles will therefore reduce their permit costs and the change establishes an entirely consistent approach to permit charging aligning them to emissions bands for everyone in order to promote the reduction of pollutants within the borough

- 8.4 It is proposed to increase the fee for Traffic Management Orders (TMOs). The charge is applied usually to developers, statutory undertakers or commercial events companies and is used to manage traffic over short periods of time to accommodate site access, large commercial or road events or construction. The fee for Traffic Management Orders has not been increased since 2008. It is currently charged at £2,500. Approximately 10 TMO's are undertaken each year. Benchmarking data has identified that this fee is within the mid-range of charges applied by London Boroughs. The fee increase is needed to facilitate more effective cost recovery specific to the cost of implementing the TMO. It is proposed that this fee is increased to £3,000.
- 8.5 An administration fee of £50 is currently charged for bay suspensions (excluding suspensions for the provision of skips, for which a Temporary Structures Occupancy Fee is charged). This charge covers the cost of assessment, inspection and publication of the suspension. It is proposed that this charge is increased to £55 to reflect increased operational costs.

Clean and Green (Appendix 3, section 3.2)

- 8.6 Temporary Structure Occupancy Fees are charged to cover the costs of regulation and inspection to any persons or organisation wishing to erect a temporary structure on or over the Highway (for example scaffolding). Current fees are charged according to length of occupation and there is a lack transparency for the Charge. Current charges are in the lowest quartile across London and this does not incentivise the swift removal of such structures. It is proposed that a more transparent charging mechanism is introduced and that charges are brought in line with neighbouring boroughs, as detailed below. Whilst it is estimated that this would generate approximately £5k of additional income per annum the driver for the change is principally to increase transparency regarding the reasons for the charge, to simplify back office processes and to further incentivise the swift removal of temporary structures such as scaffolding the prolonged presence of which can damage the local economy. The changes consist of:
- A one off pre-application inspection fee of £30, non-refundable if appointment missed.
 - Road occupancy charge with rates set according to the square meterage and period of occupation
 - Post inspection and deposit handling fee of £40
 - Complaint investigation and compliance fee of £45. This would only be charged if, following investigation, the complaint is upheld.
 - Licenses will be issued up to a period of 6 months only. Renewals to licences will incur a renewal fee of £100 (this includes inspection and admin cost).
 - An overstay charge of £150 plus occupancy fee will be introduced. This would not exempt the scaffolding company or hirer from enforcement action, if this is felt to be appropriate.

- 8.7 To ensure the local community has effective redress should something go wrong and to protect residents who apply for scaffolding licences from unlimited liability scaffolding licences will also now be linked to confirmation by the applicant of public liability insurance.
- 8.8 It is also proposed that a charge for containers, site hubs and portaloos is introduced. This would apply to construction sites where containers are located on the carriageway or footway. The charge covers administrative and inspection costs in order to ensure that the containers comply with safety requirements and do not cause an unnecessary obstruction to the public.

Transport and Highways (Appendix 3, section 3.3)

- 8.9 In order to improve the effectiveness of cost recovery it is proposed that a fee is introduced for a crane licence if the road does not need to be closed. The fee would be set at £360, which is half of the current cost of a road closure. It is anticipated that there would be approximately 25 crane licence requests per year, generating £9k income per annum which would offset the costs of inspection and liaison with construction companies.
- 8.10 It is proposed that all other fees and charges within the Transportation and Highways service be increased by inflation in order to maintain cost recovery performance.

Commercial Waste (Appendix 3, section 3.4)

- 8.11 In 2011 the way in which the commercial waste service is delivered within Tower Hamlets was changed to a pre-paid sack scheme with designated collection times. This change was brought about to reduce costs, reduce commercial dumping of rubbish in streets and business specific bin sites, improve the cleanliness of our streets and improve regulation of business waste disposal. It forms part of a three year proposal to deliver agreed annual savings through the development of the service. The project plan identifies an appropriate level of fee increase over the three year period in order to achieve annual targets aligned to the savings profile. Proposed increases for 2013/14 are in line with the project plan and enable the continued delivery of the savings target. In recognition of the community benefit provided by Schedule 2 category organisations it is only proposed to raise charges by inflation for the purpose of maintaining cost recovery performance. It is important to note that the council's commercial waste offer to business is delivered in an open market. Businesses producing waste must have a commercial waste agreement but they are not restricted to the Council's service.

Pest Control (Appendix 3, section 3.7)

- 8.12 It is only proposed to increase all Pest Control fees and charges by the rate of Inflation in order to maintain cost recovery performance.

Environmental Protection (Appendix 3, section 3.8)

- 8.13 The service undertakes contaminated land assessments for developers, for which a charge is applied (£150 standard and £400 non-standard). A

benchmarking exercise was undertaken in 2011 and identified that LBTH was in the lowest charging quartile. The charge was increased in 2012/13 in line with increased resource requirements to undertake higher levels of data collection and maintenance of land information. It is proposed that a further increase of 10% is applied to both standard and non-standard charges for 2013/14. These fees would position the Council within the mid-range of charges applied by other London Boroughs and would greater reflect the actual cost to the service of completing these searches.

- 8.14 Officers spend a great deal of time dealing with prior consents under Section 61, Control of Pollution Act 1974, on construction sites within the borough. It is proposed that a charge of £80 is applied per hour of officer time spent in discussing dispensations to agreed working hours and monitoring the noise from works undertaken as part of that dispensation. This charge would mainly apply to large scale development companies and would recover approximately £15k of council costs per annum.
- 8.15 Inflationary increases are proposed to all other Environmental Protection fees and charges in order to maintain cost recovery performance. Where appropriate, smaller charges have been rounded to the nearest equitable sum.

Idea Store Learning (Appendix 3, section 3.10)

- 8.16 It is proposed that library fines, charges and reduced rates for people over 65 years and under 16 years remain unchanged in 2013/14. The £5 premium rate for reservations on books and audio-visual materials from outside the London Libraries Consortium (LLC) is applicable to all borrowers aged 16 and over.
- 8.17 A charge of £25 per hour is currently applied for the hire of standard Idea Store learning labs. It is proposed that this charge is not increased. Room hire for Idea Store Canary Wharf learning labs and other non-standard spaces currently attract a charge of £50 per hour. It is proposed that this charge be on a sliding scale from £15 – £100 per hour, dependent upon the location, nature and size of the space and the equipment required. Small and medium sized local employers, charities and local voluntary organisations will secure a discount of 50% on all room hire; this includes standard and non-standard spaces.
- 8.18 Tower Hamlets Local History Library & Archives manages a collection of over 36,000 archival images which illustrate the rich and diverse history of the borough. This world class collection is increasingly being targeted by media and publishing companies with demand for copies of digitised images from the collection increasing significantly year on year. This commercial interest makes up about two thirds of total demand for the service. The cost to reproduce these images, with resource time and data storage has also increased. Currently charges are low in comparison to commercial picture agencies and other London borough archives. It is proposed that fees for image reproduction for LBTH residents and voluntary/community organisations remain unchanged. Fees for commercial organisations and individuals from outside of the borough will be increased and a 50% discount will apply for out of borough not for profit organisations.

Sports Pitches (Appendix 3, section 3.12)

- 8.19 Pitch fees have not been increased in the last ten years, whilst facilities and the quality of pitches have consistently improved during this time and charges are now in some instances out of step with neighbouring boroughs. Major improvements to the changing room facilities in Victoria Park are planned as well as additional pitches, a new cricket wicket and all weather practice areas. These enhanced facilities will increase the maintenance costs, so to avoid budget pressures pitch fees should be increased to help cover these. It is proposed to continue to freeze pitch charges for Borough junior and senior teams as this will enable us to continue to promote sports development and healthy lifestyles within the borough. However charges for out of borough teams are proposed to be increased by 10%.

9. CHILDREN, SCHOOLS AND FAMILIES

School Meals (Appendix 4, section 4.1) [Trading Account]

- 9.1 The School Meals Service operated by Contract Services continues to provide healthy and nutritious meals to pupils on a daily basis. The menus change each April and November and are designed to meet or exceed the Government's tough nutritional and food based guidelines. In 2011/12, Contract Services carried out a number of efficiency projects in order to generate savings for the Council and secure a viable future for the service. These efficiencies have been realised to date during the course of 2012/13 and the service is currently projecting a surplus at year end. A request will be made to reinvest any surplus into the service.
- 9.2 The main projects taken on which have exceeded expectations during 2012/13 were to carry out a full staffing restructure of Contract Services and review procurement methods – it is these efficiencies which have enabled the service to project such a positive year end position.
- 9.3 Budgetary research and planning has indicated that the global cost prices of food are likely to increase by 5 and 6% in 2013/14. There will also be additional pressure on the salary budget with the on-going support by the Council for the London Living Wage. It is estimated that these additional costs will require a further 6p per meal being added to the contract price of the meal to schools. However, through the careful and effective re-letting of procurement contracts utilising the London Supplies Group Contracts (a groups of neighbouring authorities pooling their needs to obtain improved pricing) continued efficiencies on food costs are anticipated.
- 9.4 The contract price charged to schools is not the price charged to pupils which has been recommended to remain the same at £1.90 and £2.00 per meal (primary and secondary respectively) for 2013/14.
- 9.5 The price charged to schools, which will be considered by Schools Forum, is proposed to increase by 3p for 2013/14 to take account of the overall financial position of the service. This increase will permit Contract Services to continue to work with schools closely to continuously improve the services offered.

Arts and Music (Appendix 4, section 4.2)

- 9.6 There are no proposals to increase fees and charges for activities provided by The Tower Hamlets Arts and Music Education Service (THAMES). However, it may be necessary to review these charges in the next financial year, should the Government reduce the grant that supports the service.

Holiday Childcare schemes (Appendix 4, section 4.3)

- 9.7 The Council runs childcare schemes during schools holiday for both working and non-working parents. Due to increasing demand from parents and carers provision has recently been extended to 13 years, with priority for siblings of younger children attending.
- 9.8 The current charges are £4 per day for non-working parents, £10 per day for working parents between 9am and 5pm, or £14 for an extended 8am-6pm day. These charges generate approximately £55,000 per annum.
- 9.9 Affordable childcare plays an important role in helping parents to work, or engage in education or training that can lead to work, and therefore contributes significantly to Community Plan priorities in relation to child and adult poverty and employment. This is particularly important in school holidays.
- 9.10 It is therefore not proposed to increase the fees for 2013/14. The service would continue to be subsidised by the council to cover the additional running costs which are in the region of £120,000.

Day Nurseries (Appendix 4, section 4.4)

- 9.11 The Day Nurseries provide a front-line service offering high quality childcare. The majority of children accessing this service are vulnerable and have been referred by Social Care or other professionals.
- 9.12 Although past decisions by Members have set the maximum charge for nursery provision at £180 per week, in practice, for the few cases for which a fee is applicable the prevailing charge has been £148 per week.
- 9.13 It is not proposed to change this charge for 2013/14.

Support Services to Academies and Free Schools (Appendix 4, section 4.5)

- 9.14 The Council provides a range of support services for its schools on a traded basis, which are set out in detail in our online catalogue at www.lbthservicesforschools.co.uk. These services are charged on a full cost recovery basis.
- 9.15 Where appropriate, these services are offered to academies and free schools. In order to cover the additional administrative costs of providing these services to organisations outside local authority control, a pricing policy that adds a 10% administrative charge to the full cost recovery rate was adopted last year. It is proposed to continue with this policy. Academies and Free Schools will also be charged VAT.

10. DEVELOPMENT & RENEWAL (Appendix 5)

- 10.1 The Council generates £3.8m a year through charges for various planning and building control services. This includes a range of statutory and discretionary charges and a new set of charges introduced in July 2012 for discretionary work associated with Street Naming and Numbering (SN&N) applications.
- 10.2 For 2013/14 there is a proposal to increase Planning and Building Control discretionary fees and charges by inflation. All Planning Statutory fees (Appendix 6) have been increased by 15% (under the Town and Country Planning Regulation 2012) following a government announcement.
- 10.3 Building Control trading activity must break even year on year, hence, fees and charges relating to the Building Control Trading Account must reflect the cost of the service. A review will be undertaken and where appropriate any increases will be announced in the new financial year.
- 10.4 Street Naming and Numbering fees & charges were introduced during the 2012/13 financial year. The charges were set to test the impact on service demand. These charges will also be part of the Building Control review.

11. RESOURCES

- 11.1 There are no fees and charges for consideration.

12. COMMENTS OF THE CHIEF FINANCIAL OFFICER

- 12.1 All directorates have undertaken a review of their fees and charges as part of the financial and business planning process, having regard to the guiding principles detailed in section 5.6.
- 12.2 In general fees and charges recover some or all of the costs of services from users. This generates income which reduces the costs of services to Council tax payers and can also be used to achieve other strategic objectives, such as encouraging the use of services. A decision to charge for or to subsidise services needs to be based on rational considerations.
- 12.3 The Medium Financial Plan inflation contingency figure assumes no additional income will be generated from fees and charges for 2013/14, although some budget decisions made in previous financial years have assumed increases in charges in 2013/14. The proposals in this report have no impact on the draft budget elsewhere on this agenda.
- 12.4 If it is decided not to increase charges in line with inflation, this will generally have the impact of increasing the level of subsidy provided by the Council to service users. Once a decision is made to freeze charges, it is difficult to recover the lost income without increasing costs by more than inflation in a future period. The

financial implications of freezing charges can therefore be regarded as permanent.

13. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL)

13.1 The report proposes increases to existing discretionary fees and charges imposed by the Council or the introduction of new charges. As a general approach –

- To the extent that the report proposes leaving existing charges unchanged, the Council's relevant powers are not made the subject of detailed legal comments.
- To the extent that an inflationary increase is proposed to an existing charge, it will be for officers to ensure that such an increase is justifiable by reference to the constraints of the charging power relied upon.

13.2 The Council has general power under section 93 of the Local Government Act 2003 ("LGA 2003") to charge a person for discretionary services, that is, the provision of a service where the Council is authorised, but not required, to provide the service and the person has agreed to its provision. The power applies where there is no other specific statutory power that covers the proposed charge. The income from charges for a service should not exceed the cost of providing the service. Charges may be set differentially, so that users are charged different amounts, for example for parking at different times of the day or for different levels of service.

13.3 The Council has power under section 1 of the Localism Act 2011 to do anything that individuals generally may do, subject to specified restrictions and limitations imposed by other statutes. The general power of competence extends to charging for services, but limits on charging are imposed by section 3 of the Localism Act. The Council may only charge for a service under the general power of competence if: (a) it is a discretionary service; (b) the person agrees to the service being provided; and (c) there is no other power to charge for the service, including in section 93 of the LGA 2003. Taking one financial year with another, the income from charges must not exceed the costs of providing the service.

13.4 In some instances, the report proposes new charges for discretionary services or for something that an individual would be able to charge for. These charges include –

- Charges for discretionary services associated with consents granted under section 61 of the Control of Pollution Act 1974.
- Charges for hiring space in Idea Stores.
- Charges imposed for image reproduction by the local history library and archives.
- Fees for use of sports pitches.
- Charges to schools associated with provision of school meals.

- 13.5 Such charges would be covered by either section 93 of the LGA 2003 or section 1 of the Localism Act 2011. Officers must take care that the conditions set out in paragraph 13.2 and 13.3 are complied with in respect of such charges.
- 13.6 In respect of some of the proposed charges and payments in the report, the Council's power to impose them arises from specific statutory powers (other than the general powers in section 93 of the LGA 2003 or section 1 of the Localism Act 2011). These are addressed in detail below, subject to general approach set out in paragraph 13.1.
- 13.7 The Environmental Information Regulations 2004 (EIR) place obligations on the Council to make environmental information available to the public. The Council is permitted to charge a reasonable amount to applicants who request environmental information, but may not charge for allowing an applicant: (1) to access any public registers or lists of environmental information held by the Council; or (2) to examine the information at a place made available by the Council for that purpose. In the imposition of any of the discretionary charges proposed in the report for the provision of information, officers must take care that charges are only imposed in the circumstances permitted by the EIR.
- 13.8 An increase is proposed to charges for resident and business parking permits and for bay suspensions. It is also proposed to treat doctors' permits the same as business permits. Under sections 45 and 46 of the Road Traffic Regulation Act 1984, the Council may by order: (1) designate parking places on highways in Tower Hamlets for vehicles or vehicles of any class specified in the order; (2) make charges for vehicles left in a parking place so designated; (3) limit the use of designated parking places for specified persons or vehicles or classes of persons or vehicles authorised by permit; and (4) make charges in connection with the issue of such permits. The changes proposed fall within these powers.
- 13.9 An increased fee is proposed in relation to traffic management orders. It is understood that this fee is connected with applications for exemption from any prohibition or exemption imposed by a traffic management order made under section 6 of the Road Traffic Regulation Act 1984. The Council is permitted to charge for such applications by the Local Authorities (Transport Charges) Regulations 1998. The amount of the charge is at the Council's discretion, but it must have regard to the actual cost of dealing with such applications.
- 13.10 It is proposed to introduce a variety of charges in relation to temporary structures in the highway. To the extent that these relate to discretionary services, the Council may charge for them in relation to section 93 of the LGA 2003 and subject to the constraints set out above. However, the Council is responsible under the Highways Act 1980 for granting permissions to place material in the highway: section 139 (skips); section 169 (scaffolding or other structure); and section 171 (building materials, rubbish or other things). The Council is permitted to charge for considering applications for such permissions by the Local Authorities (Transport Charges) Regulations 1998. The amount of the charge is at the Council's discretion, but it must have regard to the actual cost of dealing with such applications. Officers must ensure that costs charged for any non-discretionary matters related to the consideration of applications are properly related to that consideration.

13.11 Before imposing any new or revised fees and charges, the Council should first have due regard to the need to eliminate unlawful conduct under the Equality Act 2010, the need to advance equality of opportunity and the need to foster good relations between persons who share a protected characteristic and those who don't. Information is contained in the report relevant to these considerations.

14. ONE TOWER HAMLETS CONSIDERATIONS

14.1 The Council has a statutory duty under the Equality Act 2010, the effect of which is summarised in paragraph 13.11 of the report.

14.2 Equality analyses have been undertaken for all services where fees and charge increases are proposed and linked to the delivery of savings (Appendix 7).

14.3 Where appropriate, concessions will be available to groups or individuals in the community where the increase may result in them being excluded from particular activities or subject to any other particular hardship.

15. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT (SAGE)

15.1 There are no SAGE implications arising from the recommendations of this report.

16. RISK MANAGEMENT IMPLICATIONS

16.1 The proposals for increases to fees and charges detailed in this report support the Council's Medium Term Financial Strategy and are necessary to deliver approved savings and achieve a balanced budget.

17. CRIME AND DISORDER REDUCTION IMPLICATIONS

17.1 There are no implications arising from the recommendations of this report.

18. EFFICIENCY STATEMENT

18.1 Fees and charges are reviewed annually as part of the financial and business planning process. This ensures that they are set at the appropriate level for the prevailing economic circumstances and represents good practice in terms of the Council's aim to provide value for money.

19. APPENDICES

Appendix 1 Discretionary Fees and Charges within Adults, Health and Wellbeing

Appendix 2 Discretionary Fees and Charges within Chief Executives

Appendix 3 Discretionary Fees and Charges within Communities, Localities and Culture

Appendix 4 Discretionary Fees and Charges within Childrens, Schools and Families

Appendix 5 Discretionary Fees and Charges within Development & Renewal

Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2012

LIST OF “BACKGROUND PAPERS” USED IN THE PREPARATION OF THIS REPORT

Brief description of “Background Paper”

None

This page is intentionally left blank

Appendix 1

Discretionary Fees and Charges within Adults, Health and Wellbeing

Nature and policy of charging						Charge		
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change	Unit of charge
1.1 Meals Service for Social Service Clients								
AHWB	Meals on Wheels	Contribution towards the cost of meal	Meal Contribution	N	2.40	2.40	0.0%	per meal
AHWB	Day Care	Contribution towards the cost of meal	Meal Contribution	N	2.40	2.40	0.0%	per meal
1.2 Day Care Services								
AHWB	Day Care	Contribution towards the cost of refreshments	Refreshments	N	0.30	0.30	0.0%	per unit (half day)
AHWB	Day Care	Attendance for other local authority placement for the day, excluding transport	Pritchards Road - Mental Health	N	47.68	47.68	0.0%	per day
AHWB	Day Care	Attendance for other local authority placement for the day, excluding transport	Coburn Centre - Learning Disabilities	N	47.11	47.11	0.0%	per day
AHWB	Day Care	Attendance for other local authority placement for the day, excluding transport	Mayfield House - Elders	N	44.20	44.20	0.0%	per day
AHWB	Day Care	Attendance for other local authority placement for the day, excluding transport	Poplar Day Centre - Elders	N	46.80	46.80	0.0%	per day
AHWB	Day Care	Attendance for other local authority placement for the day, excluding transport	Russia Lane - Elders	N	58.24	58.24	0.0%	per day
AHWB	Day Care	Attendance for other local authority placement for the day, excluding transport	Physical Disability Day Opportunities	N	64.29	64.29	0.0%	per day
1.3 Extra Care for Sheltered Housing and Supported Living Clients								
AHWB	Extra Care Sheltered	Contribution towards extra care sheltered housing	Coopers Court	N	Means Tested	Means Tested	N/A	per week
AHWB	Extra Care Sheltered	Contribution towards extra care sheltered housing	Duncan Court	N	Means Tested	Means Tested	N/A	per week
AHWB	Extra Care Sheltered	Contribution towards extra care sheltered housing	Donnybrook Court	N	Means Tested	Means Tested	N/A	per week
AHWB	Extra Care Sheltered	Contribution towards extra care sheltered housing	Sonali Gardens	N	Means Tested	Means Tested	N/A	per week
AHWB	Extra Care Sheltered	Contribution towards extra care sheltered housing	Sue Starkey	N	Means Tested	Means Tested	N/A	per week

Appendix 1

Discretionary Fees and Charges within Adults, Health and Wellbeing

Nature and policy of charging							Charge		
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change	Unit of charge	
AHWP	Extra Care Sheltered	Contribution towards extra care sheltered housing	Shipton House	N	Means Tested	Means Tested	N/A	per week	
AHWP	Supported Living	Housing Support	Receiving Extra Care	N	Means Tested	Means Tested	N/A	per week	
AHWP	Supported Living	Housing Support	Non-Extra Care	N	Means Tested	Means Tested	N/A	per week	

Appendix 2

Discretionary Fees and Charges within Chief Executive's

Dir		Nature and policy of charging				Charge		
Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change	Unit of charge	
2.1 Electoral Services								
CE	Electoral Registration	Register of Electors confirmation letter	N	10.00	10.00	0.0%	Per Letter	
CE	Electoral Registration	Register of Electors confirmation letter	N	20.00	20.00	0.0%	Per Letter	
CE	Electoral Registration	Register of Electors confirmation letter	N	30.00	30.00	0.0%	Per Letter	
CE	Electoral Registration	Register of Electors confirmation letter	N	75.00	75.00	0.0%	Per Letter	
CE	Electoral Registration	Register of Electors confirmation letter	N	50.00	50.00	0.0%	Per Letter	
CE	Electoral Registration	Register of Electors confirmation letter	N	75.00	75.00	0.0%	Per Letter	
CE	Electoral Registration	Register of Electors street index	N	25.00	25.00	0.0%	per Index	
CE	Electoral Registration	Street Index	N	25.00	25.00	0.0%	Per Copy	
CE	Freedom of Information	None	None	None	None	None	None	
2.2 Registrar's Services								
CE	Registrars	Marriage & CP Ceremony - Vestry	N	129.15	129.15	0.0%	1 hr	
CE	Registrars	Marriage & CP Ceremony - Vestry	N	149.65	149.65	0.0%	1 hr	
CE	Registrars	Marriage & CP Ceremony - Vestry	N	199.88	199.88	0.0%	1 hr	
CE	Registrars	Marriage & CP Ceremony - Vestry	N	292.13	292.13	0.0%	1 hr	
CE	Registrars	Marriage & CP Ceremony - Vestry	N	476.63	476.63	0.0%	1 hr	
CE	Registrars	Marriage & CP Ceremony - Licenced Venue	N	404.88	404.88	0.0%	2 hrs	
CE	Registrars	Marriage & CP Ceremony - Licenced Venue	N	476.63	476.63	0.0%	2 hrs	
CE	Registrars	Marriage & CP Ceremony - Licenced Venue	N	507.38	507.38	0.0%	2 hrs	
CE	Registrars	Marriage & CP Ceremony - Licenced Venue	N	507.38	507.38	0.0%	2 hrs	
CE	Registrars	Nationality Checking Service	N	56.38	56.38	0.0%	45 mins	
CE	Registrars	Nationality Checking Service	N	25.00	25.00	0.0%	45 mins	
CE	Registrars	Nationality Checking Service	N	92.25	92.25	0.0%		
CE	Registrars	Individual Citizenship Ceremony - Vestry Room	N	123.00	123.00	0.0%	1 hr	
CE	Registrars	Individual Citizenship Ceremony - Vestry Room	N	143.50	143.50	0.0%	1 hr	

Appendix 2

Discretionary Fees and Charges within Chief Executive's

Dir	Nature and policy of charging					Charge		
	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change	Unit of charge
CE	Registrars	Individual Citizenship Ceremony - Vestry Room	Saturday AM	N	194.75	194.75	0.0%	1 hr
CE	Registrars	Individual Citizenship Ceremony - Vestry Room	Saturday PM	N	292.13	292.13	0.0%	1 hr
CE	Registrars	Individual Citizenship Ceremony - Vestry Room	Sunday AM	N	476.63	476.63	0.0%	1 hr
CE	Registrars	Individual Citizenship Ceremony - other licenced venue	Monday-Friday	N	404.88	404.88	0.0%	2hrs
CE	Registrars	Individual Citizenship Ceremony - other licenced venue	Saturday	N	471.50	471.50	0.0%	2hrs
CE	Registrars	Individual Citizenship Ceremony - other licenced venue	Sunday	N	507.38	507.38	0.0%	2hrs
CE	Registrars	Individual Citizenship Ceremony - other licenced venue	Bank Holidays	N	507.38	507.38	0.0%	2hrs
CE	Registrars	Naming - Space 17	Pre-application meeting	N	10.25	10.25	0.0%	30 mins
CE	Registrars	Approved Premises Licenses	Venue with 1 Room	N	410.00	410.00	0.0%	per annum
CE	Registrars	Approved Premises Licenses	Venue with 2-4 Rooms	N	615.00	615.00	0.0%	per annum
CE	Registrars	Approved Premises Licenses	Venue with 5+ Rooms	N	922.50	922.50	0.0%	per annum

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

		Nature and policy of charging						
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
3.1 Parking								
CLC	Parking	Residents permits	Band A - 6 months	N	0	0	0.0%	6 Months
CLC	Parking	Residents permits	Band A - 12 months	N	0	0	0.0%	12 Months
CLC	Parking	Residents permits	Band B - 6 months	N	26	28	5.0%	6 Months
CLC	Parking	Residents permits	Band B - 12 months	N	42	45	5.0%	12 Months
CLC	Parking	Residents permits	Band C - 6 months	N	32	34	5.0%	6 Months
CLC	Parking	Residents permits	Band C - 12 months	N	53	56	5.0%	12 Months
CLC	Parking	Residents permits	Band D - 6 months	N	42	45	5.0%	6 Months
CLC	Parking	Residents permits	Band D - 12 months	N	74	78	5.0%	12 Months
CLC	Parking	Residents permits	Band E - 6 months	N	53	56	5.0%	6 Months
CLC	Parking	Residents permits	Band E - 12 months	N	95	100	5.0%	12 Months
CLC	Parking	Residents permits	Band F - 6 months	N	63	67	5.0%	6 Months
CLC	Parking	Residents permits	Band F - 12 months	N	116	122	5.0%	12 Months
CLC	Parking	Residents permits	Band G1 - 6 months	N	74	78	5.0%	6 Months
CLC	Parking	Residents permits	Band G1 - 12 months	N	131	138	5.0%	12 Months
CLC	Parking	Residents permits	Band G2 and multi-vehicle - 6 months	N	84	89	5.0%	6 Months

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

		Nature and policy of charging						
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
CLC	Parking	Residents permits	Band G2 and multi-vehicle - 12 months	N	158	166	5.0%	12 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band A - 3 Months	N	193	212	10.0%	3 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band A - 6 Months	N	286	315	10.0%	6 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band A - 12 Months	N	462	508	10.0%	12 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band B - 3 Months	N	204	224	10.0%	3 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band B - 6 Months	N	303	333	10.0%	6 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band B - 12 Months	N	490	539	10.0%	12 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band C - 3 Months	N	220	242	10.0%	3 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band C - 6 Months	N	325	358	10.0%	6 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band C - 12 Months	N	523	575	10.0%	12 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band D - 3 Months	N	242	266	10.0%	3 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band D - 6 Months	N	358	394	10.0%	6 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band D - 12 Months	N	578	636	10.0%	12 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band E - 3 Months	N	253	278	10.0%	3 Months
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band E - 6 Months	N	374	411	10.0%	6 Months

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

		Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge		
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band E - 12 Months	N	605	666	10.0%	12 Months		
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band F - 3 Months	N	264	290	10.0%	3 Months		
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band F - 6 Months	N	391	430	10.0%	6 Months		
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band F - 12 Months	N	633	696	10.0%	12 Months		
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band G1 - 3 Months	N	275	303	10.0%	3 Months		
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band G1 - 6 Months	N	407	448	10.0%	6 Months		
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band G1 - 12 Months	N	660	726	10.0%	12 Months		
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band G2 and multi-vehicle - 3 Months	N	286	315	10.0%	3 Months		
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band G2 and multi-vehicle - 6 Months	N	420	462	10.0%	6 Months		
CLC	Parking	Business / Public Service / Contractor / Doctor's permits	Band G2 and multi-vehicle - 12 Months	N	688	757	10.0%	12 Months		
CLC	Parking	Short stay parking	A1, A2, A5, A6, C1 and C2	N	4	4	0.0%	per hour		
CLC	Parking	Short stay parking	A3, A4, C3 and C4	N	3.50	3.50	0.0%	per hour		
CLC	Parking	Short stay parking	Zones B1, B2, B3, B4, D1 and D2	N	3	3	0.0%	per hour		
CLC	Parking	Short stay parking	Roman Road (off street P&D)	N	2	2	0.0%	per hour		
CLC	Parking	Market trader permit	3 Months	N	160	160	0.0%	3 Months		

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
CLC	Parking	Market trader permit	6 Months	N	270	270	0.0%	6 Months
CLC	Parking	Market trader permit	12 Months	N	440	440	0.0%	12 Months
CLC	Parking	Market trader permit	Daily permit / scratch card (per book of 5)	N	25	25	0.0%	Book of 5
CLC	Parking	Car Club fee		N	200	200	0.0%	One-off
CLC	Parking	Traffic Management Order	cost of making / amending orders inc preparation, advertising & implementation	N	2500	3000	20.0%	Per Item
CLC	Parking	Traffic Management Order	permanent for car free developments	N	106	106	0.0%	Per Item
CLC	Parking	Bay suspension charges	Administration Charge in other cases	N	50	55	5.0%	One-off
CLC	Parking	Bay suspension charges	Zones A1, A2, A5, A6, C1 and C2	N	30	30	0.0%	Bay / Day
CLC	Parking	Bay suspension charges	Zones A3, A4, C3 and C4	N	25	25	0.0%	Bay / Day
CLC	Parking	Bay suspension charges	Zones B and D	N	23	23	0.0%	Bay / Day
CLC	Parking	Permit Administration	Amendments or replacements	N	5	5	0.0%	Per Item
CLC	Parking	Permit Administration	Replacement disabled persons clock	N	50	50	0.0%	Per Item
CLC	Parking	Visitors scratch card permit	Residents	N	10	10	0.0%	Book of 10
CLC	Parking	Visitors scratch card permit	Public Service	N	35	35	0.0%	Book of 10
CLC	Parking	Visitors scratch card permit	Business	N	20	20	0.0%	Book of 15
CLC	Parking	Car Pound Management	Fee for finding and restoring stolen vehicles	N	200	200	0.0%	Per Item
3.2 Clean and Green								

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

		Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge		
CLC	Clean & Green	Temporary Structures Occupancy fee	Pre-application inspection fee	N	N/A	30	New	per notice		
CLC	Clean & Green	Temporary Structures Occupancy fee (less than 50m ²)	Road occupancy charge (less than 1 month)	N	N/A	225	New	per square metre per week		
CLC	Clean & Green	Temporary Structures Occupancy fee (50m ² - 200m ²)	Road occupancy charge (less than 1 month)	N	N/A	350	New	per square metre per week		
CLC	Clean & Green	Temporary Structures Occupancy fee (more than 200m ²)	Road occupancy charge (less than 1 month)	N	N/A	350 + 50 per extra 50m ²	New	per square metre per week		
CLC	Clean & Green	Temporary Structures Occupancy fee (less than 50m ²)	Road occupancy charge (1-3 months)	N	N/A	400	New	per square metre per week		
CLC	Clean & Green	Temporary Structures Occupancy fee (50m ² - 200m ²)	Road occupancy charge (1-3 months)	N	N/A	525	New	per square metre per week		
CLC	Clean & Green	Temporary Structures Occupancy fee (more than 200m ²)	Road occupancy charge (1-3 months)	N	N/A	525 + 50 per extra 50m ²	New	per square metre per week		
CLC	Clean & Green	Temporary Structures Occupancy fee (less than 50m ²)	Road occupancy charge (more than 3 months)	N	N/A	800	New	per square metre per week		
CLC	Clean & Green	Temporary Structures Occupancy fee (50m ² - 200m ²)	Road occupancy charge (more than 3 months)	N	N/A	1050	New	per square metre per week		
CLC	Clean & Green	Temporary Structures Occupancy fee (more than 200m ²)	Road occupancy charge (more than 3 months)	N	N/A	1050 + 50 per extra 50m ²	New	per square metre per week		
CLC	Clean & Green	Temporary Structures Occupancy fee	Post-inspection and deposit handling fee	N	N/A	40	New	per notice		

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging							Charges set nationally / by statute (Y/N)			
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge		
CLC	Clean & Green	Temporary Structures Occupancy fee	Complaint investigation and compliance fee for upheld complaint	N	N/A	45	New	per notice		
CLC	Clean & Green	Temporary Structures Occupancy fee	Licence renewal fee	N	N/A	100	New	one off		
CLC	Clean & Green	Temporary Structures Occupancy fee	Overstay charge	N	N/A	150 + occupancy fee backdated to licence expiry date	New			
CLC	Clean & Green	Containers/Site Huts/Portaloos	On carriageways	N	N/A	275	New	per item/per month		
CLC	Clean & Green	Containers/Site Huts/Portaloos	On carriageways (renewal fee)	N	N/A	150	New	per item/per month		
CLC	Clean & Green	Containers/Site Huts/Portaloos	On footways	N	N/A	200	New	per item/per month		
CLC	Clean & Green	Containers/Site Huts/Portaloos	On footways (renewal fee)	N	N/A	125	New	per item/per month		
CLC	Clean & Green	Deposit	York Stone or stone setts paving	N	203	208	2.5%	per square metre		
CLC	Clean & Green	Deposit	Other paving materials	N	72	74	2.5%	per square metre		
3.3 Transport and Highways										
CLC	Transport & Highways	Development	Highways enquiries	N	73	75	2.5%	per enquiry		
CLC	Transport & Highways	Development	Highways enquiries - (resident groups)	N	32	32	Free	per enquiry		
CLC	Transport & Highways	Street works	Crane Licence - not closing a road	N	N/A	360	New	per licence		
CLC	Transport & Highways	Street works	Weekend Day rate for supervising for crane works etc.	N	240	246	2.5%	per day		

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
CLC	Transport & Highways	Street works	Section 50 licences	N	793	813	2.5%	per licence
CLC	Transport & Highways	Street works	list of statutory undertakers	N	40	41	2.5%	
CLC	Transport & Highways	Street works	Defective statutory undertakers equipment - recharge cost plus fees	N	27% fees	27% fees	0.0%	
CLC	Transport & Highways	Traffic Management Order	Section 14.2 - Notice to close roads or restrict traffic movement 1 to 5 days	N	937 - 2185	960 - 2240	2.5%	per notice
CLC	Transport & Highways	Traffic Management Order	Section 14.1 - Order to close roads or restrict traffic movement - 1 to 14 days	N	1745 - 3150	1789 - 3289	2.5%	per notice
CLC	Transport & Highways	Traffic Management Order	Section 14.1 - Order to close roads or restrict traffic movement 15 to 28 days	N	1874 - 3435	1921 - 3521	2.5%	per notice
CLC	Transport & Highways	Traffic Management Order	Section 14.1 - Order to close roads or restrict traffic movement - 1 Month	N	2185 - 3746	2240 - 3840	2.5%	per notice
CLC	Transport & Highways	Traffic Management Order	Section 14.1 - Order to close roads or restrict traffic movement - 2 Months	N	2498 - 4059	2560 - 4160	2.5%	per notice
CLC	Transport & Highways	Traffic Management Order	Section 14.1 - Order to close roads or restrict traffic movement - 3 Months	N	2810 - 4371	2880 - 4480	2.5%	per notice

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
CLC	Transport & Highways	Traffic Management Order	Section 14.1 - Order to close roads or restrict traffic movement - 6 Months	N	7493 - 12178	7680 - 12482	2.5%	per notice
3.4 Commercial Waste								
CLC	Commercial Waste	Residual	Sacks	N	1.05	1.10	4.8%	per item
CLC	Commercial Waste	Residual	240 litre wheeled bin	N	9.14	9.46	3.6%	per item
CLC	Commercial Waste	Residual	360 litre wheeled bin	N	10.50	10.80	2.9%	per item
CLC	Commercial Waste	Residual	Eurobin 1100 liter	N	14.94	14.94	0.0%	per item
CLC	Commercial Waste	Residual	Eurobin 660 liter	N	11.11	11.50	3.5%	per item
CLC	Commercial Waste	Residual	Rental only 240 litre wheeled bin	N	0.44	0.50	12.9%	per item
CLC	Commercial Waste	Residual	Rental only 360 litre wheeled bin	N	0.44	0.50	12.9%	per item
CLC	Commercial Waste	Residual	Rental only bulk bin	N	1.40	1.58	12.9%	per item
CLC	Commercial Waste	Residual	Collection only 360 litre wheeled bin	N	6.05	6.18	2.2%	per item
CLC	Commercial Waste	Residual	Collection only Eurobin	N	9.74	9.95	2.2%	per item
CLC	Commercial Waste	Residual	Rolonoff	N	123.91	136.30	10.0%	per item
CLC	Commercial Waste	Residual	Rolonoff hire	N	8.13	8.94	10.0%	per item
CLC	Commercial Waste	Recycling	Sacks or bundle of cardboard	N	1.00	1.00	0.0%	per item

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging										
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge		
CLC	Commercial Waste	Recycling	240 litre wheeled bin	N	2.82	3.10	10.0%	per item		
CLC	Commercial Waste	Recycling	360 litre wheeled bin	N	3.94	4.33	10.0%	per item		
CLC	Commercial Waste	Recycling	Eurobin 600 litre	N	6.27	6.58	5.0%	per item		
CLC	Commercial Waste	Recycling	Eurobin 1280 litre	N	8.95	9.40	5.0%	per item		
CLC	Commercial Waste	Schedule 2	Sacks	N	0.66	0.69	2.5%	per item		
CLC	Commercial Waste	Schedule 2	240 litre wheeled bin	N	1.46	1.48	2.5%	per item		
CLC	Commercial Waste	Schedule 2	360 litre wheeled bin	N	1.54	1.57	2.5%	per item		
CLC	Commercial Waste	Schedule 2	Eurobin 1100 litre	N	5.04	5.07	2.5%	per item		
CLC	Commercial Waste	Schedule 2	Eurobin 660 liter	N	4.77	4.79	2.5%	per item		
CLC	Commercial Waste	Schedule 2	Rental only 240 litre wheeled bin	N	0.44	0.47	2.5%	per item		
CLC	Commercial Waste	Schedule 2	Rental only 360 litre wheeled bin	N	1.40	1.43	2.5%	per item		
3.5 Bulk Waste										
CLC	Commercial Waste	Bulk Waste	Collection of Bulk Waste	N	15	15	0.0%			
3.6 Street Trading										
CLC	Street Trading and Footways - charge for use of	Market Rate (general)	Sat	N	25	25	0.0%	per day		

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging									
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge	
CLC	Street Trading and Footways charge for use of	Market Rate (general)	Sun	N	36	36	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Whitechapel	Mon-Fri	N	7	7	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Whitechapel	Sat	N	30	30	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Columbia Road	Sun	N	45	45	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Petticoat Lane	Sun	N	32	32	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Chrisp Street - large pitch	Mon-Fri	N	6	6	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Chrisp Street - large pitch	Sat	N	45	45	0.0%	per day	

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging									
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge	
CLC	Street Trading and Footways charge for use of	Food Court Charge	Mon- Fri	N	5	5	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Temporary Trader voucher / licence	Mon-Fri	N	21	21	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Temporary Trader voucher / licence	Sat	N	31	31	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Temporary Trader voucher / licence	Sun	N	36	36	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Temporary Trader voucher / licence	Sunday (Columbia Road)	N	36	36	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Temporary trader regeneration voucher	Mon-Fri	N	10	10	0.0%	per day	
CLC	Street Trading and Footways charge for use of	Temporary trader regeneration voucher	Sat	N	15	15	0.0%	per day	

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
CLC	Street Trading and Footways charge for use of	Temporary trader regeneration voucher	sun	N	20	20	0.0%	per day
CLC	Street Trading and Footways charge for use of	Extra pitch voucher	Mon-Fri	N	5	5	0.0%	per day
CLC	Street Trading and Footways charge for use of	Extra pitch voucher	Sat	N	10	10	0.0%	per day
CLC	Street Trading and Footways charge for use of	Extra pitch voucher	Sun	N	16	16	0.0%	per day
CLC	Street Trading and Footways charge for use of	Isolated pitch voucher	Mon-Fri	N	20	20	0.0%	per day
CLC	Street Trading and Footways charge for use of	Isolated pitch voucher	Sat	N	40	40	0.0%	per day
CLC	Street Trading and Footways charge for use of	Isolated pitch voucher	Sun	N	50	50	0.0%	per day

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

		Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge		
CLC	Street Trading and Footways - charge for use of	Isolated Pitch Voucher Prime location - extra inspections	Mon -Fri	N	20	20	0.0%	per day		
CLC	Street Trading and Footways - charge for use of	Isolated Pitch Voucher Prime location - extra inspections	Sat	N	40	40	0.0%	per day		
CLC	Street Trading and Footways - charge for use of	Isolated Pitch Voucher Prime location - extra inspections	Sun	N	50	50	0.0%	per day		
CLC	Street Trading and Footways - charge for use of	Fresh produce & flower refuse removal	Mon-Sun	N	By market producers sharing cost equally	By market producers sharing cost equally	N/A	per day		
CLC	Street Trading and Footways - charge for use of	Charge for additional cleansing in high profile areas - food courts	Any Day	N	By market traders in area of clean sharing cost equally	By market traders in area of clean sharing cost equally	N/A	per clean		
CLC	Street Trading and Footways - charge for use of	Display of goods & other use of public footway & space	£1 a square metre a day	N	1	1	0.0%	per square metre per day		
CLC	Street Trading and Footways - charge for use of	Forecourt trading	anywhere in borough	N	25	25	0.0%	per week		

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging									
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge	
CLC	Street trading & footways	Fees for a licence	Licence & registration application & renewal fee. All street, display and goods and forecourt licenses	N	75	75	0.0%	Up to 3 years	
CLC	Street trading & footways	Fees for a licence	Licence & registration application & renewal fee. For use of public space or footway for other than display of goods	N	120	120	0.0%	6 Months	
CLC	Street trading & footways	Fees for a licence	Application for a variation of a licence	N	50	50	0.0%	per item	
CLC	Street trading & footways	Fees for a licence	Additional charge in relation to final reminders	N	20	20	0.0%	per item	
CLC	Street trading & footways	Fees for a licence	Registered assistant application fee	N	10	10	0.0%	Up to 3 years	
CLC	Street trading & footways	Fees for a licence	Refunds, duplicate / copy documentation, licence deposit and reclaim	N	25	25	0.0%	per item	
CLC	Street trading & footways	Fees for a licence	Charge for an arrears letter	N	20	20	0.0%	per item	
CLC	Street trading & footways	Fees for a licence	Replacement pitch card	N	15	15	0.0%	per item	
CLC	Street trading & footways	Fees for a licence	Pitch designation (one pitch) - new	N	1000	1000	0.0%	per pitch	
CLC	Street trading & footways	Fees for use of electricity	fee for electricity token	N	1	1	0.0%	per token	
3.7 Pest Control									
CLC	Pest Control	Rats		N	Free	Free	0.0%	Free	

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging									
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge	
CLC	Pest Control	Mice		N	90	92	2.5%	per visit	
CLC	Pest Control	Cockroaches		N	90	92	2.5%	per visit	
CLC	Pest Control	Fleas		N	50	51	2.5%	per visit	
CLC	Pest Control	Bed Bugs		N	90	92	2.5%	per visit	
CLC	Pest Control	Wasps		N	50	51	2.5%	per visit	
CLC	Pest Control	Pharaohs Ants		N	90	92	2.5%	per visit	
CLC	Pest Control	Garden Ants		N	50	51	2.5%	per visit	
9.8 Environmental Protection									
CLC	Environment Health Protection	Contaminated land searches	Standard search	N	150	165	10.0%	per item	
CLC	Environment Health Protection	Contaminated land searches	Non standard search	N	400	440	10.0%	per item	
CLC	Environment Health Protection	Section 61 CPA Prior Consents	Prior consents and dispensations	N	N/A	80	New	per hour	
CLC	Environment Health Protection	HMO Licensing	Basic fee per property	N	402	412	2.5%	per item	
CLC	Environment Health Protection	HMO Licensing	Additional fee per habitable room	N	27	28	2.5%	per item	

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

		Nature and policy of charging					Charges set nationally / by statute (Y/N)			
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge		
CLC	Environment Health Protection	HMO Licensing	Amend details on an existing license	N	96	98	2.5%	per item		
CLC	Environment Health Protection	HMO Licensing	Re-license fee / habitable room	N	43	44	2.5%	per item		
CLC	Environment Health Protection	Travellers site weekly rent (pitch)		N	72	74	2.5%	weekly		
CLC	Environment Health Protection	Animal warden service fees	micro chipping a dog	N	13	13	2.5%	per item		
CLC	Environment Health Protection	Parish funeral admin charge		N	159	163	2.5%	per item		
CLC	Environment Health Protection	Post Mortem (2nd)		N	430	441	2.5%	per item		
CLC	Environment Health Protection	Housing act notice served fee		N	436	447	2.5%	per item		
CLC	Environment Health Protection	Photocopy fees	1st 10 pages A4	N	9	9	2.5%	10 pages		
CLC	Environment Health Protection	Photocopy fees	each further sheet A4	N	1	1	2.5%	per page		
CLC	Environment Health Protection	Photocopy fees	1st 10 pages A3	N	17	17	2.5%	10 pages		

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
CLC	Environment Health Protection	Photocopy fees	each further sheet A3	N	1	1	2.5%	per page
3.9 Arts and Events								
CLC	Arts & Events	Rental Charges	Space occupied by 8 organisations	N	9-12	9-12	0.0%	per square foot
3.10 Idea Store Learning								
CLC	Idea Store	Membership Cards	Lost - children	N	0.50	0.50	0.0%	per card
CLC	Idea Store	Membership Cards	Lost - adult	N	1	1	0.0%	per card
CLC	Idea Store	Library reservations	Books - Premium services for books held outside the LLC	N	5	5	0.0%	per item
CLC	Idea Store	Library reservations	AV - Premium services for AV held outside LBTH	N	5	5	0.0%	per item
CLC	Idea Store	Room hire: standard	Average Learning Lab	N	25	25	0.0%	per hour
CLC	Idea Store	Room hire: specialist	IS Canary Wharf, Dance Studio, Complementary Therapy suite, Local History Library and other specialist rooms	N	50	15 - 100	-225% and 100%	per hour
CLC	Idea Store	Photocopying	Card	N	1	1	0.0%	per card
CLC	Idea Store	Photocopying	A4 B&W	N	0.10	0.10	0.0%	per sheet
CLC	Idea Store	Photocopying	A3 B&W	N	0.20	0.20	0.0%	per sheet
CLC	Idea Store	Photocopying	A4 Colour	N	1	1	0.0%	per sheet
CLC	Idea Store	Fax	to UK	N	0.60	0.60	0.0%	per page
CLC	Idea Store	Fax	receiving faxes	N	0.12	0.12	0.0%	per page
CLC	Idea Store	Printouts	A4 B&W printouts from internet	N	0.10	0.10	0.0%	per sheet

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
CLC	Idea Store	Printouts	A4 Colour printouts from internet	N	0.26	0.26	0.0%	per sheet
CLC	Idea Store	Printouts	A3 microfilm printouts	N	0.35	0.35	0.0%	per sheet
CLC	Idea Store	Printouts	A4 microfilm printouts	N	0.45	0.45	0.0%	per sheet
CLC	Idea Store (Local History Library & Archives)	Digitisation	Images less than 300dpi	N	5	5	0.0%	per image
CLC	Idea Store (Local History Library & Archives)	Digitisation	Images more than 300dpi	N	10	10	0.0%	per image
CLC	Idea Store (Local History Library & Archives)	Digitisation	Burning to CD	N	1	2	100.0%	per image
CLC	Idea Store (Local History Library & Archives)	Digitisation	Use of personal digital camera	N	5	5	0.0%	per day
CLC	Idea Store (Local History Library & Archives)	Image reproduction	Film/TV (UK)	N	25	100	400.0%	per image
CLC	Idea Store (Local History Library & Archives)	Image reproduction	Film/TV (World)	N	50	200	400.0%	per image

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
CLC	Idea Store (Local History Library & Archives)	Image reproduction	Websites (including free-to-view web-only films, and free-to-download smartphone apps)	N	N/A	25	New	per image
CLC	Idea Store (Local History Library & Archives)	Image reproduction	Commercial smartphone apps	N	N/A	300	New	per image
CLC	Idea Store (Local History Library & Archives)	Image reproduction	Exhibition / non-commercial public display	N	N/A	50	New	per image
CLC	Idea Store (Local History Library & Archives)	Image reproduction	Merchandise, advertising, art/design products, other commercial use	N	N/A	100	New	per image
CLC	Idea Store (Local History Library & Archives)	Image reproduction	Print media and e-books (UK)	N	15	50	333.3%	per image
CLC	Idea Store (Local History Library & Archives)	Image reproduction and voluntary/community groups	Print media and e-books (UK)	N	15	15	0.0%	per image
CLC	Idea Store (Local History Library & Archives)	Image reproduction	Print media and e-books (World)	N	30	100	333.3%	per image

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
CLC	Idea Store (Local History Library & Archives)	Image reproduction - LBTH residents and voluntary/community groups	Print media and e-books (World)	N	30	30	0.0%	per image
CLC	Idea Store (including Local History Library & Archives)	Image reproduction concession for not for profit organisations based outside of the borough	50% of digitisation charges (except burnings to CDs); 50% of image reproduction charges (except Film/TV (World))	N	N/A	various	various	per image
CLC	Idea Store Learning	Skills Funding Agency contract: Courses funded through Adult Safeguarded Learning grant (full fee payers)	Typical course fee on a 20 hour programme	N	2.00 - 2.95	2.00 - 2.95	0.0%	per hour
CLC	Idea Store Learning	Skills Funding Agency contract: Courses funded through Adult Safeguarded Learning grant (fees remitted for those in receipt of benefits)	Typical course fee per hour on a 20 hour programme	N	0 - 1.95	0 - 1.95	N/A	per hour
3.11 Leisure Services								
3.12 Sports Pitches								
CLC	Sports Pitches	Astroturf hire - full pitch	Borough adults hiring in peak hours	N	43.80	43.80	0.0%	per hour
CLC	Sports Pitches	Astroturf hire - half pitch	Borough adults hiring in peak hours	N	25.44	25.44	0.0%	per hour
CLC	Sports Pitches	Astroturf hire - full pitch	Borough adults hiring in non-peak hours	N	30.84	30.84	0.0%	per hour
CLC	Sports Pitches	Astroturf hire - half pitch	Borough adults hiring in non-peak hours	N	18.78	18.78	0.0%	per hour
CLC	Sports Pitches	Astroturf hire - full pitch	Non-borough adults hiring in peak hours	N	59.46	65.41	10.0%	per hour

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

		Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge		
CLC	Sports Pitches	Astroturf hire - half pitch	Non-borough adults hiring in peak hours	N	30.78	33.86	10.0%	per hour		
CLC	Sports Pitches	Astroturf hire - full pitch	Non-borough adults hiring in non-peak hours	N	50.34	55.37	10.0%	per hour		
CLC	Sports Pitches	Astroturf hire - half pitch	Non-borough adults hiring in non-peak hours	N	26.88	29.57	10.0%	per hour		
CLC	Sports Pitches	Astroturf hire - full pitch	Borough primary schools	N	15.10	15.10	0.0%	per hour		
CLC	Sports Pitches	Astroturf hire - half pitch	Borough primary schools	N	7.56	7.56	0.0%	per hour		
CLC	Sports Pitches	Astroturf hire - full pitch	Borough secondary schools	N	7.50	7.50	0.0%	per hour		
CLC	Sports Pitches	Astroturf hire - half pitch	Borough secondary schools	N	3.75	3.75	0.0%	per hour		
CLC	Sports Pitches	Astroturf hire - full pitch	Non-borough schools	N	29.15	32.07	10.0%	per hour		
CLC	Sports Pitches	Astroturf hire - half pitch	Non-borough schools	N	14.60	16.06	10.0%	per hour		
CLC	Sports Pitches	Astroturf hire - full pitch	Borough under-16s hiring in peak hours	N	24.24	24.24	0.0%	per hour		
CLC	Sports Pitches	Astroturf hire - half pitch	Borough under-16s hiring in peak hours	N	12.12	12.12	0.0%	per hour		
CLC	Sports Pitches	Astroturf hire - full pitch	Borough under-16s hiring in non-peak hours	N	20.64	20.64	0.0%	per hour		
CLC	Sports Pitches	Astroturf hire - half pitch	Borough under-16s hiring in non-peak hours	N	10.32	10.32	0.0%	per hour		
CLC	Sports Pitches	Astroturf hire - full pitch	Non-borough under-16s hiring in peak hours	N	41.70	45.87	10.0%	per hour		
CLC	Sports Pitches	Astroturf hire - half pitch	Non-borough under-16s hiring in peak hours	N	20.83	22.91	10.0%	per hour		

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging								
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge
CLC	Sports Pitches	Astroturf hire - full pitch	Non-borough under-16s hiring in non-peak hours	N	36.66	40.33	10.0%	per hour
CLC	Sports Pitches	Astroturf hire - half pitch	Non-borough under-16s hiring in non-peak hours	N	18.36	20.13	10.0%	per hour
CLC	Sports Pitches	Grass pitch hire	Borough adult team (weekday/weekend)	N	44.16	44.16	0.0%	per hour
CLC	Sports Pitches	Grass pitch hire	Non-borough adult team (weekday)	N	68.22	75.04	10.0%	per hour
CLC	Sports Pitches	Grass pitch hire	Non-borough adult team (weekend)	N	65.40	71.94	10.0%	per hour
CLC	Sports Pitches	Grass pitch hire	Borough under-16s team (weekday/weekend)	N	24.06	24.06	0.0%	per hour
CLC	Sports Pitches	Grass pitch hire	Non-borough under-16s team (weekday)	N	35.64	39.20	10.0%	per hour
CLC	Sports Pitches	Grass pitch hire	Non-borough under-16s team (weekend)	N	34.14	37.55	10.0%	per hour
CLC	Sports Pitches	Cricket match	Borough adult team	N	41.58	41.58	0.0%	per match
CLC	Sports Pitches	Cricket match	Non-borough adult team	N	77.88	85.67	10.0%	per match

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging									
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge	
CLC	Sports Pitches	Cricket match	Borough under-16s team	N	24.06	24.06	0.0%	per match	
CLC	Sports Pitches	Cricket match	Non-borough under-16s team	N	43.20	47.52	10.0%	per match	
CLC	Sports Pitches	Tennis court hire	Adults	N	4.70	4.70	0.0%	per hour	
CLC	Sports Pitches	Tennis court hire	Under-16s	N	2.88	2.88	0.0%	per hour	
CLC	Sports Pitches	Softball/rounders match	Adults	N	39.84	39.84	0.0%	per hour	
CLC	Sports Pitches	Softball/rounders match	Under-16s	N	23.40	23.40	0.0%	per hour	
CLC	Sports Pitches	Softball/rounders match	School curriculum	N	11.70	11.70	0.0%	per hour	
CLC	Sports Pitches	Bowls	Adult season ticket	N	34.45	34.45	0.0%	per season	
CLC	Sports Pitches	Bowls	Under-16s season ticket	N	19.30	19.30	0.0%	per season	
CLC	Sports Pitches	Bowls	Senior citizens season ticket	N	14.45	14.45	0.0%	per season	
CLC	Sports Pitches	Bowls	Adults	N	2.35	2.35	0.0%	per hour	
CLC	Sports Pitches	Bowls	Under-16s	N	1.10	1.10	0.0%	per hour	
CLC	Sports Pitches	Bowls	Adult leisure pass holders	N	1.20	1.20	0.0%	per hour	

Appendix 3

Discretionary Fees and Charges within Communities, Localities and Culture

Nature and policy of charging									
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change 13/14	Unit of charge	
CLC	Sports Pitches	Athletics track - Victoria Park	Primary schools	N	11.60	11.60	0.0%	per hour	
CLC	Sports Pitches	Athletics track - Victoria Park	Secondary schools	N	15.35	15.35	0.0%	per hour	
CLC	Sports Pitches	Athletics track - Victoria Park	Adults	N	1.95	1.95	0.0%	per hour	
CLC	Sports Pitches	Athletics track - Victoria Park	Under-16s	N	0.90	0.90	0.0%	per hour	
CLC	Sports Pitches	Athletics track - Victoria Park	Season ticket (adults/under-16s)	N	59.70	59.70	0.0%	per hour	
CLC	Sports Pitches	Athletics track	Track marking	N	43.00	43.00	0.0%	per hour	
CLC	Sports Pitches	Athletics track	Events - Sports Day etc.	N	53.40	53.40	0.0%	per hour	

Appendix 4

Discretionary Fees and Charges within Children, Schools and Families

		Nature and policy of charging					Charge		
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change	Unit of charge	
4.1 Schools Meals									
CSF	School Meals	School Lunch	Primary	N	1.90	1.90	0.0%	per meal	
CSF	School Meals	School Lunch	Secondary	N	2.00	2.00	0.0%	per meal	
4.2 Arts and Music									
4.3 Holiday Childcare Schemes									
CSF	Childcare	Holiday child care	Non working parents	N	4.00	4.00	0.0%	per child, per day	
CSF	Childcare	Holiday child care	Working parents- 9am to 5pm	N	10.00	10.00	0.0%	per child per day	
CSF	Childcare	Holiday child care	Working parents- 8am to 6pm	N	14.00	14.00	0.0%	per child per day	
4.4 Day Nurseries									
CSF	Nursery Fees	Day Nursery	NA	N	Current maximum rate is £180, but in practice for the few cases where it applies families are being charged £148.	No change	0.0%	per week	
4.5 Support Services to Academies and Free Schools									
CSF	School support services	Services to Academies	NA	N	Cost of service plus 10% administration charge plus VAT. Services outlined in brochure at www.lbthservicesfo	No change	0.0%	Varies	

This page is intentionally left blank

Appendix 5

Discretionary Fees and Charges within Development & Renewal

		Nature and policy of charging					Charge		
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change	Unit of charge	
5.1 Planning									
D&R	Strategic Planning	Documents & Information	Local Development Framework (LDF) Documents Core Strategy 2010 Business Collection	N	60.00	61.50	2.5%		
D&R	Strategic Planning	Documents & Information	Local Development Framework (LDF) Documents Core Strategy 2010 Business Postage	N	66.00	67.65	2.5%		
D&R	Strategic Planning	Documents & Information	Local Development Framework (LDF) Documents Core Strategy 2010 Resident Collection	N	10.25	10.51	2.5%		
D&R	Master Planning	Planning Briefs/ Masterplans Copy	Millennium Quarter Masterplan	N	25.63	26.27	2.5%	per document	
D&R	Master Planning	Planning Briefs/ Masterplans Copy	Whitechapel Masterplan Aldgate Masterplan Wood Wharf Masterplan Bromley-By-Bow Masterplan Bishopsgate Goods Yard Planning Brief	N	15.38	15.76	2.5%	per document	
D&R	Planning	Planning Site History Package	Summary of Planning applications, appeals, Conservation area and listed building status.	N	51.25	52.53	2.5%	per site (one address)	
D&R	Planning	Pre-application	Scale A Duty Officer Service Follow-up Correspondence	N	56.38	57.78	2.5%	Per Letter	

Appendix 5

Discretionary Fees and Charges within Development & Renewal

		Nature and policy of charging					Charge		
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change	Unit of charge	
D&R	Planning	Pre-application	Scale B Minor Scale Development Meeting	N	615.00	630.38	2.5%	first meeting	
D&R	Planning	Pre-application	Scale B Minor Scale Development Meeting	N	307.50	315.19	2.5%	follow-up/ subsequent meetings.	
D&R	Planning	Pre-application	Scale C Medium Scale Development Meeting	N	512.50	525.31	2.5%	follow-up/ subsequent meetings.	
D&R	Planning	Pre-application	Scale C Medium Scale Development Meeting	N	1,025.00	1,050.63	2.5%	first meeting	
D&R	Planning	Pre-application	Scale D Major Scale Development Meeting	N	2,050.00	2,101.25	2.5%	first meeting	
D&R	Planning	Pre-application	Scale D Major Scale Development Meeting	N	1,025.00	1,050.63	2.5%	follow-up/ subsequent meetings.	
D&R	Planning	Pre-application	Scale D Major Scale Development Meeting	N	768.75	787.97	2.5%	community forum attendance	
D&R	Planning	Pre-application	Scale D Major Scale Development Meeting	N	2,050.00	2,050.00	0.0%	independent review of draft environment statement	
D&R	Planning	Pre-application	Scale D Major Scale Development Meeting	N	5,125.00	5,125.00	0.0%	independent review of viability toolkit	
D&R	Planning	Pre-application	Scale E Large Scale Development Meeting	N	3,075.00	3,151.88	2.5%	first meeting	
D&R	Planning	Pre-application	Scale E Large Scale Development Meeting	N	1,793.75	1,838.59	2.5%	follow-up/ subsequent meetings.	

Appendix 5

Discretionary Fees and Charges within Development & Renewal

		Nature and policy of charging					Charge		
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change	Unit of charge	
D&R	Planning	Pre-application	Scale E Large Scale Development Meeting	N	768.75	787.97	2.5%	community forum attendance	
D&R	Planning	Pre-application	Scale E Large Scale Development Meeting	N	2,050.00	2,050.00	0.0%	independent review of draft environment statement	
D&R	Planning	Pre-application	Scale E Large Scale Development Meeting	N	5,125.00	5,125.00	0.0%	independent review of viability toolkit	
D&R	Planning	Pre-application	Scale F Advice on Conditions and material / non material amendments	N	0.00	0.00	2.5%	Scale A Free.	
D&R	Planning	Pre-application	Scale F Advice on Conditions and material / non material amendments	N	102.50	105.06	2.5%	Scale B Development	
D&R	Planning	Pre-application	Scale F Advice on Conditions and material / non material amendments	N	205.00	210.13	2.5%	Scale C Development	
D&R	Planning	Pre-application	Scale F Advice on Conditions and material / non material amendments	N	615.00	630.38	2.5%	Scale D Development	
D&R	Planning	Pre-application	Scale F Advice on Conditions and material / non material amendments	N	615.00	630.38	2.5%	Scale E Development	
5.2 Building Control									

Appendix 5

Discretionary Fees and Charges within Development & Renewal

		Nature and policy of charging				Charge		
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change	Unit of charge
D&R	Building Control	Documents & Information	Section 106 and other legal documents	N	25.63	26.27	2.5%	per agreement
D&R	Building Control	Out of Hours Test Witnessing at developer or owner's request	For test witnessing fire and life safety systems out of working hrs 21:00-06:00hrs and weekends	N	£114/hr covers Officer 2x pay and cover for TOIL	£117/hr covers Officer 2x pay and cover for TOIL	2.5%	Hrs worked
D&R	BC/LC/DC	Ordnance Survey Map Extracts	A4 Scale 1:1250	N	30.75	31.52	2.5%	
D&R	BC/LC/DC	Ordnance Survey Map Extracts	A4 Scale 1:2500	N	61.50	63.04	2.5%	
D&R	BC/LC/DC	Documents & Information	List of Current Applications	N	261.38	267.91	2.5%	per annum
D&R	BC/LC/DC	Drawings	A0 Sized	N	9.23	9.46	2.5%	Per sheet
D&R	BC/LC/DC	Drawings	A1 - A3 Sized	N	7.18	7.35	2.5%	Per sheet
D&R	BC/LC/DC	File Retrieval	Research for file retrieval	N	10.25	10.51	2.5%	
D&R	BC/LC/DC	File Retrieval	Manual research for file retrieval	N	30.75	30.75	0.0%	
D&R	BC/LC/DC	File Retrieval	Retrieval of 1-4 archive boxes from Storage.	N	24.10	24.10	0.0%	
D&R	BC/LC/DC	File Retrieval	Retrieval of 5-8 archive boxes from Storage.	N	48.20	48.20	0.0%	
D&R	BC/LC/DC	File Retrieval	Retrieval of 9-12 archive boxes from Storage.	N	72.29	72.29	0.0%	
D&R	BC/LC/DC	Copies	A4 first page	N	1.85	1.89	2.5%	
D&R	BC/LC/DC	Copies	A4 each page thereafter	N	0.26	0.26	2.5%	
D&R	BC/LC/DC	Copies	A3 first page	N	5.13	5.25	2.5%	
D&R	BC/LC/DC	Copies	A3 each page thereafter	N	0.51	0.53	2.5%	
D&R	BC/LC/DC	Professional Advice and Services	Post Search/Conveyance Related Enquiries	N	135.30	138.68	2.5%	per letter
D&R	BC/LC/DC	Professional Advice and Services	Follow-up Duty Service Correspondence	N	56.38	57.78	2.5%	per letter

Appendix 5

Discretionary Fees and Charges within Development & Renewal

		Nature and policy of charging					Charge		
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	% Change	Unit of charge	
D&R	BC/LC/DC	Professional Advice and Services	Enquires requiring response by letter, non-binding.	N	41.00	42.03	2.5%	per letter	
D&R	BC/LC/DC	Professional Advice and Services	Confirmation of Tree Preservation Order / Listed Building Status / Conservation Area	N	20.50	21.01	2.5%	Up to 5 sites/addresses	
D&R	BC/LC/DC	Professional Advice and Services	Other charges for administrative work	N	41.00	42.03	2.5%	per hour	
D&R	BC/LC/DC	Documents & Information	Copy Decision Notice/ Completion Certificate/ Building Regulation Approval Decision/ Rights of Light Notice	N	17.43	17.86	2.5%	per document	
D 5.3 Land Charges									
D&R	Local Land Charges	Documents & Information	Copy Of Local Land Charges Search	N	21.53	22.06	2.5%		
D&R	Local Land Charges	Documents & Information	Copy of LLC 1	N	5.13	5.25	2.5%		
D&R	Local Land Charges	Official Search	Register only (Regular search or NLLIS)	N	25.63	26.27	2.5%		
D&R	Local Land Charges	Official Search	CON29 (Regular search or NLLIS)	N	133.25	136.58	2.5%		
D&R	Local Land Charges	Official Search	Total Full Search Fee (Regular search or NLLIS)	N	158.88	162.85	2.5%		
D&R	Local Land Charges	Enhanced Search Fee	Each additional parcel of land on LLC1	N	5.13	5.25	2.5%		
D&R	Local Land Charges	Enhanced Search Fee	Each additional parcel of land on CON29	N	30.75	31.52	2.5%		
D&R	Local Land Charges	Enhanced Search Fee	Part 2 enquiries	N	30.75	31.52	2.5%		
D&R	Local Land Charges	Enhanced Search Fee	Cancellation Fee	N	51.25	52.53	2.5%		

This page is intentionally left blank

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
AHWP	Residential Respite	Weekly contribution to residential respite	Under 60s	Y	TBC Pending DWP Advice	TBC Pending DWP Advice	per week
AHWP	Residential Respite	Weekly contribution to residential respite	Over 60s	Y	TBC Pending DWP Advice	TBC Pending DWP Advice	per week
AHWP	Residential/Nursing Care	Contribution towards residential/nursing care (means tested)	Dementia	Y	Means tested under Charging for Residential and Accommodation Charges (CRAG)	Means tested under Charging for Residential and Accommodation Charges (CRAG)	per week
AHWP	Residential/Nursing Care	Contribution towards residential/nursing care (means tested)	Residential	Y	Means tested under Charging for Residential and Accommodation Charges (CRAG)	Means tested under Charging for Residential and Accommodation Charges (CRAG)	per week
AHWP	Residential/Nursing Care	Contribution towards residential/nursing care (means tested)	Nursing Care	Y	Means tested under Charging for Residential and Accommodation Charges (CRAG)	Means tested under Charging for Residential and Accommodation Charges (CRAG)	per week
AHWP	Financial Deputyship	Management of clients financial affairs as directed by the Court	Set up of a new client	Y	TBA by Court of Protection	TBA by Court of Protection	
AHWP	Financial Deputyship	Management of clients financial affairs as directed by the Court	Use of Court of Protection with over	Y	TBA by Court of Protection	TBA by Court of Protection	
AHWP	Financial Deputyship	Management of clients financial affairs as directed by the Court	Use of Court of Protection with under	Y	TBA by Court of Protection	TBA by Court of Protection	
AHWP	Financial Deputyship	Management of clients financial affairs as directed by the Court	Use of Court of Protection with property	Y	TBA by Court of Protection	TBA by Court of Protection	
AHWP	Financial Deputyship	Management of clients financial affairs as directed by the Court	Court of Protection producing annual Reports	Y	TBA by Court of Protection	TBA by Court of Protection	

Appendix 6
Statutory Fees and Charges (All Directorates)

Dir	Nature and policy of charging					Charge	
	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
CE	Electoral Registration	Electoral Register	Full - data format	Y	10 fee plus 1.50 per 1,000 people (currently 275)	10 fee plus 1.50 per 1,000 people (currently 275)	Per Copy
CE	Electoral Registration	Electoral Register	Full - paper format	Y	£20 fee plus £5.00 per 1,000 people (currently £860)	£20 fee plus £5.00 per 1,000 people (currently £860)	Per Copy
CE	Electoral Registration	Electoral Register	Edited - data format	Y	£10 fee plus £1.50 per 1,000 people (currently £101)	£10 fee plus £1.50 per 1,000 people (currently £101)	Per Copy
CE	Electoral Registration	Electoral Register	Edited - paper format	Y	£20 fee plus £5.00 per 1,000 people (currently £280)	£20 fee plus £5.00 per 1,000 people (currently £280)	Per Copy
CE	Electoral Registration	Electoral Register	Overseas electors register - data format	Y	£10 fee plus £1.50 per 1,000 people (currently £21.5)	£10 fee plus £1.50 per 1,000 people (currently £21.5)	Per Copy
CE	Electoral Registration	Electoral Register	Overseas electors register - paper copy	Y	£20 fee plus £5.00 per 1,000 people (currently £15)	£20 fee plus £5.00 per 1,000 people (currently £15)	Per Copy
CE	Registrars	Searches	Family History	Y	18.00	18.00	per 6 verifications
CE	Registrars	Searches	retrieval - in current register AT TIME OF	Y	3.50	3.50	per item
CE	Registrars	Searches	retrieval - in current register AFTER	Y	7.00	7.00	per item
CE	Registrars	Searches	retrieval - in vaults	Y	9.00	9.00	per item
CE	Registrars	Copy of birth, marriage & death certificate	Priority same day service & phone	Y	12.00 (incl 9.00 statutory fee)	12.00 (incl 9.00 statutory fee)	per search

Appendix 6
Statutory Fees and Charges (All Directorates)

Dir	Service	Nature and policy of charging				Charge		
		Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge	
CE	Registrars	Copy of birth, marriage & death certificate	Posted next working day / postal applications	Y	10.00 (incl 9.00 statutory fee)	10.00 (incl 9.00 statutory fee)	per search	
CE	Registrars	Copy of birth, marriage & death certificate	Collect next working day	Y	9.00	9.00	per search	
CE	Registrars	Copy of Marriage Certificate	at time of marriage	Y	3.50	3.50		
CE	Registrars	Copy of Marriage Certificate	after time of marriage	Y	7.00	7.00		
CE	Registrars	Copy of Civil Partnership Certificate	At time of Civil Partnership Registration	Y	3.50	3.50		
CE	Registrars	Copy of Civil Partnership Certificate	After Registration	Y	7.00	7.00		
CE	Registrars	Wedding Ceremony - Register Office Room	Standard marriage charge	Y	40.00	40.00	0 hr	
CE	Registrars	Wedding Ceremony - Register Office	Certificate fee - day of ceremony	Y	3.50	3.50	per item	
CE	Registrars	Wedding Ceremony - Register Office	Certificate fee - after the ceremony	Y	7.00	7.00	per item	
CE	Registrars	Notice Fee		Y	33.50	33.50	per person	
CLC	Transport & Highways	Streetworks	Sample Inspections	Y	50.00	50.00	per inspection	
CLC	Transport & Highways	Streetworks	Defect follow up	Y	48.00	48.00	per inspection	
CLC	Transport & Highways	Streetworks	Fixed penalty notices	Y	80.00-120.00	80.00-120.00	2.50%	
CLC	Idea Store Learning	Skills Funding Agency contract: Courses funded through the Adult Skills budget. Fees fixed by SFA.	Typical fee for programmes ranging from 60 hours - 400 hours depending on the qualification = £4.50 per hour	Y	4.50	4.50 - 4.75	per hour	

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Demolition ~ Survey and issue of [section 81] Demolition Notice	The standard flat rate charge covers officer time and administrative costs associated with survey, consultation and issue of the notice	s10[3] London Local Authorities Act 2004	under review	Currently being reviewed - a separate delegated report will follow later in 13/14	per application
D&R	Building Control	Dangerous Structures	Survey and administration costs in processing contractors' invoices etc.	LBTH DS Fees & Charges Regs 1995	225-320 survey fee and 5% of contractors' invoiced costs	Currently being reviewed - a separate delegated report will follow later in 13/14	Job by job basis
F&R	Building Control	Creation of New Dwellings - standard	Plan Charge - between 1-19 dwellings	Building [Local Authority] Charges Regs 2010	236-620 ex VAT 283-744 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Dependent on number of dwellings
D&R	Building Control	Creation of New Dwellings - standard	Plan Charge - between 1-19 dwellings - REGULARISATION CHARGE	Building [Local Authority] Charges Regs 2010	As above plus 25%	Currently being reviewed - a separate delegated report will follow later in 13/14	Dependent on number of dwellings
D&R	Building Control	Creation of New Dwellings - standard	Inspection Charge - between 1-19 dwellings	Building [Local Authority] Charges Regs 2010	323-2,255 ex VAT 388-2,706 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Dependent on number of dwellings

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Creation of New Dwellings - standard	Inspection Charge - between 1-19 dwellings - REGULARISATION CHARGE	Building [Local Authority] Charges Regs 2010	As above plus 25%	Currently being reviewed - a separate delegated report will follow later in 13/14	Dependent on number of dwellings
D&R	Building Control	Creation of New Dwellings - standard	Building Notice Charge - between 1-19 dwellings	Building [Local Authority] Charges Regs 2010	559-2,875 ex VAT 670-3,450 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Dependent on number of dwellings
D&R	Building Control	Creation of New Dwellings - standard	Building Notice Charge - between 1-19 dwellings - REGULARISATION CHARGE	Building [Local Authority] Charges Regs 2010	As above plus 25%	Currently being reviewed - a separate delegated report will follow later in 13/14	Dependent on number of dwellings
D&R	Building Control	Extensions to a single domestic building	Plan Charge - Single storey extensions - category 1,2,3	Building [Local Authority] Charges Regs 2010	230.63 ex VAT 276.75 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per plan
D&R	Building Control	Extensions to a single domestic building	Inspection Charge - Single storey extensions - category 1,2,3	Building [Local Authority] Charges Regs 2010	297.25-461.25 ex VAT 356.7-553.5 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per inspection & depending on floor area

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Extensions to a single domestic building	Building Notice Charge - Single storey extensions - category 1,2,3	Building [Local Authority] Charges Regs 2010	527.88-691.88 ex VAT 633.45-830.25 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per notice & depending on floor area
D&R	Building Control	Extensions to a Two Storey domestic building	Plan Charge - Two storey extensions - category 4, 5	Building [Local Authority] Charges Regs 2010	230.63 ex VAT 276.75 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per plan
D&R	Building Control	Extensions to a Two Storey domestic building	Inspection Charge - Two storey extensions - category 4,5	Building [Local Authority] Charges Regs 2010	461.25-522.75 ex VAT 553.5-627.3 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per inspection & depending on floor area
D&R	Building Control	Extensions to a Two Storey domestic building	Building Notice Charge - Two storey extensions - category 4,5	Building [Local Authority] Charges Regs 2010	691.88-753.38 ex VAT 830.25-904.05 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per notice & depending on floor area
D&R	Building Control	Loft Conversion	Plan Charge - Loft Conversion - category 6,7	Building [Local Authority] Charges Regs 2010	230.63 ex VAT 276.75 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per plan

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Loft Conversion	Inspection Charge - Loft Conversion - category 6,7	Building [Local Authority] Charges Regs 2010	297.25-522.75 ex VAT - no dormer / dormer 356.7-627.3 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per inspection
D&R	Building Control	Loft Conversion	Building Notice Charge - Loft Conversion - category 6,7	Building [Local Authority] Charges Regs 2010	527.88-753.38 ex VAT - no dormer / dormer 633.45-904.05 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per notice
D&R	Building Control	Garages & Carports	Plan Charge - Garages & Carports - Category 8	Building [Local Authority] Charges Regs 2010	153.75 ex VAT 184.5 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per plan
D&R	Building Control	Garages & Carports	Inspection Charge - Garages & Carports - Category 8	Building [Local Authority] Charges Regs 2010	230.63 ex VAT 276.75 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per inspection
D&R	Building Control	Garages & Carports	Buildings Notice Charge - Garages & Carports - Category 8	Building [Local Authority] Charges Regs 2010	384.38 ex VAT 461.25 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per notice

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Garages & Carports	Plan Charge - Garages & Carports - Category 9	Building [Local Authority] Charges Regs 2010	153.75 ex VAT 184.5 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per plan
D&R	Building Control	Garages & Carports	Inspection Charge - Garages & Carports - Category 9	Building [Local Authority] Charges Regs 2010	297.25 ex VAT 356.7 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per inspection
F&R	Building Control	Garages & Carports	Buildings Notice Charge - Garages & Carports - Category 9	Building [Local Authority] Charges Regs 2010	451 ex VAT 541.2 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per notice
D&R	Building Control	Other	Plan Charge - Conversion of a garage to a dwelling to a habitable room(s) - Category 10	Building [Local Authority] Charges Regs 2010	194.75 ex VAT 233.7 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per plan
D&R	Building Control	Other	Inspection Charge - Conversion of a garage to a dwelling to a habitable room(s) - Category 10	Building [Local Authority] Charges Regs 2010	348.5 ex VAT 418.2 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per inspection

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Other	Buildings Notice Charge - Conversion of a garage to a dwelling to a habitable room(s) - Category 10	Building [Local Authority] Charges Regs 2010	543.25 ex VAT 651.9 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per notice
D&R	Building Control	Other	Plan Charge - Alterations to extend or create a basement up to 100m2 - Category 11	Building [Local Authority] Charges Regs 2010	230.63 ex VAT 276.75 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per plan
D&R	Building Control	Other	Inspection Charge - Alterations to extend or create a basement up to 100m2 - Category 11	Building [Local Authority] Charges Regs 2010	461.25 ex VAT 553.5 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per inspection
D&R	Building Control	Other	Buildings Notice Charge - Alterations to extend or create a basement up to 100m2 - Category 11	Building [Local Authority] Charges Regs 2010	691.88 ex VAT 830.25 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per notice
D&R	Building Control	Extensions	Regularisation Charge	Building [Local Authority] Charges Regs 2010	1.25% x Building Notice Charge	Currently being reviewed - a separate delegated report will follow later in 13/14	Per Application

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Extensions	Not using a Part B Registered Electrician	Building [Local Authority] Charges Regs 2010	205 ex VAT 246 inc Vat	Currently being reviewed - a separate delegated report will follow later in 13/14	Per Application
D&R	Building Control	Alterations to Single Domestic Building	Underpinning - Plan Charge	Building [Local Authority] Charges Regs 2010	153.75 ex VAT 184.5 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per Application
D&R	Building Control	Alterations to Single Domestic Building	Underpinning - Inspection Charge	Building [Local Authority] Charges Regs 2010	179.38 ex VAT per 5m 215.25 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per Application
D&R	Building Control	Alterations to Single Domestic Building	Underpinning - Building Notice Charge	Building [Local Authority] Charges Regs 2010	333.13 ex VAT 399.75 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per Application
D&R	Building Control	Alterations to Single Domestic Building	Underpinning - Inspection Charge - each additional 5m or part thereof	Building [Local Authority] Charges Regs 2010	76.88 ex VAT 92.25 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per Application

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Alterations to Single Domestic Building	Internal alterations, installation of fittings (not electrical) and/or structural alterations - Plan Charge	Building [Local Authority] Charges Regs 2010	153.75-230.63 ex VAT 184.5-276.75 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	depending on estimated cost of works
D&R	Building Control	Alterations to Single Domestic Building	Internal alterations, installation of fittings (not electrical) and/or structural alterations - Inspection Charge	Building [Local Authority] Charges Regs 2010	256.25-691.88 ex VAT 307.5-830.25 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	depending on estimated cost of works
D&R	Building Control	Alterations to Single Domestic Building	Internal alterations, installation of fittings (not electrical) and/or structural alterations - Building Notice Charge	Building [Local Authority] Charges Regs 2010	410-922.5 ex VAT 492-1,107 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	depending on estimated cost of works
D&R	Building Control	Alterations to Single Domestic Building	Window replacement (not competent persons scheme) - Plan Charge	Building [Local Authority] Charges Regs 2010	76.88 ex VAT 92.25 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	
D&R	Building Control	Alterations to Single Domestic Building	Window replacement (not competent persons scheme) - Inspection Charge	Building [Local Authority] Charges Regs 2010	179.38 / 358.75 ex VAT 215.25/ 430.5 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	up to 20 windows / over 20 windows

Appendix 6
Statutory Fees and Charges (All Directorates)

Dir	Service	Description of fee and charge	Nature and policy of charging			Charge	
			Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Alterations to Single Domestic Building	Window replacement (not competent persons scheme) - Building Notice Charge	Building [Local Authority] Charges Regs 2010	256.25 / 435.63 ex VAT 307.5 / 522.75 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	up to 20 windows / over 20 windows
D&R	Building Control	Alterations to Single Domestic Building	Electrical wiring - Plan Charge	Building [Local Authority] Charges Regs 2010	205 ex VAT 246 inc Vat	Currently being reviewed - a separate delegated report will follow later in 13/14	
F&R	Building Control	Alterations to Single Domestic Building	Electrical wiring - Building Notice Charge	Building [Local Authority] Charges Regs 2010	205 ex VAT 246 inc Vat	Currently being reviewed - a separate delegated report will follow later in 13/14	
D&R	Building Control	Alterations to Single Domestic Building	Conversion to create new dwellings - Plan Charge	Building [Local Authority] Charges Regs 2010	153.75 - 307.5 ex VAT 184.5 - 369 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per application - 6 pricing bands - depending on estimated costs

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Alterations to Single Domestic Building	Conversion to create new dwellings - Inspection Charge	Building [Local Authority] Charges Regs 2010	261.38-1,691.25 ex VAT 313.65-2,029.50 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per application - 6 pricing bands - depending on estimated costs
D&R	Building Control	Alterations to Single Domestic Building	Conversion to create new dwellings - Building Notice Charge	Building [Local Authority] Charges Regs 2010	415.13 - 1,998.75 ex VAT 498.15 - 2398.50 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per application - 6 pricing bands - depending on estimated costs
D&R	Building Control	Alterations to Single Non Domestic Building	Underpinning - Plan Charge	Building [Local Authority] Charges Regs 2010	153.75 ex VAT 184.5 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per application.
D&R	Building Control	Alterations to Single Non Domestic Building	Underpinning - Inspection Charge	Building [Local Authority] Charges Regs 2010	179.38 ex VAT 215.25 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per application. For every 5m length or part thereof

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Alterations to Single Non Domestic Building	Underpinning - Inspection Charge	Building [Local Authority] Charges Regs 2010	76.88 ex VAT 92.25 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per application, for each additional 5m or part thereof
D&R	Building Control	Alterations to Single Non Domestic Building	Fit out and alteration - office and retail - Plan Charge	Building [Local Authority] Charges Regs 2010	153.75-461.25 ex VAT 184.5-553.5 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per application. 6 price bands depending on estimated cost
D&R	Building Control	Alterations to Single Non Domestic Building	Fit out and alteration - office and retail - Inspection Charge	Building [Local Authority] Charges Regs 2010	179.38-820 ex VAT 215.25-984 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per application. 6 price bands depending on estimated cost
D&R	Building Control	Alterations to Single Non Domestic Building	Fit out and alteration - other than office or retail use - Plan Charge	Building [Local Authority] Charges Regs 2010	153.75-461.25 ex VAT 184.5-553.5 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per application. 6 price bands depending on estimated cost

Appendix 6
Statutory Fees and Charges (All Directorates)

Dir	Service	Nature and policy of charging				Charge	
		Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Alterations to Single Non Domestic Building	Fit out and alteration - other than office or retail use - Inspection Charge	Building [Local Authority] Charges Regs 2010	307.5-1,158.25 ex VAT 369-1,389.9 inc VAT	Currently being reviewed - a separate delegated report will follow later in 13/14	Per application. 6 price bands depending on estimated cost
D&R	Planning	Household applications	Extension to an existing dwellinghouse or works within its garden	Y	153.75	172.00	1 dwellinghouse
D&R	Planning	Household applications	Extension to an existing dwellinghouse or works within its garden	Y	302.38	339.00	2 or more dwellinghouses
D&R	Planning	Creation of new dwellings	Outline apps for the erection of new dwelling houses where site does not exceed 2.5 hectares.	Y	343.38	385.00	for each 0.1 hectare of site area where site area
D&R	Planning	Creation of new dwellings	Outline apps for the erection of new dwelling houses where site does exceed 2.5 hectares.	Y	8,492.13	9,527.00	And an additional £115 for each 0.1
D&R	Planning	Creation of new dwellings	Full apps for the erection of new dwelling houses	Y	343.38	385.00	for each dwelling house if the development is 50 or fewer

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Planning	Creation of new dwellings	Full apps for the erection of new dwelling houses	Y	16,979.13	19,049.00	if development exceeds 50 £115 per dwelling extra. Maximum in total of £250,000
D&R	Planning	Creation of new dwellings	Change of use of an existing dwellinghouse to use as two or more single dwelling houses	Y	343.38	385.00	for each additional dwellinghouse to be created
D&R	Planning	Creation of new dwellings	Change of use of a building to use as one or more separate dwelling houses	Y	343.38	385.00	for each dwellinghouse to be created
D&R	Planning	Erection of other buildings	Outline applications for erection of buildings (other than dwellings, agricultural buildings, glasshouses, plant and machinery)	Y	343.38	385.00	for each 0.1 hectare of site area where the site area does not exceed 2.5 hectares

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Planning	Erection of other buildings	Outline applications for erection of buildings (other than dwellings, agricultural buildings, glasshouses, plant and machinery)	Y	8,492.13	9,527.00	Where the site area does exceed 2.5 hectares and a additional £115 per 0.1 hectares over 2.5. Maximum total of £125,000
D&R	Planning	Erection of other buildings	Full applications for erection of buildings (other than dwellings, agricultural buildings, glasshouses, plant and machinery)	Y	174.25	195.00	Where floor space created does not exceed 40 sq metres
D&R	Planning	Erection of other buildings	Full applications for erection of buildings (other than dwellings, agricultural buildings, glasshouses, plant and machinery)	Y	343.38	385.00	Where floor space to be created falls between 40 sq metres and 75 sq metres

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Planning	Erection of other buildings	Full applications for erection of buildings (other than dwellings, agricultural buildings, glasshouses, plant and machinery)	Y	343.38	385.00	Where floor space falls between 76 sq metres and 3750 sq metres. £385 for each 75 sq metres of metres of that area.
D&R	Planning	Erection of other buildings	Full applications for erection of buildings (other than dwellings, agricultural buildings, machinery)	Y	16,979.13	19,049.00	Where floorspace exceeds 3750 sq
D&R	Planning	Erection of other buildings	Erection, alteration or replacement of plant or machinery.	Y	343.38	385.00	Where site does not exceed 5 hectares. £385 for each 0.1 hectares of site area.

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Planning	Erection of other buildings	Erection, alteration or replacement of plant or machinery.	Y	16,979.13	19,049.00	Where site does exceed 5 hectares and an additional £115 for each 0.1 hectares in excess of 5. Maximum total of £250,000
D&R	Planning	Other operations	The construction of car parks, service roads and other means of access on land used for the purpose of a single undertaking	Y	174.25	195.00	
D&R	Planning	Other operations	The carrying out of any operations not coming within any of the above categories.	Y	174.25	195.00	for each 0.1 hectare of site area, to a maximum of £250,000
D&R	Planning	Other operations	Satellite Dish	Y	153.75 174.25	195.00	Dwellinghouse / All other applications
D&R	Planning	Uses of land	Making a material change in the use of a building or land	Y	343.38	385.00	

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Planning	Applications for the approval of reserved matters on an outline planning permission	Applications for the approval of reserved matters on an outline planning permission	Y	343.38	385.00	
D&R	Planning	Applications to discharge, remove or change conditions on planning permissions	Applications for approval of details required by conditions on a planning permission	Y	87.13 25.63	97 28	Non household development / Household
D&R	Planning	Applications to discharge, remove or change conditions on planning permissions	Removal of variation of a condition of a previous permission	Y	174.25	195.00	
D&R	Planning	Applications to discharge, remove or change conditions on planning permissions	Continuance of a use of land or the retention buildings or works on land without compliance with a condition subject to which a previous planning permission has been granted.	Y	174.25	195.00	
D&R	Planning	Applications for non-material amendments following the grant of planning permission	Householders All other applications.	Y	25.63 174.25	28 195	Householders / All other applications
D&R	Planning	Applications for extension of time limit for implementation.	Householders Major Developments All other applications.	Y	51.25 512.50 174.25	57 575 195	Householders / Major development / All other applications
D&R	Planning	Applications for lawful development certificates	Application for existing use of building or land or whether any operations carried out in, over or under land are lawful	Y	Same as the fee for a planning app for same development	Same as the fee for a planning app for same development	

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Planning	Applications for lawful development certificates	Application to ascertain whether failure to comply with any condition or limitation is lawful	Y	174.25	195.00	
D&R	Planning	Applications for lawful development certificates	Application to check whether any proposed use of buildings or land, or any operation to be carried out in, over or under land are lawful	Y	Half the amount of the fee for a planning application for the same proposal	Half the amount of the fee for a planning application for the same proposal	
D&R	Planning	Applications for consent to display an advertisement	Advertisements displayed on business premises (including forecourts) or directing members of the public to the premises	Y	97.38	110.00	
D&R	Planning	Applications for consent to display an advertisement	All other advertisements	Y	343.38	385.00	
D&R	Planning	Applications for prior approval under the General Permitted Development Order.	Determination of whether prior approval is necessary for agriculture/forestry building & operations or demolition of buildings	Y	71.75	80.00	
D&R	Planning	Applications for prior approval under the General Permitted Development Order.	Determinations of whether prior approval is necessary for telecommunication code system operators	Y	343.38	385.00	

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Planning	Concessions and exemptions	Applications by non-profit making clubs, societies etc. who are providing playing fields and other ancillary development (other than a building)	Y	343.38	385.00	
D&R	Planning	Concessions and exemptions	Alternative applications for one site made by the same applicant on the same day	Y	Highest of fees applicable for each alternative and a sum equal to half the rest	No Fee	
D&R	Planning	Concessions and exemptions	Development crossing planning authority boundaries requiring more than one	Y	only one fee paid to the authority having the larger site.	No Fee	
D&R	Building Control	Section 30 - Temporary Structures Charge	Application for setting up / erection of NEW special & temporary buildings and structures to which The Building Regulations do not apply	N	76.88	Currently being reviewed - a separate delegated report will follow later in 13/14	
D&R	Building Control	Section 30 - Temporary Structures Charge	Renewals of previous consents (regardless of the regulatory of the re-inspection) - Building or Structure	N	25.63-51.25	Currently being reviewed - a separate delegated report will follow later in 13/14	

Appendix 6
Statutory Fees and Charges (All Directorates)

		Nature and policy of charging				Charge	
Dir	Service	Description of fee and charge	Breakdown Fees/Charges	Charges set nationally / by statute (Y/N)	Current charge 12/13 (£)	Proposed charge 13/14 (£)	Unit of charge
D&R	Building Control	Section 30 - Temporary Structures Charge	Renewals of previous consents (regardless of the regulatory of the re-inspection) - Chimney Shaft, Smoke Duct, Tower or similar sized structure (whether vertical, horizontal or inclined)	N	25.63 7.69	Currently being reviewed - a separate delegated report will follow later in 13/14	
D&R	Building Control	Section 30 - Temporary Structures Charge	Renewals of previous consents (regardless of the regulatory of the re-inspection) - Advertisement Hoarding or other sign supporting structure	N	41.00	Currently being reviewed - a separate delegated report will follow later in 13/14	

This page is intentionally left blank

Name - Clean and Green fees and charges 2013/14

Item Ref -

TRIGGER QUESTIONS	YES / NO	IF YES...
Does the change reduce resources available to address inequality?	No	
CHANGES TO A SERVICE		
Does the change alter access to the service?	No	
Does the change involve revenue raising?	Yes	<p>The changes to fees and charges will ensure greater transparency within the charging system. The charges will apply to construction sites and scaffolding companies, not directly to residents. Charges cover the operational cost of administration and inspection of each temporary structure to ensure compliance with safety requirements and that obstruction to public movement are minimal.</p> <p>None of the proposed increases in Clean and Green fees and charges for 2013/14 will impact directly on the borough's residents or any of the 9 protected characteristics.</p>
Does the change alter who is eligible for the service?	No	
Does the change involve a reduction or removal of income transfers to service users?	No	
Does the change involve a contracting out of a service currently provided in house?	No	
CHANGES TO STAFFING		
Does the change involve a reduction in staff?	No	
Does the change involve a	No	

redesign of the roles of staff?		
--	--	--

Name - Commercial Waste fees and charges 2013/14

Item Ref -

TRIGGER QUESTIONS	YES / NO	IF YES...
Does the change reduce resources available to address inequality?	No	
CHANGES TO A SERVICE		
Does the change alter access to the service?	No	
Does the change involve revenue raising?	Yes	<p>An Equalities Assessment was undertaken in 2011/12 as part of the 3 year commercial waste savings proposal. The analysis undertaken during this assessment remains relevant to the majority of the proposed increases in 2013/14.</p> <p>DEFRA guidance was revised in April 2012 to include the cost of disposal within the Schedule 2 charging mechanism. This will result in a far higher rate of increase to be applied to these charges. However, the charge ensures that the actual cost of delivering the service is passed to the customer.</p>
Does the change alter who is eligible for the service?	No	
Does the change involve a reduction or removal of income transfers to service users?	No	
Does the change involve a contracting out of a service currently provided in house?	No	
CHANGES TO STAFFING		
Does the change involve a reduction in staff?	No	
Does the change involve a redesign of the roles of staff?	No	

--	--	--

Name - Environmental Protection fees and charges 2013/14

Item Ref -

TRIGGER QUESTIONS	YES / NO	IF YES...
Does the change reduce resources available to address inequality?	No	
CHANGES TO A SERVICE		
Does the change alter access to the service?	No	
Does the change involve revenue raising?	Yes	<p>Contaminated Land searches will be increased by 10% to take account of increased complexity and additional officer time. This charge applies to large scale developers and will have no direct impact on the borough's residents or local businesses.</p> <p>The charge for prior consents under the Control of Pollution Act 1974 will apply to commercial developers and will recover the operational costs to the service of undertaking this work.</p> <p>None of the proposed increases within the review of fees and charges for Environmental Protection will impact on the nine protected characteristic groups.</p>
Does the change alter who is eligible for the service?	No	
Does the change involve a reduction or removal of income transfers to service users?	No	
Does the change involve a contracting out of a service currently provided in house?	No	
CHANGES TO STAFFING		
Does the change involve a reduction in staff?	No	

Does the change involve a redesign of the roles of staff?	No	
--	-----------	--

Name - Idea Store Learning Fees and Charges 2013/14

Item Ref -

TRIGGER QUESTIONS	YES / NO	IF YES...
Does the change reduce resources available to address inequality?	No	
CHANGES TO A SERVICE		
Does the change alter access to the service?	No	
Does the change involve revenue raising?	Yes	<p>The charge for Idea Store Canary Wharf learning labs and other non-standard spaces will change from a flat rate of £50 to a sliding scale of between £15 and £100 per hour. This will ensure that the charge is appropriate to the space required and will enable smaller, more intimate sessions to be undertaken at a lower charge. Charities and local voluntary organisations are given a discount of 50% on all room hire.</p> <p>Charges for digitalisation of archived images will increase the operational cost of data storage and reproduction have increased. These charges remain low compared to commercial picture agencies and other London Borough archives. Tower Hamlets residents make up only a third of service users, however in order to mitigate any adverse impact LBTH residents and voluntary groups will receive a 50% discount on all charges.</p>
Does the change alter who is eligible for the service?	No	
Does the change involve a reduction or removal of income transfers to service users?	No	
Does the change involve a contracting out of a service currently provided in house?	No	
CHANGES TO STAFFING		

Does the change involve a reduction in staff?	No	
Does the change involve a redesign of the roles of staff?	No	

Name - Parking fees and charges 2013/14

Item Ref -

TRIGGER QUESTIONS	YES / NO	IF YES...
Does the change reduce resources available to address inequality?	No	
CHANGES TO A SERVICE		
Does the change alter access to the service?	No	
Does the change involve revenue raising?	Yes	<p>A full equalities assessment was undertaken in 2011/12 as part of the development of savings proposals. This included the increase of fees and charges for resident and business permits in 2013.</p> <p>The charge for doctor's permits will be removed and business permits will be offered instead. This ensures that all types of permits offered by LBTH relate to emissions bands and are in line with the promotion of pollutants within the borough.</p> <p>The increase in Traffic Management Orders and the Bay Suspension Administration Fee allows for the full costs operational costs of the service to be passed onto the organisation.</p> <p>None of the proposed increases in Parking fees and charges for 2013/14 will impact directly on the borough's residents or any of the 9 protected characteristics.</p>
Does the change alter who is eligible for the service?	No	
Does the change involve a reduction or removal of income transfers to service users?	No	
Does the change involve a contracting out of a service currently provided in house?	No	
CHANGES TO STAFFING		

Does the change involve a reduction in staff?	No	
Does the change involve a redesign of the roles of staff?	No	

Name - Sports Pitches Fees and Charges 2013/14

Item Ref -

TRIGGER QUESTIONS	YES / NO	IF YES...
Does the change reduce resources available to address inequality?	No	
CHANGES TO A SERVICE		
Does the change alter access to the service?	No	
Does the change involve revenue raising?	Yes	<p>Charges for grass pitches will be frozen for junior and senior borough teams in order to continue to promote sports development and healthy lifestyles within the borough. Charges for out of borough teams will be increased by 10% in order to cover increased maintenance costs of recent improvements to the facilities.</p> <p>Benchmarking analysis has identified that charges for astroturf pitches are considerably lower than neighbouring boroughs. The charges will be increased by 10% for out of borough teams and 5% for in borough teams. Even with these increases the borough will continue to offer incredibly good value sports facilities.</p> <p>It is not anticipated that these increases will adversely impact any of the 9 protected characteristic groups within the borough.</p>
Does the change alter who is eligible for the service?	No	
Does the change involve a reduction or removal of income transfers to service users?	No	
Does the change involve a contracting out of a service currently provided in house?	No	
CHANGES TO STAFFING		

Does the change involve a reduction in staff?	No	
Does the change involve a redesign of the roles of staff?	No	

Name - Transportation and Highways fees and charges 2013/14

Item Ref -

TRIGGER QUESTIONS	YES / NO	IF YES...
Does the change reduce resources available to address inequality?	No	
CHANGES TO A SERVICE		
Does the change alter access to the service?	No	
Does the change involve revenue raising?	No	<p>An increase in the charge for highways enquiries from commercial companies will cover the additional operational cost of completing this work due to the higher levels of complexity involved in recent enquiries.</p> <p>The introduction of a crane licence fee will ensure that the service recovers the operational cost for the administration and inspection of a part road closure.</p> <p>None of the proposed increases in Transportation and Highways fees and charges for 2013/14 will impact directly on the borough's residents or any of the 9 protected characteristics.</p>
Does the change alter who is eligible for the service?	No	.
Does the change involve a reduction or removal of income transfers to service users?	No	
Does the change involve a contracting out of a service currently provided in house?	No	
CHANGES TO STAFFING		
Does the change involve a reduction in staff?	No	

Does the change involve a redesign of the roles of staff?	No	
--	-----------	--

Agenda Item 10.4

Committee/Meeting: Cabinet	Date: 13 March 2013	Classification: Unrestricted	Report No: CAB 91/123
Report of: Corporate Director: Resources Originating officer(s) Service Head Procurement and Corporate Programmes Resources Ext 4385		Title: Contracts Forward Plan Wards Affected: All	

Lead Member	Resources
Community Plan Theme	One Tower Hamlets
Strategic Priority	Resources

1. **SUMMARY**

- 1.1 The Council's Procurement Procedures require a quarterly report to be submitted to Cabinet, laying down a forward plan of supply and service contracts over £250,000 in value, or capital works contracts over £5 million. This provides Cabinet with the visibility of all high value contracting activity, and the opportunity to request further information regarding any of the contracts identified. This report provides the information in period Q4 of the Financial Year.
- 1.2 Only contracts which have not previously been reported are included in this report.

2. **DECISION REQUIRED:**

Cabinet is recommended to:-

1. Consider the contract summary at Appendix 1, and identify those contracts about which specific reports – relating to contract award – should be brought before Cabinet prior to contract award by the appropriate Corporate Director for the service area and
2. Confirm which of the remaining contracts set out in Appendix1 can proceed to contract award after tender subject to the relevant Corporate Director who

holds the budget for the service area consulting with the Mayor and the relevant lead member prior to contract award.

3. Authorise the Assistant Chief Executive (Legal Services) to execute all necessary contract documents in respect of the awards of contracts referred to at recommendation 2 above.

3. REASONS FOR THE DECISIONS

- 3.1 The Council's Procurement Procedures require submission of a quarterly forward plan of contracts for Cabinet consideration, and it is a requirement of the Constitution that "The contracting strategy and/or award of any contract for goods or services with an estimated value exceeding £250,000, and any contract for capital works with an estimated value exceeding £5,000,000, shall be approved by the Cabinet in accordance with the Procurement Procedures". This report fulfils these requirements for contracts to be let during and after the period Q4 of the Financial Year.

4. ALTERNATIVE OPTIONS

- 4.1 Bringing a consolidated report on contracting activity is considered the most efficient way of meeting the requirement in the Constitution, whilst providing full visibility of contracting activity; therefore no alternative proposals are being made.

5. BACKGROUND

- 5.1 This report provides the forward plan for the period Q4 of the Financial Year in Appendix 1, and gives Cabinet Members the opportunity to select contracts about which they would wish to receive further information, through subsequent specific reports.

6. FORWARD PLAN OF CONTRACTS

- 6.1 Appendix 1 details the new contracts which are planned during the period Q4 of the Financial Year. This plan lists all of the new contracts which have been registered with the Procurement Service, and which are scheduled for action during the reporting period.

Contracts which have previously been reported are not included in this report. Whilst every effort has been made to include all contracts which are likely to arise, it is possible that other, urgent requirements may emerge. Such cases will need to be reported separately to Cabinet as individual contract reports.

- 6.2 Cabinet is asked to review the forward plan of contracts, confirm its agreement to the proposed programme and identify any individual contracts about which separate reports – relating either to contracting strategy or to contract award – will be required before proceeding.

- 6.3 Equalities and diversity implications – and other One Tower Hamlets issues – are addressed through the Council’s Tollgate process which provides an independent assessment of all high value contracts, and ensures that contracting proposals adequately and proportionately address both social considerations and financial ones (such as savings targets). The work of the Competition Board and Corporate Procurement Service ensures a joined-up approach to procurement.
- 6.4 The Tollgate process is a procurement project assurance methodology, which is designed to assist in achieving successful outcomes from the Council’s high value contracting activities (over £250,000 for revenue contracts, and £5,000,000 for capital works contracts which have not gone through the Asset Management Board approval system). All Tollgate reviews are reported to Competition Board, and when appropriate contract owners are interviewed by the Board; contracts require approval of the Board before proceeding.

7. COMMENTS OF THE CHIEF FINANCIAL OFFICER

- 7.1 This report describes the quarterly procurement report of the forward plan for Q4 of the Financial Year and beyond, to be presented to Cabinet for revenue contracts over £250,000 in value and capital contracts over £5 million.
- 7.2 Approximately £115.7m of goods, services and works will be procured from external suppliers. There is one Capital project reported. Procured services comprise around 40% of the Council’s annual expenditure and control of procurement processes is thus crucial to delivering value for money for local residents as well as managing the risks that may arise if procurement procedures go wrong. Consideration of the plan by Cabinet operates as an internal control and also provides the opportunity for the Mayor to comment on specific procurements at an early stage.

8. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

- 8.1 The Council has adopted financial procedures for the proper administration of its financial affairs pursuant to section 151 of the Local Government Act 1972. These generally require Cabinet approval for expenditure over £250,000. In November 2009, Cabinet approved the procurement procedures, which are designed to help the Council discharge its duty as a best value authority under the Local Government Act 1999 and comply with the requirements of the Public Contract Regulations 2006. The procurement procedures contain the arrangements specified in the report under which Cabinet is presented with forward plans of proposed contracts that exceed the thresholds in paragraph 3.1 of this report. The arrangements are consistent with the proper administration of the Council’s financial affairs.
- 8.2 In accordance with the powers in the Public Services (Social Values) Act 2012, where appropriate, as part of the tender process bidders will be invited to state what community benefits which enhance the economic social

or environmental well-being of the borough are available through the contract in line with the Procurement Policy Imperatives adopted by Cabinet on 9th January 2013. The exact nature of those benefits will vary with each contract and will be reported at the contract award stage. All contracts which require staff based in London will require contractors to pay their staff the London Living Wage. Where the staff are based outside London an assessment will be carried out to determine if that is appropriate.

- 8.3 Contracts are recommended for a maximum period of three years except where there are particular circumstances relating to the procurement which warrant a longer period e.g. where equipment or premises needs to be provided by the contractor. Due to the requirement for the contractor to recover their investment in that equipment the cost of a shorter contract would not represent best value to the Council

9. ONE TOWER HAMLETS CONSIDERATIONS

- 9.1 Equalities and diversity implications – and other One Tower Hamlets issues – are addressed through the tollgate process, and all contracting proposals are required to demonstrate that both financial and social considerations are adequately and proportionately addressed. The work of the Competition Board and the Procurement & Corporate Programmes' Service ensures a joined-up approach to procurement.

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 10.1 Contracts are required to address sustainability issues in their planning, letting and management. Again, this is assured through the Tollgate process, and supported through the Procurement & Corporate Programmes' Corporate Social Responsibility work stream.

11. RISK MANAGEMENT IMPLICATIONS

- 11.1 Risk management is addressed in each individual contracting project, and assessed through the tollgate process.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

- 12.1 There are no specific crime and disorder reduction implications.

13. EFFICIENCY STATEMENT

- 13.1 Contract owners are required to demonstrate how they will achieve cashable savings and other efficiencies through individual contracting proposals. These are then monitored throughout implementation.

14. APPENDICES

Appendix 1 – new contracts planned: Q4 of the Financial Year and beyond.

**Local Government Act, 1972 Section 100D (As amended)
List of “Background Papers” used in the preparation of this report**

Brief description of “background papers” Name and telephone number of holder
and address where open to inspection.

None

N/A

Appendix one – new contracts planned: Q4of the Financial Year

Directorate Contract	Contract Value	Scope of Contract	Length of New Contract, or Contract Extension	Funding	Planned Date for Invitation to Tender or * Contract signature.	Category
AHWB 4352	<p>£1,200,000 per annum</p> <p>£3,600,000 total value</p>	<p><u>Framework for Community Equipment Services</u></p> <p>Community equipment Services (CES) provides equipment to disabled residents of London borough of Tower Hamlets.</p> <p>CES procure equipment from various suppliers after obtaining competitive quotes. The procurement of equipment includes a range of equipment-- Occupational Therapy, Physiotherapy, Nursing, Sensory and Assistive Technology including telecare. Also include PAT & LOLER testing and Assistive Technology.</p>	36 months	Revenue	April 2013	Care & Commissioning
AHWB 4397	<p>£1,354,000 per annum</p> <p>£4,062,000 total</p>	<p><u>Community Based Mental Health Services</u></p> <p>The procurement will cover a range of community based services which are to provide support and assistance to individuals with mental health problems.</p> <p>These services include a mix of services which are to be 'open access' and therefore accessible without any need to demonstrate eligibility, and services which are to be provided as part of an individual's support plan under the Care Programme Approach.</p> <p>The functional scope of the range of services include:</p> <ul style="list-style-type: none"> • advice and information; 	36 months	Revenue	June 2013	Care & Commissioning

Directorate Contract	Contract Value	Scope of Contract	Length of New Contract, or Contract Extension	Funding	Planned Date for Invitation to Tender or * Contract signature.	Category
		<ul style="list-style-type: none"> • day time support, including therapeutic interventions; • support to access and maintaining employment, • other similar community based activities. <p>These services are currently being reviewed, and the exact nature of the contracts to be tendered through this procurement will be determined following the outcomes of this review in early 2013.</p>				
AHWB 4398	<p>£252,000 per annum</p> <p>£756,000 total</p>	<p><u>Older People and Other Community Based Services</u></p> <p>Older people and other community based services covering the following :</p> <ul style="list-style-type: none"> • Befriending service • Older people reference groups • Visual impairment co-ordination service • Elderly support service • Peer support for the blind • Independent mental capacity advocacy. <p>The number, size and scope of individual contracts to be let will be determined following the completion of a review of existing services in mid-2013.</p>	36 months	Revenue	September 2013	Care & Commissioning

Directorate Contract	Contract Value	Scope of Contract	Length of New Contract, or Contract Extension	Funding	Planned Date for Invitation to Tender or * Contract signature.	Category
DR4426	£133,000 per annum £400,000 total	<p><u>Environmental Impact Assessment (EIA) Review</u></p> <p>Contract is for re-procurement of the independent review of Environmental Statements (ESs), submitted with planning applications, independent review of draft ESs submitted during pre-application discussions and provision of advice on the scope of ESs.</p> <p>Current contract has been in place for a number of years and has been successful in delivering an efficient and effective review system, speeding up decision making on planning applications and avoiding external legal challenges arising from the EIA process.</p>	36 months	Funded through planning application fees and Planning Performance Agreements (PPAs).	Contract to commence on 1st July 2013	Construction & FM
Communities Localities & Culture CLC 4375	£500,000 - £2,000,000 annually £8,000,000 total	<p><u>Landscape Framework Contract:</u></p> <p>Hard landscaping activities including removal, repair and replacing of paths, walls, fences and other outdoor structures. Ground reinforcement work. Creation and improvement of water features. Supply and installation of Playground equipment and repair and replacement of metal works.</p>	36 Months	Capital and Revenue (including S106 and Community Infrastructure Levy funding)	Issue OJEU Notice 1 st April 2013	Construction & FM

Directorate Contract	Contract Value	Scope of Contract	Length of New Contract, or Contract Extension	Funding	Planned Date for Invitation to Tender or * Contract signature.	Category
<p>Communities Localities & Culture</p> <p>CLC 4371</p>	<p>Value of Lot 1 – Up to £2.1M per annum</p> <p>Value of Lot 2- Up to £8M per annum</p> <p>Value of Lot 3 – between £500k and £1M per annum</p> <p>Value of Lot 4 - £1M per annum</p>	<p>Highway Maintenance and Improvement Works</p> <p>Lot 1 - Carriageway and Footway Maintenance and Gully Cleansing Works: Carriageway and Footway condition and defect inspections, repair, resurfacing, patching of carriageways. Road markings and friction surfacing etc, remedial works to flexible and rigid footways, kerbing, edging and repair and replacement of non-illuminated street furniture, Maintenance and repair of highway gully, cleanout, jetting and washing etc</p> <p>Lot 2 - Highways Capital Works: Reconstruction/realignment/resurfacing of the highway. Major drainage works, street furniture schemes. Other civil engineering work, hard landscaping, road markings, traffic calming measures etc.</p> <p>Lot 3 – Street Lighting Maintenance: Repair and replacement of street lighting lamps and fittings and other electrical street furniture including KLB's and internally lit signs</p> <p>Lot 4 – Street Lighting Replacement Programme: Supply and installation of replacement lamp columns and lamps</p>	<p>60 Months (plus option to extend for a further 24 months)</p>	<p>Capital and revenue (some funding is from external sources)</p>	<p>Issue OJEU Notice May/June 2013</p>	<p>Construction and Hard FM</p>

Directorate Contract	Contract Value	Scope of Contract	Length of New Contract, or Contract Extension	Funding	Planned Date for Invitation to Tender or * Contract signature.	Category
<p>Adults Health and Wellbeing</p> <p>AHWB 4378</p>	<p>£487,000 annually</p> <p>£1,461,000 total value</p>	<p>Extra Care Sheltered Housing – Care and support element in four Extra Care Sheltered Housing Schemes for older people (65+). Provides on-site care and support for vulnerable tenants that enables them to continue living in their own homes (within the sheltered scheme) for longer than would otherwise be the case, providing a more appropriate and cost-effective alternative to other more costly forms of care provision.</p>	<p>36 Months</p>	<p>Revenue</p>	<p>April 2013</p>	<p>Care & Commissioning</p>
<p>CLC4428</p>	<p>£320,000 per annum</p> <p>£960,000 Total income value</p>	<p>Victoria Park – Commercial Events Concession The aim of this concession contract is to offer a major events company/consortium the opportunity to bid for major event days (number of day tbc) in Victoria Park, with an audience of between 15,000 – 40,000 daily, in return for an annual fee to be paid to the Council.</p> <p>This concession opportunity has not previously been offered by the Council via a formal tender process. Although a commercial event programme has been delivered yearly by a range of providers in Victoria Park via a Park Hire application process managed by the Arts and Events team.</p> <p>A three year contract with the option of 12 months extension* is proposed to provide some financial certainty, as the projected income target is expected to contribute to MTFP and the Councils budget.</p>	<p>36 months Please see ‘*’ regarding a possible extension for one year.</p>	<p>No funding required – income generation</p>	<p>September 2013</p>	<p>Corporate Services</p>

Directorate Contract	Contract Value	Scope of Contract	Length of New Contract, or Contract Extension	Funding	Planned Date for Invitation to Tender or * Contract signature.	Category
AHWB 4396	<p>£6,354,000 <i>per annum</i></p> <p>£12,708,000 <i>Total Value</i></p>	<p><u>Domiciliary Care Preferred Provider Framework</u></p> <p>Domiciliary Care Preferred provider framework (seeking approximately 16 suppliers from whom services are to be spot purchased)</p>	24 months	Revenue	Issue OJEU notice 30th March 2013	Care & Commissioning

This page is intentionally left blank

Agenda Item 12.1

Committee: Cabinet	Date: 13 th March 2013	Classification: Unrestricted	Report No: CAB 92/123
Report of: Corporate Director Resources Originating officer(s) Oladapo Shonola Chief Financial Strategy Officer; Lisa Stone Finance Officer		Title: Exercise of Corporate Directors' Discretions Wards Affected: All	

1. SUMMARY

- 1.1. This report sets out the exercise of Corporate Directors' discretions under Financial Regulation B8 which stipulates that such actions be the subject of a noting report to Cabinet if they involve expenditure between £0.100 million and £0.250 million.

2. DECISIONS REQUIRED

The Mayor in Cabinet is recommended to:-

- 2.1 Note the exercise of Corporate Directors' discretions as set out in Appendix 1.

3. REASONS FOR DECISIONS

- 3.1 Financial Regulations requires that regular reports be submitted to Council/Committee setting out financial decisions taken under Financial Regulation B8.
- 3.2 The regular reporting of Corporate Director's Discretions should assist in ensuring that Members are able to scrutinise officer decisions.

4. ALTERNATIVE OPTIONS

- 4.1 The Council is bound by its Financial Regulations (which have been approved by Council) to report to Council/Committee setting out financial decisions taken under Financial Regulation B8.

4.2 If the Council were to deviate from those requirements, there would need to be a good reason for doing so. It is not considered that there is any such reason, having regard to the need to ensure that Members are kept informed about decisions made under the delegated authority threshold and to ensure that these activities are in accordance with Financial Regulations.

5. BACKGROUND

5.1 Regulation B8 sets out the Cabinet Reporting Thresholds for specific financial transactions.

6. FINANCIAL REGULATION B8

6.1 Financial Regulation B8 sets out the reporting thresholds for the following financial transactions: -

Virements

Capital Estimates

Waiving Competition Requirements for Contracts and Orders (Subject to EU threshold)

Capital Overspends

Settlement Of Uninsured Claims

6.2 Under Financial Regulation B8, if the transaction involves a sum between £0.100 million and £0.250 million it can be authorised by the Corporate Director under the scheme of delegation but must also be the subject of a noting report to the next available Cabinet.

6.3 Appendix 1 sets out the exercises of Corporate Directors' discretions, under the stipulations in 4.2 above, that have taken place since the previous Cabinet

7. COMMENTS OF THE CHIEF FINANCIAL OFFICER

7.1 The comments of the Chief Financial Officer have been incorporated into the report and Appendix.

8. CONCURRENT REPORT OF THE ASSISTANT CHIEF EXECUTIVE (LEGAL SERVICES)

- 8.1. The report sets out the individual exercises of Directors' Discretions as required by Financial Regulations.
- 8.2 The legal implications of each of the individual decisions would have been provided as part of the decision making process. These will be recorded on the "Record of Corporate Directors' Actions" maintained by Directorates
- 8.3 The procedure for recording and reporting Corporate Director's Actions has recently been revised and strengthened. All proposed actions where the value exceeds £100,000 are now required to be agreed with the Mayor prior to officer's sign off and approval. The revised procedure came into effect in December 2011.

9. ONE TOWER HAMLETS CONSIDERATIONS

- 9.1 This report is concerned with the notification of officers' discretions under Standing Orders and has no direct One Tower Hamlets implications. To the extent that there are One Tower Hamlets Considerations arising from the individual actions, these would have been addressed in the records of each action.

10. SUSTAINABLE ACTION FOR A GREENER ENVIRONMENT

- 10.1 There are no Sustainable Action for A Greener Environment implications arising from this report.

11. RISK MANAGEMENT IMPLICATIONS

- 11.1 The risks associated with each of the Corporate Directors' discretions as set out in Appendix 1 would have been identified and evaluated as an integral part of the process, which lead to the decision.

12. CRIME AND DISORDER REDUCTION IMPLICATIONS

- 12.1 There are no Crime and Disorder Reduction Implications arising from this report.

13. EFFICIENCY STATEMENT

- 13.1 The works referred to in the report will be procured in line with established practices, taking account of best value.

14. **APPENDICES**

Appendix 1 – Exercise of Corporate Directors’ Discretions under Financial Regulation B8

Local Authorities (Executive Arrangements) (Access to Information) (England) Regulations 2000

List of “Background Papers” used in the preparation of this report

Brief description of “background papers”	Name and telephone number of holder and address where open to inspection.
Record of Corporate Directors actions	Stephen Adams, Finance and Resources Manager, Communities, Localities and Culture Ext 5212 Ekbal Hussain, Interim Head of Finance (AHWB), Education, Social Care and Wellbeing Ext 4737 David Tully, Interim Head of Finance (CSF), Education, Social Care and Wellbeing Ext 4960

Appendix 1: Exercise of Corporate Directors Discretions under Financial Regulation B8

Corporate Director	Amount	Description of Exercise of Discretion	Justification for Action	Contractor's Name and Address (including postcode)	Contact
CSF (CDA Ref. ESW 379)	£230,000	Virement from Early Intervention Reserve to G81 Building Development And Tech Services for Condition Survey of CSF Premises	To ensure that CSF premises are maintained to a safe standard and to plan investment properly, periodic condition surveys are required.	Not applicable	Calvin Coughlin Ext. 4414
CLC (Ref: 12 40)	£150,000	Adoption of capital estimate for King David lane & Juniper Street This approval is in excess of the noting report threshold of £100k. .	Allocation of Section 106 resources in accordance with the Planning agreement	J B Riney Ltd 455 Wick Lane London E3 2TB	Elise Boon, Transportation & Highways Ext.6832
AHWB (CDA Ref. ESW 377)	£179,000	Waiving financial regulations to extend the contract for 6 months, with an option to extend for a further 6 months.	Following De-registration of Vulcan square as a residential home and re-designation as supported living accommodation it is necessary to extend the contract with the current provider to ensure continuity of service until	Mencap Unit L Mill Green Business Park Mill Green Road Mitcham CR4 4HT	Neil Langley Ext.2157

AHWB (CDA Ref. ESW 378)	£166,000	Waiving financial regulations to extend the contract for 6 months, with an option to extend for a further 6 months.	the service can be competitively re-procured.	Mencap Unit L Mill Green Business Park Mill Green Road Mitcham CR4 4HT	Neil Langley Ext.2157
			Following De-registration of Old Ford Road as a residential home and re-designation as supported living accommodation it is necessary to extend the contract with the current provider to ensure continuity of service until the service can be competitively re-procured.		