

Thurrock: A place of opportunity, enterprise and excellence, where individuals, communities and businesses flourish

Cabinet

The meeting will be held at **7.00 pm** on **13 July 2016**

Committee Rooms 2 & 3, Civic Offices, New Road, Grays, Essex, RM17 6SL

Membership:

Councillors Robert Gledhill (Chair), Garry Hague (Deputy Chair), Mark Coxshall, James Halden, Shane Hebb, Brian Little, Susan Little, Deborah Stewart and Pauline Tolson

Agenda

Open to Public and Press

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Exclusion of the Public and Press

Members are asked to consider whether the press and public should be excluded from the meeting during consideration of an agenda item on the grounds that it involves the likely disclosure of exempt information as specified in Part I of Schedule 12A of the Local Government Act 1972 or it being confidential for the purposes of Section 100A(2) of that Act.

In each case, Members are asked to decide whether, in all the circumstances, the public interest in maintaining the exemption (and discussing the matter in private) outweighs the public interest in disclosing the information.

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Queries regarding this Agenda or notification of apologies:

Please contact Kenna-Victoria Martin, Senior Democratic Services Officer by sending an email to Direct.Democracy@thurrock.gov.uk

Agenda published on: **5 July 2016**

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DECLARING INTERESTS FLOWCHART – QUESTIONS TO ASK YOURSELF

Breaching those parts identified as a pecuniary interest is potentially a criminal offence

Helpful Reminders for Members

- *Is your register of interests up to date?*
- *In particular have you declared to the Monitoring Officer all disclosable pecuniary interests?*
- *Have you checked the register to ensure that they have been recorded correctly?*

When should you declare an interest *at a meeting*?

- **What matters are being discussed at the meeting?** (including Council, Cabinet, Committees, Subs, Joint Committees and Joint Subs); or
- If you are a Cabinet Member making decisions other than in Cabinet **what matter is before you for single member decision?**



Does the business to be transacted at the meeting

- relate to; or
- likely to affect

any of your registered interests and in particular any of your Disclosable Pecuniary Interests?

Disclosable Pecuniary Interests shall include your interests or those of:

- your spouse or civil partner's
- a person you are living with as husband/ wife
- a person you are living with as if you were civil partners

where you are aware that this other person has the interest.

A detailed description of a disclosable pecuniary interest is included in the Members Code of Conduct at Chapter 7 of the Constitution. **Please seek advice from the Monitoring Officer about disclosable pecuniary interests.**

What is a Non-Pecuniary interest? – this is an interest which is not pecuniary (as defined) but is nonetheless so significant that a member of the public with knowledge of the relevant facts, would reasonably regard to be so significant that it would materially impact upon your judgement of the public interest.

Pecuniary

If the interest is not already in the register you must (unless the interest has been agreed by the Monitoring Officer to be sensitive) disclose the existence and nature of the interest to the meeting

If the Interest is not entered in the register and is not the subject of a pending notification you must within 28 days notify the Monitoring Officer of the interest for inclusion in the register

Unless you have received dispensation upon previous application from the Monitoring Officer, you must:

- Not participate or participate further in any discussion of the matter at a meeting;
- Not participate in any vote or further vote taken at the meeting; and
- leave the room while the item is being considered/voted upon

If you are a Cabinet Member you may make arrangements for the matter to be dealt with by a third person but take no further steps

Non- pecuniary

Declare the nature and extent of your interest including enough detail to allow a member of the public to understand its nature



You may participate and vote in the usual way but you should seek advice on Predetermination and Bias from the Monitoring Officer.

Vision: Thurrock: A place of **opportunity, enterprise and excellence**, where **individuals, communities and businesses** flourish.

To achieve our vision, we have identified five strategic priorities:

1. Create a great place for learning and opportunity

- Ensure that every place of learning is rated “Good” or better
- Raise levels of aspiration and attainment so that residents can take advantage of local job opportunities
- Support families to give children the best possible start in life

2. Encourage and promote job creation and economic prosperity

- Promote Thurrock and encourage inward investment to enable and sustain growth
- Support business and develop the local skilled workforce they require
- Work with partners to secure improved infrastructure and built environment

3. Build pride, responsibility and respect

- Create welcoming, safe, and resilient communities which value fairness
- Work in partnership with communities to help them take responsibility for shaping their quality of life
- Empower residents through choice and independence to improve their health and well-being

4. Improve health and well-being

- Ensure people stay healthy longer, adding years to life and life to years
- Reduce inequalities in health and well-being and safeguard the most vulnerable people with timely intervention and care accessed closer to home
- Enhance quality of life through improved housing, employment and opportunity

5. Promote and protect our clean and green environment

- Enhance access to Thurrock's river frontage, cultural assets and leisure opportunities
- Promote Thurrock's natural environment and biodiversity
- Inspire high quality design and standards in our buildings and public space

Minutes of the Meeting of the Cabinet held on 8 June 2016 at 7.00 pm

The deadline for call-ins is Wednesday 22 June 2016 at 5.00pm

Present: Councillors Robert Gledhill (Chair), Garry Hague (Deputy Chair), Mark Coxshall, James Halden, Shane Hebb, Brian Little, Susan Little, Deborah Stewart and Pauline Tolson

In attendance:

Lyn Carpenter, Chief Executive
Steve Cox, Corporate Director of Environment and Place
Roger Harris, Corporate Director of Adults, Housing and Health
Sean Clark, Director of Finance & IT
Rory Patterson, Corporate Director of Children's Services
Jackie Hinchliffe, Director of HR, OD & Transformation
Karen Wheeler, Head of Strategy, Communications and Customer Service
Chris Pickering, Principal Solicitor - Employment & Litigation
Kenna-Victoria Martin, Senior Democratic Services Officer

Before the start of the Meeting, all present were advised that the meeting may be filmed and was being recorded, with the audio recording to be made available on the Council's website.

1. Minutes

The Minutes of Cabinet, held on 9 March 2016, were approved as a correct record.

Councillor B. Little commented that the Congestion Task Force was not included within the recommendations of the Lower Thames Crossing report. The Chief Executive explained that the Congestion Task Force was not a recommendation within the original report but it was mentioned within the minute of the Lower Thames Crossing item.

Cabinet were assured that the Congestion Task Force had been organised and was in place.

2. Items of Urgent Business

There were no items of urgent business

3. Declaration of Interests

There were no declarations of interest.

4. **Statements by the Leader**

The Leader of the Council advised that the agenda for the evening was light; however the Cabinet were working with Officers to look at future items. He continued by commenting that he felt Overview and Scrutiny was not used to its full potential in Thurrock, therefore more reports would be presented to the relevant Overview and Scrutiny Committee prior to Cabinet.

5. **Petitions submitted by Members of the Public**

There were no petitions submitted.

6. **Questions from Non-Executive Members**

The Leader of the Council advised that no questions had been submitted from Non-Executive Members.

7. **Briefings on Policy, Budget and Other Issues**

There were no items on Policy, Budget or other issue reported to the Cabinet.

8. **Matters Referred to the Cabinet for Consideration by an Overview and Scrutiny Committee**

The Leader of the Council informed Members that no matters had been referred to the Cabinet by an Overview and Scrutiny Committee.

9. **Appointments to Outside Bodies, Statutory and other Panels (Decision 01104371)**

Councillor Gledhill, the Leader of the Council, briefly introduced the report which outlined the nominations made by Cabinet to Outside Bodies, Statutory and Other Panels for those appointments.

The nominations to Outside Bodies, Statutory and Other Panels were as follows:

Organisation	Appointees
Anglian (Eastern) Regional Flood & Coastal Committee (1 seat held jointly, bi-annually, with Southend)	1. Councillor G.Rice
Association for Public Services Excellence	1. Councillor Gledhill (Leader of the Council)
Basildon and Thurrock University Hospitals NHS Foundation Trust Board of Governors	1. Councillor Ojetola

Anglian (Eastern) Regional Flood & Coastal Committee (1 seat held jointly, bi-annually, with Southend)	1. Councillor G.Rice
East of England Regional Transport Forum	1. Councillor B.Little
Essex Partnership for Flood Management	1. Councillor Collins
Essex Pension Fund Advisory Board	1. Councillor Hebb
Groundwork South Essex Trust	1. Councillor Stewart
Impulse Leisure	1. Councillor Redsell
Local Government Association	1. Councillor Smith 2. Councillor Kent
Museums in Essex	1. Councillor G.Rice
Thames Gateway South Essex Partnership Board (Leader and Chief Executive)	1. Councillor Gledhill (Leader of the Council)
Thames Gateway South Essex Transport Board	1.Councillor B.Little
Thurrock Arts Council	1. Councillor B. Litte
Thurrock Local Enterprise Agency	1. Councillor Hague
Thurrock Sports Council	1. Councillor Watkins
Veolia North Thames Trust	1.Councillor Tolson
Thurrock Children's Trust Partnership Board	1. Councillor Halden 2.Councillor Okunade 3.Councillor Gamester
Thurrock Community Safety Partnership	1. Councillor Tolson

RESOLVED:

That the nominations to Outside Bodies, Statutory and Other Panels be approved.

Reason for Decision - as stated in the report
This decision is subject to call-in

Before closing the meeting the Leader assured everyone, that future Cabinet meetings would last longer than 6 minutes.

The meeting finished at 7.06 pm

Approved as a true and correct record

CHAIR

DATE

**Any queries regarding these Minutes, please contact
Democratic Services at Direct.Democracy@thurrock.gov.uk**

13 July 2016	ITEM: 7 (Decision 01104372)
Cabinet	
Corporate Performance Framework 2016/17 and End of Year Corporate Performance Report 2015/16	
Wards and communities affected: All	Key Decision: Non-key
Report of: Councillor Deborah Stewart, Portfolio Holder for Performance & Communities	
Accountable Head of Service: Karen Wheeler, Head of Strategy, Communications & Customer Services	
Accountable Director: Jackie Hinchliffe, Director of HROD & Transformation	
This report is public	

Executive Summary

This report provides a forward look at this year (2016/17) and a final look at how the council performed against its priorities last year (2015/16).

The Corporate Plan 2016/17 (Appendix 1) outlines the focus areas for service delivery during this year. This is currently based on the existing vision and corporate priorities which will be refreshed during the year. The Plan is supported by the Corporate KPI (Key Performance Indicator) Framework (Appendix 2) which details the statistical evidence the council will use to monitor the progress and performance against those priority activities. There will be a full and thorough review of existing KPIs and other performance tools in 2016 in line with recommendations made by Corporate Overview and Scrutiny in 2015/16.

It is best practice to report on the performance of the council. It shows effective levels of governance and transparency and showcases strong performance as well as an acknowledgement of where we need to improve and take action.

The End of Year Corporate Performance Report (Appendix 3) combines the performance against last year's corporate scorecard with progress against the related actions/ projects as outlined in the Corporate Priority Activity Plan for 2015/16.

Corporate Overview and Scrutiny Committee were invited to comment on the draft Corporate Plan and KPIs for 2016/17 at their meeting on 21 June and ahead of consideration by Cabinet in July and a full review in 2016. The feedback is included in this report.

1. Recommendation(s)

- 1.1 To agree a full and thorough review of existing KPIs and other performance tools in 2016 in line with recommendations made by Corporate Overview and Scrutiny in 2015/16
- 1.2 To agree the activities for the upcoming year within the Corporate Plan 2016/17 (Appendix 1) and performance framework for 2016/17 (Appendix 2) in the context of a full review in 2016
- 1.3 To note the progress and performance against the corporate priorities for 2015/16 – Appendix 3

2. Introduction and Background

- 2.1 The Council has an agreed vision and set of corporate priorities which are fundamentally the same as those agreed as part of the Community Strategy consultation exercise in September 2012. These priorities were refreshed slightly in 2015 to take into account the changing relationship between the Council and the community and our role in place shaping and community leadership:-

Thurrock: A place of **opportunity**, **enterprise** and **excellence**, where **individuals**, **communities** and **businesses** flourish.

- **Create** a great place for learning and opportunity
 - **Encourage** and promote job creation and economic prosperity
 - **Build** pride, responsibility and respect
 - **Improve** health and well-being
 - **Promote** and protect our clean and green environment
- 2.2 During 2016/17 Cabinet will fully review the vision and corporate priorities to take account of the changes the council needs to make in the way services are delivered to communities, available resources and to reflect the new Health and Well Being and Economic Growth Strategies.
 - 2.3 To ensure that the review of our priorities includes opportunities for the public to express their views, a resident survey will take place during the autumn, the outcome of which will feed into the refresh of our vision and priorities.
 - 2.4 In the meantime, this report outlines those projects and activities which will be the focus for the council during 2016/17 based on the existing vision and priorities.
 - 2.5 The key council projects for the year ahead are set out in the Corporate Plan (Appendix 1) mapped against the priorities. The performance of those priority

activities will be monitored through the Corporate KPI (Key Performance Indicator) framework (Appendix 2). There will be a full and thorough review of existing KPIs and other performance tools in 2016 keeping in line with recommendations made by Corporate Overview and Scrutiny in 2015/16.

- 2.6 Service Plans flow from the corporate priorities and cascade down into team plans and ultimately into individual plans and objectives.
- 2.7 This report also details progress in relation to the delivery of the Corporate Priority Activity Plan 2015/16 and associated performance data. This can be found at Appendix 3 and is summarised below.

3. Issues, Options and Analysis of Options

3.1 Corporate Plan 2016/17 – Appendix 1

- 3.1.1 Feedback from the LGA Peer Review in February 2016 suggested that, whilst being ambitious, the council's list of corporate priority activities during 2015/16 was too all-encompassing and as such it was difficult to determine the key outcomes being sought.
- 3.1.2 For 2016/17 a much more streamlined, outcome based draft plan focussing on approximately 20 key projects has been developed, linking more clearly with existing strategies and plans (for example the Joint Health and Well Being Strategy and Economic Growth Strategy).
- 3.1.3 These projects have been developed using outcomes in service plans and key strategies, as well as feedback from the LGA Peer Review team and the Children's Social Care Ofsted inspection.

3.2 Corporate KPI Framework 2016/17 – Appendix 2

- 3.2.1 The Corporate KPI Framework for 2016/17 combines the corporate KPI scorecard with other key service demand indicators. This provides a mixture of strategic and operational indicators. This is a different approach to recent years where the emphasis for corporate reporting has been on strategically important indicators i.e. those directly linked with evidencing the delivery of the council's priority activities.
- 3.2.2 However, in 2016/17, with the demand for council services increasing and being ever more complicated, a more holistic approach to monitoring data and intelligence will be utilised. This will include scrutiny of the workflow and demand in front line services at the highest level. There will also be increased analysis of internal processes at service level by Directors.
- 3.2.3 Although overall the volume of draft KPIs has increased from previous years, not all of these indicators will be reported to members each time. The main focus of the monitoring reports will continue to be those indicators which directly monitor the delivery of the Corporate Plan priorities, with other

indicators being escalated to members on an exception basis. This is a draft list and will be subject to a full review in 2016.

- 3.2.4 From 2016/17 the reports will no longer categorise KPI performance as Red, Amber or Green (RAG status). Instead there will be a simplified Achieved or Failed i.e. performance which is worse than target, regardless of the margin, will have “failed”. Both methodologies are reflected in the tables below and Appendix 3.

3.3 Monitoring and Scrutiny 2016/17

- 3.3.1 Progress and performance against the Corporate Plan will be monitored through Performance Board, a cross-council officer group of performance experts representing each service. Performance Board scrutinises the corporate KPIs on a monthly basis, highlighting areas of particular focus to Directors Board.
- 3.3.2 Each quarter a report will be presented to Corporate Overview & Scrutiny Committee for member-led scrutiny, and finally reported to Cabinet.
- 3.3.3 The frequency of the reports will be quarterly. At the mid and end of year points the report will also contain a review of progress against the activities in the Corporate Plan. Again, this will first be considered by Corporate Overview & Scrutiny Committee before being presented to Cabinet.

3.4 Summary of Corporate Performance in 2015/16

Corporate KPIs at year end (subject to final data quality audit)		New Framework
GREEN	48.94%	Achieved 48.94
AMBER	40.43%	
RED	10.63%	Failed 51.06

Direction of Travel compared to 2014/15	
↑ IMPROVED	61.7%
→ STATIC	12.77%
↓ DECLINED	25.53%

3.5 2015/16 Performance Highlights

Some key achievements from 2015/16 are highlighted below. Others are reported within the main body of the report at Appendix 1.

- New business parks in Tilbury and London Gateway

- New Community Hubs/centres in Stifford Clays and Tilbury
- The Old Courthouse business centre in Grays Magistrates Court
- Joint Health and Well Being Strategy agreed
- Economic Growth Strategy agreed
- Consultation on the Local Plan
- Business and Education Summit and Opportunity Thurrock events
- Consultation on Grays Town Centre and riverfront regeneration
- Stronger Together Partnership Conference
- 25 HAPPI housing flats in Derry Avenue, South Ockendon
- 700 Well Homes visits
- Over 5,800 home transformations since 2013
- New future for the State Cinema building
- Key Stage 2 results went up in all areas
- Award winning Thurrock Next Top Boss programme
- Rated “outstanding” for Prince’s Trust Team programme
- Higher rate of business growth than any region in England including London
- Council’s partnership with High House Production Park highly commended for the LGC Awards Partnership of the Year

3.6 The Council has also had recognition in 2015/16 for the excellence of our individuals and teams including:

- Careers Team - National Children and Young People Now Awards
- Local Area Coordinators - LGC Team of the Year (highly commended)
- Democratic Services, Team of the Year, Association of Democratic Services Officers (ASDO) Awards
- Stephanie Cox, Learner of the Year, Association of Democratic Services Officers (ASDO) Awards
- Nine Civic Awards for members of the public for their commitment to their community
- Thurrock Top Boss awarded three business challenge awards to teams from schools and colleges
- The second Education Awards saw 15 awards given to Thurrock teachers and school staff being recognised for their contributions to the improvement and enrichment of Thurrock’s school pupils

3.7 **Performance Challenges**

There are still a number of specific areas where performance needs to significantly improve, including KS4 results, attainment of Looked After Children and levels of recycling.

One of the challenges for all services during 2015/16 has been (and will continue to be throughout 2016/17 and beyond) how to deliver council services within the available budget. This is a particular challenge given the increased demand and complexity of many of our services, especially children’s social care and services for older people.

3.8 The full summary of Corporate Scorecard KPI performance is set out below:

Corporate Priority	No. of PIs	Performance against Target				New Framework		Direction of Travel			
		No. of KPIs unavailable for comparison (n/a) *	No. of KPIs at Green ✓	No. of KPIs at Amber ⇄	No. of KPIs at Red ✗	ACHIEVED	FAILED	No. of KPIs unavailable for comparison (n/a) *	No. Improved since 2012-13 ↑	No. Unchanged since 2012-13 →	No. Decreased since 2012-13 ↓
Create a great place for learning and opportunity	15	2	3	7	3	3	10	0	10	0	5
Encourage and promote job creation and economic prosperity	5	0	3	2	0	3	2	1	3	1	0
Build pride, responsibility and respect	2	0	2	0	0	2	0	0	1	1	0
Improve health and well-being	11	1	8	1	1	8	2	2	6	1	2
Promote and protect our clean and green environment	8	3	0	4	1	0	5	2	2	0	4
Well-run organisation	12	0	7	5	0	7	5	0	7	4	1
TOTAL	53	6	23	19	5	23	24	5	29	7	12
		PIs available = 47	48.94%	40.43%	10.63 %	48.94 %	51.06 %	PIs available = 48	61.70%	12.77%	25.53%

4. Reasons for Recommendation

- 4.1 The Corporate Plan and associated performance framework are fundamental to articulating what the council is aiming to achieve and how. It is best practice to report on the performance of the council. It shows effective levels of governance and transparency and showcases strong performance as well as an acknowledgement of where we need to improve.
- 4.2 One of the challenges for all services during 2016/17 and beyond will be how to deliver council services within the available budget. This report outlines what the council will focus on in the year ahead and confirms the governance and monitoring mechanisms which will be in place to ensure that priorities are delivered.

5. Consultation (including Overview and Scrutiny, if applicable)

- 5.1 The original vision and corporate priorities were extensively consulted upon with residents, community and voluntary sectors and other partners.
- 5.2 Performance monitoring reports are considered on a quarterly basis by Corporate Overview and Scrutiny Committee and where there are specific issues relevant to other committees these are further circulated as appropriate.
- 5.3 Corporate Overview and Scrutiny on 21 June were invited to comment on the draft Corporate Plan and KPIs for 2016/17 ahead of consideration by Cabinet and a full review in 2016. The committee felt that the Corporate Plan was robust and welcomed the change to monitoring progress against KPI targets with the introduction of Achieved and Failed making it clearer.

6. Impact on corporate policies, priorities, performance and community impact

- 6.1 The Corporate Plan and associated performance framework are fundamental to articulating what the council is aiming to achieve and how. The vision and priorities cascade into every bit of the council and further to our partners, through key strategies, service plans, team plans and individual objectives.
- 6.2 The end of year report will help decision makers and other interested parties, form a view of the success of the Council's actions in meeting its political and community priority ambitions.

7. Implications

7.1 Financial

Implications verified by: **Carl Tomlinson**
Finance Manager

The report provides an update on performance against corporate priorities in 2015/16 and the performance framework for 2016/17. Although this report itself does not have any direct financial implications, the Corporate Plan (Appendix 1) and KPI Framework (Appendix 2) for 2016/17 contain activities and measures that influence the council's ability to operate within available resources. Individual commentary will be given throughout the year within the regular monitoring reports regarding progress, impact and actions.

The council continues to operate in a challenging financial environment, therefore, any recovery planning commissioned by the Council may entail future financial implications, and will need to be considered as appropriate.

7.2 Legal

Implications verified by: **Paul Field**
Deputy Monitoring Officer

There are no direct legal implications arising from this report. However, individual priority projects outlined in Appendix 1 may have legal implications, and as such will need to be addressed separately as decisions relating to those specific activities are considered.

7.3 Diversity and Equality

Implications verified by: **Natalie Warren**
Community Development & Equalities Manager

The Corporate Plan and KPI Framework for 2016/17 contain measures that help determine the level of progress with meeting wider diversity and equality ambitions, including youth employment and attainment, independent living, vulnerable adults, volunteering etc. Individual commentary will be given throughout the year within the regular monitoring reports regarding progress and actions.

The End of Year Corporate Performance Report 2015/16 also contains narrative and data relating to wider diversity and equality objectives, for which commentary is provided in Appendix 3.

7.4 Other implications (where significant) – i.e. Staff, Health, Sustainability, Crime and Disorder)

The Corporate Plan includes areas which affect a wide variety of issues, including those noted above. Details can be found in the appendices.

8. Background papers used in preparing the report (including their location on the Council's website or identification whether any are exempt or protected by copyright): N/A

9. Appendices to the report

- Appendix 1 – Draft Corporate Plan 2016/17
- Appendix 2 – Draft Corporate KPI Framework 2016/17
- Appendix 3 – End of Year Corporate Performance Report 2015/16

Report Author:

Sarah Welton
Strategy & Performance Officer

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Appendix 1

CORPORATE PLAN 2016/17

Thurrock is an ambitious unitary council with vision and opportunity for residents and businesses. Thurrock lies on the River Thames immediately to the east of London, and is home to some of the most exciting initiatives, industries and organisations in the country including the internationally renowned Royal Opera House. It is strategically positioned on the M25 and A13 corridors, with excellent transport links west into London, north and east into Essex and south into Kent. Thurrock hosts three international ports, London Gateway, Port of Tilbury and Port of Purfleet, which are at the heart of global trade and logistics.

The council has a significant budget challenge in the years ahead and needs to become financially self-sustainable. Working with partners and the community, the council wants to drive growth in our role as champions for the place and as local leaders to maximise opportunities and attract inward investment. This approach alongside generating income and trailblazing new innovative service delivery models will continue to be vitally important to our future.

Vision & Priorities

The Council has an agreed vision and set of corporate priorities:

Thurrock: A place of **opportunity, enterprise and excellence**, where **individuals, communities and businesses** flourish

Five **strategic priorities** to achieve our vision:

- **Create** a great place for learning and opportunity
- **Encourage** and promote job creation and economic prosperity
- **Build** pride, responsibility and respect
- **Improve** health and well-being
- **Promote** and protect our clean and green environment

These are fundamentally the same as those agreed as part of the Community Strategy consultation exercise in September 2012. They have unanimous cross party support and were refreshed slightly in 2015 to take into account of the changing relationship between the Council and the community and our role in place shaping and community leadership.

Priority Projects

The top council projects for the 2016/17 year ahead are set out below mapped against the priorities:

Create a great place for learning and opportunity

- Work with partners to provide training, apprenticeship and employment opportunities linked to key local industries
- Work with schools and other partners to increase percentage of good/outstanding schools, academies and early education facilities in the borough in line with new legislation
- Review school improvement and other children and young people services and develop proposals for future delivery to make best use of available resources
- Using outcomes of the iMPower review and Ofsted Inspection, develop and deliver strategic plan for demand management of children's social care services

Encourage and promote job creation and economic prosperity

- Promote Thurrock and what it has to offer to residents, visitors and inward investors
- Develop and progress the refreshed Local Plan and associated documents
- Implement the Economic Growth Strategy and progress the six Growth Hubs including Purfleet Centre Scheme
- Work with partners to identify and provide for infrastructure needs including tackling issues of congestion and proposals for a new Lower Thames Crossing
- Build new homes that are affordable and a mixture of tenures (private and social)

Build pride, responsibility and respect

- Develop a communication and engagement strategy informed by the Residents Survey
- Work with partners to empower communities
- Develop new models for adult social care and support provider development through implementation of the Market Position Statement
- Develop a new and transformational Customer Services Strategy including delivery through digital channels where appropriate

Improve health and wellbeing

- Implement the Health and Wellbeing Strategy and deliver the action plans
- Transform and integrate health and social care with a focus on prevention and early intervention, including the delivery of four integrated healthy living centres
- Deliver Transforming Homes programme for 2016/17
- Improve efficiency and effectiveness of homelessness prevention

Promote and protect our clean and green environment

- Review waste services including collection options, re-tendering of contracts and opportunities for income generation
- Improve consistency and sustainability of street cleanliness services through stronger enforcement action on fly-tipping and littering and exploring possibilities for trading greening services
- Enhance the built environment, public spaces and access to the river through development of a Design Guide and progressing the town centre Growth Hub programmes

Monitoring and Scrutiny Process

Progress and performance against the Corporate Plan will be monitored by Cabinet regularly, supported by Directors Board and Performance Board, who will consider the corporate key performance indicators regularly. Each quarter a report will be scrutinised at Corporate Overview and Scrutiny Committee before being reported to Cabinet. Twice a year (mid-year and end of year) the corporate performance report is extended to include updates on all the projects in the Corporate Plan.

These projects and priorities will be delivered in the context of a sustainable Medium Term Financial Strategy with resources focused on delivering the priorities, including savings plans for 2017/18 and beyond. This will be supported by a review of the People Strategy, informed by outcomes of the staff survey, including a new approach to recruitment and retention of a skilled workforce.

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Appendix 2

Corporate Key Performance Indicator Framework

The final metrics will be reported to Corporate Overview & Scrutiny Committee and Cabinet on a quarterly basis.

KPI Title	Directorate/Service
Adults, Housing & Health Directorate	
Permanent admissions to residential/nursing homes per 100K pop'n (18+)	AHH - Adults
Self-Directed Support - % adult social care users in receipt of SDS	AHH - Adults
No of carers who are in receipt of SDS as a % of all carers receiving a service from Adult Social Care	AHH - Adults
% older people still at home 91 days after discharge	AHH - Adults
Total number of adult social care service users in receipt of long term support	AHH - Adults
No of volunteers active in roles within the council	AHH - Comm Dev
No of "exchanges" carried out through time-banking	AHH - Comm Dev
% General Satisfaction of tenants with neighbourhoods/services provided by Housing	AHH - Housing
No of homes transformed	AHH - Housing
% of repairs completed within target (<i>to be reviewed</i>)	AHH - Housing
No of households at risk of homelessness approaching the council for assistance	AHH - Housing
No of homeless cases accepted	AHH - Housing
% Rent collected	AHH - Housing
% of repairs undertaken on time (monthly)	AHH - Housing
Average time to turnaround/re-let voids	AHH - Housing
Average time taken to complete an emergency repair	AHH - Housing
No of people supported by a Local Area Coordinator (LAC)	AHH - PH
% Early Offer of Help Episodes completed within 12 months (Public Health)	AHH - PH
% of children who are obese as measured through the National Childhood Measurement Programme at Year 6 (annual)	AHH - PH
% adults who smoke (annual)	AHH - PH
Children's Directorate	
% of primary schools judged "good" or better	Children's
% of 16-19 yr old Not in Education, Employment or Training	Children's
% of 17-21 yr old Care Leavers in Education, Employment or Training	Children's
KS2 Attainment – % Achieving the National Standard in Reading, Writing & Maths (Annual)	Children's
KS4 Attainment – Progress 8 score (Annual)	Children's
Achievement of Level 2 qualification at 19 years old(Annual)	Children's
Achievement of Level 3 qualification at 19 years old (Annual)	Children's
No of places available for two year olds to access early years education in the borough	Children's
No of places accessed for two year olds for early years education in the borough	Children's
Average time (in days) for a child to be adopted (3 year average)	Children's
Rate of Children subject to Child Protect Plan	Children's
No of Children subject to Child Protection Plans	Children's
Rate of Looked After Children	Children's
No of Looked After Children	Children's
Looked After Children KS2 Attainment – % Achieving the National Standard in Reading, Writing & Maths (Annual)	Children's
Looked After Children KS4 Attainment – Progress 8 score (Annual)	Children's
No of unaccompanied asylum seeker children	Children's
No of apprenticeships within the council	Children's
% of young people who reoffend after a previously recorded offence	Children's

KPI Title	Directorate/Service
Environment & Place Directorate	
% Household waste reused/ recycled/ composted	E&P - ENV
Street Cleanliness - a) Litter (<i>review how measured</i>)	E&P - ENV
Street Cleanliness - c) Graffiti (<i>review how measured</i>)	E&P - ENV
% of refuse bins emptied on correct day	E&P - ENV
No of missed bins per month	E&P - ENV
No of incidents of potholes reported	E&P - H&T
No of people killed or seriously injured in road traffic accidents (yearly average taken over a rolling 3 years)	E&P - H&T
% of Major planning applications processed in 13 weeks	E&P - Planning
% of Minor planning applications processed in 8 weeks	E&P - Planning
No of business engaged through Council programmes	E&P - Regen
No of jobs created through Council programmes	E&P - Regen
Unemployment rate (data from ONS/NOMIS)	E&P - Regen
Workforce skills/qualifications (annual)	E&P - Regen
Average weekly household earnings (annual)	E&P - Regen
Jobs within the local economy (annual)	E&P - Regen
GVA per head of population (annual)	E&P - Regen
Sqm of commercial floorspace secured/delivered directly (annual)	E&P - Regen
Income generated through growth programmes (annual)	E&P - Regen
Third party funding secured (annual)	E&P - Regen
No of local people gaining employment, training or qualifications through the housing programme (annual)	E&P - Regen
No of affordable housing units delivered directly (annual)	E&P - Regen
No of private housing units delivered directly (annual)	E&P - Regen
No of incidents of Fly tipping reported	E&P - Residents
No of incidents of Abandoned vehicles reported	E&P - Residents
Finance	
Overall spend to budget on Capital Programme	Finance & IT
Overall spend to budget on General Fund (% variance)	Finance & IT
Overall spend to budget on HRA (£K variance)	Finance & IT
% Council Tax collected	Finance & IT
% National Non-Domestic Rates (NNDR) collected	Finance & IT
Complaints	
% timeliness of response to all complaints	HROD - complaints
% of complaints upheld	HROD - complaints
No of complaints (all) - whole council	HROD - complaints
Customers	
No of repeat face to face visits to Civic Offices	HROD - customer

Note: % indicators will also include the numbers behind the percentage figures

APPENDIX 3

Corporate Plan Progress & Performance End of Year 2015/16 Report

	Key for Performance Indicators
G	GREEN - met target
A	AMBER - within tolerance
R	RED - did not meet target

Priority**Create a great place for learning and opportunity****Objective**

Ensure that every place of learning is rated "Good" or better

YEAR 2 DELIVERABLES

Work through the Thurrock Education Alliance and the Thurrock Excellence Network to ensure all schools, education and early years providers are on track to be rated good or outstanding by OFSTED at the end of 2016 or sooner

As at the end of March, 75.7% of primary schools were rated "good" or better. The target for the end of the year was to reach 85% to be close to the national average. This is deliberately a very challenging target and whilst the data suggests Thurrock is below target currently, the work going on with schools and academies is moving forward and shows signs of improvement. 37 of the 39 primary schools now have an Ofsted grade.

The data can only change once a school has had an inspection, timing over which, the authority has no control. There were no inspections of schools/academies until January 2016, however several schools are due an inspection over the next few months and it is anticipated that the proportion of good or better schools will then increase. There have been three section 8 inspections which have all had a positive outcome. 86% of Early Years settings are rated as good or better. There are nine primary schools currently rated as Requires Improvement (RI). Of these, 50% are predicted to be rated good or better when inspected. The one secondary school which was rated as RI was inspected in January 2016 and now requires special measures. The council, working with the Regional Schools' Commissioner, has brokered a support package from Gable Hall to develop and deliver the Action Plan.

Increase the attainment and achievement of children and young people in line with ambition and achievement strategy and education alliance action plan

Early Years Foundation Stage (EYFS) Good Level of Development (GLD) increased by 7 percentage points to 73% which is 7 percentage points higher than the national average.

Thurrock's Key Stage 1 results for reading at Level 2B+ demonstrate a three year upward trend and at present is 1% above the provisional national average. Writing is in line with the provisional national average. Whilst the mathematics data is 1.9 % below the national average, it has improved year on year. This remains a focus for a number of our schools. At Level 3+ Thurrock has improved significantly in all areas and is broadly in line with the provisional national average.

The upward trend for Key Stage 2 data continues in all measures. The combined measures of level 4+ (the expected level for the end of year 6) in reading, writing and mathematics all increased. Level 5+ results are improving, however, so are national averages and the gap remains at 4%. The percentage of children who made more than expected progress was higher in Thurrock in reading and writing than pupils nationally.

Disappointing results for Key Stage 4 shows a decrease from last year (2014) for 5+ GCSEs including English and mathematics. Where previously Thurrock overall was at the national average (58%) there was a 5% decrease to 53% as a result of the changes in the C/D borderline Cambridge IGCE English and the Edexcel maths for a number of Thurrock schools.

Narrow the gap between groups to ensure good attainment for all including looked after children (LAC) and other groups vulnerable to underachievement

Primary

Of the cohort of twelve Year 6 looked after pupils, nine are placed out of borough. In total, nine pupils took their Standardised Assessment Tests (SATs) achieving:- Reading 67%, Writing 67%, Maths 78%, Combined 67%. Primary schools have prioritised the attainment and progress of all Looked After Children, making effective use of Pupil Premium Plus, to ensure they are ready for secondary school and have good foundations of literacy and numeracy to access the new curriculum offer.

Secondary

28 pupils were entered for GCSEs from the Looked After Children (LAC) cohort of 42 with 13 attending a local Thurrock school. All 28 were entered for examinations (including vocational options) and all achieved a qualification in a range of subjects. Every mainstream school/academy in Thurrock included at least one looked after child in their Year 11 cohort and of the five predicted to gain five or more GCSEs, two students achieved 5 A*-C grades including English and maths. In discussion with Thurrock secondary schools' senior teams it has been agreed that the focus on "narrowing the gap" for disadvantaged groups, including those in the care of the local authority are prioritised in the 2015/16 School Development Plans (SDPs). A number of LAC were unaccompanied asylum seekers at an early stage of learning English and therefore not yet able to take GCSEs.

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
% of primary schools judged "good" or better	R	FAILED	Worse	75.7%	Above national average

Academic Year KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Academic Year Outturn	Academic Year End Target
KS2 Attainment – Achievement at Level 4+ in Reading, Writing & Maths	A	FAILED	Better	78.6%	80%
KS2 Attainment – Achievement at Level 5+ in Reading, Writing & Maths	A	FAILED	Better	20.3%	24%
Achievement of Level 2 qualification at 19 years old	G	ACHIEVED	Better	89%	Above national average
Achievement of Level 3 qualification at 19 years old	G	ACHIEVED	Better	53.2%	Within 5% national average
LAC KS2 Attainment – Achievement at Level 4+ in reading, writing and maths	R	FAILED	Worse	50%	64%
LAC KS4 Attainment – 5+ A*-C (including English and maths GCSEs)	R	FAILED	Worse	0%	15%

From 2016/17 the corporate performance framework will no longer include a category of AMBER (ie did not meet target but is within an acceptable tolerance). To enable future comparison the above data has been recalibrated below to show only two possible statuses – "Achieved" or "Failed". Both the old RAG framework and the new frameworks are included in the tables in this report.

Priority	Create a great place for learning and opportunity
Objective	Raise levels of aspiration and attainment so that residents can take advantage of local job opportunities

YEAR 2 DELIVERABLES

Work through existing partnerships to provide training, apprenticeship and employment opportunities to Thurrock residents, for example through the housing investment programmes and cultural and creative industries education offer

The continued recruitment of apprenticeships across the Council has supported performance around the level 3 qualification at 19 – as a large local employer, the Council is committed to ensuring that where possible young people remain in education to complete a level 3 qualification.

The Council continues to offer a bespoke service to care leavers and has developed a holistic approach to working with this cohort which includes providing basic skills learning opportunities and guaranteed interviews.

There has recently been the Council’s award winning Thurrock’s Next Top Boss programme and this has led to some excellent work experience opportunities and the potential for young people to access an apprenticeship. Services look to maintain existing partnerships to continue programmes reported at mid-year. In addition to this, new partnerships have been developed to provide residents with access to employment and training at all levels. Pathway programmes such as Volunteering it Yourself, Get into programmes, Duke of Edinburgh, TEAM and traineeships all provide individuals with important opportunities to develop skills and abilities to lead to employment.

The Top Achievers Programme has been created to support a cohort of gifted and talented students to submit high quality University applications. The work experience placement service, an HMO pilot, Wishes and the Careers and Enterprise programme are all designed to enhance an individual’s skills and rely on effective partnerships/management of volunteers to enable successful outcomes.

Support local people to acquire the skills required within the key economic sectors of Ports, Transport and Logistics; Creative and Cultural; Manufacturing and Engineering (including Environmental Technology)

The council has continued to embed the Prince’s Trust work – this has led to the recent outstanding grade received for the award winning TEAM programme. A partnership approach has been developed with a social enterprise supporting people to gain construction qualifications whilst undertaking work within the Inspire Youth Hub.

This programme has worked with vulnerable young people and enabled them to gain skills and qualifications. Work with the logistics sector has focused on internships at the Port of Tilbury which was attended by a group of learners with additional needs and was undertaken in partnership with Thurrock Lifestyle Solutions.

There are exciting opportunities within the creative and cultural sector which form part of the work undertaken in partnership with the Royal Opera House – a number of Thurrock schools are engaging with programmes that bring the arts alive to children and young people.

Deliver effective careers information, advice and guidance for young people working in effective partnerships across the education and business community

NEET has consistently reduced over the last years: below figure indicates the reduction of NEET from 2012 to 2016 (information taken from DfE statistics).

	Nov	Dec	Jan	Average
2015-16	4.9%	4.7%	5.0%	4.8%
2014-15	5.3%	5.3%	5.1%	5.2%
2013-14	5.5%	5.5%	5.3%	5.4%
2012-13	6.6%	5.6%	5.7%	6.0%

Participation in Year 12 has increased to 95.7% in March 2016 compared with 95.1% in March 2015.

Unknown figure now stands at 0.3%. Thurrock consistently has the lowest unknowns in the country compared to all comparators during this year. Table below shows national indicators:

Unknown	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec
Thurrock	0.1%	0.1%	0.1%	0.1%	0.2%	20.2%	4.3%	0.9%	0.4%
SN	5.9%	6.0%	6.0%	11.1%	23.6%	35.9%	21.1%	12.1%	10.1%
East of England	6.2%	6.8%	6.4%	15.1%	20.4%	32.2%	17.5%	7.7%	5.8%
England	6.7%	7.1%	7.3%	13.2%	24.2%	39.8%	19.4%	10.6%	8.3%

There have been a number of local programmes specifically run with the aim of reducing NEET figures: Prince's Trust Team and an innovative programme aimed at Looked After Young People utilising aspects of the Duke of Edinburgh programme with eight young people who are actively engaging in the pilot and have been fund-raising through local businesses.

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
% of 16-19 yr old Not in Education, Employment or Training	A	FAILED	Better	5.2%	5%
% of 19-21 yr old Care Leavers in Education, Employment or Training	A	FAILED	Better	58%	70%

Priority**Create a great place for learning and opportunity****Objective**

Support families to give children the best possible start in life

YEAR 2 DELIVERABLES

Deliver new responsibilities regarding commissioning of 0-5 health pathway from October 2015 and review after six months for 2016/17

The 0 – 5 Healthy Child programme continues to be commissioned for 2016/2017 with an aim to finalise review of the service. A service review of the programme is nearly completed with a project plan developed in November at start of service review following transfer of commissioning responsibility to ensure the service review reaches key milestones for procurement and cabinet approval of funds. A service review working group was established with key partners and progressed to meet monthly with agreed terms of reference to oversee the review process. There were representatives from Children’s services, Children’s transformation and commissioning team, children’s centres, education and the Clinical Commissioning Group (CCG) children’s commissioner. As part of the service review, a service mapping exercise was undertaken with input from all stakeholders to ensure that all areas were covered. This has allowed a good overview of overlaps in services and provision and allowed agreement of the scope of integration with partners. The mapping exercise also clearly highlighted and demonstrated to all the complexities of this project.

Following research, consultation and alignment with the refreshed HWB strategy a draft outcomes framework has been developed. This is now being reviewed in line with recently published national guidance on the 2016 – 2017 service specification for 0-19 and to feed into a new public health service for children and young people. The process of this review was all documented in a service review document which was produced to keep record of all the details of the service review process including a detailed literature review, local inter-related documents, national best practice and guidance to shape the service model and service specification.

Following recommendations from the service review process a new model for 0 – 19 children and families service was drafted which is hoped to commence in 2017/2018. This draft model has been sent for consultation with the service review group, Children and young people’s management team, the CCG and will be ready for consultation with the public and other relevant partners in due course. A workshop for stakeholders is planned and this should allow completion of consultation ready for the model to go to Cabinet in the summer. In line with the service review recommendations and consultation with partners a first draft of the service specification has been started in preparation for procurement from the summer, ready for contract commencement from 2017.

Ensure sufficient, good quality early years places are available and are taken up by families, particularly those in most need and the needs of children and young people with SEN are supported in line with the SEN reforms

The final take up for the autumn term 2015 was 724 children accessing Two Year Entitlement funding which equates to 75.8% against the August 2015 DWP list of 954 families. The national average take up was 72.1%. An additional 16 children accessed funding through the local criteria allocated via the Multi-Agency Group (MAG) panel.

Take up to date for the spring term 2016 is 665 children which equates to 71.5% against the November 2015 DWP list of 929 families. An additional 10 children accessed funding through the local criteria via the MAG panel. Feedback is expected shortly regarding the national take up for this term.

During the spring term 2016, providers were offered the next round of capital grant funding to Two Year Entitlement and applications were received from 19 child minders and 33 day nurseries and pre-schools. Nearly £200,000 has been allocated which will help to increase placements in an area of deficit, improve the quality of the internal and/or the external environment for eligible two year olds, and enable providers to maintain and build on their Ofsted grading. The money will have a real impact for Thurrock’s two year olds, particularly in the Tilbury wards where we have significantly increased the number of places available. It has also enabled developments such as a Childminder Toy Library which will be facilitated through the Pyramid Centre.

Ensure children and families are supported by a timely and effective early offer of help, including the troubled families programme, to minimise statutory intervention and escalation of need

The Council continues to review and develop the early offer of help and Troubled Families programme. Thurrock was an early adopter of Phase 2 of the Troubled Families programme having exceeded the target for families turned around during Phase 1 of the programme. Thurrock is currently on track to meet the target for families turned around within the initial stages of Phase 2. There is a strong partnership board which in conjunction with the Troubled Families Team are driving the strategic and operational aims of the programme. Year to date there has been an increase in Common Assessment Frameworks (CAF) completed with 945 for 2015/16. The Council continues to provide threshold training with partner agencies to ensure an effective response based on a continuum of need. Work has been identified with partners to improve the quality of CAFs which can lack sufficient information. Ongoing training for nursery providers has been identified to support them in the role of acting as lead professionals within the early offer of help. The service continues to implement, review and embed the Early Offer of Help action plan developed to target BME groups across the borough, who are currently under-represented on the Early Offer of Help programme as well as all groups within the Tilbury, Ockendon and Grays Riverside areas. A combined focus and targeted advertising has been undertaken within the programme to increase uptake of the 2 year old education offer. All spaces that were allocated to early offer of help were filled. The early offer of help and Troubled Families programme remain fully integrated within the Multi Agency Safeguarding Hub (MASH).

7,730 contacts were processed by the MASH in 2015/16 with 2,418 continuing on to the referral. Demand pressures have increased within Children's Social Care within the 3rd and 4th quarters of the year. There has been a significant rise in the number of children subject to child protection plans and a review is being undertaken to better focus interventions within early offer and prevent families reaching the point when child protection procedures are required. The number of children looked after has also seen a significant increase (throughout the year) mainly due to the increasing numbers of unaccompanied asylum seeking children (averaging between 80-85 children). The number of children placed for adoption increased from 13 in 2014/15 to 18 in 2015/16. Timeliness has improved across the adoption scorecard with the time taken between a court granting permission for a child to be adopted and placement for adoption now being better than the England average. Continued improvement is needed in ensuring that all children benefit from early permanency and partnership working with Coram is in place to progress this.

The service has remained in contact with 97% of its care leavers and 62% of care leavers aged 19-20 are in education, employment or training. This is a significant improvement on previous years. Improving educational outcomes for looked after children at GCSE remains a central commitment for the council and very few looked after children currently achieve 5 A-C* (including maths and English). An improvements plan is in place for the Virtual School to assist in driving up academic performance for looked after children. 92% of care leavers are in suitable accommodation, which is again a year increase on the position in 2013/14. The number of young people benefiting from 'Staying Put' arrangements is increasing too slowly and better communication is needed to improve this in 2016/17.

With strong political leadership the council and its partners are effectively tackling child sexual exploitation and have clear operational and strategic processes in place. The department and partner agencies will continue to prioritise interventions to support victims, and disrupt and prosecute perpetrators.

Related Strategic/Corporate Risks	Impact / Likelihood
CSC Service Standards & Inspection Outcome	Critical/Likely

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
Number of places available for two year olds to access early years education in the borough	G	ACHIEVED	Better	1307 (target 929)	Latest DFE Target
Number of places accessed for two year olds for early years education in the borough	A	FAILED	Better	665 (71.6% of target)	80% of Latest DFE Target
*Rate of Children subject to Child Protect Plan	n/a	n/a	Higher	71	n/a
*Rate of Looked After Children	n/a	n/a	Higher	85	n/a
Average time (in days) for a child to be adopted (3 year average)	A	FAILED	Better	601	426
Average time between a local authority receiving court authority to place a child and the local authority deciding on a match to an adoptive family (days) (3yr average)	A	FAILED	Better	189	121

*These do not have a RAG status as do not have targets in the traditional sense. The "target" therefore in these cases is an indicative figure to bring Thurrock in line with national benchmark.

Priority	Encourage and promote job creation and economic prosperity
Objective	Promote Thurrock and encourage inward investment to enable and sustain growth

YEAR 2 DELIVERABLES

Develop and promulgate a clear and positive narrative that will stimulate further growth and promote investment in Thurrock

The Economic Growth Strategy was agreed by Cabinet in February 2016 and sets out the council's approach to consolidate and expand the borough's business base. This has been a major determinant in the South Essex Growth Strategy which firmly places Thurrock's growth agenda in the heart of both the South Essex and SELEP strategies. Work is also underway to develop a place "marketing" strategy with inward investment as a key theme.

Develop and progress the Local Plan and create a sound and deliverable spatial vision for the growth and future prosperity of the Borough

Over the last year significant progress has been made preparing the new Thurrock Local Plan and developing the supporting technical evidence base. Key mile stones that have been in the last 12 months include the adoption of a new Statement of Community Engagement (SCI) by the Council in November 2015 and the preparation of a new Local Development Scheme (LDS) which was approved by Cabinet in December 2015.

On the 26 February 2016 the Council commenced a 6 week public consultation on the Thurrock Local Plan Issues and Options (Stage 1) Document, the Thurrock Local Plan Sustainability Appraisal Scoping Report and the Draft Thurrock Design Strategy. Alongside these documents the Council also launched a further formal 'Call for Sites' whereby landowners, stakeholders and the local community were invited to identify sites or broad areas of land for development and/or protection through the local plan process. At the close of the consultation period on 11 April the Council had received over 150 submissions from interested parties. This included an additional 25 sites being promoted for consideration and allocation in the Local Plan.

Work has now begun on considering the representations and arranging follow up meetings with the respondents in advance of the preparation of a formal Report of Public Consultation which will be made available to view on the Thurrock Local Plan website later in the year.

The next key milestone in the plan-making process is the preparation and publication of a second Issues and Options (Stage 2) Consultation Document (I&O2) in the first quarter of 2017. Originally, it was intended to reach to reach this stage by Autumn 2016. However, due the ongoing delay in the Government making a decision on the route and location of the Lower Thames Crossing, it will be necessary to push back the publication of I&O2 into the early part of 2017 to allow the Local Plan evidence base to catch up with the implications of any Government announcements.

Notwithstanding the uncertainties caused by the Lower Thames Crossing proposal, the Local Plan remains on track for submission to the Secretary of State in 2019. Following an Examination in Public it is anticipated that the Local Plan will be formally adopted by the Council in 2020.

Progress the Purfleet Centre regeneration scheme signing the development agreement and commencing phases one to three, including the TV and Film studios

The Purfleet Centre development is one of the borough's six Growth Hubs and will totally transform Purfleet creating a new town centre which will provide up to 2,500 new homes, local shops, new school and health care facilities, open access to the River Thames, and an exciting Film, Television and Media development creating up to 2,000 new jobs.

The Council's partnership with Purfleet Centre Regeneration Ltd was formalised in February 2016 unlocking the funding necessary to commence delivery of the scheme. It is anticipated that the planning application will be submitted in December 2016 with works on site beginning in Summer

2017.

Consult businesses and partners on future devolution arrangements including a possible Combined Authority with Southend-on-Sea Council and others (subject to legislative changes) and continue to be an influential partner in the South East Local Enterprise Partnership (SELEP) exceeding our share of funding per capita

Thurrock Council continued to play an active role in devolution discussions with Southend, across South Essex and Greater Essex. We contributed to thematic workstreams including skills, infrastructure and governance. Issues regarding governance and the requirement from Government for devolution deals to include plans for an elected Mayor have resulted in Thurrock and Southend stepping back from any Greater Essex proposals that contain a Mayor. Southend and Thurrock have continued their joint work to look at a potential deal proposition.

While continuing to be an influential partner in SELEP as lead for the transport work, as a Member of SOG and the strategic and accountability boards, there have been no further funding rounds concluded during 2015/16.

Sustain the external funding stream from the National Trading Standards Board for port safety work

The Trading Standards team are one of 14 local authorities working at ports, airports and postal hubs to prevent unsafe goods being imported into the country. This work is part of the national 'Safety at Ports and Borders' project and the team receives funding from the National Trading Standards Board. Last year Thurrock Council received an initial £55,000 of funding which paid for staff (including an apprentice), equipment and the testing of products. In January 2016 the team received a further £18,000 to reflect the increase in unsafe goods being detected at the ports, in particular due to the craze of 'hover boards'. This also allowed the team to improve their storage facilities at both ports. In 2015/16, the team prevented 28 consignments of unsafe goods from entering the country, a total of 143,169 products. They also identified 65 consignments of non-compliant goods, a total of 337,758 products.

According to figures used by the National Trading Standards Board, each unsafe or non-compliant product which is taken out of the supply chain saves the UK economy £30.80 in potential costs of injuries, fatalities or fires. Based on the above figures, our work has saved the UK economy £14.8 million. Key successes from the year include:

- Destroying over 2,500 dangerous self-balancing scooters ('hover boards');
- Seizing thousands of illegal skin lightening creams, including our biggest ever haul of 1,036 creams from West Africa;
- Preventing over 100,000 unsafe (carcinogenic) hair dyes from entering the country;
- Refusing entry to 55 highly flammable mattresses from Pakistan;
- Identifying 11,000 non-compliant PPE products from a major manufacturer;
- Identifying 300 non-compliant bunk beds imported by a company which supplies major high street retailers.

The team improved their targeting of unsafe goods during the course of the year, with 18.6% of products sampled found to be 'unsafe' (up from a baseline of 15.52%). In addition, 40.8% of products sampled were found to be 'non-compliant'. The team have received praise from the National Trading Standards Board and they have now committed to funding of £55,000 for 2016/17.

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
% of Major planning applications processed in 13 weeks	G	ACHIEVED	In line	84.8	75
% of Minor planning applications processed in 8 weeks	G	ACHIEVED	Better	92.9	88

Priority	Encourage and promote job creation and economic prosperity
Objective	Support business and develop the local skilled workforce they require

YEAR 2 DELIVERABLES

Promote employer engagement in skills development and local employment, working with Growth and Business Boards, schools, colleges and health partners, such as the work with Thames Enterprise Park

This is a big part of the Economic Growth Strategy which is now increasingly focused on maximising local benefit from private sector investment through local employment and training. The work of the Business & Education summit which took place in June, (part of the Economic Development and Skills Partnership (EDSP) – a representative group of schools, colleges, Further Education providers, key employment agencies and the Council) has fed into this and a series of work streams has been developed targeting key sectors eg logistics, transport, construction, creative and cultural and environmental technologies. Opportunity Thurrock earlier in the year was well supported by business and saw around 3,000 students pass through the event looking at career opportunities.

Increase NNDR income supporting more businesses to develop and grow by accessing European and other funds for business support activity

At 25% Thurrock has seen a higher rate of business growth than any region in England including London. A number of bids have been developed during 2015/16 for further ERDF funding to enhance the business support offer, with further bids being developed to support inward investment and to grow the creative and cultural sector.

Of particular note is the successful bid for LOCASE which is the successor to the Low Carbon Business Programme which ended in March 2015. The pan-LEP bid (in which Thurrock is a key delivery partner) will provide access to grants and business support. The project will provide business support to 1,050 SMEs (small and medium enterprises), cut emissions, support 67 new businesses, introduce 80 new products, knowledge transfer with 33 businesses, create 270 new jobs, invest £18,761,888 in business and raise awareness of low carbon and energy efficient practices to 200,000+ people.

With regard to the Growth Hubs, through strategic planning and development control the council has continued to support expansion of the Port of Tilbury and London Gateway, including a recent record-breaking 19 day turnaround of consent through Local Development Order.

Increase the scale and quality of business accommodation in the Borough to support new businesses to grow.

At the beginning of 2015 there were already two business centres in Thurrock: the Old Post Office in Grays and Tilbury Riverside. This has now increased to three with the opening of the refurbished Grays Magistrates Court into a business centre. Working with Nwes, The Old Courthouse opened in January 2016 and has created 12,000 square feet of accommodation for new start-up businesses as well as more established firms which will support the creation of around 200 jobs in the town.

The next stage of the Enterprise Units strategy is two-fold: work on an extension to the current Tilbury Riverside Business Centre is underway; and funding has now been secured for a new 10,000 square foot commercial space at the new National College on High House Production Park. A report went to Cabinet in March updating the position on Enterprise Units.

Related Strategic/Corporate Opportunities	Impact / Likelihood
Business/NNDR Growth	Major / Likely

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
No of new apprenticeships within the council	A	FAILED	Better	55	65

Priority	Encourage and promote job creation and economic prosperity
Objective	Work with partners to secure improved infrastructure and built environment

YEAR 2 DELIVERABLES

Deliver homes, jobs, transport and other key infrastructure to support development in Thurrock, including the six growth hubs outlined within the Economic Development Strategy and the Local Development Framework, working with the private sector and other partners

The Council is continuing to work with its partners on key infrastructure, focussing on the six Growth Hubs; Purfleet Town Centre, Grays Town Centre, Tilbury Port & Town Centre, London Gateway, Thames Enterprise Park and Lakeside. Developments during 2015/16 include the opening of new business parks at Tilbury and London Gateway, plus the continued working arrangements with Thames Enterprise Park partners on the masterplan. The newly agreed Economic Growth Strategy outlines the future approach to delivering this agenda and identifies three key parts to the challenge: 1) securing employment growth, 2) ensuring firm foundations are created through enabling factors which maximise employment opportunities and 3) creating sustainable employment and investment growth through embedding factors that generate benefit to local communities. A number of detailed reports regarding the different Growth Hubs went to Cabinet in February and March 2016.

Progress the delivery of £100m investment in improved highways, street lighting and railway stations including widening the A13

The A13 Widening scheme was progressed in 2015/16 in advance of the South East Local Enterprise Partnership (SELEP) 2016/17 £5m development funding, which was approved for draw down in April 2016. Legal agreements have been signed with London Gateway Port to progress the scheme and ecological surveys have been undertaken. Preliminary design work is being undertaken, including engagement with the business community to minimise disruption from traffic management measures during construction. Traffic Modelling data has been obtained from Highways England, and draft chapters of the Full Business Case have been shared with DfT, in anticipation of submission of the final document in autumn 2016. Stanford-le-Hope Interchange is progressing in line with the programme, with the first £1m of Local Growth Funding scheduled for draw down in Q4 2016/17. LED implementation is progressing to plan, with all electrical and structural testing complete, and the roll-out of replacement lanterns underway and on course for completion by the end of March 2017. Highways Maintenance and Integrated Transport Block-funded Programmes were delivered to plan.

Seek the best possible outcome for the community and businesses from the Thames River Crossing decision

A consultation on route options was launched by Highways England on 26 January 2016. The Council organised a Special Scrutiny Committee to hear the views of residents, community groups and businesses affected by the proposal. It also arranged a number of public meetings, including one at Tilbury Cruise Terminal which attracted around 1000 attendees, and where speakers included Highways England and local MPs. Peter Brett Associates were commissioned to provide a technical critique of Highways England's proposals. The Council's Consultation Response was unanimously supported by full Council at its meeting of 23 March 2016 and submitted to Highways England by the consultation deadline of 24 March. During the consultation, the Group Leaders and Scrutiny Chair wrote to the Secretary of State for Transport and the Chancellor of the Exchequer expressing concern in relation to the proposed Crossing, and the manner in which the Route Options Consultation was conducted. Thurrock representatives including Stephen Metcalfe MP, the leader of the Council and the Chair of PTR O & S met with Roads Minister Andrew Jones to discuss their concerns. Highways England received 30,000 responses to their consultation, which are currently being analysed by IPSOS MORI. A ministerial announcement on the way forward is expected in September 2016.

Related Strategic/ Corporate Risks	Impact / Likelihood	Related Strategic/ Corporate Opportunities	Impact / Likelihood
Purfleet Regeneration	Critical / Unlikely	South East LEP	Exceptional / Likely

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
Unemployment rate (NOMIS data)	A	FAILED	Better	5.6% (NOMIS: Dec 2015)	3.9% (Regional average)
% of properties transformed against programme	G	ACHIEVED	n/a	100%	100%

Priority	Build pride, responsibility and respect
Objective	Create welcoming, safe, and resilient communities which value fairness

YEAR 2 DELIVERABLES

Ensure fair access to services and opportunities, equal life chances, building stronger and cohesive communities by developing our asset based approach and involving residents by supporting the newly established Fairness Commission

The Fairness Commission has completed its review and issued its report with recommendations for the future. This provides a key opportunity to review Thurrock's Single Equality Scheme and galvanise support for community-led activity across Thurrock. The Council is a member of the Stronger Together Partnership. This involves identifying the range of assets in any community – including buildings, people with knowledge or skills, associations, places to meet others. During 2015/16, this approach has included a conference to celebrate local stories and the recruitment of over 25 community connectors. The partnership has supported a number of Small Sparks funding applications to help initiate community projects with a matched grant of £250, administered through CVS. The Partnership has supported the development of time-banking in Thurrock through nGage – a leading example in Essex of a successful model for encouraging communities to support one another with over 11,000 exchanges during the year. The Stronger Together website has been developed including a twitter account. For more information see www.strongertogether.org.uk.

Ensure that partners are brought together to improve community safety and cohesion through a shared focus on key community safety priorities

The Thurrock Community Safety Partnership priorities for 2015/16 were:

- **Reducing youth offending and re-offending of adults & young people**
This will address volumes crimes of: domestic burglary; most serious violence; personal robbery and drug offences
- **Reducing harm to and safeguarding vulnerable victims** from: domestic abuse; sexual offences including rape; child sexual exploitation; serious youth violence; hate crime; Anti-Social Behaviour (ASB); cyber bullying; honour based abuse and serious organised crime encompassing modern day slavery & fraud where victims are vulnerable
- **Violent extremism:** Delivering the Government's counter terrorism strategy – Prevent - locally

There has been a reduction across Thurrock in domestic burglary, however, in line with Essex there has been an increase in violent crimes and a slight increase in robbery. Drug offences were static. The Violence Against Women and Girls action plan has been refreshed. There has been considerable awareness raising amongst front line professionals on modern day slavery, child sexual exploitation, gang related violence, and Prevent on identification and how to report concerns as well as supporting the Local Safeguarding Children Board to deliver the walk on line roadshows. Hate crime in Tilbury has reduced through a number of partnership initiatives and the support of local schools. The partnership continues to tackle anti-social behaviour and hate crime through multi agency locality action groups focusing on vulnerable and repeat victims, including a review of work on gang related violence which recognised a strong partnership approach to working. There are good processes in place to address the Prevent agenda and have trained all schools and supported them. The priorities for next remain as this year, with the exception that serious youth violence is now the priority gang related violence.

Ensure children and young people in need of help or protection are safeguarded and supported to achieve their potential

The Youth Offending Service (YOS) have been leading the PREVENT agenda within Children's Services with an Operations Manager from the YOS being the PREVENT lead. Over the last financial year this work has involved the dissemination of the Counter Terrorism and Security Act and Children's services role in the Channel Panel process. A Children's Services 'Prevent' good practice guide has been designed and forwarded to all staff, with a supporting presentation being delivered by YOS to service managers, front line staff, members, school safeguarding leads and even the Youth Cabinet. Currently the YOS are working in liaison with the Essex Safeguarding Board and colleagues in Essex and Southend to write a 'Prevent' procedure to be embedded in the SET Child Protection Procedures.

In April 2015 the YOS was inspected by HMIP as part of its Short Quality Screening round of

inspections. The ensuing report was extremely positive across all aspects of the YOS with only minor recommendations for improvement, all of which were implemented within a few months of the inspection.

The HMIP noted:- *“Overall, we found that the quality of the work carried out with children and young people and their parents and carers, in particular safeguarding and public protection, was excellent in Thurrock. All key processes were in place to enable case managers to concentrate on a holistic approach to their work. There was real understanding of how the different aspects of a child or young person’s life interacted with each other. We saw effective support provided alongside the imposition and enforcement of necessary boundaries”.*

As a borough one of our main concerns in the coming year will be around the increasing numbers of gang members and associates that are now living or moving into the borough. In addition to the risks to themselves (as often vulnerable young people) they pose a significant threat to other Thurrock young people.

In order to develop strategies and practical interventions to tackle and contain these issues, the YOS has developed increased co-operation and information sharing across agencies, especially with Essex Police and the Met Gang Unit. We have also set up and attend a Gang Related Violence Strategic group which considers the wider policies needed to contain the issue of gang related activity.

In May 2016 the Community Safety Partnership (CSP) in conjunction with YOS will be hosting the second Gang Related Violence conference and will be launching a booklet designed and produced by YOS to help parents, carers and other professionals understand and identify issues related to gang related violence.

The Police and Home Office who conducted a review this year into our response to these issues fully acknowledges that Thurrock YOS has pioneered and continues to lead in tackling this problem. Further actions include: conduct analytical review of drugs market; Implement findings from peer review; Share intelligence on those on the gang matrix; Increase awareness of gang related violence and links to CSE and missing persons across departments and agencies; Raise awareness of “cuckooing” (taking over of homes for illicit purposes) amongst vulnerable communities.

Related Strategic/Corporate Risks	Impact / Likelihood
CSC Safeguarding & Protection C&YP	Critical / Likely
Emergency Planning & Response	Substantial / Likely

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
% of young people who reoffend after a previously recorded offence	G	ACHIEVED	Better	23%	25%

Priority	Build pride, responsibility and respect
Objective	Work in partnership with communities to help them take responsibility for shaping their quality of life

YEAR 2 DELIVERABLES

Lead the creation of Community Hubs to transform relationships and service models between the Council, voluntary sector and communities to strengthen local communities and manage demand complimenting Building Stronger Communities initiatives e.g. Local Area Co-ordinators

During 2015/16 a new charity was established for the purpose of leasing buildings and creating an economy of scale across all hubs, as well as developing a suite of policies, templates and guidance. South Ockendon Centre (6 days a week) and Chadwell St Mary Centre (now open 16 hours a week) have now been joined by Stifford Clays Hub which opened in May 2015 (2 half days a week) and Tilbury Hub which opened in November 2015, is operational 6 hours a week and has now been refurbished to include library and housing service. Stifford Clays Hub is exploring youth provision early evening once a week. This follows a donation of laptops and hard wiring to support wi-fi by a local business at the value of £13k – as well as feedback from young people on the lack of local provision and places to meet, especially for study. Two part time staff have been employed independently at South Ockendon Hub which is now operational six days a week. Also, consultation has taken place on the development of a new hub incorporating a self-serve library at Purfleet.

The council has been successful in Stage 1 of the Community Led Local Development Fund – and has now been granted £30K to work up a project plan. If the project plan is approved the council will be able to access a minimum of €3million from the ERDF/ESF.

The work of the Local Area Coordinators (LAC) continues to be successful and has now received national acclaim being shortlisted for two awards in LGC Awards 2016 (Team of the Year) and MJ Awards 2016 (Excellence in Community Engagement). It is very clear from evaluation work and from the stories about individual outcomes that LAC provides preventative support for people who have either been failed by services previously or were never supported prior to LAC involvement.

Work with the Department for Work and Pensions (DWP) to deliver the roll out of Universal Credit and other welfare reforms - supporting people back into work, maximising take-up and working to reduce poverty

The Council continues to provide support and assistance to its residents that are affected by the welfare reforms, providing advice and help to more than 700 households during 2015/16. In order to best manage the impact of welfare system changes, the Council continues to work closely with the Department for Work and Pensions and a Delivery Partnership Agreement was signed in March 2015. The agreement aims to assist households affected by the welfare changes and help them obtain jobs.

This initiative is currently implemented in South Ockendon Centre Hub and the feedback suggests that unemployment is decreasing in the areas where the service is provided. As a result the Council is pursuing investing in hubs as a forum to help affected households and anticipates opening in the spring/summer of 2016 two new hubs to serve the communities in Tilbury and Purfleet.

Also, the Council works closely with the housing team at DWP (via Financial Inclusion Officers). Through this work, officers are able to liaise with work-coaches from DWP and support residents and facilitate their return to work. The Council is currently in negotiation with the DWP to obtain further viable funding for 2016-17. Such funding will allow the council to continue to support its residents.

Related Strategic/ Corporate Risks	Impact / Likelihood	Related Strategic/ Corporate Opportunities	Impact / Likelihood
Welfare Reforms	Critical / Likely	Community Hubs & Community Engagement	Major / Likely

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
Number of volunteer opportunities in the council	G	ACHIEVED	In line	251	250

Priority	Build pride, responsibility and respect
Objective	Empower residents through choice and independence to improve their health and well-being

YEAR 2 DELIVERABLES

Implementation of the Care Act 2014 - leading to more people receiving personal budgets, improved advocacy, increased support for carers and better access to advice and information

Work to identify how well embedded the Care Act is within the Council has started. A number of 'action-learning set' style workshops are taking place for practitioners, and Thurrock Coalition has been commissioned to carry out some mystery shopping to check whether social work practice has embraced the spirit of the Act. Further work will be carried out during the first quarter of 2016/17. The new information and advice portal available from the Council's website is undergoing a full review with a view to updating and expanding the range of information available. This is due to be completed by the end of 2016. The portal includes information and advice on areas such as help at home, care home and housing options, health and wellbeing, carers, and keeping people safe. The percentage of people receiving self-directed support for 2015/16 is 75% which is on target.

Review and tackle demand pressures in Adult Social Care to deliver a sustainable local health and social care economy. Produce and implement our Market Position Statement and review our domiciliary care, residential and nursing home contracts.

The Market Position Statement has been produced and approved through the Health & Wellbeing Board. It is available on Thurrock Council's website (<https://www.thurrock.gov.uk/our-vision-for-future/market-position-statement>) and hard copies are available upon request. The 17 planning assumptions within the document give a clear indication of direction of travel which is to increase choice and control for those receiving services and reduce and delay the need for statutory services by supporting communities to become more resilient.

Contracts across all of adult social care provision are robust and monitoring arrangements are clear and support our ability to support a sustainable market. The focus on domiciliary care support has been highlighted due to national and local market fragility. A robust plan has been implemented bringing two agencies in house and supporting the remaining market with additional resilience funding to improve capacity and quality and support providers with the introduction of the national living wage. A whole service redesign is currently taking place for the provision of support at home; Officers have undertaken soft market testing with the market, and consultation with people who use services and professionals and partners. A pilot of an innovative model of provision in the South Ockendon in partnership with the community the voluntary sector is underway. A full tender process will begin in late 2016.

A 2% increase on fees to care home providers for older people has been agreed with an additional 1% performance enhancement for those who achieve an excellent rating on their Contract Compliance Visit (internal inspection). This will help to ensure the borough's care homes are sustainable and providing good quality care to the residents of Thurrock.

Deliver new HAPPI housing for older people providing 60 dwellings in two schemes in 2015/16 and 2016/17

In 2015/16 Thurrock Housing has delivered a HAPPI standards housing development in South Ockendon, an affordable housing option to meet specialist housing needs of the local residents. The project delivered 25 flats in Derry Avenue, allowing its new residents to live independently and adequately. This first HAPPI housing project provides the Council with the opportunity to address a need in the market for such housing offer. The council is now building on these successes, learning from lessons the project offered to ameliorate future projects and is currently in the design stage to deliver another housing project in Calcutta Road in Tilbury with a minimum of 35 properties built to HAPPI standards. Also a further development in St Chads in Tilbury will see 128 properties developed, 3% of which will be disabled adapted standards.

Related Strategic/Corporate Risks	Impact / Likelihood
Failure to Implement the Care Act	Significant / Likely
Adult Social Care, Cost & Quality Standards	Critical / Likely

Priority	Improve health and well-being
Objective	Ensure people stay healthy longer, adding years to life and life to years

YEAR 2 DELIVERABLES

Establish a pooled fund for health and social care with Thurrock Clinical Commissioning Group via the Better Care Fund leading to more integrated services for older people and better joint working with the NHS

A new Better Care Fund Plan for 2016/17 has been submitted and delivery of the plan is still overseen by the Integrated Commissioning Executive which reports to the Health and Wellbeing Board. The focus of the Plan remains those aged 65 and over at most risk of admission to hospital or residential care. For 2016/17, the Plan has a greater focus on prevention and early intervention and community-based solutions – including hospital services offered closer to home. The amount of pooled funding for 2016/17 is yet to be finalised but will be in the region of £19-27m.

The 2015-16 Plan achieved 3.2% of the 3.5% target to reduce unplanned admissions. Success has meant that the Better Care Fund is able to support the expansion of community-based initiatives for those aged 65 and above. This is essential if Thurrock is to manage some of year on year increase in demand for services and to identify and prevent admissions for those at or at risk of crisis point.

Implement our Carers Strategy locally through the development of a Shared Lives scheme, expanding respite options and increasing the numbers of carers receiving direct payments

Contract is now in place to provide external funding and support from national implementation organisation “Community Catalysts” to deliver the Shared Lives programme in Thurrock. The service specification is being finalised, with going out to tender in early 2016 to procure an organisation to provide the service with a view to the scheme commencing from September 2016.

Invest in cycling and walking and create a low emission zone

A £6m Cycling Infrastructure Programme has been developed and approved for delivery, with £5m being allocated from South East Local Enterprise Partnership (SELEP) for delivery between 2016 – 2019. The first phase of Thurrock’s element of the 2015-17 South Essex Local Strategic Transport Fund Programme has been delivered in line with the programme, with Phase 2 on track for delivery in 2016/17. Measures to deliver a Lower Emission Zone by enforcing HGV restrictions in sensitive residential areas have been developed and approved for implementation as part of the 2016/17 Transportation & Highways Capital Programme.

Related Strategic/Corporate Risks	Impact / Likelihood
Health & Social Care Transformation	Critical / Likely

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
Emergency admissions to hospital (Total non-elective admissions in to hospital (general & acute), all-age, per 100,000 population)	G	ACHIEVED	Better	5257 (Provisional Feb 2016)	13,361
% adult social care users receiving self directed support	G	ACHIEVED	Better	75%	75%
% older people still at home 91 days after discharge	A	FAILED	Better	90.8%	91%
Delayed transfers from care (DTC) – a: delayed transfers of care from hospital b: DTC attributable to adult social care only	G	ACHIEVED	Better	a: 4.9 b: 1.1	A: 9.6 B:3.1
Permanent admissions to residential/nursing homes per 100K population*	G	ACHIEVED	In line	134	163

Total non-elective admissions – Latest figures are up to February 2016 as performance is reported arrears

*Permanent admissions to residential/nursing homes per 100K population – the target was changed in year to 163 due to the change in definition that means that full costers now need to be included.

Priority	Improve health and well-being
Objective	Reduce inequalities in health and well-being and safeguard the most vulnerable people with timely intervention and care accessed closer to home

YEAR 2 DELIVERABLES

Relentless action on the top-two public health priorities from the Thurrock Health and Well-Being Strategy: smoking and obesity, through the implementation of our Tobacco Control Strategy and our Weight Management Strategy

NB – smoking figures only up to February available at time of reporting.

The tobacco data is reported 2 months in arrears, such is the need to allow time for all those smokers that set a quit date to qualify as a 4-week quitter. Performance as at end of December for the 40% most deprived areas is above target at 54% which equates to 75 people over the year to date target. A new contract for the Stop Smoking Service is being negotiated for 2016/17 which will have a focus on smokers with long term health conditions, strengthening links with acute settings, and is also designed to be e-cigarette friendly to ensure data on the number of people who use e-cigarettes rather than stop smoking services to quit can still be captured. The new contract will also have a stronger focus on preventative work.

For adults the weight management services were re-tendered and the new services didn't start until Quarter 2. Current performance for the year to date for Tier 2 (quarter 3 15/16) is 70%. Going forward only Tier 2 services will be provided (services for people with a BMI of 30+); Tier 1 services will no longer be provided (services for people with a BMI of 28-30). For children, as the reporting period is the school year the latest outturn of 94.6% is the end of year outturn – this exceeds the target set.

Achieve full Homelessness Gold Standard by adopting initiatives such as “No Second Night Out”

The Council is continuing to pursue the National Practitioner Support Service (NPSS) Gold Standard Challenge and has submitted its second challenge, “No second night out”, which concentrates on services towards rough sleepers in the borough. The way in which the challenges are assessed has been recently changed by the NPSS during the year and subsequently the assessment has not yet been finalised. Once the second challenge has been successfully completed we will move onto the next challenge which is likely to be about the Homelessness strategy.

Thurrock is also working closely with Basildon Council to continue funding the *Single Person Outreach Street Homeless Programme*.

Develop a local Autism Strategy

Thurrock Council's Adults Autism Strategy has been developed over the past year and is now final and published. During the months of January and March 2015, consultation on the strategy took place, which saw the final version being taken to Health & Well Being Board in July 2015 for approval. The strategy is now available on the Council's website:

<https://www.thurrock.gov.uk/sites/default/files/assets/documents/asc-strategy-autism-2015-v01.pdf>

Delivery of the action plan contained within the strategy will be monitored through the Autism Action Group, including a commitment to review and update the action plan on an annual basis.

Related Strategic/Corporate Risks	Impact / Likelihood
Housing Needs & Homelessness	Substantial / Likely

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
Tier 2 weight management services for adults: % of course attendees who achieve their goal by 12 weeks.	G	ACHIEVED	N/A – New Indicator	66.1%	40%
% of children identified in year 6 as overweight/obese that have an evidenced follow-up offer by the 5-19 team for ongoing support	G	ACHIEVED	Better	94.6%	92%
% of 4 week Quitters are from the 40% most deprived LSOAs in Thurrock	G	ACHIEVED	N/A – New Indicator	56% (Provisional Feb 2016)	40%
Number of households at risk of homelessness approaching the Council for assistance	-	-	Worse	2944	2400 (Baseline)

Note – Latest data for smoking quitters is only up to February 2016 as performance is reported in arrears.

Priority	Improve health and well-being
Objective	Enhance quality of life through improved housing, employment and opportunity

YEAR 2 DELIVERABLES

Improve the quality of housing stock through effective engagement with private/social landlords, increasing stock which meets the New Thurrock Standard

The joint Housing and Public Health initiative, Well Homes, is a new way of improving housing conditions and improving access to a much wider variety of services, including local health services. A Well Homes Advisor visits owner occupiers/private tenants at home with information and advice about a broad range of housing, safety and health services, focused around what makes them feel better at home. Following a service users satisfaction survey and in the last three months: 100% of residents who have been visited have told the service they felt 'healthier and safer' at home. So far, the initiative has helped almost 700 households.

Also, as part of Well-Homes initiative, landlords are encouraged to become accredited. Accreditation educates landlords and gains a commitment from them to raise housing standards. Whilst the take-up of this scheme has been sporadic, the service aims to re-launch it again in a different form and to complement it with an advertising campaign of its new enhanced landlords offer in the coming months.

The Transforming Homes programme which commenced in 2013 continues to deliver and is nearing the completion of year three. To date, 5,838 properties have been completed which is 58% of the total housing stock. The Council is on track to transform 60% of its stock by the end of the current programme year which completes in May 2016.

It is important to note that in December 2015 Cabinet reviewed the financial implications of the budget announcements and key policy changes through the government's introduction of the Housing and Planning Bill and Welfare Reform Bill 2015. Cabinet subsequently approved an extension of the Transforming Homes programme by 1 year for internal improvements and 3 years for external improvements. This extends the timeframe for full completion of the programme to 2021 for all property elements.

Support young people into work by opening specialist housing providing a safe environment and access to local job opportunities

The significant investment which is currently taking place in the council's housing stock represents a real opportunity to provide additional social value to the local communities in the borough. The council's commissioning, contract management and partnering approach supports a framework for social value delivery that works with all sectors to support training and employment opportunities for all segments of our communities. The key successes during 2015/16 are:

- 27 apprenticeships created across the programmes
- 39% Local Spend achieved through the Transforming Homes Programme
- 125 jobs created between Transforming Homes contractors – 37% of staff based locally
- Nine pathway programmes delivered which support local residents through training, work experience and job opportunities. This has benefitted 72 local residents.
- 12 week Trade School programme delivered by our repairs partner, Mears, providing training in building skills for 14–17 year olds which has benefitted 45 residents in total

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
No of council households assisted to move to a smaller property (downsize)	G	ACHIEVED	Better	77	55
% General Satisfaction of tenants with neighbourhoods/services provided by Housing	R	FAILED	Worse	70%	75%

Priority	Promote and protect our clean and green environment
Objective	Enhance access to Thurrock's river frontage, cultural assets and leisure opportunities

YEAR 2 DELIVERABLES

Deliver Thurrock's first community based cultural river festival in July 2015 and establish a long term legacy event

The first Village Beach event took place on 18 July and attracted thousands of people to Grays Beach Park to celebrate local talent. Organised by Metal, there were seven stages with three of them dedicated to home grown talent. Other attractions included the Thameside Panto troupe entertaining the crowds with costumes and lively demonstrations as well as the launch of idea13.org website – showcasing arts and culture events taking place locally. The event also saw the completion of the final 10 miles of the Thurrock 100 walking campaign. In total, over 6,000 people attended on the day and more than 480 artists and performers participated. Feedback was overwhelmingly positive.

Such was the success of Village Beach, work is currently underway for the second event in Summer 2016.

Create a continual pathway along the 18 miles of river front to enable greater access to cultural assets and opportunities for walking and cycling

Opportunities to further develop the riverfront pathway along the Thames are being explored to animate the riverfront as part of the Council's approach to arts, culture and heritage. The Transportation and Highways Service have facilitated the new bridleway to improve access to the bridleway 190 (part of the Thames Estuary path). A number of river front projects have been included for long listing for the LGF Cycling Infrastructure Programme.

Implement the three headline aims from the Cultural Strategy: Cultural Entitlement, Cultural Enterprise and Creative Place Making including reviewing the role of the Thameside Centre in future provision

The Council is currently developing a full Cultural Strategy, with components of it taking shape or already having been delivered. This includes working with partners and sponsors on events such as Village Beach, the transformation of facilities at Coalhouse Fort and the many exciting opportunities brought about through High House Production Park, including the new degree course in Costume Construction run in partnership with South Essex College and the Royal Opera House.

Cabinet in October received a report from the member-led Thameside Complex Review Panel looking at the options for the building and services contained within the Thameside Complex. Following this, a separate officer report was presented to Cabinet in December outlining the professional and specialist advice needed to consider these further options. At this meeting Cabinet approved the long term aspiration to build a new theatre in Grays with flexible, adaptable accommodation more suited to modern needs and with the potential to generate a higher income to support the service and reduce the level of subsidy payable by the Council.

Priority	Promote and protect our clean and green environment
Objective	Promote Thurrock's natural environment and biodiversity

YEAR 2 DELIVERABLES

Reduce landfill by improved contractual arrangements for household waste collection and engaging with residents and the community to improve recycling and re-use levels

The level of Thurrock municipal waste that has been sent to landfill this year is the lowest on record at 18%. The treatment contract that has been in place since September 2015 ensures for the first time that no household wheelie bin waste is now landfilled and that all non-recyclable domestic waste, collected from households is diverted to energy recovery. This has both economic and environmental benefits.

The campaign to reduce the level of contamination within the dry recycling stream has also had a positive outcome. The level of non-recyclables within the blue bins is circa 13%. Apart from the obvious benefit of a better quality of recycling, this has also led to disposal costs being maintained at the lowest possible level.

A communication programme has been devised to target specific areas across the Borough to ensure that residents are informed and able to participate in the recycling service. A project is also underway to introduce single stream recycling at flats. Despite these efforts, the rate of recycling for this year has continued to fall. A wide-ranging review of the service is underway and proposals are being developed that will help to support an increase in the level of recycling and reduced disposal costs in future years.

Introduce a more environmentally-friendly and efficient way to maintain our roads and keep them safe especially in the winter months

Maintaining the excellent record of road safety in winter months, the council ensured that adequate salt stocks were in place for winter gritting. A salt barn has recently been completed at the Oliver Close depot to ensure that salt for future years can be stored out of the elements. This provides a large storage area and also ensures that the quality of the salt is retained, requiring less to spread on roads with each run.

By using preventative maintenance techniques in line with the Highways Maintenance Efficiencies Programme (HMEP), steps have been taken to roll out a joint/crack sealing programme on Thurrock's classified road network. This programme of work is being delivered internally, utilising in-house expertise within the Highways and Environment teams. It will ensure the network is sealed and stop ingress of water and prevent surface deterioration. Other programmes of works such as velocity patch and surface dressing are also being deployed to manage the network in a more proactive way, rather than reactive.

Implement the provisions of the flytipping protocol agreed between Local Authorities and the Environment Agency in Thurrock

The national protocol has now been reviewed by officers who are aware of the provisions therein for liaison between the Environment Agency and the Council's Environmental Enforcement Officers. The relevant contact details for officers at the Council and the Agency have been refreshed to avoid any communication difficulties arising in the event that future large scale fly tips in Thurrock require joint operations between council officers and Environment Agency staff.

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
% Household waste reused/recycled/composted	R	FAILED	Worse	38.21	48
% Municipal waste sent to landfill	G	ACHIEVED	Better	18%	19
Street Cleanliness - a) Litter	G	ACHIEVED	Worse	3%	6%
Street Cleanliness - c) Graffiti	G	ACHIEVED	Better	0%	2%
No of reported incidents of Fly tipping	n/a	n/a	Worse	2,504	Baseline is 1,850
No of reported incidents of abandoned vehicles	n/a	n/a	Worse	1,028	Baseline is 740

Related KPI Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
% of refuse bins emptied on correct day	G	ACHIEVED	n/a	98.5%	98.5
Tonnage of street waste removed	n/a	n/a	n/a	3,349.3	No target

Priority	Promote and protect our clean and green environment
Objective	Inspire high quality design and standards in our buildings and public space

YEAR 2 DELIVERABLES
<p>Build new homes to Lifetime Homes, Sustainable Homes Code 4 Standards and exemplar architectural design with public art at all new housing developments and Council projects, with design standards reinforced through the Local Plan</p> <p>Thurrock house-building programme is engineered to deliver a long-term suitable housing offer to local people. By building homes to high and lifetime standards, future occupants will be able to continue living in their homes even when their health needs change overtime.</p> <p>The authority is also delivering new housing developments via Gloriana, the council's wholly owned development company.</p>
<p>Encourage the community to help maintain children's play areas so that they remain safe and enjoyable for families</p> <p>The safety inspections and repairs to play equipment in our parks and open spaces are a statutory undertaking of the Environment Directorate and as such are undertaken by trained staff on a weekly basis with a thorough annual inspection completed by an independent party.</p> <p>There are a number of examples from this year of how community groups have been engaging with the Department to ensure that parks, open spaces and town centres remain enjoyable for all. Some examples that deserve mention are:</p> <ul style="list-style-type: none"> • The Blooming Marvels in Stanford-Le-Hope who have become involved in the planting and maintenance of floral displays in their town centre • The community group from Hardie Park who are in the process of taking over responsibility for the ongoing maintenance and development of the park • The Lightship Café group who are in discussion with the Council about assuming responsibilities for the running of the Grays Beach Café • Residents in Chadwell St Mary who have volunteered to litter pick a park on a regular cycle • A community group who are litter picking Delafield Park <p>Further opportunities for working with communities and actively engaging with community forums are being pursued. The development of a clear policy and guidelines regarding the transfer of responsibility for maintenance will help to ensure that community engagement and participation can continue to grow and develop.</p>

Related Strategic/Corporate Opportunities	Impact / Likelihood
Gloriana Thurrock Ltd	Exceptional / Very Likely

YEAR 2 DELIVERABLES

Develop and deliver contemporary services to support a sustainable Medium Term Financial Strategy and implementation of savings proposals for 2015/16

Despite significant un-anticipated in year pressures, officers have worked hard to ensure that the general fund budget came in on target by the end of the year.

Develop and agree further savings, new service delivery models, investment opportunities and external funding to enable a balanced budget for 2016/17

Council have agreed a balanced budget at the Council meeting in February 2016. However, as previously reported, pressures already coming through especially in Children's social care and Director's Board are proactively working on identifying the necessary mitigating factors.

Deliver an ambitious People Strategy to recruit and retain an engaged, confident and high performing workforce

The new People Strategy will be launched in 2016 informed by the outcome of the Peer Review, Staff Survey, IIP and the Transformation programme. The Corporate Workforce Group and Staff Forums will be engaged in the development of the strategy. In addition to the transfer of Serco staff the focus this year has been on the recruitment and retention of social workers; recruitment of a Chief executive; restructuring of the senior team; staff survey; preparation for IIP reaccreditation and the implementation of Matrix as the council's source of agency staff.

Improve health and attendance through excellent people management, education and health promotion

Investment in staff wellbeing and absence management has continued, maintaining the improvement in overall levels of sickness absence – the 2015/16 outturn for average days absence per FTE was 9.69 – an improvement compared to 9.87 days in 2014/15. A new contract with First Care was implemented in April 2016 as the nurse contact centre and management tool for staff sickness absence. In addition an Occupational Health Nurse was appointed to actively support staff returning to work.

Deliver a programme of leadership and workforce development to support service delivery and develop skills and aspirations of staff

An updated leadership and management development programme is now in place. As part of the Serco transition a programme for managers was developed that captured both process and behaviours. Investment in the transitioned staff has continued through the 'staff matters programme'; HROD are working with Institute of Leadership & Management (ILM) to become an accredited ILM Centre which will enable the delivery of accredited programmes; a focused leadership programme will begin in July with an analysis of personal strengths and a 360 diagnostic.

Deliver strategic and modern communications to enhance the profile of the place and Council, inform of service changes, encourage participation and manage expectations at a time of unprecedented change aligning external and internal communications where appropriate

There is now a forward plan for communication and marketing activity focused on priority projects that support residents, can help reduce spend and/or manage demand for services e.g. My Account, fostering, childcare for 0-2 year olds. Building on the Peer Review recommendations, work is underway to specifically promote growth and regeneration in Thurrock and the place itself including the benefits to local people and in order to attract additional inward investment.

YEAR 2 DELIVERABLES

Modernise our internal processes and ways of working through digital technology, employee self-service and on-line learning

The council has been driving out employee and manager self-service through Oracle over the last year as part of the Transformation Programme, and this has successfully helped support the delivery of the Serco transition programme. HROD are continuing to develop an e-learning portfolio with wider use of our learning platform functionality to deliver webinars. The e-learning platform continues to grow with a number of new courses developed this year. The team is also developing a number of resources for libraries, the Stronger Together Community Hub and around self-harm and suicide awareness. The team have now developed a suite of screen cast training to support the Serco transition. This model will be introduced more widely now the Serco transition is complete. In conjunction with the Self-Service work an Oracle Steering Group has been formed to investigate ways of configuring and interacting further with Oracle across the Council in order to maximise the return on investment.

The new Electronic Document & Records Management System (EDRMS) which is driving records management into a single, efficient, modernised digital format, is now at the end of its first phase of roll out. The migration of documents to the new system is fully underway and due to be completed in December 2016. Further initiatives, such as scanning archive records to reduce off-site storage costs and the potential of a digital mailroom to become more "paper-light", are under consideration as part of phase 2 of the programme.

All scheduled Civic Offices moves were completed in November 2015 along with associated IT improvements. The next phase is underway to rationalise external communication land-lines to and from the satellite sites. Discussions are in progress on how to shape the ground floor of Civic Offices plus the use of the 1st and 2nd floors of the CO1 building to be more commercially productive for the council.

Skype for Business (formerly Microsoft Lync) has been rolled out to all users as a tool to support flexible working/hot-desking. It allows instant messaging (IM) between users plus displaying "user presence", location and status (busy, available etc). After a successful pilot test, the next phase will roll out the use of audio conferencing and screen sharing across the council.

The council is currently working with a supplier to develop a predictive data analytics model that will identify children in the 0 to 2 age range who are most at risk by age 5. This system will analyse a number of anonymised data feeds and then provide the Council with alerts to identify children at risk, enabling earlier intervention to support families and prevent maltreatment. It is hoped that this can be extended further to predict early intervention risks with adults.

Deliver the Transformation Programme, driving channel shift and customer access arrangements to reflect the digital council ambition

Following Digital Board and Transformation Board sign off the Channel Migration strategy, a full implementation plan has been developed and is continuously being reviewed. The strategy proposes that for most residents (i.e. all those who are able to), the first point of contact with the Council should be via our online channels - although there will still be telephone and face to face contact available for services that cannot be transacted on-line and for residents who do not have digital channels.

Recent data shows that our customers want to transact with us digitally:

- 31,561 residents have signed up for My Account
- c.10,000 households have registered for managing their Council Tax on-line with a further 55,000 remaining
- 63% of bulky waste bookings made online
- 10,674 residents registered to report issues online
- 2,723 Housing Benefit (HB) registrations are now on-line
- Benefit claimants have viewed their account 41,298 times
- 2,454 direct debits have been set up online
- 484 registrar appointments booked online since August 2015

With the introduction of eBilling scheduled for mid-2016 full council tax management will soon be possible on-line. This will negate the need for paper-based billing for all customers with My Accounts and create another huge opportunity for the council to actively convert the remaining households to create a My Account.

The new online adult social care information and advice site powered by Quickheart has been live for a number of months and work is underway to see how it can be developed further to offer additional self-assessment capabilities and potentially an eMarket facility that allows customers to purchase equipment or services directly via our web site from trusted suppliers.

Related Strategic/Corporate Risks	Impact / Likelihood
Managing Change/Capacity for Change	Substantial / Likely
Sickness Absence	Substantial / Likely
Delivery of MTFS – 2015/16	Substantial / Likely
Delivery of MTFS 2016/17 -2018/19	Critical / Unlikely
Property Ownership Liability	Critical / Unlikely
Reputation & Profile	Substantial / Likely
Business Continuity Planning	Critical / Likely
ICT Disaster Recovery Planning	Critical / Likely
ICT Infrastructure	Critical / Unlikely
Related Strategic/Corporate Opportunities	Impact / Likelihood
Digital Programme	Exceptional / Unlikely

Well Run Organisation Performance	RAG Status	New Framework	Direction of Travel since 2014/15	Year End Outturn	Year End Target
Overall spend to budget on Capital Programme	G	ACHIEVED	In line	90	90
Overall spend to budget on General Fund (variance)	G	ACHIEVED	In line	0	0
Overall spend to budget on HRA (£K variance)	A	FAILED	In line	£900K	0
% Council Tax collected	A	FAILED	Worse	98.58	98.9
% National Non-Domestic Rates (NNDR) collected	G	ACHIEVED	Better	99.8	99.3
% Rent collected	G	ACHIEVED	Better	99.64	99.5
% invoices paid within timescale	A	FAILED	Better	95.37	97
% timeliness of all Complaints	G	ACHIEVED	In line	98.1	98
Average sickness absence days per FTE	A	FAILED	Better	9.69	9
% long term sickness	A	FAILED	Better	45	34
% stress/stress related absence	G	ACHIEVED	Better	17.14	18
No of people registered for My Account	G	ACHIEVED	Better	31,561	25,000

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13 July 2016	ITEM: 11 (Decision 01104373)
Cabinet	
Procurement of Disabled Adaptations Services	
Wards and communities affected: All	Key Decision: Key Decision – spending above £500K
Report of: Councillor Robert Gledhill, Portfolio Holder for Housing	
Accountable Head of Service: Richard Parkin, Head of Environment and Housing	
Accountable Director: Roger Harris, Corporate Director of Adults, Housing and Health	
This report is Public	

1. Executive Summary

1.1 This report sets out the proposals to procure a contract to provide works and services in residents' homes where disabled adaptations are required. Primarily the contract will be utilised for Thurrock Housing properties; however, in some instances where owner occupiers are eligible for adaptations funded by the Disabled Facilities Grant (DFG) and the individuals concerned are unable to manage the project themselves; then in these cases it is proposed the client role will be covered by the Council, using this contract.

1.2 The contract will be divided into two elements (Lots) covering:

- Supply, installation, maintenance and repair of mechanical aids (stairlifts, ceiling hoists, step and through floor lifts etc)
- Major adaptations (building works) over £1,000 per home but outside of the scope of the Transforming Homes Programme

2. Recommendation(s)

Cabinet is recommended to:

2.1 **Agree the proposed process for procurement of the works and services referred to above for a period of 4 (four) years under a framework agreement.**

2.2 Approve delegation to award the contract to the Corporate Director of Adults, Housing and Health in consultation with the Portfolio holder in order to expedite the process for this critical provision.

3. Introduction and Background

3.1 The previous contract providing various elements of disabled adaptations work in Thurrock Council Housing properties expired over two years ago and during the recent past, officers have undertaken small projects by way of quotes or waivers where requests have been made.

3.2 Up until now, owner occupiers in receipt of DFG funding have been required to get three quotes for their planned work, which has then been approved to an agreed level by the Council, subject to a “benchmark” set of rates. The funding amount was then paid by the Council to the recipient once the work was completed.

3.3 The exception to the individually contracted arrangements set out in 3.1 is a term contract that Thurrock holds with one contractor for the testing and servicing of the mechanical installations (such as Ceiling Hoists), all of which have a range of statutory requirements the Council is required to meet. This contract is with Mountfield Services Ltd and expires on 31st March 2017. It is proposed that the new contract will take over this element of the service from that date.

3.4 There are in addition, contracts already in place for the delivery of the Housing Transforming Homes programme which include undertaking any adaptations required to the areas where the programme is undertaking works. The new contract is to cover properties outside the Transforming Homes programme.

3.5 As part of the arrangement with Essex County Council, the Essex Cares Service also currently provides minor adaptation work to a value up to £1,000.

4. Issues, Options and Analysis of Options

Spend/Cost

4.1 Across the contractors currently used for individual Disabled Adaptation Projects, the identified cumulative spend is in the region of £250,000 per annum at current activity levels, which is above the EU threshold for supplies and services. Adding the DFG element will increase the spend further, but as each case differs, this is difficult to estimate.

4.2 Therefore, formal procurement needs to take place to ensure both compliance and best value, through economies of spend. An EU Procurement process will be followed, commencing mid-July, subject to approval by Cabinet of the recommendations set out in this report.

4.3 The current ad-hoc methods of securing contractors for work, although not unsuccessful, is unlikely to be delivering best value financially. Consolidation of the different services into one contract, with the comfort of a four year framework agreement (although volumes are not guaranteed), should deliver relatively fixed rates plus economies of scale.

Service

4.4 Under the current arrangements, residents in Council properties receive a service that owner occupiers do not in terms of project and client management. Whilst the principle of the DFG supports the idea that individuals should receive the funding but be responsible for their own project; in many cases, the level of vulnerability is such that they are unable to do so. Also a recent LGO report recommended that there is a much clearer process around how DFG grants are administered and monitored. This contract will provide the ability for the Council to project manage DFG works using a framework of contractors that also deliver within the Housing portfolio – thus ensuring consistency.

Contract Model

4.5 The contract will be a framework, with no guaranteed spend, for a four year period as is allowed by the Public Contracts Regulations. Current spend is approximately £250,000 per annum, split approximately 50:50 against the two elements (Lots) set out below:

Element	Description	Number of Suppliers
Lot 1 – Services	Supply, installation, inspection/testing, servicing and repairs ¹ of mechanical aids and adaptations. This includes stair lifts, ceiling/track hoists, step and through floor lifts. It will also include building works where this is needed for an installation.	One supplier
Lot 2 – Works	Major adaptations (building works) from ramps, conversions, extensions, and including Kitchen and Bathroom Works where this falls outside of the Transforming Homes Programme	Three suppliers

4.6 Bidders may apply for one or both lots, with the opportunity to offer a discount if awarded both. The rationale for three suppliers in Lot 2 will support applications from local businesses who currently undertake this work and deliver good standards.

4.7 It is proposed that the contract will commence on 1 November 2016 for four years, with the exception as will be made clear in the tender, that the

¹ Note that servicing and repairs will only apply to Council owned aids and adaptations. The majority of equipment supplied through DFG funding transfers to the client (owner occupier) on completion of installation along with the responsibility for maintenance. Clients may decide to enter into a direct maintenance arrangement with the installing contractor, or choose an alternative.

testing/inspection and servicing element of Lot 1 will commence on 1 April 2017 after the current contract expires.

- 4.8 It should be noted that the value of the contract is variable; subject both to demand and need, and the funding available for DFG through the Better Care Fund. It is anticipated that spend may increase, but this is not guaranteed.

5. Reasons for Recommendation

- 5.1 This report is submitted to Cabinet in accordance with the Council's Contract Procedure rules to seek approval to proceed to tender for a contract with a whole life cost valued above £750K. The total estimated value for this contract over the 4 year period of delivery is up to £1.5 million. The required Procurement Stage 1: Approval to Proceed Form is attached as Appendix 1 to this report.

6. Consultation (including Overview and Scrutiny, if applicable)

- 6.1 This proposal has been discussed and agreed with relevant officers across Housing and Adult Social Care.

7. Impact on corporate policies, priorities, performance and community impact

- 7.1 This new contract aims to meet corporate priorities overall through the delivery of high quality services, ensuring pride in Thurrock properties occupied both by Council tenants and owner occupiers when they receive the service.
- 7.2 The following two examples show how priorities will be delivered through the contract:

Priority	Delivered By
Protect and promote our clean and green environment	Requirement for Environmental accreditation and a sustainability policy for reuse, recycling and disposal. Lot 1 (Mechanical Aids) Suppliers will be required to store and reuse equipment ² once it is no longer needed.
Improve Health and Wellbeing	Fundamentally this contract supports individuals to remain independent in their own homes for longer by ensuring their living environments are suitable for their needs

² The re-use element relates only to Council owned equipment under Lot 1. Where ownership of the aids and adaptations transfers to the client(owner occupier), the decision to reuse, recycle or dispose remains with them.

8. Implications

8.1 Financial

Implications verified by: **Julie Curtis**
HRA and Development Accountant

The procurement aims to secure a contract with fixed rate prices within or below the current annual rates. Savings in relation to these services have already been factored into the medium term financial strategy.

7.2 Legal

Implications verified by: **Kevin Molloy**
Solicitor

7.2.1 This report is seeking approval from Cabinet to tender the contract noted in the report. The proposed procurement being considered is estimated at above EU thresholds for supplies and service contracts . This means that there is a legal requirement to competitively tender the contract via the Official Journal of the European Union (OJEU). Legal Services note that this tender will be conducted in accordance with the Public Contract Regulations 2015 (the 'Regulations') using the Open Procedure .

7.2.2. Taking the above into account, on the basis of the information in this report, the proposed procurement strategy should comply with the Regulations and the Council's Contract Rules.

7.2.3 The report author and responsible directorate are advised to keep Legal Services fully informed at every stage of the proposed tender exercise. Legal Services are on hand and available to assist and answer any questions that may arise.

7.2.4 The value of the Disabled Adaptation Service requires full compliance with EU Procurement Regulations and therefore a tender will be advertised in OJEU and follow the established timescales.

7.3 Diversity and Equality

Implications verified by: **Rebecca Price**
Community Development Officer

This contract delivers a service specifically intended to improve the living environment of residents who have physical disabilities. Contractors will be required to ensure they have not only the technical skills to deliver the

required elements, but also have a strong customer focus and understanding of the needs of vulnerable people.

The contract model supports Thurrock Council's Social Value aspirations through promotion of a local responsive supply chain for the individual elements and bidders will be asked to submit proposals within their tenders to enhance this further.

7.4 **Other implications** (where significant) – i.e. Staff, Health, Sustainability, Crime and Disorder)

None specific

8. **Background papers used in preparing the report** (including their location on the Council's website or identification whether any are exempt or protected by copyright):

None

9. **Appendices to the report**

Appendix 1: Procurement Stage 1 Form: Approval to Proceed

Report Author:

Stefanie Seff

Corporate Procurement Strategy and Delivery Manager

Corporate Commercial Services

PROCUREMENT STAGE 1 – APPROVAL TO PROCEED TO TENDER

This form must be completed for all procurements above the tender threshold (£75,000 - Services and Supplies and £500,000 – Works)

If contract value is over Cabinet approval threshold (£750,000) this form shall be attached with the request to tender report to Cabinet. This form will be “Open” for Publication.

Section A: ABOUT THIS PROCUREMENT	
Title	Disabled Adaptations Service
Directorate	Housing
Procurement Reference Number	PS/2016/186
Contract Cost (Maximum Spend)	Up to £1.5 Million, depending on funding
Budget code(s)	HO626
Introduction and Background	This contract brings together a framework for supply, installation, servicing and maintenance of mechanical “lifting” aids such as stair lifts and hoists, and also building works such as ramps, kitchen and bathroom works and extensions/conversions with a value above £1K but outside the Transforming Homes remit. The contract will be let in two lots – mechanical aids and building works/adaptations, and will be available also to Adult Social Care for use when the owner occupier in receipt of Disabled Facilities Grant (DFG) funding is unable to manage the client role for the works.
Proposed Contract Term	4 Year Framework
Political Sensitivity	If there is any political sensitivity include details here or state N/A

Section B: COMMISSIONING REPORT

Business Case	<p>Currently there is a fragmented approach to work to implement disabled adaptations in Council Housing properties, with no formal contracts in place, with the exception of the statutory testing, inspection and servicing of mechanical “lifting” aids such as stair lifts and hoists. Equally, although it is expected that with Disabled Funding Grant (DFG) monies that the owner occupier will undertake the client role (ie seek quotes, manage the project and pay the contractor directly), in some cases vulnerability means that this is not possible. Spend has been considerable and for the mechanical aids element (Goods and Services) exceeds the current EU threshold.</p> <p>This contract will pull together all of the requirements in two lots, with one contractor for the mechanical aids and three for buildings works. This will provide flexibility, and offer some comfort in a four year contract (though no guarantee in volume), with hopefully some economies of scale.</p>
Key Deliverables (Draft Specification)	<p>Consistent high quality services. Cost savings (or control) Contractors will need to demonstrate high levels of customer care and understanding of disabilities.</p>
Quality v Price evaluation	60:40 Quality:Price. It is not anticipated that there would be much variation in price and therefore 40% is considered sufficient for competitive edge.
Social Value	This contract holds no guarantee of volume and therefore it will be difficult to secure a firm commitment from any of the contractors. However ideas will be sought as part of the tender process.
Current / Previous Contract details	N/A

FINANCIAL IMPLICATIONS

Current / Previous Contract Cost	Current spend in Housing c. £250K per annum. Adult Social Care currently do not manage the DFG works directly but this inclusion will push up the overall direct spend, but not impact on Council budget as the funding will be retained by the Council and paid to the Contractor, rather than to the client.					
Cost Breakdown	Breakdown of Estimated Cost	15/16 £000's	16/17 £000's	17/18 £000's	Later £000's	Total £000's
	Total Spend	£	£150	£300	£1050	£1400
Confirm Funding Breakdown Identified	Revenue Budget	£	£	£	£	£
	Capital Budget	£	£	£	£	£
	Other (Please State)	£	£	£	£	£
	Other (Please State)	£	£	£	£	£
	Total Funding	£	£	£	£	£
Budget Code(s)	List budget codes					
Other Financial Implications	None specific, except that there is potential to generate some economy of scale savings through the comfort of a four year agreement with the contractors.					

PROCUREMENT ROUTE ABOVE TENDER THRESHOLD (Choose 1(of A, B, C or D) only)	
A. COMPETITIVE PROCUREMENT (complete B if a Framework)	
Procurement Route	EU Open Tender
Procurement Justification	Quick turnaround is required as procurement is currently non-compliant. It is not anticipated that the number of suppliers will be so large that an Open procedure is unwieldy.
B. FRAMEWORK (Waiver in accordance with Rule 13.1 (c))	
Framework?	Is this a procurement from a Framework? No
Title & Reference of Framework	N/A
Framework Rationale	N/A
C. REQUEST FOR QUOTE FROM RESTRICTED MARKET (Waiver in accordance with Rule 13.1 (d))	
Restricted Market?	Is this a request for quotes from a restricted market? No
Rationale (only permitted below the EU threshold)	N/A
D. SINGLE SOURCE REASON (Waiver in accordance with Rule 13.1 (a, b or d))	
Single Source	Is this Procurement a Single Source – One Quote/Tender <i>(Exceptional circumstances only and select reason below)</i> No
Single Source justification below EU Threshold	<i>Select reason and explain your rationale</i> N/A
Single Source justification above EU Threshold	If you are seeking a single tender above the EU threshold – using the “Negotiated Procedure without Call for Competition” route, this is only available in very exceptional circumstances. You must select the reason below and explain your rationale. N/A
Single Source Rationale	N/A

PROCUREMENT TIMETABLE, RISK, CONSULTATION AND MANAGEMENT					
Milestones and target dates <i>(Draft)</i>	Key Event	Date			
	Publication of Contract Notice or Advert	19 July 2016			
	Return of PQQs (omit if not applicable)	N/A			
	Issue of Invitation to Tender	19 July 2016			
	Return of Tenders	19 August 2016			
	Notification of Results	01 September 2016			
	Standstill Period (omit if not applicable)	2-11 September 2016			
	Leaseholder Consultation (omit if not applicable)	N/A			
	Expected date of Award	12 September 2016			
	Contract Commencement	01 November 2016			
Risk Management – Set out Main Risks and Mitigating Actions					
Risk	Likelihood (A – E)¹	Impact (I – IV)²	Level of Risk (High to Lower)³	Potential Negative Impact	Management / Mitigation of Risk
Tender Process Risks					
Smaller contractors excluded (ie failure in Social Value)	C	III	Lower	Challenge / complaints from current contractors	Contract divided into lots with three in the “works” category to encourage local firms to apply.
Enter Risk	L	I	Level	Impact	Mitigation
Enter Risk	L	I	Level	Impact	Mitigation
Contract Performance Management Risks					
Poor performance leading to inoperative or unsafe equipment	D	I	Lower	Significant injury at worst for Service User	Strong procurement process and contract management to ensure sufficient safety checks and servicing in place.
Enter Risk	L	I	Level	Impact	Mitigation
Enter Risk	L	I	Level	Impact	Mitigation
Contingency Arrangements	Generally not impacted but if the mechanical aids contractor fails, the manufacturers of the equipment will be contacted for alternative contractors in an emergency breakdown situation.				
Consultation	Consultation has taken place across Housing and Adult Social Care with regard to the contract scope. Inclusion of the DFG element has been as a result of feedback from residents.				
Project and Contract Management Proposals	The contract will primarily be managed within Housing and there will be strong technical involvement in monitoring the safety aspects.				
Procurement Comments	<i>Procurement Services has reviewed this Stage 1 form – and agree that the engagement can proceed on the basis provided.</i>				

¹ **Risk Likelihood:** A = Very High, B = High, C = Significant, D = Low, E = Very Low

² **Risk Impact:** I = Critical, II = Significant, III = Marginal, IV = Negligible

³ **Risk Level:** High = AI, BI, All, BII, CI, CII, all others lower

Section C: LEGAL, FINANCE AND PROCUREMENT APPROVAL

Procurement Services	Name	John Maravillas
	Signed <i>(Or obtain email of confirmation)</i>	
	Date	Click here to enter a date.
Legal Services <i>(Insofar as it relates to Legal implications)</i>	Name	Kevin Molloy
	Signed <i>(Or obtain email of confirmation)</i>	
	Date	Click here to enter a date.
Finance <i>(Insofar as it relates to Finance implications)</i>	Name	Mike Jones
	Signed <i>(Or obtain email of confirmation)</i>	
	Date	Click here to enter a date.

Section D: APPROVAL TO PROCEED VALUE

The Responsible Officer must sign the form, together with the Head of Service as a minimum. Delegated Authority Limits below.

Approval Level	Over £750,000 - Cabinet
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Section E: SIGN OFF APPROVAL TO PROCEED

Confirmation by the Responsible Officer of Compliance with Contract Procedure Rules	The Responsible Officer Sue Murray confirms that the procurement of Disabled Adaptations Contract and PS/2016/186 has been carried out in accordance with Rule 5 of the Council's Contract Procedure Rules (Chapter 9, Part 2 of the Constitution) and in particular the following duties have been met by the Responsible Officer: <ul style="list-style-type: none"> • Compliance will occur with all regulatory or statutory provisions and the Council's decision making requirements • The Contract will be included on the Council's Contract Register • Value for Money will be achieved • Advice has or will be sought from the Director of Finance and Corporate governance as to an appropriate security bond or guarantee • Document Retention Policy has and will be complied with • Financial Evaluation will be made of all the proposed tenders including the recommended bidder • Advice has been and will be sought and followed from Procurement, Legal and Finance as necessary 	
	Signed	
	Date	Click here to enter a date.
Approval to Proceed	In accordance with the Contract Procedure Rules, I/we confirm the accuracy of the information contained within this form and authorise this request to Proceed to Tender including, where relevant, the permitting of a Waiver from the Contract Procedure Rules in accordance with Rule 13	
Head of Service	Name	Richard Parkin, Head of Environment and Housing
	Signed <i>(Or obtain email of confirmation)</i>	
	Date	Click here to enter a date.
Corporate Director <i>I confirm that the Portfolio Holder has been consulted as required</i>	Name	Roger Harris, Corporate Director Adults Health & Housing
	Signed <i>(Or obtain email of confirmation)</i>	
	Date	Click here to enter a date.
Head of Corporate Finance <i>If waiver required</i>	Name	Not required
	Signed <i>(Or obtain email of confirmation)</i>	
	Date	Click here to enter a date.
Cabinet	Approval Minute Number	tbc
	Date	08/06/2016
<i>Now send complete form to Procurement Services signed and scanned (with emails if used)</i>		

13 July 2016	ITEM: 12 (Decision 01104374)
Cabinet	
Thurrock Council Draft Transport Policy - request for inclusion on the Policy Framework	
Wards and communities affected: All	Key Decision: Yes
Report of: Councillor J Halden, Portfolio Holder for Education and Health	
Accountable Strategic Lead: Sue Green, Strategic Leader, Children's Commissioning and Service Transformation	
Accountable Directors: Rory Patterson - Director of Children's Services; Roger Harris Director of Adult Services and Housing	
This report is Public	

Executive Summary

School travel is primarily the responsibility of parents. However, the Council is responsible for the design and adoption of a policy setting out the guiding principles around home to school travel. The policy is then to be added to the Council's policy framework.

The procedure for determining which plans, strategies or policies are to be removed, reviewed or added to the Policy Framework is set out in Article 4 of the Council's Constitution. The first stage of this procedure requires a discussion at Director's Board where a decision will be taken regarding next steps. This may include consideration by elected members, the Monitoring Officer and/or Children's Overview and Scrutiny prior to approval by Cabinet. This report considers an Education Transport policy drafted to ensure Thurrock Council delivers an education transport service that aligns with the statutory minimum specified within the Education Act 1996. The report also considers the process required for the inclusion of the Education Transport Policy in the Council's Policy Framework.

1. Recommendation(s)

That Cabinet consider the Education Transport policy attached to this report and comment upon the content and if satisfied recommend that it be included in Thurrock Council's Policy Framework.

That the Exceptional Circumstances Scheme be included in the wider work by elected members to review means tested support.

2. Introduction and Background

- 2.1 Local authorities are required by law to publish general arrangements and policies in respect of home to school travel and transport for children of compulsory school age. The Department for Education's Home to School Travel and Transport Guidance 2014, stipulates that such information should be clear, easy to understand and provide full information on the travel and transport arrangements. It should explain both statutory transport provision, and that provided on a discretionary basis. It should also set out clearly how parents can hold local authorities to account through their appeals processes. Local authorities should ideally integrate their Sustainable Modes of School Travel strategies into these policy statements, and publish them together.
- 2.2. In October 2012, the Education Transport Project Group was established to review the most frequently used aspects of transport, to update information around education transport and to implement aspects of transport not currently available within the borough.
- 2.3 The main issues considered by the Council since October 2012 includes the following:
- transport to post 16 facilities,
 - transport for children aged 8-11 years,
 - transport to faith schools
 - transport for children with SEND
 - the Travel Training programme and
 - establishment of the Exceptional Circumstances panel
- 2.4 The Project Group was also tasked with the following:
- preparation of reports on the current provision of transport and any innovative proposals for change that would provide a sustainable Education Transport Policy.
 - presenting reports to Cabinet, committees and other relevant meetings
 - arranging consultations to gauge public opinion on proposed changes
 - conducting a full Equality Impact Analysis on each aspect of transport reviewed.

3. Issues, Options and Analysis of Options

- 3.1 Local authorities are advised by the Department for Education to consult widely on any proposed changes to their local policies on school travel arrangements with all interested parties. Thurrock Council has undertaken two full consultations in 2013 and 2015 with a focus on changes to 8-11 Mainstream

Educational Transport, Post 16 Transport and Denominational Transport. The time span for each consultation was above the recommended time frame; 8 and 6 weeks respectively. The policy is based on existing practice and as further reviews take place, additional consultation exercises will be undertaken. The SEND Transport provision is the next planned consultation due to be completed by March 2017. Co-production with parents will be a key part of the development of the changes in line with the Children and Families Act 2014.

- 3.2 Good practice suggests that where possible, parents should be supported in the introduction of any changes as any changes might impact adversely on individual family budgets. Thurrock Council consistently addresses this issue by implementing initiatives such as the Exceptional Circumstances Scheme which supports families who may be adversely impacted by changes implemented during their child's current stage of education. Also, the Council offered direct support to families affected by a policy change that involved the introduction of charges. A 50% discount was given to all existing users of the service, new users were required to pay the full fare. Also, officers have conducted two Equality Impact Assessments at various stages of the Project to ensure particular groups within the community were not marginalised by a particular change in policy.

4. Reasons for Recommendation

- 4.1 The Department for Education's Home to School Travel and Transport Guidance 2014, states that Local authorities are required by law to publish general arrangements and policies in respect of home to school travel and transport for children of compulsory school age. Inclusion of all information regarding education transport and travel in one document entitled the 'Education Transport Policy' will provide parents, officers and interested parties with a more effective and swift means of sourcing information around transport.

5. Consultation (including overview and scrutiny, if applicable)

- 5.1 The details and results of the previous public consultation undertaken with respect to proposed changes around denominational transport are contained in the Cabinet report dated 4 September 2014.
- 5.2 In September 2015, the recommendations being made were considered by Children's Overview and Scrutiny and given their full support.
- 5.3 In October 2015, Cabinet granted approval for officers to undertake a public consultation involving families, schools and a wide range of stakeholders to seek the views of interested parties on denominational transport when the current arrangements cease at the end of the 2015/16 academic year.
- 5.4 A full consultation has not taken place on this Policy as it is based on current practice and targeted consultations take place where there are changes to individual areas of policy. Once the full review has been completed in 2016/17 a

consultation on the full policy will take place and will inform the next annual refresh.

6. Impact on corporate policies, priorities, performance and community impact

- 6.1 The Education Transport Policy caters for a wide range of issues and consideration was given throughout to ensure that the content of the policy aligned with legislation and corporate policy. The impact on direct users and the community at large was also considered and where possible any propensity for negative impact was either eradicated completely or mitigated. Families whose overall income level places them just above the threshold for qualifying benefit often choose to work to support their children rather than initiate a reduction in the number of hours worked in order to qualify for benefits and consequently free transport. The discounted rate and exceptional circumstances scheme support such families to remain employed and align with the Council priority aimed at encouraging and promoting job creation and economic prosperity.

7. Implications

7.1 Financial

Implications verified by: **Kay Goodacre**
Finance Manager

Current primary pupil growth is causing significant pressure on the statutory element of the Education Transport budget. This is due to the fact that the Council is at times unable to place a pupil in a school within a three mile radius. In such cases, the Council has a statutory duty to transport the pupils involved and to bear the cost of the transport. Although the Council achieved extra income from charging pupils to the value of £82,654 in the 2015/16 academic year targeted budget savings around discretionary transport are not being met and the costs involved are steadily increasing. Therefore, unless spend on discretionary transport is reset to the statutory minimum an increased budget would be required to cover these costs.

7.2 Legal

Implications verified by: **Lucinda Bell**
Education Lawyer

The Education Act 1996 sets out the Council's duties relating to school transport and makes it clear that free transport only has to be provided for "eligible children" and these include disabled children and those from low income families. Transport on denominational grounds other than for low income families is not a statutory duty and the Council is entitled to use its

discretion to what transport support it will offer to pupils on denominational grounds.

Local authorities have discretionary powers under Section 508C of the Education Act 1996 to make arrangements for those children not covered by Section 508B. A local authority has discretion to provide transport for children who are outside of the statutory eligibility criteria and where such transport is provided to make a charge for it. There is no requirement for these discretionary arrangements to be provided free of charge. However, if a local authority decides to levy charges this should be made clear in the school travel policy documents.

Section 509D of the Education Act 1996 places a duty on local authorities when fulfilling their duties and exercising their powers relating to travel, to have regard to, amongst other things, any wish of a parent for their child to be provided with education or training at a particular school on grounds of the parent's religion or belief. Local authorities must make travel arrangements for pupils from low income families to attend the nearest school preferred on the grounds of religion or belief where such pupils live more than 2 miles, but not more than 15 miles from that School.

The Equality Act 2010 does not apply to the provision of transport on faith grounds as the discrimination provisions on the grounds of age and religion or belief do not extend to transport arrangements. However, Thurrock Council does have a Public Sector Equality duty under the Equality Act 2010. The Council has, therefore, had due regard to the need to eliminate discrimination, advance equality of opportunity and foster good relations between different people when proposing and or carrying out any changes to Denominational Transport

Local authorities must publish general arrangements and policies in respect of home to school travel and transport for children of compulsory school age. Such documents should explain both statutory transport provision, and that provided on a discretionary basis. Local authorities should also consult widely on any proposed changes to their local policies on school travel arrangements with all interested parties. Consultations should last for at least 28 working days during term time.

The Authority must have regard to the Department for Education's Home to School Travel and Transport Guidance, 2014. Legal services have worked closely with officers from 2012 on all the issues related to revising policies and practices and on the current draft policy. They have also advised on the consultations and duties under the Equality Act 2010.

7.3 Diversity and Equality

Implications verified by: **Natalie Warren**

Community Development and Equalities Manager

Public consultations have been held at various stages of the development of the policy around Education Transport. They enabled all stakeholders to engage in dialogue with Thurrock Council regarding a range of Education Transport issues. The consultations were held over periods of time that exceeded that recommended by the Department for Education and they also provided the empirical evidence required by Council officers to make numerous recommendations to Cabinet regarding Education Transport since October 2012. A Community Impact and Equality Assessment has also been carried out in order to ensure that proposed changes to the Education Transport policy have an overall positive equality impact as all children will be treated equally regardless of their religion, belief, or their ability.

7.4 Other implications

7.4.1 Impact of population growth on school places and transport policy

The growth of the population has led to an increasing demand for school places. This population growth and changing need within the borough may require us to review the policy more often than the annual review that takes place within current processes.

Any changes will be agreed through the Cabinet processes.

8. Background papers used in preparing this report

- Cabinet Report dated 9 March 2016.
- Children's Overview and Scrutiny Report dated 15 October 2015

9. Appendices to this report:

Education Transport Policy - please note that the policy has the application forms included for reference however these will be provided as separate documents on the Council's website once the draft has received approval.

Report Author:

Temi Fawehinmi
Contract and Performance Manager
Children's Services

THURROCK COUNCIL

Education Transport Policy

Version Final June 2016

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*Please note that all application forms will be available on the website under the heading 'School Transport', within the Children's Services section.

1. Introduction

By law, parents are responsible for ensuring that their children attend school regularly.

The number of pupils receiving transport has reduced following the decommissioning of certain streams of school transport, therefore, parents are advised to consider transport arrangements when choosing a school. Parents are also encouraged to include their nearest suitable school as well as any others they may wish to apply for. Please refer to the relevant sections of this policy for more detailed information or contact the Council (See contact details in Appendix 1)

All local authorities have a legal duty to make suitable travel arrangements to and from school for children who meet certain criteria. To this end, Thurrock Council has drafted this Education Transport policy to ensure the delivery of an education transport service that is in line with the statutory requirements of the Education Act 1996. We will, therefore, provide transport for all children whom the law refers to as “eligible” children. There are several categories of eligible children.

The arrangements we make must be sustainable. Sustainable school travel is travel that improves physical and environmental well-being. It includes walking, the use of escorts where necessary, cycling, the use of public services such as buses or trains (the Council will then issue bus or train passes) contracted vehicles, car sharing, or the reimbursement of travel costs.

Thurrock Council will decide the type of arrangements it will make generally and for any individual child. Some arrangements are required legally and some are discretionary which means the Council does not have to provide it. In this policy we use the phrase “travel assistance” which covers a range of methods used to travel to school. We provide definitions of words used in this policy in Appendix 1.

Thurrock Council has decided to use its discretionary powers to offer assistance either free of charge, at cost, or at a reduced cost to pupils who are not considered eligible children. These arrangements may be changed in future.

The Council has a duty to ensure that it obtains best value and uses its money in the most effective ways possible.

This document sets out the Council’s Home to School Transport Policy and describes how the Council fulfils its legal duties and exercises its discretionary powers as required by the Education Act 1996.

2. Eligibility: Who benefits from free travel assistance?

A pupil who meets **each** of the following criteria:

2.2 Has their principal home in Thurrock

For all transport, at any age, the pupil's principal home must be within Thurrock. Where a pupil lives at more than one address, the one used is usually the one where the parent or carer who receives child benefit for them lives. If no child benefit is paid, the issue will be determined by the Council.

2.3 Is of compulsory school age, that is, broadly, between 5 to 16 years old. (Full details are provided in Appendix 1).

2.4 Is an "eligible child" (as defined by the law)

The pupil must require travel assistance for one of the following reasons;

- Distance between home and school
(Please note that Thurrock Council adheres to statutory distances as stipulated within the Education Act 1996)
- Travel along an unsafe route
- Special educational needs or disabilities (SEND).

In addition, some low income families have additional rights, if they meet certain conditions.

2.5 Attends the nearest suitable qualifying school, with places available.

A school is suitable if it provides education appropriate to the age, ability, aptitude of the child, and any special educational needs that the child may have.

The term "qualifying school" is defined in the Education Act – see Appendix 1.

3. Extended Rights for Low Income Families

3.1 Some low income families additionally benefit from extended rights, relating to

- Distance
- Choice of a school based on the parent's religion or belief

3.2 Low income families, as defined by law in this context, benefit from additional rights to home to school transport in some circumstances.

- 3.3 A low income family is one where the pupil receives free school meals, or would receive free school meals, because of their income (not automatically because they are in Reception to year 2 inclusive), or the parent or carer receives maximum level of Working Tax Credit (WTC) or the Universal Credit (UC).
- 3.4 Children of statutory school age, from low income families, will be eligible for travel assistance where they:
- attend primary school and live more than two miles from their nearest suitable school.
 - are in secondary school and attend one of the three nearest suitable schools if it is between 2 and 6 miles from their home.
 - are in secondary school and attend the nearest suitable school that is between 2 and 15 miles from home if their parent has expressed a wish, based on their religion or belief, for that school, and, having regard to this religion and belief, there is no nearer suitable school.

4. Where there is no place available at the nearest suitable school

- 4.1 All pupils must attend their nearest suitable school where a place is available (or one of the three nearest suitable schools in the case of low income families with extended rights choosing a secondary school). The distance to the nearest suitable school is extended for such families preferring a school on the grounds of religion or belief).
- 4.2 Parents will remain on the waiting list for nearer suitable schools and should take a place if offered in order to continue to qualify for travel assistance. They should renew this application annually, in order to remain on the waiting list.
- 4.3 In some circumstances, parents may decide that it will not be in the best interests of their child to move school at the point when a place becomes available at a school nearer to their home. If a parent decides that their child is to remain at their current school no travel assistance will be provided. Parents may apply for assistance if they can show exceptional circumstances, under the Exceptional Circumstances scheme.

5. What to consider when choosing a school for your child

- 5.1 Parents should always bear in mind the provision of transport when making their choices for school.
- 5.2 All parents are advised to apply to the nearest suitable school if they wish to be considered for travel assistance. This applies even if an older sibling is at a school that is further away and receives travel assistance. Having a sibling at a particular school does not guarantee admission or travel assistance. For information about catchment areas and feeder schools, please see below.

6. Advantages of transferring to a closer school

- reduced travel time for children; children less tired;
- ability to take part in out of school activities;
- better for the environment as local schools mean fewer cars on the road and fewer buses;
- local schools means that friends live closer;
- sense of community.

We align the development of our policy and our practice with the current Department for Education (DfE) Guidance relating to Home to School Transport. The Guidance can be found using the following link:

https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/445407/Home_to_School_Travel_and_Transport_Guidance.pdf

7. Distance and eligibility

7.1 In line with the statutory guidance the Council will provide travel assistance free of charge for a pupil to and from their nearest suitable school with a place available if this is:

- 2 miles or more from their home for children below the age of eight;
- 3 miles or more from their home for children aged eight and above.

7.2 In addition, the Council currently uses its discretionary powers to extend the offer of travel assistance where the nearest suitable school place is 2 miles or more for children aged 8 to 11 years. This is above the statutory requirement of providing assistance where the nearest suitable school place is 3 miles or above. This provision may change at any time in the future.

8. How is distance measured?

The Council uses Data Map to measure distance between home and school. This software calculates home to school distances, and does not include unsafe routes. An unsafe route is a route considered unsafe for a child to walk alone without being accompanied in a reasonable manner.

9. Which forms of travel assistance does the Council provide?

9.1 The arrangements for all travel assistance must be suitable and in some instances parental consent is necessary.

9.2 Assistance may take the form of a mileage allowance when the parent's vehicle is used, a public transport pass, a seat on a coach/taxi, an escort,

travel training or a walking bus. This assistance is provided at the Councils discretion.

10. Situations where the Council does not provide travel assistance

- Pupils who are below compulsory school age – i.e. those who are in Reception, but not yet of statutory school age
- School activities taking place after or before school
- Year 6 Induction / Transition Days
- Pupils attending a selective school
- Foreign Exchange pupils
- Inter-school travel (where a school is on two, or more, sites)
- Work placements
- Where the parent is unable to take their children to school due to work commitments
- Where the parent has children in more than one school

However, the Council may offer assistance in exceptional circumstances.

11. Application Timetable and Process

- 11.1 Awards of travel assistance are given for a specified period of time, which will not exceed an academic year.
- 11.2 First time and repeat applications for assistance to start at the beginning of the next school year should be made as soon as possible in the current school year. Applications must be completed in full and received by us in the window between the start date of the current school year and June 30 of the same academic year. All required evidence must be provided before the application can be accepted as complete.
- 11.3 When a pupil requires assistance part way through a school year an application should be made as soon as possible. Applications for pupils moving into Thurrock should be submitted as soon as a place has been offered and accepted.
- 11.4 The Council processes all applications as soon as practicable. Awards will be made from the date the completed form is received with the required supporting evidence.

12. School Catchment Areas and feeder schools

- 12.1 Some primary, secondary Schools and academies operate a catchment area for admissions. Some schools have feeder schools. Being in or out of catchment, or having attended a feeder school are not relevant to eligibility

for travel assistance. Distance will be measured in accordance with this policy.

- 12.2 Parents are advised to check distances with the Council before choosing a school if they are considering the need for travel assistance.

13. Safe Walking Route

- 13.1 All routes from home to school in the borough are considered using the shortest available safe walking route. The Council will consider whether the pupil could reasonably be expected to walk if accompanied by a responsible person, such as a parent or other adult. The Council will also consider the age of the child and whether one would ordinarily expect a child of that age to be accompanied.

- 13.2 Routes are inspected by officers of the Council initially and where a decision cannot be reached they are referred to a Panel to make a decision.

Where a route or part of a route is considered unsafe to be walked by an unaccompanied child, travel assistance will be provided to those pupils who would otherwise have to use that route to get to and from school because there is no alternative available safe walking route. Funding for this assistance will only be provided to eligible children.

- 13.3 The Council reviews unsafe routes. It will re-inspect and declare the route safe once steps have been taken to remove the risk. Where a route previously considered to be unsafe becomes safe, entitlement to travel assistance will be reviewed.

- 13.4 Parents have the right to appeal against a decision that the route is safe.

14. Parental Preference

- 14.1 Parents are able to express their preference for a particular school. Where a child which is given a place at a school chosen by the parent is not the nearest suitable school the pupil would not benefit from home to school travel assistance because there is a nearer suitable school.

- 14.2 As noted above, there are special considerations for families in receipt of benefits under the provision for extended rights.

- 14.3 In addition, the Council will have regard to a preference that is based on the parent's religion or belief (or the pupil's religion and belief where they pupil is in post 16 provision).

15. Pupils who are 4 years old and younger

The Council does not provide transport for children below compulsory school age unless they have special educational needs or disabilities. Such cases will be considered if an application is made under the Exceptional Circumstances scheme.

16. Post 16 Transport

- 16.1 The Council does not make provision for Post 16 home to school transport except in exceptional circumstances.
- 16.2 There are, however, travel options for Post 16 pupils. The local bus companies, Ensign Bus Company and First Essex Buses are offering a Post 16 student bus pass that can be issued either via the colleges in Thurrock or by contacting Ensign bus directly on 01708 865656. This pass will allow students unlimited travel including evenings and weekends on all services offered by the two companies in and around Thurrock and as far as Basildon Bus station.

17. Post 16 SEND Educational Transport

- 17.1 Post 16 SEND pupils are not automatically eligible for free educational transport, but they are entitled to a Needs Assessment. If any transport assistance is awarded as part of this assessment they may be offered a maximum of 12 journeys to residential placements. Journeys to non-residential college provision will be considered as a part of the Needs Assessment. If a parent/ carer wishes to accompany their child to their residential educational facility this will be done at their own expense. If the parent / carer is in receipt of benefits or earning a low income they may opt to complete an Exceptional Circumstances form requesting support with travel expenses. If additional journeys are required then an Exceptional Circumstances form must be completed.
- 17.2 It is the expectation that Travel Training be offered to all post 16 pupils with SEND. In all other cases, Travel Training should be offered as an alternative to, or in conjunction with, an offer of transport.

18. Excluded Pupils/Pupils attending alternative provision

Any pupil attending alternative provision because they have been excluded or directed to attend a place other than their registered school and this place is outside the statutory walking distance will be treated as an eligible child.

19. Looked After Children

19.1 It is the responsibility of the Foster Care or Residential Care Provider to ensure that Looked after Children placed with them attend school.

19.2 Looked after Children may be eligible for travel assistance, if they qualify under the rules. If the cost of transport to school is included in the placement fee no other transport assistance will be provided.

20. Choosing a school for reasons related to religion or belief

Following consultation and changes to policy, in line with statutory guidance no discretionary transport to schools chosen for reasons of religion or belief will be provided. Thurrock Council will, however, continue to carry out its statutory duty to pupils in receipt of benefit who are attending a faith secondary school between 2 and 15 miles from their home.

21. Proof of Religion or Belief

Parents must confirm on the school admissions application form that they have chosen the particular school for reasons of religion or belief.

22. Pupils with Special Educational Needs and Disabilities (SEND)

22.1 Travel assistance for pupils with special educational needs, a disability and/or challenges with mobility.

22.2 The Council must make travel arrangements free of charge to pupils who cannot reasonably be expected to walk to their nearest suitable school where a place is available because of mobility issues or because of health and safety issues related to their Special Educational Needs or Disability (SEND).

22.3 Each case is considered individually and suitable arrangements are made for each pupil. Appropriate information regarding the needs of the individual will be considered as part of this process and this will be reviewed regularly.

22.4 In line with statutory guidance, where a route has been formally identified by the Council as an unsafe route, and a child with SEND is required to access that route the Council will assess whether the child can reasonably be expected to walk if accompanied by a responsible adult and if so, whether the child's parent / carer can reasonably be expected to accompany the child. It is expected that parents will accompany the child unless there are exceptional circumstances that make this impractical; for instance, where the parent cannot accompany their child because of illness or disability. In such cases, the Exceptional Circumstances Scheme will apply.

23. Children with an Educational Health Care Plan or Statement of Special Needs

- 23.1 The Council will provide travel assistance, free of charge, to the nearest suitable school named in an Educational Health Care Plan (hereinafter referred to as “an EHCP”) or Statement of Special Educational Needs if the pupil cannot reasonably be expected to walk there.
- 23.2 Sometimes an EHCP or Statement of SEN names two schools, this is because the Council has agreed that the pupil will attend the parent’s school of choice. Transport will not be arranged or paid for by the Council in cases where a place is granted based upon parental preference. In such cases, parents/carers will be expected to make their own travel arrangements and pay for any expenses incurred.

24. Travel Assistance for children with SEND

- 24.1 As with all travel assistance, for pupils who have SEND and who qualify as an “eligible child” it is given free of charge.
- 24.2 If parents agree to drive their child to school a petrol allowance of 40p per mile may be provided to support such travel.
- 24.3 Any assistance given using the Council’s discretionary powers may not be free from charge, as with all discretionary awards.

25. Children with SEND Weekly / Fortnightly boarding placements

Subject to a needs assessment, where children attend a special education provision outside of Thurrock, the Council will consider transport to take the child to school on a Sunday evening, or Monday morning, as agreed with the school and to collect the child to take them home at the end of the school week / fortnight, or earlier as agreed with the school. The Council will only offer funding for planned travel or travel required in exceptional circumstances. Such circumstances will be reviewed by the Council and only if they are found to be exceptional will transport will be provided.

26. SEND - Residential placements in an Independent Special School

- 26.1 Residential placements are usually for:
- 39 Weeks (termly) or
 - 52 Weeks
- 26.2 Subject to a needs assessment, children who are not Looked After, but attend a special education provision outside of borough may be eligible for a

maximum of twelve (12) single journeys from home to school and school to home each academic year. This will consist of trips required at the start and end of each term and half term breaks.

- 26.3 Any travel assistance will be subject to an assessment which will take into consideration the age, needs and ability of the pupil and the individual circumstances of the parent / carer concerned.
- 26.4 If agreed, it is the direct responsibility of the parent and or school to notify the Passenger Transport Unit of the requirement for transport at least 10 days in advance of the expected date of travel. Any additional trips will be the responsibility of the parent.
- 26.5 When public transport is assessed as the most suitable method of transport the Council will reimburse parents at the rate of a standard ticket. Payment will be made in arrears, on receipt of proof of travel and cost. Where parents opt to use any other form of transport such as a private taxi such transport will be procured entirely at the parent / carer's expense.
- 26.6 Where there is a risk of a placement breakdown the SEND Team may consider providing reimbursement of fuel or public transport costs in order to support additional trips on a short term basis so that the child can be supported back into his / her full time boarding arrangement.

27. Facilitating inclusion in main stream provision for children attending Special Schools

Where a child with a Statement or EHCP on roll at a special school is attending a designated mainstream secondary school for whole day sessions as part of a formal integration programme, transport will be considered in exceptional circumstances by the SEN Case Management panel

28. Annual Review

The Council will carry out an annual review, and more frequent reviews where required, of any travel assistance agreed for pupils with SEND.

29. Primary School Age and SEND Children – School to Home Transport

- 29.1 On arrival at a child's home at the end of the school day, the driver will use his discretion, and any requirements of the contract, to decide how long to wait for the parent/ carer to collect the child.
- 29.2 Should the parent not collect their child from the vehicle within a reasonable time (maximum three (3) minutes) the vehicle will proceed to the next stop. The Driver will advise his/her base of the failure of the

parent / carer to collect the child from the vehicle within the set time frame. The parent can then contact the base if needed, otherwise the arrangements below will apply.

- 29.3 The driver will then complete the route and once the remaining children have been collected, the child will be brought into the Thurrock Council Civic Offices and placed into the care of the Social Care Duty Officer. The parent will need to make arrangements to collect the child from Social Services.
- 29.4 This action is for emergencies only and transport will be suspended if the behaviour persists and the child is not collected on three (3) occasions within a term.
- 29.5 If a parent is likely to be late to collect the child they must inform the school and make alternative arrangements for the child to be collected directly from school or at the drop-off point.

30. SEND Children Arriving and Departing from School

- 30.1 Drivers and Passenger Assistants are not allowed to leave children and young people unaccompanied in their vehicles or in school premises. Consequently, schools are required to ensure that they have sufficient staff available to support transport providers at both the start and finish of the school day.
- 30.2 Subject to an assessment of need, transport may be provided for children with special educational needs to their nearest appropriate school if:
- The pupil is under 11 and lives more than 2 miles from the nearest appropriate school,
 - The pupil is aged 11 years, or older, at the start of the school year and lives more than three miles from the nearest appropriate school. The pupil has a physical or sensory impairment which makes it impossible for them to travel to school by any other means and prevents them from walking safely to school even when accompanied by a responsible adult.
 - The pupil has a severe, profound and multiple learning difficulty, or disability, preventing them from walking safely to school, even when accompanied by a responsible adult,
 - The pupil has a disability which places them on the Autistic Spectrum and prevents them from walking safely to school, even when accompanied by a responsible adult,
 - The pupil has a disability, which prevents them from accessing the form of transport generally available to take other pupils from their area to school.

30.3 The guidance is that any transport provided for SEND pupils should be reviewed on an annual basis, and more frequently where circumstances may change within the term i.e. after medical treatment. Parents must advise the Council of any change that would result in transport no longer being required.

31. Additional considerations / Exceptional Circumstances for SEND Transport

31.1 Parents / carers should note that:

- All SEND travel assistance is to be re-assessed on at least an annual basis
- The most appropriate travel assistance must be provided.
- A taxi will only be awarded after all other options have been considered.
- Parent / carer's will be offered a maximum of 40p per mile payment to transport their child using their own vehicle to and from school.
- Where transport is provided the default option is public transport.
- Parents may up-grade their transport at their cost.

31.2 Exceptional Circumstances - SEND

The Exceptional Circumstances provisions can be used for SEND pupils that do not fully satisfy the SEN needs assessment.

Parents and schools are encouraged to explore, and where possible, implement, travel training as an alternative to transport and to increase the child / young person's skills around independent travel while decreasing their reliance on transport.

Parents / carers will be offered mileage in circumstances where they are in a position to transport a child to and from school using their own vehicle. Such mileage will be calculated based upon a flat rate of 40p per mile. Where a parent / carer is not in a position to drive (due, for example, to the lack of a licence or a medical condition) or where a child requires transport due to a medical condition medical evidence from a qualified medical officer is required to support the assessment of the case.

32. Managed moves

If a child has changed school under a managed move parents should re-apply for assistance and eligibility will be reconsidered.

33. External moves - Child moving into Thurrock

Families moving into the Borough should apply for school transport as soon as they have been accepted by a Thurrock school.

34. Internal moves- Child moving within Thurrock

34.1 Parents moving within Thurrock will need to reapply for travel assistance. Eligibility will be assessed under this policy. Assistance will only be given to the nearest suitable school.

34.2 In cases of hardship, parents can apply under the Exceptional Circumstances scheme.

35. Temporary arrangements including disability or illness of carer

35.1 Where the normal arrangements for home to school travel are no longer appropriate, for example, because a child, young person or in exceptional circumstances a parent, has a temporary disability or illness parents can apply under the Exceptional Circumstances form.

35.2 Travel assistance may be offered for a specified period of time, and kept under review.

36. Suitability of travel assistance.

- All transport arrangements must be suitable
- Travel assistance must enable the pupil to reach school without stress, strain or difficulty.
- It must enable the pupil to travel in reasonable safety and comfort.
- It does not have to be a door to door service. Council arranged transport may collect and drop off pupils at designated pick up points and it is the parent's responsibility to get them to this point and collect them from it, on time.

The Council will have regard to the Department for Education Guidance about length of journey time and number of changes required when considering suitability.

37. Permission for designated adult to collect child

- 37.1 When parents are unable to collect their child, and have arranged for another adult to do so, the parent must inform the Council's Passenger Transport Unit (PTU) in writing as soon as possible. PTU staff will inform the transport provider.
- 37.2 Parents must give full details of those adults who may drop off or collect their child. Details must include:
- names,
 - telephone numbers
 - addresses
 - relationship to child
- 37.3 The permission statement must also be signed, and dated, by the parent.

38. Reimbursement

38.1 Reimbursement of Travel Costs

Where the Council makes payments for transport costs these cannot be backdated. No payment can be made for travel costs unless agreed in advance. Payments are made from the date that an application and all required supporting evidence has been accepted and transport is awarded.

38.2 Reimbursement of Charge

If a Parent has paid for transport and this is no longer required part way through a term, a partial reimbursement of the charge may apply. Any repayment will be pro rata to the number of schooldays left subject to the payment being made.

39. Reporting a change in circumstances

Parents/post 16 pupils must report all changes in circumstances to the Awards and Benefits team. These include, but are not limited to:

- Moving house
- Moving school
- Changes in safety of the route
- Change in income for families qualifying as low income families
- Changes in health/disability/special educational needs of pupil or other family member that affect getting to school

- Changes regarding eligibility for benefits
- Other

40. Exceptional Circumstances Applications including Post 16 Transport

- 40.1 An application for travel assistance for a pupil who does not meet the criteria for any category of award described in this policy may apply to be considered for an award under the Exceptional Circumstances Scheme. These are only made in exceptional circumstances. Applications should be made as soon as possible on the form that appears within Appendix 2 and cannot be backdated.
- 40.2 Applicants must provide all evidence listed or requested by the Council. Where a form is incomplete and/or evidence is not provided as requested, within any given time limit, no award can be made. Assistance will not be backdated.

41. Eligibility Checks

The Council has a duty to ensure that it protects public funds. The Council may contact families during the academic year, to ensure they are still eligible for travel assistance.

42. Awards made in error

- 42.1 Where an award of travel assistance has been made in error, the Council has the right to withdraw this after first considering the circumstances of each case to determine whether there are exceptional reasons for provision to continue.
- 42.2 Where it is decided to withdraw transport, up to one term's notice will be given. If the error was discovered before the commencement of the Academic Year the transport will be withdrawn straight away.

43. Fraud

Where an award of travel assistance has been made as a result of fraud it will be withdrawn immediately. The Council will require all monies paid to be repaid. It will refer the matter to its legal department. If the pupil requires travel assistance following this, a fresh application should be made. The matter must be dealt with by the police.

44. Appeals

44.1 The Council has adopted the appeal procedure recommended by the Department for Education Guidance. This procedure applies to all applications.

44.2 Parents/carers may complain/appeal if they:

- Believe a mistake has been made in the consideration of their child's transport entitlement.
- Are dissatisfied with the service they have received or the way in which they have been treated.
- Are of the view that their child's circumstances are not covered by the policy and that there are exceptional circumstances that should be taken into account. In such circumstances, their case would be considered through the Appeal process and as an exception, under the exceptional circumstances scheme.

44.3 In the first instance, parents/carers should contact the Council's Complaints Team on 0800 021 3016 or complaints@thurrock.gov.uk. Correspondence will be dealt with as Stage One of the complaints procedure.

44.4 If the parent/carer remains unhappy with the response received, they may request that their complaint be re-considered:

- at Stage Two of the complaints procedure, if dissatisfied with the service or treatment they have received, or
- at a transport appeal, if disputing the accuracy of the transport entitlement decision or submitting an exceptional case for transport.

44.5 If the matter cannot be resolved at Stage Two or transport appeal the complainant will be informed that they can refer their complaint to the Local Government Ombudsman (L.G.O).

45. Information about other forms of support available to pupils/students

45.1 Proof of Age Scheme (PASS)

In order for young people to prove their age and be able to obtain student / half price fares the UK Government has introduced the Proof of Age Standards Scheme (PASS). All official Proof of Age cards carry the "PASS" hologram.

These schemes are particularly useful for those pupils who live under the statutory distance requirement, i.e. under 3 miles, or for non-eligible / entitled children.

45.2 Benefits of a Proof of Age Card

The PASS Card helps a young person to prove his / her age to the bus driver so he / she can have the reduced fare he / she is entitled to under the bus company's terms and conditions. Also, if a young person looks younger than his / her age, it will help prove their age when buying age-restricted goods

45.3 The following bus companies have confirmed that they accept Proof of Age cards for journeys in and out of Thurrock:

- Arriva Essex
- Ensign Bus Company
- PASS Scheme for Essex, including Thurrock
- Be Identified Throughout Essex (BITE)
- Amber Bus Company
- First Essex Buses

45.4 The BITE Card is Essex County Council's proof of age card for young people aged 11 and above. The card is obtained by completing an application form obtainable from schools or libraries.

<http://www.essexhighways.org/Transport-and-Roads/Getting-Around/Bus/Fares-and-bus-passes/BITE-cards.aspx>

45.5 There is a requirement for a colour passport quality photograph and for an authorised person to verify the young person's age and to sign the application and the photograph.

For Thurrock students there will be a cost of £5.00 per card. It takes between 2 to 4 weeks to obtain. Replacement cards cost £5.

45.6 Additional benefits associated with the PASS Scheme

Retailers

As the card has the PASS hologram, endorsed by the Home Office, the card should be accepted by major retailers, but this cannot be guaranteed. Please call Consumer Direct on 0845 4040506 if you encounter a problem.

Libraries

The BITE Card can be used as a library card in Thurrock, Essex and Southend.

Other National Proof of Age cards

CitizenCard

The standard cost of the card is £15, additional charges if required urgently.

Anyone can apply for a card, but if students under the age of 16 do need parental consent

<http://www.citizencard.com/online-application>

ValidateUK

The standard cost of the card is £15 (includes postage and packaging).

Anyone can apply for a card.

<http://www.validateuk.co.uk/>

46. Disclosure and Barring Service (DBS)

46.1 Passenger assistants and anyone else providing direct travel assistance are required to have a current DBS check at the Enhanced level and to have their DBS certificate re-issued at least every 3 years. Licensed taxi drivers are required to have their DBS certificate renewed every year.

46.2 The DBS certificate should be shown when requested.

47. Accessibility of pick up and set down points

47.1 Most transport provided operates from defined pickup and set down points which, in most cases, will be local bus stops as these are considered to be the safest locations.

47.2 Details of the pick-up points are sent out to parents by letter, shortly before the commencement of term. Any problems in relation to these should be emailed to: passengertransport@thurrock.gov.uk.

47.3 The Council cannot give a specific time when the transport will arrive at the pick-up and set down points and consequently parents are advised to arrive at least ten (10) minutes earlier than the arrival time stated, in the award letter.

47.4 The vehicle will not wait more than a maximum period of 2 (two) minutes when collecting pupils depending upon, traffic and other factors which in the driver's judgement could cause the vehicle to arrive at its destination (s) late. The vehicle will leave at a time that will enable the driver maintain the vehicle's schedule.

47.5 Transport assistance cannot be tailored to meet individual timetables, but consideration will be given whenever possible to minimise inconvenience to pupils.

47.6 Please note that times cannot be adjusted for work commitments or other siblings.

48. Primary School Age and SEND Children Drop-off-dealing with emergencies

48.1 Should the parent not collect their child from the vehicle within a reasonable time (maximum three (3) minutes) the vehicle will proceed to the next stop. The Driver will advise his/her base of the failure of the parent / carer to collect the child from the vehicle within the set time frame. The parent can then contact the base if needed, otherwise the arrangements below will apply.

48.2 The vehicle will continue on its journey and once the remaining children have been returned home, the child will be brought into the Civic Offices and placed into the care of the Social Care Duty Officer where the parent will be able to collect the child.

48.3 There will be a charge for this service which will be set on a cost recovery basis and will be reviewed annually.

48.4 This action is for emergencies only and transport will be suspended if the behaviour persists and the child is not collected on three (3) occasions within a term.

48.5 As soon as a parent becomes aware that they may be late they should inform the school to allow the child to remain at school. This will prevent unnecessary delay of the vehicle and late arrival at the drop off points for other children.

49. Managing Risk

49.1 The Transport Operator is responsible for assessing the risks associated with the route and vehicles used.

49.2 Parents are responsible for the safety of their children between the home and the Pick-up and Drop off points and while waiting for the vehicle to arrive.

49.3 Parents should advise the SEND team of any special requirements prior to transport being approved.

49.4 The Council has quality standards for the monitoring of vehicles and equipment used in the operation of education transport.

49.5 The Council will monitor each provision / route at least once every year.

50. Seatbelts and safety

- 50.1 These are provided on all vehicles commissioned by the Council where required by law. Where provided, pupils **MUST** wear these. If a pupil is 14 or over they carry legal responsibility and could face a fine of up to £60 if a police officer boards a vehicle and they are not wearing a seat belt where one is provided, without a reasonable excuse or medical exemption. Parents should check that their child understands what is required of them, and pupils should ask drivers and passenger assistants if they are unsure.
- 50.2 Pupils must comply with all other safety requirements stipulated by transport providers.

51. Severe Weather and Transport Delays

- 51.1 The decision on whether or not transport will operate during periods of severe weather rests with transport contractors who will be aware of localised weather conditions. They will liaise as necessary with the Passenger Transport Unit.
- 51.2 Schools advise when they are unable to open, due to severe weather, via BBC Essex and Heart Essex. Parents should ensure they tune to these radio stations in bad weather.
- 51.3 Some schools may also send text messages to Parents.
- 51.4 Drivers are responsible for advising their companies of any delays, caused by bad weather or heavy traffic etc. Parents can contact the transport provider directly on the number advised in their transport award letter if there has been more than a 15 minute delay.

52. Provision of Passenger Assistants

- 52.1 Passenger assistants will only be provided in the following situations:
- where transport is to a Primary School
 - where there are more than 8 pupils in a vehicle (applies to primary schools only)
 - where a child with disabilities needs a personal assistant to use the school transport,
 - where a Health and Safety issue is apparent and the journey time is one hour or more,
 - if a majority of pupils on the vehicle are in year 1 or 2.

52.2 Passenger assistants for SEND purposes are assessed on a case-by-case basis as outlined in the SEND Passenger Assistant's section,

52.3 Passenger assistants on Council contracted vehicles require a Disclosure and Barring Service (DBS) certificate, that is checked, and deemed satisfactory.

53. Managing pupil behaviour

53.1 The Council expects all pupils to behave in an acceptable manner, respecting other users of the vehicle, staff, drivers and other road users.

53.2 Pupils must:

- Wear their seat belt where it is provided.
- Follow the driver's instructions.
- Always have their ticket or pass with them.
- Keep their belongings with them and not obstruct gangways.
- Take litter with them.

53.3 Pupils must not:

- Consume food or drink
- Smoke or drink alcohol
- Interfere with emergency exits, doors, windows or safety equipment
- Play music, unless using personal headphones
- Distract the driver by any means
- Make excessive noise

Extreme behaviour of any type, including distracting the driver and making excessive noise or any other action that interferes with the safety of the passengers, driver and other road users may result in an immediate and permanent suspension.

53.4 If a pupil causes damage to a vehicle or other property they or their parent will have to pay for the damage and could be prosecuted. Thurrock Council will support transport operators and the police in taking action against anyone who acts in a way that puts the safety or well-being of other users of the transport at risk.

53.5 Drivers will report incidents of poor behaviour to the pupil's school. The Head Teacher of a school is able to take action for poor behaviour that takes place outside of the school premises.

53.6 Thurrock Council will not tolerate bullying or discrimination on the transport it provides. Pupils should report any poor behaviour and

action may be taken both by the Council and the Head Teacher and/or police.

53.7 Any sanctions imposed by the Council as a result of poor behaviour will be reviewed. As with all aspects of home to school transport there is a process in place for the lodging of appeals or complaints to the Council.

53.8 **Sanctions for inappropriate behaviour.**

Thurrock Council reserves the right to suspend or terminate transport for violent or abusive behaviour or where the safety of those operating or travelling on the transport are in jeopardy.

54. **Sustainable Travel to School**

54.1 Thurrock Council actively endorses and supports schools to take responsibility for encouraging school journeys to be taken by sustainable modes of travel to:

- mitigate acute and localised congestion
- mitigate local air quality issues
- improve road safety
- improve childhood physical activity rates
- reduce childhood obesity
- improve wellbeing of school pupils

54.2 Sustainable modes of travel include travelling:

- on foot
- by bike
- by public transport (bus and rail)

54.3 School journeys undertaken by motorised vehicles should be avoided wherever possible, with suitable alternatives in place to encourage the uptake of sustainable travel. This includes initiatives and incentives to encourage healthier lifestyles and to improve the usage of sustainable forms of transport.

55. **School Travel Plans & Accreditation**

55.1 A school travel plan is a document produced by schools that sets out the framework for encouraging pupils to travel to and from school by sustainable modes of transport.

55.2 It plays an important part in improving road safety and encouraging pupils to walk, cycle and use public transport.

55.3 A school travel plan should include:

- a description of the school and its environment
- a baseline survey
- a summary of established good practice initiatives - specifically pedestrian training, cycling skills, road safety in the curriculum
- a summary of any road safety or schools transport problems
- proposed initiatives with objectives and targets, e.g. a walking bus
- a delivery action plan to achieve objectives and targets
- plans for monitoring and review
- school transport provision

55.4 Every school in Thurrock has a school travel plan and they are required to monitor travel behaviour and to review and update their plans annually.

56.5 Modeshift STARS provides an online portal for schools to monitor and report on initiatives undertaken by pupils, staff and parents, setting different criteria to meet in order to be accredited bronze, silver or gold.

Assessments take place three times during the course of an academic year, with schools being awarded in September of each year.

Please check with the school your child attends / would like to attend to view a copy of their Travel Plan or to find out the level of accreditation they have been awarded.

57. Initiatives & Resources

57.1 In order to support schools to encourage more pupils to travel sustainably to school, Thurrock Council provides a range of initiatives and resources. The initiatives and resources are dependent on the funding available and rely on school staff to work with council officers to deliver the initiatives.

57.2 Please check with the school your child attends / would like to attend to see what initiatives and resources are available.

- Pedestrian Training for parents of reception pupils,
- Scooter Training for Year 1
- Kerbcraft for Year 2
- Level 1 Bikeability for Year 4
- Level 2 Bikeability for Year 6

57.3 Park and stride - Parents are encouraged to park a short distance from the school and then walk with their children the rest of the way. Park

and stride provides an ideal opportunity for children to be physically active, which is important to their wellbeing.

- 57.4 School crossing patrol service - There are currently 18 school crossing patrol sites in Thurrock. Although it is a parent's responsibility to ensure their child's welfare on the journey to and from school, the school crossing patrol officers are there to provide safer places to cross.
- 57.5 Walking Bus - A Walking Bus is a great way to encourage more children to walk to and from school. Each 'bus' consists of a group of children, who are escorted by a minimum of two parent volunteers – a 'driver' at the front and a 'conductor' at the back. A walking bus can take up to 16 children who walk in pairs.
- 57.6 Cycle Train - A Cycle Train is similar in approach to the Walking Bus scheme. Each cycle train follows a planned route and consists of a group of children wearing hi-visibility clothing escorted by parent volunteers.

58. Volunteers

Volunteer helpers may be recruited for any of the Council organised Walking Buses or Cycle Trains. They will be recruited in accordance with the Department for Education's Keeping Children Safe in Education Guidance and be given suitable training.

59. Payment of charge (where applicable)

Any charge will be payable in advance in either one instalment or in multiple instalments as agreed with the Awards and Benefits Team. The first instalment or full amount is due in the month of August of each year.

Where transport is awarded due to eligibility against criteria in this policy, any changes in circumstances should be notified to the Awards and Benefits Team who will reassess eligibility.

60. Advice on Benefits

Advice on entitlement to benefits can be obtained from the Council's Awards and Benefits Team or by using the following link:

<https://www.gov.uk/browse/benefits/entitlement>

DRAFT

Appendix 1

Glossary

Word	Definition
The Act	the Education Act 1996
Borough	the Borough of Thurrock
Child	also means Children
Compulsory School Age	Between the ages of 5 and 16 years old. “beginning at the start of the term following a child's fifth birthday” and “ending the last Friday in June of the school year in which they are 16”.
Council	Thurrock Council
Council Contact Details	<p>Awards and Benefits ☎ 01375 652511 email: awards@thurrock.gov.uk</p> <p>School Admissions ☎ 01375 652883 email: School.Admissions@thurrock.gov.uk</p> <p>SEN Team ☎ 01375 652555 email: sen@thurrock.gov.uk</p> <p>Passenger Transport ☎ 01375 413883, email: passengertransport@thurrock.gov.uk</p>
DBS	<p>Disclosure and Barring Service, formerly Criminal Records Bureau (CRB).</p> <p>The DBS enables organisations in the public, private and voluntary sectors to make safer recruitment decisions by identifying candidates who may be unsuitable for certain work, especially that involve children. DBS certificates are valid for up to 3 years</p>

Denominational School	<p>A school associated with a particular religious denomination or faith.</p> <p>A school funded, sponsored and / or controlled by a specific religion or faith.</p>
EHC Plan	<p>Education, Health and Care Plan.</p> <p>A unique plan heavily focused on the individual personality and requirements of each child. The plan contains details of the special education, health and care needs of the individual child or young person.</p>
Eligible Child	As defined in Schedule 35B of the Education Act 1996; a child attending their nearest suitable school that also meets the Home to School distance requirements.
Entitled Child	A child that the School accepts is practicing in the faith to which the Denominational School subscribes to. The school may require evidence that the child, and their family, attend the Church, Chapel, Madrasa, Mosque, Synagogue or Temple, etc. to which the school is associated with.
Nearest suitable School	<p>Nearest suitable school is defined as a school designated by the Council as the nearest appropriate school to the home address with places available that provides education appropriate to the age, ability and aptitude of the child, and any special educational needs that the child may have.</p> <p>The nearest suitable school for a child with special educational needs may well be different than for other children.</p>
Non-Eligible	A child attending a school, selected by their Parents, which is not their nearest suitable school, but who meets the Home to School distance requirements.
Non-Entitled Child	A child that is not practicing the faith to which the Denominational School subscribes
Looked After Children	Children that are "Looked After" by, or in the care of, the Council as defined by the Children Act 1989
PAN	The published admission number or PAN is the number of pupils in each year group that the admission authority has agreed will be admitted without causing problems for the school.
Parent	The term includes Mother, Father, Carer or Guardian
Passenger Assistant (Escort)	A Passenger Assistant assists the child / young person, helping them to get on and off the vehicle, ensuring their safety and comfort and supporting them during the journey to and from school.

Qualifying Benefits	<p>Maximum level of Working Tax Credit (WTC)</p> <p>Free school meals. Children in School Years 1 and 2 receiving “Fee” schools meals as a result of the Governments Universal Infant Free School Meals policy will not automatically be considered eligible for fee school transport.</p>
Safe Route	<p>A safe route is one which is considered safe to be walked, accompanied as necessary by a parent or other responsible adult.</p> <p>also see Unsafe routes</p>
Selective Schools	A school that admits students on the basis of some sort of selection criteria, usually academic
SEN and SEND	A child or young person has SEN if they have a learning difficulty or disability which calls for special educational provision to be made for him or her. A child of compulsory school age or a young person has a learning difficulty or disability if he or she has a significantly greater difficulty in learning than the majority of others of the same age, or has a disability which prevents or hinders him or her from making use of educational facilities of a kind generally provided for others of the same age in mainstream schools or mainstream post-16 institutions.
SEN Assessment	The identification and statutory assessment of children with special educational needs of a kind and degree which requires the LA to determine the educational provision, equipment required to support a child as well as advice to parents, schools and other agencies
School	Any institution at which people receive formal education. Includes Academies which are distinguished by the fact that they usually come under the direct control of the central government as opposed to schools that usually fall under the jurisdiction of local governments. An academy is rather independent in terms of curriculum, and may also receive support both financial, as well as material, from various sponsors.
Selective Schools	A school that admits students on the basis of some sort of selection criteria usually academic.
Travel assistance	Any of the arrangements the Council
Unintentionally homeless	A person who through no fault of their own has become homeless. Those who have not deliberately done, or failed to do, something that caused them to become homeless,
Unplaced	A child has been refused a place at their nearest school or schools; due to no place being available the child is defined as “Unplaced”. It is the Council’s duty to ensure that Unplaced children, especially the most vulnerable, are offered a place at a suitable school as quickly as

	possible.
Unsafe Route	An unsafe route is defined as where ‘the nature of the route is such that the child cannot be reasonably expected to walk, accompanied if necessary, in reasonable safety’. Such routes are assessed thoroughly against set criteria (including nature of footways and crossings, traffic flow and visibility).
Words in the masculine also include the feminine, and vice versa. Words in the singular also mean the plural.	

The definitions below are taken from the Education Act 1996

Section 444(5) of the Act defines the statutory walking distances.

Schedule 35B of the Act defines:

‘eligible children’ (paragraphs 2-7 and 9-13);

‘qualifying school’ (paragraph 15);

‘disabled child’ (paragraph 15(4));

‘religion and belief’ (paragraph 15(6)) and 509AD of the Act;

‘low income family’ (paragraphs 9-14).

Section 579 of the Act defines ‘child’.

Section 509AC of the Act defines ‘compulsory school age’.

The Equality Act 2010 defines ‘religion or belief’ for the purposes of this Act.

The Children’s and Families Act section 10 defines ‘SEN’

Appendix 2

Thurrock Council Exceptional Circumstances Scheme

Guidance notes

(Please read these guidance notes before completing the application form)

You may apply for assistance for all or part of your child's travel costs if you do not meet the criteria of eligible child or stated discretionary awards. There is no definition of exceptional circumstances, but you should set out as fully as you can what you would like us to take into account, including the length and nature of the journey, personal or social difficulties, experiences, such as bullying or domestic violence that make it necessary for your child to move school/not be able to walk etc. If we ask you for evidence, this must be provided as soon as possible and within ten working days. Awards are not backdated. They are given for a maximum of one year, and are subject to the same conditions of repayment in the case of error and fraud that apply to all awards.

The Council will decide whether transport is necessary to enable the child get to school. Exceptional transport is a discretionary award and the Council will consider circumstances that are entirely exceptional. Parents will need to give a statement of their circumstances and it is essential they show why they require assistance.

With the exception of any contracted travel provision where this exception does not apply, should parents decide to use different transport methods the Council may pay an amount equal to the cost of travel at the lowest costs. Parents will be responsible for any shortfall and evidence of expenditure will be required.

The Council will be responsible for determining what the lowest cost transport is by using information obtainable on the internet, or such other sources that are available. The Council's offer will be considered to be final and there will be no right of appeal on the amount offered.

Examples of situations that might be considered exceptional depending on individual cases. (This is for guidance only).

Include, but are not limited to the following examples:

- Medical condition of a child,
- Medical condition of a parent,
- Family residing in temporary accommodation and on the housing list

- Mother / Father moved into a refuge,
- Looked After Child / Child who is the subject of a child protection plan,
- Bullying,
- Complex social circumstances experienced by the family,
- Sudden and traumatic change of family circumstances outside the family's control,
- For reasons outside the family's control they are unable to ensure their child gets to school safely.
- Sudden and traumatic change of family circumstances outside the family's control,
- Child is the subject of a child protection plan,
- For reasons outside the family's control they are unable to ensure their child gets to school safely

The situations that would be **unlikely** to be considered exceptional are:

- work or study commitments mean the parent cannot take their child to school or a pick up point,
- family breakdown and fragmentation

How do we deal with exceptional circumstances?

Under the exceptional circumstances policy, each case will be considered individually and on its merit. Exceptional home to school transport will be provided up to a maximum of one academic year, based on the period of time covered by the evidence provided. We will review such arrangements at the end of each term. Transport will be allocated specifically for the exceptional circumstance and will be withdrawn once the need ceases.

Where we are unable to make an exceptional circumstances award it remains the parent's responsibility to ensure that the child attends school regularly and must make appropriate arrangements for this. In some cases it may be possible for the child to transfer to a nearer school where there is a place available.

The evidence you provide **MUST** be dated within the last six weeks.

Applications for exceptional transport must be made in writing with supporting evidence. You must demonstrate clearly that:

- you are not able to transport your child yourself both logistically and financially
- there are strong educational reasons to keep your child at their current school rather than move to a more local school where they could walk to school or be entitled to transport within the policy.

Before we consider the application we will normally need the application to be supported by either or both of the following depending on the circumstance:

- written evidence from a suitably qualified specialist stating that the child is unable to walk to school.
- a written endorsement of the exceptional circumstances from a senior officer of the council, such as an Education Welfare Officer or Principal Social Worker.

In considering exceptional circumstances the general expectations are that:

- If one parent cannot take the pupil to school the other parent, another relative or a friend will assist,
- The distance criteria will usually still apply,
- The family's financial circumstances significantly limit their ability to find their own solution.

Further details and examples of circumstances that may be considered to be Exceptional can be found in the Exceptional Circumstances Application form, Appendix 2, which, can be obtained by contacting the Awards and Benefits Team by telephone: 01375 652511 or email: awards@thurrock.gov.uk

Appendix 3

Exceptional Circumstances Application Form

Pupil(s) details:

Child 1

Surname

First name

Date of birth

Does this child have a Statement of Needs?

YES

NO

Which school is the child attending?

Child 2

Surname

First name

Date of birth

Does this child have a Statement of Needs?

YES

NO

Which school is the child attending?

Child 3

Surname

First name

Date of birth

Does this child have a Statement of Needs?

YES NO

Which school is the child attending?

Home Address

Post code

Parent/Carer name

Relationship to child

Contact numbers:

Mobile

Home

Other contact numbers

Email address

Date transport required:

Length of time transport required

(If the circumstance considered is ongoing any transport awarded will be reviewed either annually, monthly or termly – depending on the term of the award.)

Please give full details on separate sheet of why you are applying for travel assistance. You should attach copies of all supporting evidence, and provide any further evidence if requested within the time given. Without full supporting evidence we may be unable to consider the application and support cannot usually be backdated.

Would you like the school or your local Councillor informed of your application?

School YES NO

Local Councillor YES NO

Parent/Guardian agreement

I understand that:

This is my application for home to school travel assistance for my child.
I am declaring that the information given on this form is correct. I understand that if I have given false or misleading information I may have to repay monies I receive as a result and that I could be prosecuted.

If an award is paid in error I will be notified and travel assistance withdrawn on notice. I may be required to repay any monies received

Parent/Care signature Date

Please return completed application forms and all supporting documentation to:
Educational Awards and Benefits Department, Civic Offices, New Road, Grays,
Essex, RM17 6SL

Thurrock Council will use and store the information I give on this form in compliance with the Data Protection Act 1998.

FOR INTERNAL USE ONLY:

Assessor name:

Transport awarded: YES NO

Start date End date:

Decision Agreed by Dated

Appeal Agreed by Dated

Please use the details below for further information:

Email address: [awards and benefits@thurrock.gov.uk](mailto:awards_and_benefits@thurrock.gov.uk)
Telephone: 01375 652511 - Educational Awards and Benefits Team

Appendix 4

Thurrock Council

Home to school transport application

Please complete a separate form for each child and return to: **Education Awards and Benefits, Thurrock Council, Civic Offices, New Road, Grays, RM17 6SL**

How we will use your information

The information you provide on this form will be used to process your application for transport to school. We may need to ask you for evidence of the benefits you receive.

We need to collect your contact details and financial information. This information will be stored securely and confidentially with the Revenues and Benefits team on their database and in printed copy. Our Special Education Needs Case Management Team and Passenger Transport Unit will also have access to the information so that they can consider your request.

Access will be on a strictly need to know basis and data will be kept for seven years before being securely deleted/destroyed. Your data will not be shared with any external third parties unless the law allows, such as to prevent or detect crime. By signing the form you are agreeing to your data being processed in this way.

Student's details

Surname	
First name	
Address	
Postcode	
Date of birth	
Male or female	<input type="checkbox"/> male <input type="checkbox"/> female
Year of study	<input type="checkbox"/> year 1 <input type="checkbox"/> year 2 <input type="checkbox"/> year 3 <input type="checkbox"/> year 4 <input type="checkbox"/> year 5 <input type="checkbox"/> year 6 <input type="checkbox"/> year 7 <input type="checkbox"/> year 8 <input type="checkbox"/> year 9 <input type="checkbox"/> year 10 <input type="checkbox"/> year 11
School to be attended	

Transport

Nearest boarding point to your home address, if known	
Date transport is first needed* *We cannot guarantee transport form this date	

We issue a credit card-style pass for students in years 7 to 11. A recent passport-style photo of the student must be included with this application if they attend in these years.

Write the applicant's name on the back of the photo – do not staple the photo to this form

DRAFT

Your details, as claimant – parent or carer

Surname										
First name										
Date of birth										
Home phone number										
Mobile phone number										
National Insurance number, or NASS number										

Details of your spouse or partner, if living at the same address

Surname										
First name										
Date of birth										
National Insurance number, or NASS number										

Benefit details

This section is to be completed only if you – as parent or carer – are receiving benefits.

Which benefits do you receive currently?

<input type="checkbox"/>	Income Support**
<input type="checkbox"/>	Job Seeker’s Allowance, income-based, not contribution-based**
<input type="checkbox"/>	Employment and Support Allowance, income-based, not contribution-based**
<input type="checkbox"/>	Child Tax Credit – provided you’re not also entitled to Working Tax Credit and have an annual gross income of no more than £16,190*
<input type="checkbox"/>	Maximum Level of Working Tax Credit*
<input type="checkbox"/>	Universal Credit
<input type="checkbox"/>	The Guaranteed Element of State Pension Credit**
<input type="checkbox"/>	Support Under Part VI of the Immigration and Asylum Act 1999

* If you are receiving Child Tax Credit and the Maximum Level of Working tax Credits, please provide a copy of **ALL** pages of your award letter.

** We will seek confirmation from the Department of Works and Pensions (DWP).

Declaration

I understand that home to school transport may be provided free of charge by the Council only to those who qualify as “eligible children” under the law.

I understand that the distance from my home address to the school that my child attends or will attend using the nearest available walking route, is:

- 2 miles or more for primary aged pupils (ages 5 to 10)
- 3 miles or more for secondary aged pupils (ages 11 to 16)
- 2 miles to 6 miles for secondary aged pupils (ages 11 to 16) whose parents receive benefits

I understand that I must notify Thurrock Council’s Education Awards and Benefits section of changes in my circumstances that may affect my award – these include changes in benefit or other income, a partner moving in or out of the home, other changes in who is living at the home, and changes in address or school. If you are unsure whether a change affects your entitlement, contact us at awards@thurrock.gov.uk.

I understand that Thurrock Council is under a duty to protect the public funds it administers and to this end may use the information I have provided on this form for the prevention and detection of fraud. I also understand that it may also share this information with other bodies administering public funds solely for these purposes.

I authorise Thurrock Council to make enquiries about the validity of the information provided on this form from other central and/or local government bodies, as deemed appropriate by Thurrock Council, and hereby consent to the disclosure of any information sought in accordance with the foregoing for the purposes of the Data Protection Act 1998.

I understand that where transport is awarded because a route is deemed unsafe, and which later is deemed to be safe, I will be given notice of the change, and transport or payments will cease.

Behavioural agreement

I understand that if my child’s behaviour does not accord with the Council’s Code of Behaviour on transport that transport may be withdrawn.

I certify that the information provided is to the best of my knowledge correct and complete.

Parent or carer signature	
Full name	
Date	

For office use only	
Entitled	Refused

Contract	Dates	Reason:
Bus:	Recorded:	
Rail:	Checked:	
Taxi:	Input:	

DRAFT

Appendix 5

Thurrock Council

Palmers College transport application

Please complete a separate form for each child and return to: **Education Awards and Benefits, Thurrock Council, Civic Offices, New Road, Grays, RM17 6SL**

How we will use your information

The information you provide on this form will be used to process your application for transport to Palmers College. We may need to ask you for evidence of the benefits you receive.

We need to collect your contact details and financial information. This information will be stored securely and confidentially with the Revenues and Benefits team on their database and in printed copy. Our Special Education Needs Case Management Team and Passenger Transport Unit will also have access to the information so that they can consider your request.

Access will be on a strictly need to know basis and data will be kept for seven years before being securely deleted/destroyed. Your data will not be shared with any external third parties unless the law allows, such as to prevent or detect crime. By signing the form you are agreeing to your data being processed in this way.

Student's details

Surname	
First name	
Address	
Postcode	
Date of birth	
Male or female	<input type="checkbox"/> male <input type="checkbox"/> female
Year of study	<input type="checkbox"/> year 1 <input type="checkbox"/> year 2 <input type="checkbox"/> year 3

Which Borough do you/your parents pay council tax to?	
--	--

If you lived in Thurrock for less than 3 years please give your previous address and date of residence	
---	--

We issue a credit card-style pass for students. A recent passport-style photo of the student must be included with this application if they attend in these years. Write the applicant's name on the back of the photo – do not staple the photo to this form.

Your details, as claimant – parent or carer

Surname									
First name									
Date of birth									
Home phone number									
Mobile phone number									
National Insurance number, or NASS number									

Details of your spouse or partner, if living at the same address

Surname									
First name									
Date of birth									
National Insurance number, or NASS number									

Benefit details

This section is to be completed only if you – as parent or carer – are receiving benefits.

Which benefits do you receive currently?

<input type="checkbox"/>	Income Support**
--------------------------	------------------

<input type="checkbox"/>	Job Seeker's Allowance, income-based, not contribution-based**
<input type="checkbox"/>	Employment and Support Allowance, income-based, not contribution-based**
<input type="checkbox"/>	Child Tax Credit – provided you're not also entitled to Working Tax Credit and have an annual gross income of no more than £16,190)*
<input type="checkbox"/>	Universal Credit
<input type="checkbox"/>	The Guaranteed Element of State Pension Credit**
<input type="checkbox"/>	Support Under Part VI of the Immigration and Asylum Act 1999

* If you are receiving Child Tax Credit please provide a copy of **ALL** pages of your award letter.

** We will seek confirmation from the Department of Works and Pensions (DWP).

Declaration

I understand that Post 16 transport may be provided free of charge by the Council only to those who qualify as “eligible children” under the law. I understand that this means that I live 3 miles or more from Palmers College my child, who is between 16 and 19, attends or will attend and I am in receipt of one of the eligible benefits. My child has lived in the area covered by Thurrock on 30th June in the year before applying.

I understand that I must notify Thurrock Council's Education Awards and Benefits section of changes in my circumstances that may affect my award – these include changes in benefit or other income, a partner moving in or out of the home, other changes in who is living at the home, and changes in address or school. If you are unsure whether a change affects your entitlement, contact us at Awards@thurrock.gov.uk.

I understand that Thurrock Council is under a duty to protect the public funds it administers and to this end may use the information I have provided on this form for the prevention and detection of fraud. I also understand that it may also share this information with other bodies administering public funds solely for these purposes.

I authorise Thurrock Council to make enquiries about the validity of the information provided on this form from other central and/or local government bodies, as deemed appropriate by Thurrock Council, and hereby consent to the disclosure of any information sought in accordance with the foregoing for the purposes of the Data Protection Act 1998.

I understand that where transport is awarded because a route is deemed unsafe, and which later is deemed to be safe, I will be given notice of the change, and transport or payments will cease.

Behavioural agreement

I understand that if my child's behaviour does not accord with the Council's Code of Behaviour on transport that transport may be withdrawn.

I certify that the information provided is to the best of my knowledge correct and complete.

Parent or carer signature	
Full name	
Date	

For office use only		
Entitled		Refused
Contract	Dates	Reason:
Bus:	Recorded:	
Rail:	Checked:	
Taxi:	Input:	

Appendix 6

South Essex College

Transport Booking Form

To be returned by all students attending Thurrock Campus or Basildon Campuses at South Essex College

Name : _____ D.O.B. _____

Campus : Thurrock / Basildon
(please delete as appropriate)

Suggested Boarding point :

Course Title : _____ Duration: _____

Please attach and return with the completed application form.

**FAILURE TO COMPLETE AND RETURN THIS
FORM WILL RESULT IN NO TRANSPORT
BEING PROVIDED**

ADDITIONAL INFORMATION (FOR SPECIAL NEEDS STUDENTS ONLY)

Please tick the boxes that apply to you or your difficulty/needs

Travel Sickness

Large Wheelchair

Crutches

Hearing Impaired

Wheelchair

Walker

Trained Nurse

Behavioural Difficulties

Blind/Sight Difficulties

Epilepsy

Seating - Harness

Autistic

Do you take any special medication for your disability? If yes please state which medication you are taking below :

Office use only

Contract number



DRAFT

Post 16 Transport Assistance 2016/2017

Notes of Guidance and Application Form

General information

The following information applies to new/returning students who are between 16 years and under 19 years of age on 1st September of the year in which you apply. Assistance is only given to students who meet our criteria and Councilors review the policy each year. If travel assistance is awarded in one academic year free transport is not automatically awarded for further years.

Students attending **Palmers** should apply directly to the college for travel assistance.

Are you eligible?

We assess students under the following criteria:

- You must have lived in the British Isles throughout the three years immediately before 1st September of the year in which you apply. For courses starting in the Spring or Summer terms the qualifying dates are 1st January and 1st April respectively. You will not be eligible if you are living in the UK wholly or mainly for education purposes. Special arrangements apply to students whose parents have been temporarily working abroad and to some people from other European Union Countries.
- You must have lived in an area covered by Thurrock Council from the 30th June in the year before you apply. For courses starting in the Spring term this date is the 31st October and for the Summer term is the 28th February.
- Your course must be registered as full time at a maintained college or school. The subjects you take must be either an academic or vocational progression (from those qualifications that you have previously achieved). We will not fund you to do re-sits.
- Travel will only be funded if you live 3 miles or more from the school/college by the shortest available walking route. The route measured is from your front gate to the nearest school/college gate. Thurrock Council use the Datamap system to calculate this distance which uses the quickest, safe walking route for students. This can include footpaths and has been assessed by an independent body to ensure accuracy.
- Travel will only be funded if you attend the nearest publicly funded school or college that offers the course you wish to study. If you are going to study a multi subject course, such as A levels, IB or GCSEs, then you are expected to go to the nearest school or college that offers 50% or more of those subjects, for example 2 out of 3 subjects, or, 2 out of 4 subjects.
- If you apply to the nearest school/college and are not offered a place, you can be considered for transport to the next nearest school/college. You must attach the letter of refusal to your application for transport to the next nearest that can offer a place.

If you are applying **after** the start of the academic year, we must receive completed applications before the closing date for the term you wish to commence your transport. These are:

- Autumn Term by 1 August
- Spring Term by 31 January
- Summer Term by 30 April

If we do not receive forms by these dates, we cannot guarantee transport will be provided for the start of the school term.

Benefit Eligibility

There will be no charge for students or families that are in receipt of:

- Income Support (IS)
- Job Seeker's allowance (Income Based)
- The Guaranteed element of State Pension credit
- Child Tax Credit-provided you're not also entitled to Working Tax Credit and have an annual gross income of no more than £16,190) as assessed by the Inland Revenue
- Income related employment and support allowance
- Universal credit

- Financially supported by NASS.
- Support Under Part VI of the Immigration and Asylum Act 1999

What sort of transport will be awarded?

The Passenger Transport Unit (PTU) has to provide the most economical form of transport that is practical for students and is also committed to the use of public transport. The PTU has the final say in the type of transport awarded.

Public transport

Public service bus and rail season tickets are ordered termly by the Passenger Transport Unit. British Rail season tickets/bus passes will be sent to the home address, unless otherwise agreed. A passport sized photograph must accompany your application. It is important that you carry your tickets at all times as they will be inspected on all journeys. **You will be responsible for the cost of your journey if the ticket is not available or lost.**

The PTU is unable to refund any fares paid or fines incurred for not having the appropriate ticket. Although tickets are issued on a termly basis the photo card is valid for at least one year, if not longer. Please ensure you retain the photo card until a new one is issued.

Contract Transport

Apart from public transport, the PTU operates contracted transport to some colleges. Tickets are issued as soon as possible at the start of each academic year by PTU and sent to your college, along with a timetable for the contracted vehicle.

Fuel Allowance

Fuel allowance will only be considered where no form of public transport is available, or you are unable to use public transport for medical or timetable reasons. However, documentary evidence will be required, for example a letter from your doctor detailing your condition or a letter from the college stating timetable problems.

Change of Transport

If you feel the transport awarded is incorrect please contact this office as soon as possible. If you wish to change to another mode of transport please write to this department with the type of transport needed and the reason for the change. You must not return the ticket issued until your request has been approved by this office. The PTU has the final say in the type of transport awarded.

Claiming back fares already paid

Whilst the Education Awards and Benefits Department aim to process all completed applications within 5 working days and PTU arrange transport within 10 working days, at the busier periods in the year you should be prepared to fund your own travel costs until transport can be arranged. If you are entitled to assistance you will be entitled to a refund of those expenses. Therefore, you must obtain receipts and attach these securely to claims form for reimbursement.

Reimbursement will only be made back to the date the authority received your **application**.

Fares for work placements

It is the responsibility of the college to assist students with their work placement travelling costs.

Appeals

If your application is refused, a family may apply for support from the Council because of exceptional circumstances that mean that they face some form of hardship. Applications must be made on the appropriate form available from the Education Award and Benefits Department by calling 01375 652511. We will consider each case individually.

Conditions of the travel award

1. You must maintain attendance and make satisfactory progress during your Course
2. You must agree to tell us immediately about any:
 - a) decisions to change or end your course early;
 - b) interruption to your studies;
 - c) change in living arrangements from those taken into account in the assessment
 - d) change of address
3. We assess your travel assistance in according with the above policy.

In making this application you are agreeing the following conditions:

I have not previously applied to Thurrock Council for travel for this year. If I do not attend 6th form or college for any part of the period covered by the travel award or I move out of the Thurrock area, I will refund any money you ask me for (including a proportion for season tickets, if applicable). If you are under 18 we will send the bill to your parent or guardian.

I authorise Thurrock Council to make enquiries about the validity of the information provided on this form from other central and/or local government bodies, as deemed appropriate by the Authority and hereby consent to the disclosure of any information sought in accordance with the foregoing for the purposes of the Data Protection Act 1998.

Warning - it is an offence to obtain travel assistance by deception.

Travel assistance queries

Apply by post

You should send completed forms (including college certificate) and all correspondence about travel to:

Education Awards & Benefits Department
Thurrock Council
Civic Offices
New Road
Grays
RM17 6SL

If you want us to acknowledge that we have received the application form, please send a stamped address postcard, which we will return to you when we receive the form in our office.

By phone or personal visits

You can phone or visit the office between 8:45am and 5:15pm from Monday to Thursday and on Friday between 8:45am and 4:45pm. The Education Awards and Benefits Department telephone number is 01375 652511.

Checklist

Please complete this checklist to ensure that the form has been completed with all the relevant information and all evidence required has been attached.

Please remember the deadline for Post 16 transport applications is the 1st August 2016, any applications received after this date are not guaranteed transport at the start of term

Students

- Have you read the notes and guidance for Post 16 Transport?
- Have you read the notes and guidance for Post 16 Transport?
- Have you completed all relevant sections of the form?
- Have you enclosed an acceptance letter for your chosen school/ college, or had part F completed and signed by your school/ college?
- Have you enclosed a passport size photo and written your name on the reverse

Parent/ (s)

- Have you read the notes and guidance for Post 16 Transport?
- If you have indicated benefits, have you completed your National Insurance Number or National Asylum Seekers ref number and date of birth?
- If you have indicated 'Child Tax Credit' ONLY as your benefits, have you provided a copy of all the pages of your 2016/17 Child Tax Credit award
- Have you signed the declaration on page 9?

Please keep pages 1 to 6 for your reference and complete and return pages 7 to 11 to:-

Transport awards — For NEW students over 16

Application form for travel for **new** students aged between 16-19 starting full-time courses in September 2016.

Please note there is a charge for Post 16 Transport ensure you have read the notes when you complete

How we will use this information you provide

The information you provide on this form will be used to process your payments for transport, OR to access your eligibility for financial help with transport. We may need to ask you for evidence of your Benefits. We need to collect your contact details and financial information. This information will be stored securely and confidentially with the Revenues and Benefits team on their data base and in hard copy. The Special Education Needs Case Team and Passenger Transport Unit will also have access to this information so that they can consider your request. Access will be on a strictly need to know basis and data will be kept for seven years before being securely deleted/destroyed. Your data will not be shared with any external third parties unless the law allows (such as to prevent or detect crime). By signing the form you are agreeing to your data being processed in this way. Your form must also be signed by your parent/s or carer with full parental responsibility for you

Closing date for the academic year 2016/2017

1st August 2016

Please note- If we receive forms after this date, we cannot guarantee transport will be arranged for the start of the term.

Part A (To be completed by all students)

1. Students surname

2. Students first Name(s)

3. Title

5. Date of Birth

6. Age you will be on the 1st Sept

7.(a) Home Address

(b) Telephone - Landline
Number - Mobile

(c) Which Borough do you/your parents pay council tax to?

(d) If you have lived in Thurrock for less than 3 years please give your previous address(es) and date (s) of residence.

OFFICE USE ONLY

Acknowledged

Registered	Date	<input type="text"/>
	Initials	<input type="text"/>

-
-
-
-
-
-
-
-
-
-
-

8. Details of the last three schools or colleges you attended

Name of school/ College or Town	Month from	Year	Month to	Year	Was it full or part time

Office use only

TRANSPORT AWARD	
Contract	
Operator	
Date & Initials	

9. Previous Study

(a) If you have left the last college or school before the end of the academic year

(b) Has the student ever received transport from Thurrock Council?

YES NO

12. New College/School and course details

(a) Name of college/ School you will Attend.

(b) Which campus/ site is your course at?

(c) Exact course title and level of course, for example NVQ 3.

(d) Subject(s), for example Maths, English.

(e) Total length of the course Month Year
Starts

Part B Benefit Details

(To be completed by yourself / your parent(s) ONLY if in receipt of benefit)

Please tick which benefits you are currently in receipt of-

<input type="checkbox"/>	Income Support (IS)
<input type="checkbox"/>	Income-related (not contributed based) Job seekers allowance (IBJSA)
<input type="checkbox"/>	Income-related Employment and Support Allowance
<input type="checkbox"/>	The Guarantee element of the state Pension Credit
<input type="checkbox"/>	Child Tax Credit (where there is no Working Tax Credit) AND the total house hold Income , as assessed by the Inland Revenue, that does not exceed £16,190
<input type="checkbox"/>	Financially supported by NASS (National Asylum Support Service).
<input type="checkbox"/>	Universal Credit

Please note that we will seek confirmation from the Department of Work and Pensions (DWP) to confirm your benefit entitlements. If this is unsuccessful we will request this information from you.

Details of Claimant / Parent	Please complete ALL details
Surname:	Date of Birth <input type="text"/>
	National Insurance Number or NASS Number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Details of Spouse/Partner (to be completed if you live at same address) Please complete ALL details	
Surname:	Date of Birth <input type="text"/>
	National Insurance Number or NASS Number <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

Part B Declaration

I understand that Post 16 transport may be provided free of charge by the Council only to those who qualify as “eligible children” under the law. I understand that this means that I live 3 miles or more from the college/sixth form my child, who is between 16 and 19, attends or will attend and I am in receipt of one of the eligible benefits.

I understand that I must notify Thurrock Council's Education Awards and Benefits section of changes in my circumstances that may affect my award – these include changes in benefit or other income, a partner moving in or out of the home, other changes in who is living at the home, and changes in address or school. If you are unsure whether a change affects your entitlement, contact us at Awards@thurrock.gov.uk.

I understand that Thurrock Council is under a duty to protect the public funds it administers and to this end may use the information I have provided on this form for the prevention and detection of fraud. I also understand that it may also share this information with other bodies administering public funds solely for these purposes.

I authorise Thurrock Council to make enquiries about the validity of the information provided on this form from other central and/or local government bodies, as deemed appropriate by Thurrock Council, and hereby consent to the disclosure of any information sought in accordance with the foregoing for the purposes of the Data Protection Act 1998.

I understand that transport provided or payments made which are found at a later date to be fraudulent will be recovered from me.

Behavioural agreement

I understand that if my child's behaviour does not accord with the Council's Code of Behaviour on transport that transport may be withdrawn.

1. Student signature.	<input type="text"/>	Date	<input type="text"/>
2. Parents/Guardian signature.	<input type="text"/>	Date	<input type="text"/>
3. Parents full name	<input type="text"/>		

Part C:

Please attach a copy of your offer letter to your application.

Alternatively, if this is not available to you, your college or 6th form school must fill in this section before the form is returned.

1.
 - (a) The student has been offered and accepted a provisional/definite place on the course shown in part A question 11.
 - (b) The student's course does not receive any funding, for example from the European Social Fund or Essex Training and Enterprise Council.

2.(a) Will late travel be needed? Yes No

Days and Dates	Site	Finish Times	Reason

3. College dates

If the college is outside the boundaries of Thurrock or Essex, please give the term dates

From	To
Autumn	
Spring	
Summer	

4. What level is the course?

Further Education Higher Education

5. Is the applicant starting the course late?

Yes No

If YES, please give the first day of attendance

Your signature

Name

Date

College or school stamp

Please tick which evidence you are submitting?

Copy of offer Letter School Stamp (please use the box)

You must sign the application form before it is posted to:

Awards & Benefits Section,
 Thurrock Council,
 Civic Offices,
 New Road,
 Grays,
 Essex,
 RM17 6SL.

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13 July 2016		ITEM: 13 (Decision 01104375)
Cabinet		
Environmental Enforcement		
Wards and communities affected: All	Key Decision: Key decision.	
Report of: Cllr Pauline Tolson, Portfolio Holder for the Environment		
Accountable Head of Service: Lucy Magill, Head of Residents Services		
Accountable Director: Steve Cox, Corporate Director, Environment and Place		
This report is Public		

Executive Summary

The physical appearance of the Borough is a top priority for the Council. The Council is committed to implementing measures to address and improve Thurrock's appearance through a 'zero tolerance' campaign to 'Clean it; Cut it; Fill it'. Taken as a combination this top priority will see immediate and longer term measures to tidy the Borough of litter and fly tipping, to increase the frequency of grass cutting, and to fill more pot holes more quickly.

Persistent problems of littering and fly tipping in particular are creating a negative perception of the Borough for residents, businesses and visitors. Enforcement has an important role to play in addressing these problems and this report addresses three matters relating to environmental enforcement. They are the introduction of a fixed penalty for small scale fly tipping, enforcing against businesses without waste disposal contracts and setting out options for enhancing the Council's environmental enforcement capability. It also sets out plans for a campaign to reduce littering.

1. Recommendations:

That Cabinet:

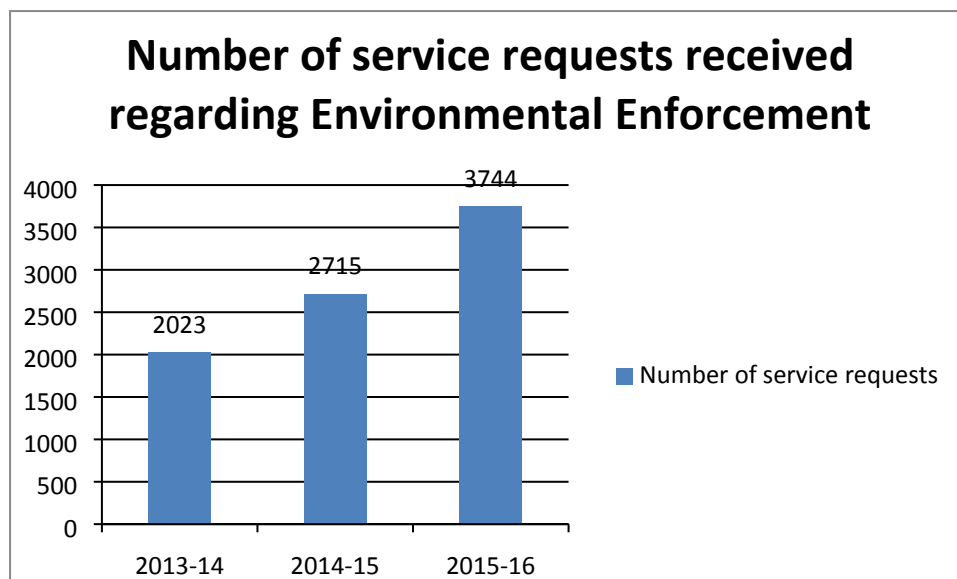
- 1.1 **agrees to implement a scheme for the issuing of fixed penalty notices for the unauthorised disposal of waste, sets the fixed penalty amount at £400 and does not set a reduced amount for prompt payment.**
- 1.2 **agrees that the environmental enforcement resource be enhanced, requests that costed business cases be prepared for the options set out in the report and that Cleaner, Greener, Safer Overview and Scrutiny**

consider those options at its October 2016 meeting before being brought back to Cabinet.

- 1.3 notes that £20,000 has been identified from in year back office savings to enhance the environmental enforcement resource in 2016/2017.**
- 1.4 agrees to implement a scheme for the issuing of fixed penalty notices for businesses who do not provide on request to the Local Authority, copies of Waste Transfer Notes for the previous 24 months or, in the case of a newer business, from the date the business commenced trading. The amount for the fixed penalty notice as laid out in the legislation is £300.**
- 1.5 agrees to a reduced amount of £180 for the prompt payment, within 14 days of the fixed penalty notice for inability to provide a trade waste contract**
- 1.6 notes that a campaign against littering in Thurrock will begin during Summer 2016 and will include publicity relating to the issuing of FPNs.**

2. Introduction and Background

- 2.1 The physical appearance of the borough must be improved. It has suffered and continues to suffer from persistent fly tipping and littering across our town centres, open spaces, country lanes and roadsides. As Thurrock develops a sense of place and pride improving the appearance is a top priority for residents, businesses and visitors.
- 2.2 Environmental enforcement is one of the mechanisms the Council can deploy to address this. It covers action against fly tipping, littering, abandoned vehicles, waste carrier offences, fly posting, dog fouling, littering from vehicles and graffiti.
- 2.3 The environmental enforcement team at Thurrock consists of two officers and is managed through the environmental health, environmental protection team.
- 2.4 Environmental enforcement service requests can be made, via the Thurrock website or via the report it app. There has been a significant increase in the number of service requests for environment enforcement over the last three years. In the first two months of the financial year 16/17 the team received 783 service requests.



2.5 Environmental enforcement is enforced through various pieces of legislation including the Environmental Protection Act 1990 and the Clean Neighbourhoods and Environment Act 2005. More recently the Anti-Social Behaviour, Crime and Policing Act 2014 gives the ability for Councils to use community protection notices to deal with some instances of environmental crime.

2.6 Fixed Penalty Notices can be issued for certain offences. It is the offenders opportunity to discharge their liability. If the fixed penalty notice is not paid then court action may be taken.

3. Issues, Options and Analysis of Options

A focused campaign around litter and fly tipping

3.1 A detailed marketing campaign is being developed to support the implementation of these changes. It will focus on encouraging behaviour change to reduce littering and fly tipping including promotion of successful enforcement activity and prosecutions.

3.2 The campaign will use a number of communication channels including printed materials, outdoor advertising e.g. bus shelters, information on bin stickers and our vehicle fleet, press releases and social media. The campaign will include work with the community, businesses and partners to build pride in Thurrock. It is likely to cost approximately £10,000 which will be funded from the existing central communication budget.

Fly Tipping

3.3 Fly tipping is defined as the unauthorised depositing of waste on land.

The Environmental Protection Act 1990 Section 33 deals with fly tipping and provides a maximum penalty on conviction of an unlimited fine and/ or five years imprisonment.

- 3.4 On 9th May 2016 the Unauthorised Deposit of Waste (Fixed Penalties) Regulations 2016 came into force. The regulations introduce a new fixed penalty notice for fly tipping of waste offences under Section 33 of the Environmental Protection Act 1990. The fixed penalty notices are intended to be considered as an option for dealing with small scale fly tipping incidents.
- 3.5 For individual fly tipping offences the decision to issue a fixed penalty notice or take an alternative form of action will continue to be determined with reference to the Councils Public Protection Enforcement Policy. Decisions on legal proceedings resulting from fly tipping offences will continue to be determined by relevant managers and approved by the Head of Legal Services.
- 3.6 Through this new legislation local authorities can set the level of the fixed penalty locally and when an authority does so the level must be between £150 and £400. Where this option is not taken by a Local Authority the level remains at the default level of £200.
- 3.7 Fixed penalty notices have to be paid within 14 days of being issued. Local Authorities can agree to reduced penalties locally for prompt payment (within 10 days of the notice being issued). Where a local authority exercises this option the reduced penalty must be between £120 and £399.
- 3.8 Failure to pay the fixed penalty notice renders the offender liable for prosecution for the original fly tipping offence. This paper is proposing that in Thurrock the fixed penalty is set at £400 with no reduced penalty for prompt payment.
- 3.9 With regard to littering officers already have the ability to issue fixed penalty notices for environmental crime such as littering and dog fouling where the amount of the penalty is £75. If the fixed penalty is not paid the offender could be taken to court and fined up to £2500. The use of these powers depends on the resources available, a matter addressed under the enforcement resource section below.
- 3.10 A further cause of littering is unsheeted or poorly sheeted lorries on Thurrock's roads that deposit rubbish along our roadsides. We are continuing to work with Essex Police and Highways England to address this. A recent operation by Essex and Police and Connect Plus Services (for Highways England) resulted in 13 lorry drivers receiving £100 fines for incorrect or no sheeting. We will work with both partners to ensure more enforcement operations take place and with local businesses to raise awareness of the issue and its impact.

- 3.11 The Council is obliged to remove fly tipping from its own land but not from land in private ownership, that is the responsibility of the landowner, for example those responsible for private flats. The Council is considering the introduction of a 'pay to clear' scheme whereby the Council will clear rubbish tipped on private land for a fee. This work will also consider an approach on land that is unregistered or in complex ownership, such as alleyways.

Trade Waste

- 3.12 Some of the fly tipped waste we are seeing within the borough can be categorised as trade waste, where it may be being fly tipped in streets or businesses are using public litter bins to dispose of their waste.
- 3.13 The Council has now employed a trade waste enforcement officer who will ensure that businesses in Thurrock are complying with the requirements of the Environmental Protection Act with regards to the disposal of their waste.
- 3.14 Any business not able to provide, on request, evidence of a waste disposal contract for the previous 24 months, or since beginning trading if less than 24 months, will be issued a fixed penalty notice for the amount of £300, as set by the legislation.
- 3.15 If the fixed penalty notice is paid within 14 days this amount will be discounted to £180.

Environment Enforcement Resources

- 3.16 There are several ways that the environmental resourcing can be enhanced in Thurrock as set out below. It is proposed that costed business cases be prepared for each option and that Cleaner, Greener, Safer Overview & Scrutiny Committee be asked to review those options and make recommendations back to Cabinet. The options initially identified include:
- Continue as is
 - Fund an increase in enforcement officers either temporarily or permanently
 - Increase the back office resource to free up officer time to investigate service requests
 - Instruct a private enforcement company

In the short term it is proposed that £20,000 of in year back office savings be used to enhance the environmental enforcement function to address immediate issues of fly tipping, littering and addressing the backlog of service requests.

Continue as is

- 3.17 There is an increasing number of service requests in relation to environmental enforcement. As can be seen from the figures earlier in this report there is a year on year increase in the number of service requests being received.

Fund an increase in enforcement officers either temporarily or permanently

- 3.18 By increasing the number of enforcement officers within the environmental enforcement team it would lead to service requests being dealt with in a more timely manner, investigation of offences continuing whilst work out in Thurrock continued and hopefully further prosecutions or issuing of fixed penalty notices which can act as a deterrent to people considering committing environmental crime. Enlarging the team would hopefully also give some capacity for some proactive work around areas such as littering being carried out. An additional £300,000 would create an additional 5 enforcement officer posts, a supervisor and give financial capacity for transport, supplies and legal costs.

Increase the back office resource to investigate service requests

- 3.19 When a service request is received it is allocated to one of the enforcement officers to go out and investigate.
- 3.20 If having been to the site of a fly tip evidence is found the officer then has to carry out a full investigation, including writing to the alleged perpetrator, gaining witness statements, interviewing the alleged perpetrator, putting together a case file and submitting the case file to legal. All of this work means that the enforcement officer is in the office not out in Thurrock investigating other environmental crimes.
- 3.21 In the case of an abandoned vehicle administration work has to be carried out to identify the owner of the vehicle, write to them with regards to the situation, deal with getting the vehicle removed if appropriate and released back to the owner if appropriate.
- 3.22 One way of dealing with this matter could be to put additional resource in to create a back office function. This could be in terms of some basic administration to help with items such as DVLA checks for registered keepers of vehicles, closing duplicate service requests etc. Alternatively a trained investigator could be employed to carry out the investigation once the enforcement officer has gathered the initial evidence in a case. This person or persons could carry out the investigations for the enforcement officers leaving the two enforcement officers to deal with service requests as they come in and possibly carry out some proactive work, particularly with regards to littering.

Instruct a private enforcement company

- 3.23 There are several companies in the market providing services in relation to littering and dog fouling enforcement.
- 3.24 The predominant financial model operated in respect of arrangements for private companies issuing fixed penalty notices for littering and dog fouling on

behalf of councils anticipates that companies will be funded to undertake this activity through the proceeds of tickets issues and paid.

- 3.25 There are a number of caveats which appear in agreements between companies and authorities that complicate the assessment of financial implications associated with these arrangements, these include:
- Some arrangements seen by officers specify the provision of administration services by the company issuing the notices for which charges are made. This clearly adds a cost to the local authority
 - All arrangements check rely on the achievement of a specified level of collection of penalty charges by the company to pay for the contract. Where this collection level is not achieved charges accrue to the local authority.
 - All arrangements checked anticipate that where none payment arises the legal services of the local authority involved in the contract will pursue offenders at the expense of the authority.
- 3.26 In light of the above factors if the council consider entering into a contract for these services it would be prudent to estimate the level of financial provision to made to cover the contract cost in the event of levels of collection falling below the breakeven point.
- 3.27 The costs of officer time compiling the prosecution case if the fixed penalty notice were not paid and the legal costs attributable to the Council should also be factored into a financial assessment.
- 3.28 There has been some adverse publicity associated with instances of fixed penalty issue by private companies that they have been deemed to be over zealous. This publicity cites the local authority on whose behalf the companies were operating and inevitably has the capacity to impact on the reputation of the authority concerned.

4. Reasons for Recommendation

- 4.1 There are several options for the future with regards to environmental enforcement which would need to be fully costed including possible income generation.
- 4.2 Fly tipping is a serious problem for Thurrock and gives rise to a drain on the resources of the authority when fly tips have to be cleared from public land. It is also burdensome for private land owners who are unfortunate enough to have their land targeted by fly tippers.
- 4.3 The imposition of a £400 fixed penalty for fly tipping would allow the enforcement officers charged with investigating these offences, where sufficient evidence was available, to deal with smaller scale fly tips by way of a fixed penalty notice and in some cases avoid the need for lengthy and

expensive court proceedings which could be reserved for the larger scale offences which occur.

4.4 Lack of proper disposal of their waste by business can lead to increase fly tipping and incorrect use of public amenities such as litter bins.

4.5 The ability to issue fixed penalty notices for non-compliance with regards to documentation for disposal of trade waste will lead to increased compliance within Thurrock and hopefully a reduction in fly tipping.

5. Consultation (including Overview and Scrutiny, if applicable)

5.1 This report has been to Cleaner, Greener, Safer Overview and Scrutiny and a verbal update from that meeting will be given at Cabinet.

6. Impact on corporate policies, priorities, performance and community impact

6.1 The recommendations in this report will positively impact the realisation of the Councils strategic priority to 'Promote and protect our clean and green environment'.

6.2 The recommendations in this report also contribute to building pride, respect and responsibility.

7. Implications

7.1 Financial

Implications verified by: **Carl Tomlinson**
Finance Manager

The level of service requests has increased year on year putting greater pressure on the Environmental Protection budget. The report recommends developing an options appraisal reviewing possible options for environmental enforcement. Each option will need to be understood in terms of income and expenditure implications as well as available funding.

The introduction of Fixed Penalty Notice's as set out in the report should contribute towards managing budget pressure by either acting as a deterrent or contributing funding to the service.

The detailed marketing campaign costing £10k will be funded from the central communications budget. The in-year savings of £20k relate to proposed back office management savings which are expected to be implemented by the end of September 2016.

7.2 Legal

Implications verified by: **Adam Rulewski**
Lawyer, Prosecutions

The Local Authority has the power to issue fixed penalty notices for small scale fly tipping events. This power has been available since 9 May 2016 and is therefore relatively new (see the *Unauthorised Deposit of Waste (Fixed Penalty) Regulations 2016*).

The minimum fine the Local Authority can set is £150.00 and the maximum is £400.00. The LA may set an early payment fee of not less than £120.00 if the penalty is paid within 10 days of the notice. The early repayment is discretionary.

The Local Authority also has power to issue Fixed Penalty Notices where a person fails to provide Waste Transfer Notes upon request to the Local Authority. The offence is not for failing to prove evidence of a trade waste contract, rather, for failing to provide copies of Waste Transfer Notes covering the disposal of all waste for the previous 2 years (or sooner if it is a business less than 2 years old). This must be set at £300.00 and the Local Authority may set an early repayment of no less than £180.00. (see – *Environmental Offences (Fixed Penalties) (Miscellaneous Provisions) Regulations 2007, Reg. 3(4)*)

7.3 Diversity and Equality

Implications verified by: **Rebecca Price**
Community Development Officer

Feedback from the Fairness Commission's (FC) community consultation in 2015 recorded significant concerns from residents on the state of the environment in Thurrock and the detrimental impact on pride and perceptions of the borough caused by littering. The options outlined in this proposal would help to address some of these concerns with a view to increasing responsible behaviour to reduce instances of fly-tipping across the borough in the future

There are no diversity or equality implications associated with the recommendations in this report

7.4 Other implications (where significant) – i.e. Staff, Health, Sustainability, Crime and Disorder)

8. Background papers used in preparing the report (including their location on the Council's website or identification whether any are exempt or protected by copyright):

9. Appendices to the report

None

Report Author:

Lucy Magill

Head of Residents Services

13 July 2016	ITEM: 14 (Decision 01104376)
Cabinet	
Tender of the Council's Insurance and Associated Services	
Wards and communities affected: N/A	Key Decision: Key
Report of: Councillor Shane Hebb, Cabinet Member for Finance and Central Services	
Accountable Head of Service: N/A	
Accountable Director: Sean Clark, Director of Finance and IT	
This report is Public except for Appendix 1 - The Outline of the Insurance Portfolio, which is judged to be commercially sensitive information.	

Executive Summary

The current contract for insurance and associated services is for an initial period of 3 years and expires on 31st March 2017. There is an option under the current contract to extend for a further 2 one year periods if renewal terms are favourable but current indicators show that this unlikely to be the case.

In readiness for the potential expiry of the contract and to ensure compliance with procurement directives and regulations it is proposed that a tender will be undertaken to procure the services. There is a limited market for the provision of insurance services for the public sector and the Council's existing insurance broker will be used to manage the tender and ensure the widest possible selection of insurance companies are engaged in the exercise.

As part of the exercise it is proposed that a review of the insurance programme design will be undertaken and relevant design alternatives considered to establish the most appropriate programme for the Council (including such components as extent of cover, level of deductibles, length of contract, etc.). A comprehensive evaluation of tender submissions will be undertaken and the insurer or insurance providers appointed will have to prove they offer the best value for money solution for the Council.

1. Recommendation(s)

- 1.1 That Cabinet approve delegation to the Director of Finance & IT to tender the contract for the Council's insurance programme if renewal terms presented by the current provider are not favourable.**

2. Introduction and Background

- 2.1 The existing contract for the Councils insurance programme is with Zurich Municipal and the company was appointed as the Councils insurers following the tender undertaken in 2013.
- 2.2 The current contract is for an initial period of 3 years and expires on 31st March 2017. There is an option under the current contract to extend for a further 2 one year periods if renewal terms are favourable but current indicators show that this unlikely to be the case. The Council's current cost per annum for insurance and associated services is circa £1,200,000 and an outline of the insurance portfolio is included in Appendix 1.
- 2.3 The proposed procurement is estimated to exceed the European Union threshold for such a contract and a formal competitive tender is proposed to be undertaken in line with Council Contract Procedure and European Union Regulations. The Procurement Stage 1 - Approval to Proceed to Tender form is included under Appendix 2

3. Issues, Options and Analysis of Options

- 3.1 The public sector insurance market is limited and a specialist area and the majority of insurers will only deal via an insurance broker intermediary. The Council's existing insurance broker will be used to manage the tender and ensure the widest possible selection of insurance companies from the market are engaged in the exercise.
- 3.2 A review of the insurance programme design will also be undertaken as part of the exercise and relevant design alternatives considered to establish the most appropriate programme for the Council (including such components as extent of cover, level of deductibles, length of contract, etc.).

4. Reasons for Recommendation

- 4.1 The decision to undertake a tender of the Council's insurance programme in readiness for the potential expiry of the contract on the 31st March 2017 will enable the authority to obtain insurance on the best terms available in the current market conditions.

5. Consultation (including Overview and Scrutiny, if applicable)

- 5.1 Procurement, Legal and Finance Services have been consulted for the approval to proceed to tender stage of the procurement process and the report to tender the Council's insurance and associated services was presented to Directors Board on the 14th June 2016.

6. Impact on corporate policies, priorities, performance and community impact

- 6.1 The tender of the Council's insurance programme will enable the Council to obtain insurance on the best terms available in the current market conditions.

7. Implications

7.1 Financial

**Implications verified by: Carl Tomlinson
Finance Manager**

As stated within the report, the current cost of the Council's insurance premium is circa £1.2m per annum and the tender will enable the Council to obtain insurance on the best terms available in the current market conditions. Budgets for insurance premiums are held across the council within individual service areas

7.2 Legal

**Implications verified by: Kevin Molloy
Solicitor**

This report is seeking approval from Cabinet to tender the contract noted in the report. The proposed procurement being considered is estimated at above the relevant EU threshold for contracts of this type, and this means that there is a legal requirement to competitively tender the contract via the Official Journal of the European Union (OJEU) and Legal Services note that this tender will be conducted in accordance with the Public Contract Regulations 2015 ('the Regulations').

Taking the above into account, on the basis of the information in this report, the proposed procurement strategy should comply with the Regulations and Council's Contract Rules.

The report author and responsible directorate are advised to keep Legal Services fully informed at every stage of the proposed tender exercise. Legal Services are on hand and available to assist and answer any questions that may arise.

The value of this contract for insurance services requires full compliance with EU Procurement Regulations and therefore a tender will be advertised in OJEU and follow the established timescales.

7.3 Diversity and Equality

**Implications verified by: Natalie Warren
Community Development & Equalities Manager**

There are no equality or diversity implications noted in this report.

8. Background papers used in preparing the report (including their location on the Council's website or identification whether any are exempt or protected by copyright):

- Insurance Tender exercise and related papers retained by the Insurance Team, Corporate Finance, Finance & IT Directorate.

9. Appendices to the report

- Appendix 1 - Outline of insurance portfolio.
- Appendix 2 - The Procurement Stage 1, Approval to Proceed to Tender form

Report Author:

Andy Owen

Interim Insurance and Risk Manager

Corporate Finance

Finance & IT Directorate

Appendix 2
PROCUREMENT STAGE 1 – APPROVAL TO PROCEED TO TENDER

This form must be completed for all procurements above the tender threshold (£75,000 - Services and Supplies and £500,000 – Works)

If contract value is over Cabinet approval threshold (£750,000) this form shall be attached with the request to tender report to Cabinet. This form will be “Open” for Publication.

Section A: ABOUT THIS PROCUREMENT	
Title	Tender of Insurance and Associated Services
Directorate	Chief Executive's
Procurement Reference Number	PS/2016/256
Contract Cost (Maximum Spend)	£6M over 5 years
Budget code(s)	Various
Introduction and Background	The existing contract for the Council's insurance programme is with Zurich Municipal and expires on 31st March 2017. Zurich Municipal was appointed as the Council's insurer after a tender process in line with European Procurement Directives in 2013.
Proposed Contract Term	3 year initial period plus option for a further 2 one year periods
Political Sensitivity	N/A

Section B: COMMISSIONING REPORT

Business Case	<p>The current contract is for an initial period of 3 years and expires on 31st March 2017. There is an option to extend for a further 2 one year periods if renewal terms presented by the existing insurer are favourable but current indicators show that this is unlikely to be the case.</p> <p>As the public sector insurance market is a specialist area and the majority of insurers will only deal via an insurance broker intermediary the Council's existing insurance broker will be used to ensure the widest possible selection of insurance companies are engaged in the tender.</p> <p>The decision required is to tender the Council's insurance programme due to the expiry of the initial 3 year period of the existing contract, which will enable the council to obtain insurance on the best terms available in the insurance market for the public sector.</p>
Key Deliverables (Draft Specification)	The tender will enable the Council to obtain the insurance on the best terms available in the current market conditions.
Quality v Price evaluation	45:55 Quality:Price
Social Value	Social value considered and does not apply as the insurance for the public sector is a specialist market and not suited for local business or the voluntary sector to provide.
Current / Previous Contract details	The current contract for the initial period of 3 years expires on 31st March 2017 (contract reference number PS/2013/562).

FINANCIAL IMPLICATIONS						
Current / Previous Contract Cost	£6M over 5 year period (or £1.2M per annum)					
Cost Breakdown	Breakdown of Estimated Cost	17/18 £000's	18/19 £000's	19/20 £000's	Later £000's	Total £000's
	Total Spend	£	£	£	£	£
Confirm Funding Breakdown Identified	Revenue Budget	£1.2M	£1.2M	£1.2M	£2.4M	£6M
	Capital Budget	£	£	£	£	£
	Other (Please State)	£	£	£	£	£
	Other (Please State)	£	£	£	£	£
	Total Funding	£1.2M	£1.2M	£1.2M	£2.4M	£6M
Budget Code(s)	Budgets for insurance premiums are held across the council within individual service areas.					
Unsupported borrowing?	N/A					
Other Financial Implications	The tender of the council's insurance programme will enable the council to obtain insurance on the best terms available in the insurance market for the public sector.					

PROCUREMENT ROUTE ABOVE TENDER THRESHOLD (Choose 1(of A, B, C or D) only)	
A. COMPETITIVE PROCUREMENT (complete B if a Framework)	
Procurement Route	EU Competitive Procedure with Negotiation
Procurement Justification	To ensure compliance with procurement directives and regulations a tender exercise will be carried out to procure the services. This will likely follow the Competitive Procedure with Negotiation, but may follow a different competitive procurement procedure if appropriate. The Council's existing insurance broker will be used to manage the exercise to ensure the widest possible selection of insurance companies are engaged in the tender.
B. FRAMEWORK (Waiver in accordance with Rule 13.1 (c))	
Framework?	Is this a procurement from a Framework? No
Title & Reference of Framework	N/A
Framework Rationale	N/A
C. REQUEST FOR QUOTE FROM RESTRICTED MARKET (Waiver in accordance with Rule 13.1 (d))	
Restricted Market?	Is this a request for quotes from a restricted market? No
Rationale (only permitted below the EU threshold)	N/A
D. SINGLE SOURCE REASON (Waiver in accordance with Rule 13.1 (a, b or d))	
Single Source	Is this Procurement a Single Source – One Quote/Tender <i>(Exceptional circumstances only and select reason below)</i> No
Single Source justification below EU Threshold	<i>Select reason and explain your rationale</i> N/A
Single Source justification above EU Threshold	If you are seeking a single tender above the EU threshold – using the “Negotiated Procedure without Call for Competition” route, this is only available in very exceptional circumstances. You must select the reason below and explain your rationale. N/A
Single Source Rationale	N/A

PROCUREMENT TIMETABLE, RISK, CONSULTATION AND MANAGEMENT		
Milestones and target dates	Key Event	Date
<i>(Draft - Outline plan & subject to change to fit the deadlines for reporting of the Award of Contract to Cabinet)</i>	Contract Notice to Office of OJEU for publication	01 November 2016
	Return of PQQs	N/A
	Tender documents available to Insurers	01 November 2016
	Return of Tenders	06 December 2016
	Notification of results to insurers by	25 January 2017
	Standstill period ends	06 February 2017
	Leaseholder Consultation	N/A
	Contract Award	07 February 2017
	Contract award notice to OJEU by	25 March 2017
	Contract Commencement	01 April 2017

Risk Management – Set out Main Risks and Mitigating Actions					
Risk	Likelihood (A – E) ¹	Impact (I – IV) ²	Level of Risk (High to Lower) ³	Potential Negative Impact	Management / Mitigation of Risk
Tender Process Risks					
Capacity to undertake & manage tender	D	II	Lower	Non compliance with directives/ regulations and time frames	Existing insurance broker to support & manage tender exercise, outline project plan/timetable established and resource identified.
Hardening & limited insurance market for public sector.	C	II	High	Potential market increases in premium and self insurance levels	Existing insurance broker to support & manage the tender, review insurance programme design and ensure the widest possible selection of insurance companies are engaged in the tender
Contract Performance Management Risks					
Insurance provider(s) break or alter terms at mid contract (e.g. renewal)	C	II	High	Potential changes to cover and premiums.	Insurance provider(s) required to provide renewal terms 90 days prior to renewal to enable time to re tender the business, if appropriate. Regular monitoring and reporting of insurance market for public services by insurance broker.
Insurance provider(s) experience financial difficulties.	D	II	Lower	Insurance expires	Existing insurance broker to support & manage tender exercise, regularly monitor/review the insurance market for the public sector and credit ratings of providers.
Contingency Arrangements	If any significant delays or problems are encountered with the procurement and it was established that cover would not be in place from 1st April 2017 the Council would look to renew/extend the current insurance arrangements with the existing provider.				

¹ **Risk Likelihood:** A = Very High, B = High, C = Significant, D = Low, E = Very Low

² **Risk Impact:** I = Critical, II = Significant, III = Marginal, IV = Negligible

³ **Risk Level:** High = AI, BI, AII, BII, CII, all others lower

Consultation	Approval to Tender – Procurement, Legal and Finance consultation, agreement and sign off. Approval to Tender report to Cabinet, via Directors Board. Review of Insurance Programme Design – Consultation as appropriate with Director of Finance & IT and services on any design alternative put forward by review. Award of Contract – Report to Cabinet, via Directors Board following consultation with Director of Finance & IT and PH for Central Services and advice from Procurement and Legal.
Project and Contract Management Proposals	Existing insurance broker to support the tender and to ensure that the widest possible selection of insurance providers are engaged in the tender. Project plan/timetable outline established and resource identified. Interim Insurance & Risk Manager and Insurance Team Manager to support and manage the exercise. Regular monitoring and reporting of progress and developments to Director of Finance & IT, Directors Board and Members as appropriate. Service standards incorporated in the tender and regular contract monitoring and review arrangements for underwriting and claims handling services to be established with provider(s) following award of contract.
Procurement Comments	It is the Council's intention for a broker to carry out the procurement process for this service. It is likely that the procurement procedure to be used will be Competitive with Negotiation, but this may alter if recommended. Thurrock Council's procurement team have been informed that the broker will ensure compliance with both EU and internal regulations.

Section C: LEGAL, FINANCE AND PROCUREMENT APPROVAL

Procurement Services	Name	Kiri Mason, Senior Procurement Officer
	Signed (Or obtain email of confirmation)	K.M. (email 09/06/2016 15:30)
	Date	09/06/2016
Legal Services (Insofar as it relates to Legal implications)	Name	Kevin Molloy, Solicitor
	Signed (Or obtain email of confirmation)	K.M. (email 10/06/2016 09:56)
	Date	10/06/2016
Finance (Insofar as it relates to Finance implications)	Name	Carl Tomlinson, Finance Manager
	Signed (Or obtain email of confirmation)	C.T. (email 09/06/16 16:20)
	Date	09/06/2016

Section D: APPROVAL TO PROCEED VALUE

The Responsible Officer must sign the form, together with the Head of Service as a minimum. Delegated Authority Limits below.

Approval Level	Over £750,000 - Cabinet
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Section E: SIGN OFF APPROVAL TO PROCEED

Confirmation by the Responsible Officer of Compliance with Contract Procedure Rules	The Responsible Officer Andy Owen, Interim Insurance & Risk Manager confirms that the procurement of Tender of Insurance & Associated Services and PS/2016/256 has been carried out in accordance with Rule 5 of the Council's Contract Procedure Rules (Chapter 9, Part 2 of the Constitution) and in particular the following duties have been met by the Responsible Officer: <ul style="list-style-type: none"> • Compliance will occur with all regulatory or statutory provisions and the Council's decision making requirements • The Contract will be included on the Council's Contract Register • Value for Money will be achieved • Advice has or will be sought from the Director of Finance and Corporate governance as to an appropriate security bond or guarantee • Document Retention Policy has and will be complied with • Financial Evaluation will be made of all the proposed tenders including the recommended bidder • Advice has been and will be sought and followed from Procurement, Legal and Finance as necessary 	
	Signed	 A.Owen, Interim Insurance & Risk Manager
	Date	09 June 2016
Approval to Proceed	In accordance with the Contract Procedure Rules, I/we confirm the accuracy of the information contained within this form and authorise this request to Proceed to Tender including, where relevant, the permitting of a Waiver from the Contract Procedure Rules in accordance with Rule 13	
Head of Service	Name	N/A
	Signed <i>(Or obtain email of confirmation)</i>	N/A
	Date	N/A
Corporate Director <i>I confirm that the Portfolio Holder has been consulted as required</i>	Name	S.Clark, Director of Finance & IT
	Signed <i>(Or obtain email of confirmation)</i>	S.C. (email 10/06/16 09:47)
	Date	10/06/2016
Head of Corporate Finance <i>If waiver required</i>	Name	N/A
	Signed <i>(Or obtain email of confirmation)</i>	N/A
	Date	N/A
Cabinet	Approval Minute Number	Enter minute reference
	Date	Click here to enter a date.
Now send complete form to Procurement Services signed and scanned (with emails if used)		

13 July 2016	ITEM 15 (Decision 01104377)
Cabinet	
Community Asset Transfer Policy	
Wards and communities affected: All	Key Decision: Non-key
Report of: Councillor Hague, Cabinet Member for Business	
Accountable Head of Service: Matthew Essex, Head of Regeneration and Assets	
Accountable Director: Steve Cox, Corporate Director of Place and Environment	
This report is Public	

Executive Summary

Thurrock Council is taking positive action to become an enabler of improved outcomes for communities rather than just a direct provider of services by working closely with the Voluntary, Community and Faith Sector (VCFS) as key partners in the delivery of services and links with local people.

The sustainability of the VCFS is essential to build pride, respect, cohesion and resilience in local communities. The Community Asset Transfer (CAT) Policy builds on earlier dialogue with the VCFS arising from budget saving options and the later Community Ownership and Management of Assets (COMA) programme in Thurrock which highlighted opportunities that may be suitable for transfer to the VCFS.

The CAT Policy sets out the Council's approach to support the VCFS to achieve sustainable community managed assets that meet local needs, maximise social value, support growth and resilience in the sector. Through its application, the policy seeks to deliver the most efficient use of publicly owned buildings and spaces in Thurrock, where they are deemed eligible for CAT, and the anticipated community benefit and financial viability outweigh the potential risks for all parties.

1. Recommendation(s)

That Cabinet:

- 1.1 Acknowledge the work of the Thurrock Community Assets and Management of Assets (COMA) Partnership supported by Locality.**
- 1.2 Approve the decision making process set out in the Community Asset Transfer Policy.**
- 1.3 Approve and adopt the Community Asset Transfer Policy.**

2. Introduction and Background

- 2.1 Community asset transfer (CAT) involves leasing or selling a property to a voluntary, community or faith sector (VCFS) organisation, sometimes on a subsidised basis, to enable local people to play a stronger role in meeting the needs of their communities. CAT is a relatively recent term for activity the Council has been undertaking for a long time.
- 2.2 In recent years, the Council has adopted several approaches to support the leasing, licensing and management of the buildings and other assets that it owns.
- 2.3 In December 2010 the Community Sport Facilities, Leases and Licences policy was approved by Cabinet establishing a process and criteria for organisations wishing to be a tenant of the Council. The Council's Asset Management Plan (herein AMP), was later approved by Cabinet in February 2011 establishing high level objectives for the future management of property, based on Government guidance, good practice, and the Council's operating environment.
- 2.4 The Asset Management Plan took into account the direction of travel established by the Localism Act of 2011 and its intention to shift power from government to individuals and communities, making it easier for them to get things done and achieve their ambitions for the place where they live. This shift in the ownership of land and buildings from public bodies to communities demonstrates localism in action.
- 2.5 A general consent for local authorities to dispose of property under community asset transfer rules was introduced by the Government in 2003. Local authorities are now empowered to transfer the ownership of land and buildings to communities for less than their market value through a process known as 'discounted asset transfer' or 'asset transfer'.
- 2.6 As part of the Localism Act, the Community Right to Bid has also been enacted giving power to communities to nominate land and buildings to be part of a register of 'assets of community value'. If such land or buildings are then offered for sale, eligible community organisations then have six weeks to indicate an 'intention to bid'.
- 2.7 The Council led a successful bid to Locality (a national network for community-led organisations) in May 2015 securing technical resources and grant funding from the national Community Ownership and Management of Assets (COMA) programme. The initial driver for the programme in Thurrock was to build on dialogue already taking place between the Council and VCFS particularly concerning the management of parks and open spaces. Additional priorities included the development of a formal CAT Policy. Further information was outlined in a report to Cabinet from the Portfolio Holder for Environment on 9th September 2015 ('Community Delivery of Environmental Services in Parks and Open Spaces').
- 2.8 A small Thurrock COMA partnership with the voluntary sector was formed in June 2015 with clear objectives for the duration of the programme (June 2015-March 2016) that included establishing the appetite for CAT in Thurrock through a series of

engagement events, building capacity within the VCFS and informing the emerging CAT Policy.

- 2.9 Recent feedback from Locality following the conclusion of the COMA programme acknowledged:
- the growing appetite for CAT within the VCFS (particularly relevant to members of the partnership itself that had actively developed CAT proposals);
 - the work of the Council to develop ad-hoc opportunities for CAT in recent years;
 - progress made by the Council and COMA partnership to produce a robust CAT Policy (now presented).
- 2.10 A copy of the final report prepared by Locality can be found at Appendix 1 to this report.

3. Issues, Options and Analysis of Options

- 3.1 Organisations within the voluntary, community and faith sector (VCFS) are often best placed to manage facilities, making extensive use of volunteers and their local knowledge and hands-on management of the asset. This often leads to lower overheads and better value for money as well as a more intensive use of the asset that helps to foster a sense of belonging in communities whilst bringing together people from different backgrounds.
- 3.2 The CAT policy set out in Appendix 2 to this report builds on feedback gathered during the COMA Programme and seeks to enable the VCFS to achieve successful, vibrant, inclusive and sustainable community managed assets that meet local needs, maximise social value, support growth and resilience and deliver the most efficient use of publicly owned buildings and spaces in Thurrock.
- 3.3 For the purpose of the policy, the Localism Act 2011 (Section 88 (1) and (2)) has been used to define an asset of community value in Thurrock as:

A building or other land in the local authority's area (and in the case of the policy – owned by the Council) and that:

- (a) has an actual current use of the building or other land that is not an ancillary use, furthers the social wellbeing or social interests of the local community,
 - (b) it is realistic to think that there can continue to be non-ancillary use of the building or other land which will further (whether or not in the same way) the social wellbeing or social interests of the local community, and,
 - (c) has furthered the social wellbeing or social interests of the local community in the recent past, and which it is realistic to consider will do so again during the next five years.
- 3.4 The policy establishes a fair, consistent and transparent process for Council and community initiated CAT, the circumstances where it will be considered, as well as the means for eligible VCFS organisations to express an interest and apply for CAT, with accompanying indicative lease terms.
- 3.5 The policy sets out the Council's commitments to:

- Community Asset Transfer (CAT) where it will achieve benefits to local residents and contribute towards the Council's vision and objectives;
- acknowledging the social, economic and environmental value of CAT and the opportunities this may present to offset this value against economic rent;
- using Council assets to form long-term partnerships with the VCFS in order to create stronger, more cohesive and more sustainable communities;
- proactively investigating potential opportunities for CAT to local communities and social enterprises, and seeking to minimise processes associated with administering this policy, and,
- reviewing the application of the policy with the VCFS at regular intervals.

3.6 Feedback through the development of the policy recognised the importance of verifying that CAT is not an automatic right referred in the Localism Act 2011 but a central government policy directed at public bodies use of their assets. Not all assets are therefore expected to be available for CAT. In this regard, it was concluded that **the Council will neither invite nor accept expressions of interest for assets:**

- that are, or it is anticipated may be required in future, for the Council's operational purposes;
- where the Council considers that the property will achieve full market rent;
- where the Council has identified the property for disposal for a capital receipt (in this case VCFS organisations may still choose to submit a bid when the asset is marketed), and/or,
- where there are known or anticipated plans or strategies that may affect the potential for CAT.

Governance

- 3.7 A detailed governance framework has been designed to ensure the principles for the CAT policy are borne out through its implementation. This includes informing ward councillors, the Portfolio Holder for Business, Portfolio Holder for Performance and Communities, leaders of all parties and Directors Board once a council or community driven CAT opportunity has been identified. Further details on the involvement and key roles for all stakeholders can be found in Appendix 3 to this report.
- 3.8 In the first instance, all community-driven proposals will be considered for eligibility by the Chair of the Corporate Property Board in consultation with the Head of Assets and Regeneration. Council-driven proposals will be directed to the Corporate Property Board. A range of factors will be appraised at this early stage including ensuring that the asset is not in one of the excluded categories noted in section 3.6 of this report and determining circumstances that may require the involvement of other Council services (e.g. in the case of a proposed change of use for a building). If deemed eligible, the opportunity for CAT will be advertised on the council's website and via other local media for a period of 6 weeks during which additional expressions of interest will be invited from other eligible VCFS organisations.
- 3.9 A basic eligibility assessment will be completed for those expressions of interest received. This process will be led by the Corporate Property (CP) Team working with the Community Development and Equalities (CD&E) Team, and the relevant service area for the proposal e.g. in the case of parks or libraries. The group will prepare a recommendation to Corporate Property Board who will determine which organisations to invite to submit a full business case before appointing a CAT

Assessment Panel comprising council officers from relevant service areas with Ward Councillors and the Portfolio Holder for Business.

- 3.10 The CAT Assessment Panel will convene to appraise the full business case/s and prepare a recommendation on the proposals received. The recommendation will be reported to the Corporate Property Board who, in consultation with the Member Property Working Group, will reach a decision on whether to accept or reject the CAT proposal where they are eligible to do so and no additional consents are required or sensitivities have been highlighted earlier in the process.
- 3.11 In exceptional cases where a lease greater than 21 years is proposed, or in rare cases, the transfer of freehold, the decision making process will follow the relevant terms for the disposal of assets set out in the Council's Constitution. As such, decisions relating to the disposal by CAT of land or property valued below £500,000 will be delegated to the Leader and Cabinet Member for Finance and Education on advice from the Monitoring Officer and the S151 Officer (and Chair of the Corporate Property Board) in consultation with the Corporate Property Officer (and Corporate Director of Environment and Place) and Ward Councillors.
- 3.12 Any decision relating to the disposal by CAT of land or property valued above £500,000 will be taken by the Cabinet.
- 3.13 If other considerations or sensitivities are highlighted earlier in the CAT assessment process, an in-principle decision only may be granted by the parties referred in Sections 3.10-3.12 subject to approval (e.g. in the case of requiring planning consent) from other relevant member committees.

4. Reasons for Recommendation

- 4.1 The implementation of this policy will help the Council to support the sustainability and self-financing of the VCFS, build long term partnerships, harness skills and experience in the sector as well as local knowledge and resources to provide community benefit and social value. It will also help to provide access to external funding opportunities otherwise unavailable to the Council, achieve community empowerment, provide control to local organisations, encourage pride, and increase active citizenship (including volunteering) whilst developing organisational, financial, training and entrepreneurial skills within the VCFS.
- 4.2 It is important to note that, if the Council were to choose to forego the opportunity to review the possibility of allowing VCFS organisations to operate eligible assets, then it is likely that, as a result of financial pressures, some facilities will simply be closed or the quality of delivery will reduce even further.

5. Consultation (including Overview and Scrutiny, if applicable)

- 5.1 The CAT policy has been prepared by the Community Development and Equalities Team in consultation with the Corporate Assets Team and was presented to Corporate Overview and Scrutiny (O&S) Committee on 21 June 2016
- 5.2 Feedback from Corporate O&S highlighted the need to incorporate the terms for disposal of assets set out in the Council's Constitution and clarify and embed the role for elected members through the decision making process for CAT. The draft policy

now presented provides a much clearer role for elected members from the business case assessment stage to ensure these recommendations are incorporated.

5.3 Additional points raised included the need for an implementation plan for the policy that should include an early awareness raising session aimed at the VCFS, council officers and Elected Members. Other internal and external consultees involved with the development of the draft Community Asset Transfer Policy through a range of meetings, presentations and feedback sessions include:

- Directors Board
- Legal Services
- Regeneration and Assets Service
- Environment Service
- Strategy, Communications and Customer Service
- Housing Service
- Locality
- Thurrock CVS
- Thurrock Community Ownership and Management of Assets (COMA) Partnership

6. Impact on corporate policies, priorities, performance and community impact

6.1 There are many benefits for both the Council and VCFS on pursuing a CAT opportunity. Application of the policy will help to realise the community strategy vision and each of the strategic priorities to:

- **Create** a great place for learning and opportunity
- **Encourage** and promote job creation and economic prosperity
- **Build** pride, responsibility and respect
- **Improve** health and well-being
- **Promote and protect** our clean and green environment

6.2 All CAT nominations will be expected to demonstrate how they will directly benefit local residents and the wider communities of Thurrock and how their activities and expected outcomes will contribute to the delivery of the Community Strategy vision and strategic priorities. The assessment process will also enable due consideration of how proposals meet other relevant plans and strategies linked to the Community Strategy.

7. Implications

7.1 Financial

Implications verified by: **Mike Jones**
Management Accountant

The introduction of a CAT Policy will allow the Council to develop opportunities for the involvement of the VCFS through the ownership and management of buildings and land providing additional funding streams for community benefit that the Council cannot otherwise access. It may also help to ensure that some services continue to be provided with the Council acting as a facilitator rather than a direct provider.

Implementation of the CAT Policy provides the potential for savings and efficiencies relating to the management of the Council's property portfolio. Opportunities for savings will be considered on a case by case basis as part of the CAT assessment process.

7.2 Legal

Implications verified by: **Vivien Williams**
Planning and Regeneration Solicitor

Community asset transfer is a central government policy directed at local authorities' use of their redundant assets. It is entirely separate from the community right to bid, operating on a discretionary basis rather than forming a 'community right'. The powers under which it takes place predate the Localism Act 2011.

The Local Government Act 1972 section 123 (2) states:
Except with the consent of the Secretary of State, a Council shall not dispose of land under this section, otherwise than by way of a short tenancy, for a consideration less than the best that can reasonably be obtained.

A general consent for local authorities to dispose of land to community organisations at below market value was given under this section in 2003. The specified circumstances are:

- a) the local authority considers that the purpose for which the land is to be disposed is likely to contribute to the achievement of any one or more of the following objects in respect of the whole or any part of its area, or of all or any persons resident or present in its area;
 - i) the promotion or improvement of economic well-being;
 - ii) the promotion or improvement of social well-being;
 - iii) the promotion or improvement of environmental well-being; and
- b) the difference between the unrestricted value of the land to be disposed of and the consideration for the disposal does not exceed £2,000,000 (two million pounds).

School disposals are covered by a legislative framework. Any disposal would first need approval under Section 77 of Schools Standards and Framework Act 1998. Therefore, school buildings and landholding will not be considered under this policy.

It is important to note that Community Asset Transfer is not an automatic right referred in the Localism Act 2011 but a central government policy directed at public bodies use of their assets.

7.3 Diversity and Equality

Implications verified by: **Natalie Warren**
Community Development and Equalities Manager

Equality of opportunity is a key principle for many voluntary, community and faith sector organisations that often pursue improved cohesion and diversity through their objectives and practice, involving communities in decisions and governance.

Recent government policy such as the Localism Act encourages the devolution of services to communities in recognition of the benefits that community involvement can bring to local areas.

The Community Asset Transfer Policy sets out clear expectations that align with the Equality Duty 2010 with supporting eligibility criteria to ensure that CAT enhances cohesion and inclusion and prevents the use of assets for services or activities that will isolate sections of our communities.

7.4 Other implications (where significant) – i.e. Staff, Health, Sustainability, Crime and Disorder)

Not applicable at this stage

8. Background papers used in preparing the report (including their location on the Council's website or identification whether any are exempt or protected by copyright):

- Community Ownership and Management of Assets Programme: Final report and findings of Thurrock COMA Partnership, February 2016
- Agenda Item 16: Report to Cabinet on 9 September 2016 entitled 'Community Delivery of Environmental Services in Parks and Open Spaces'.
<https://thurrockintranet.moderngov.co.uk/ieListDocuments.aspx?CId=129&MId=2559&Ver=4>

9. Appendices to the report

- Appendix 1: Community Ownership and Management of Assets Programme: Final report and findings of Thurrock COMA Partnership, February 2016
- Appendix 2: Draft Community Asset Transfer Policy
- Appendix 3: Involvement and key roles of Voluntary, Community and Faith Sector, Council Officers and Elected Members through the Community Asset Transfer Process

Report Author Contact Details:

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Community Development and Equalities Team

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Corporate Assets Manager
Corporate Assets Team

Community Ownership and Management of Assets Programme

Final report and findings of Thurrock COMA Partnership, February 2016

About Your Project

- 1. What was your vision, and why is it important that the multiple assets or complex single asset which your project focussed on, are transferred into community management or ownership? (for example appetite from community, inability to deliver services without community involvement, need to dispose of assets, etc).***

Our vision for Thurrock is a progressive and ambitious approach to the management of assets founded on collaborative principles that harness community energy and lead to sustainable resident led enterprise and social outcomes.

The key drivers for our community assets work was to meet community demand around taking on community assets and enable the council to better manage its asset portfolio and relationships with community partners.

Our intention when we launched the assets programme was threefold, to 1) raise the profile of community assets while scoping out local interest, 2) build the capacity of groups working towards asset transfer, and 3) develop and formalise a community asset transfer (CAT) policy for Thurrock.

At the outset we recognised that strong community engagement, genuine partnership working and viable business models could ultimately lead to successful asset transfers, and because of this, three cross cutting themes - engagement, capacity building and policy making – were designed to channel the strengths and skills of local people and organisations.

- 2. What was your starting point, key milestones and how many have you got ahead of you? (for example, what is your long term goal/outcome and has it changed since you started the Community Assets programme?)***

We focused on three areas: community engagement, capacity building and policy/strategy development. The nascent assets agenda in Thurrock demanded this approach, which alongside a commitment to partnership working, ensured solid foundations and coherent strategy were developed from which coordinated activity could flow.

At inception the partnership, made up of local authority departments and community groups, agreed a set of aims and objectives and a set of development needs that would be met through a package of support based on the three areas identified above and as follows to:

1. implement a programme of community engagement to inform, inspire and mobilise Build the capacity of local groups in the stages of taking on listed assets;
2. formalise a CAT policy for Thurrock Council;
3. create a product to capture learning and inform future work, and,
4. establish an overarching joint strategy for CAT in Thurrock that includes a clear set of future priorities to implement from April 16.

A series of community engagement workshops were commissioned as part of the consultancy resource. The workshops were designed to furnish a group of community stakeholders with the requisite knowledge around legal and practical aspects of CAT. A workshop was also planned for local authority officers and members although it was determined that a small and focussed session in March 2016 with key strategic

leads for the Council's Regeneration, Growth and Environment Services would provide a robust foundation for wider consultation on the Council's CAT Policy in the future. At the time of writing two well attended community workshops have taken place where, in addition to representation from community groups and organisations, delegates have included Council officers, managers and members.

A successful pre-feasibility grants application enabled us to commission two organisations, Neal Howard Ltd and Oxford Brookes University, to deliver bespoke business development support for a number of key asset transfer projects: Hardie Park and Lightship Cafe. This fantastic capacity building support has provided groups with a suite of new resources to strengthen business cases for CAT including business plans and energy audits to support financial forecasting and highlight means to increase the environmental sustainability of both community buildings. Accompanying green energy and waste management training has also been provided to both community organisations. A surveying service will furnish the Council and Lighthouse Café with information on the condition of Grays Beach Café to support both business planning for Lighthouse Café and the Council's assessment of a future CAT. The majority of this work has been delivered at the time of writing with the remaining being tied up before March.

A report to the Council's Cleaner and Greener Overview and Scrutiny Committee in July 2015 highlighted difficulties faced by the organisation in light of budget pressures with the latent opportunity to support community groups to take on parks and green spaces where there was interest to do so. Members of the Committee recommended that Cabinet authorise Council officers to enter into detailed negotiations with groups expressing an interest in developing community based services and report back as appropriate. This was later approved by the Council's Cabinet in September 2015.

A set outcome of the programme for us was to develop a CAT Policy. This would provide a clear and consistent operational framework for the community and public bodies and assist the transfer of sustainable projects. We had hoped for Cabinet approval in March 2016 but this has moved to June 2016. During the course of the COMA programme, the CAT Policy has advanced from initial drafting stage with the partnership providing a valuable consultation body through each stage of its development in conjunction with Council officer scrutiny.

Convening the partners at regular points throughout the lifetime of the programme was important to enable relationships to develop and members to feed the process and draw on their experience and networks. A physical meeting every four to six weeks was held to check progress and plan work accordingly. We have begun to bridge assets work with our 'Stronger Together' partnership and to embed this with related area coordination activity around community building, community rights, volunteering and networking.

Multiple community asset transfer

3. How many asset transfers did you aim to tackle at the beginning of the project? How many have taken place during COMA? How many will take place soon?

A collection of assets and associate groups were identified at the outset for development support with a view to asset transfer. Because of the emerging asset transfer scene in Thurrock, we began the programme with realistic expectations around actual asset transfers, but were hopeful of moving key projects along their pathway to a sound proposition.

The assets list that has been the focus of our work includes: a park maintained by a Friends group, and riverside building with café facilities called Grays Beach Cafe stewarded by a board of trustees (entitled Lighthouse Café); a large new-build community house in Grays supported by an interim board; and a set of 5 community hubs.

We are encouraged by the progress of both the park and café which have both received business planning support designed to strengthen their case for asset transfer and will be in a strong position to submit a stage 1 asset transfer application within six months. The community house has developed in parallel with the COMA programme with a member of the board of trustees for Grays Riverside Community Association updating regularly on project development. A report seeking approval for the transfer of Community House will be presented to the Council's Cabinet in March 2016.

Community hubs and centres across Thurrock are set-up as a partnership between local groups, voluntary organisations, and Thurrock Council. They are recognised as positive models for redesigning services as well as reshaping the relationship between state and citizens. Community hubs are in a slightly different position due to their new build and existing use status respectively, but are still in scope and remain viable future asset transfers. There are 5 currently active hubs in Thurrock as follows: Acorns Community Hub, Stifford Clays; Aveley Community Hub; Chadwell St. Mary Centre; South Ockendon Centre; Tilbury Community Hub; a sixth is planned for Purfleet.

4. *If your partnership were reviewing multiple community asset transfers, have you attempted this before? What were the unique challenge(s) for investigating multiple asset transfers?*

In recent years the Council has adopted several approaches to support the leasing, licensing and management of the buildings and other assets that it owns. A Community Sport Facilities, Leases and Licences policy was approved by Cabinet in 2010 with a view to establishing a range of sustainable self-management options for tenants allowing for the variation of terms and conditions of licenses in some instances allowing for leases to be set below market value. Since adoption in 2010, the policy has focused on a small number of village hall management committees and sports clubs and administered by the Council's Asset's Team where opportunities have presented. CAT has been undertaken in recent years with a new build multi-use building – The Beehive – transferred to Thurrock's CVS on a freehold basis.

The creation of a CIO by Thurrock's CVS entitled 'Community Hubs Thurrock' provides the potential to achieve multiple asset transfers for community hub buildings in the future. A wider strategic debate between the Council, community and public sector partners is now required with the involvement of the local CCG to ensure that any plans of this nature link to an emerging 'Health Hubs' programme in Thurrock. The adoption of a formal CAT Policy will provide an essential tool to structure future dialogue.

Services delivered

5. *What type of services will be delivered through the assets which your partnership are considering for transfer/acquisition (high level description)?*

Lightship Café, the charity leading the business plan for the Grays Beach Cafe building set in Grays Beach Park are focusing on a community share governance model based around a social café offer that will: promote affordable and healthy eating; provide volunteering opportunities and work experience; and put ownership in the hand of residents and users. An increase in the number of visitors will increase use of the recreational offer in the park, promoting healthy living and strengthen community ties.

Friends of Hardie Park are campaigning for park improvements and championing local management and maintenance of the park. The group have a pool of volunteers and have made improvements to prevent vandalism of equipment and anti-social behaviour. Excitingly they have secured £140K that is funding a brand new stake park which will be open in the Spring and provide sports and leisure opportunities. A prefabricated building has also been erected and will contain a café and space to deliver training sessions. A core offer available at all community hubs is support and advice for citizens to self-serve for information and to assist with on-line applications to services / benefits with signposting from trained volunteers. All

hubs have carried out local surveys to shape a community offer beyond self-service support and additional services include hosting outreach from third sector or community health services, self-help groups, cultural and social groups and advice sessions. Their main aim is to reduce demand on statutory services by working with communities to design more holistic and effective community based solutions to issues in their area. They will also act as a catalyst to supporting public services plan effectively between residents, councillors, public services and business.

6. Will these services be new or continued services, and how will the community asset transfer benefit them?

The majority of services being delivered are new and resident led. Asset transfer will mean the community will be able to enjoy greater opportunities for entrepreneurial management to improve services, borrow against assets and bid for external funding currently unavailable to the Council.

The Friends and volunteers working to maintain the park are doing so in partnership with the parks service and hope to co-design and collaborate on future projects and services.

The hubs are currently operating but are seeking new and improved ways to support local service transformation. Hubs enable the delivery of the Council's wider transformation programme providing residents with: a digital by design service - access to web based information; demand management – diverting people away from social care services to community based solutions which are more sustainable and support quality of life; growth of business – development of local enterprise which further embeds local priorities; and flexible working – helping staff hot desk and work flexibly. All are committed to prevention and managing demand on services through a community based support offer co-produced with residents. For example, close working relationships exist in each hub area with a Local Area Co-ordinator.

7. What do you envisage the project's impact to be for the area (e.g. increase social cohesion, increase job opportunities, economic development opportunities, etc)? (Please do include any statistics etc if available).

We see the principal impacts of the community ownership and management of assets programme to date as community empowerment and local economic development. We recognise that a strong, engaged community and successful community asset transfers is a virtuous circle and must be well supported.

Within Thurrock the volunteer base building around assets and the groups working to take on assets drive community engagement and therefore improving social cohesion and the ability to follow through on ambitious enterprising projects. We have seen that active citizenship breeds more engaged communities and this is in essence what we are striving to achieve.

We are working to support the groups to achieve their potential around becoming part of a cultural landscape and for the named assets and associated groups to support high levels of participation therefore projecting cherished assets for the benefit of the natural and built environment, as much as the community itself.

Learning and Experience

8. What went particularly well and according to plan? Can you identify 3-5 things you are particularly pleased about?

Partnership working and communication: the development of the COMA partnership in Thurrock has brought people around the table, developed relationships and focused minds. The partnership will continue

and indeed grow beyond the programmes lifetime to support the burgeoning assets scene. Crucially partners have listened and been responsive to the needs and demands of others and have sought to find collective solutions to hurdles.

Community engagement: COMA enabled a blend of activities that provided resource in the form of events, consequently people have started to participate in conversations and are driving their own ideas. There is a genuine excitement within the community about community asset projects. The partnership have levered their networks to champion and support local groups. The Council are increasingly receptive and more recently senior leadership have been taking a proactive interest.

Corporate engagement through CAT policy development: the development of a draft CAT policy has been crucial as a focus for the partnership and will form work ongoing. A wide consultation process has taken place within the Council and senior leaders are supportive of its review at cabinet in June. The dedicated officer resource has been invaluable in driving its development as well as related programme activities.

9. What were the top unforeseen issues you have had to tackle? How did you manage this?

In October 2015, a Council-wide organisational review led to changes in corporate structures, loss of key personnel, and some delay to strategic discussions concerning the CAT policy. A key objective of the partnership was to formalise a CAT policy for Thurrock and implement a programme of awareness raising in the Council to support its implementation. This has not been possible during the programme but will take place within six months; a Cabinet meeting in June has been identified.

The impacts of the restructure were mitigated by the RM speaking regularly with the council lead to think through risks and produce alternatives. The council lead has also been regularly making the case to senior colleagues and keeping CAT firmly on the agenda.

There is recognition that the case for CAT needs to be made by senior corporate levels to lever political support. Alongside capacity building, the wealth of knowledge accrued and progress made as a result of the COMA programme provides the partnership with the resources required to influence key decision makers around policy and ongoing investment.

10. Thinking about your response to questions 3-5 - Are there 3-5 things you are could have done better?

Senior engagement: we could have engaged senior council staff earlier in the process, but the challenge of a council review was difficult to overcome within the timeframe. Now things have settled there is a renewed vigour to engaging in conversation.

Links to other services: we could have made more strategic links to other service areas e.g. sports, culture. Given the relatively low level nature of Thurrock's community assets work we felt that developing a track record and a smaller more manageable partnership would then feed new working arrangements, which is indeed what has occurred, but it might have been better to bring in other areas at the outset.

Manage expectations: as a partnership we were aware of what we could achieve within the timeframe of COMA but perhaps could have communicated that better across the wider network and into the public domain. The development of the CAT Policy and a marketing plan will help to keep communication with the wider community open and transparent.

11. Thinking about your response to questions 3-5 - what are your top 5 lessons you would like to share with other communities?

- **Build relationships** – get to know people and what they are trying to achieve
- **Meet regularly** – creates collective drive and joined up thinking and innovation
- **Do your homework** – gather and use information and learn from others
- **Grow local support** – find your leaders, ambassadors, residents to make you stronger
- **Be patient** – it will always take longer than you think!

12. Thinking about your response to questions 3-5- what are your top 5 lessons you would like to share with other local authorities?

- **Build relationships** – get to know people and what they are trying to achieve
- **Meet regularly** – creates collective drive and joined up thinking and innovation
- **Welcome challenge** – be open and transparent and engage widely
- **Broker and hold to account** – make links with key people and services and seek to unblock
- **Share knowledge** – make information readily available

Partnership working

13. How do you feel your partnership has developed during the programme, from the initial scoping meeting?

The partnership has grown and strengthened in representation since inception. All partners are active and have attended most, if not all, meetings and community engagement events.

We are planning to develop a terms of reference for the partnership to define what its role will be beyond the programme and gradually invite other members to join from the wider pool of stakeholder who have shown an interest. The terms will also seek to encourage partners to take a broader remit and generally champion community asset transfer across the sectors and organisations in which they operate.

14. Considering your response above. Excluding Government-sourced funding/grants/capital - what could have made achieving your project easier/quicker/possible?

Simply we would have valued more time to develop the work and the infrastructure in which it needs to operate. This would have enabled us to do more foundational work and lobbying that would lead to greater impacts during the programme. We believe in the principle of developing at the community's pace and were keen not to rush to the detriment of overall sustainability. The CAT policy requires engagement which takes time, particularly to garner senior council and political support. That said we are proud of the achievements that have been made in such a short amount of time and are excited by the potential of where the work is going.

15. What community financing routes did you consider/use to progress asset ownership/management (e.g. Community shares, social investment, crowd-funding and loans)?

The charity looking to take on management/ownership of the café building is working with Plunkett Foundation and engaging Community Shares to establish a share offer which will enable local people to invest in the venture.

16. Did you receive any in-kind support, or match funding? If so from where, or who?

During the programme we have received significant in kind support from the Council's Community Development and Equalities Team. The partners themselves have also provided in kind support in the form of room hire, marketing for events and volunteer support.

Friends of Hardie Park have secured funding from Veolia (£120k) and matched by the Council (£20k) for the development of a skate park. This success is further building the CAT business case for the group.

The Hubs currently have revenue support available via the Transformation Challenge Award (£550k for three years). £100k directly pump primes community hubs, £150k supports community development for hubs (volunteer training, learning and development, enterprise support). £300k is available to support service transformation through hubs – for example Housing has contracted with two hubs to provide Customer Service Support, replacing housing led support. The Council has committed £1m in capital funding to 2017/18 to support the development of hubs – part of this budget will match housing investment.

17. Are you able to identify any savings that have been made, or predict any savings to be made through the Community Asset Transfer?

Due to the current position of projects, accurate cost savings are currently not possible to quantify.

Anecdotally the two asset transfer projects that are furthest along, Hardie Park and Lightship Café, aim to deliver outcomes of increased awareness of health which should result in cost savings in terms of GP and hospital admissions. Furthermore increased feelings of ownership and pride in community assets should increase community satisfaction/safety and levels of engagement therefore lessening the need for reactive responses from agencies.

Direct Support and grant funding

18. Can you summarise what benefits the technical support (consultancy) brought to the project? What was learnt /gained from it?

Technical support comprised a series of community engagement activities (events) and a package of tailored resources. This support was purposefully designed to meet the two partnership aims: 1) to implement a programme of community engagement to inform, inspire and mobilise; and 2) to build the capacity of local groups in the stages of taking on listed assets.

This support sought to:

- create excitement around improving Thurrock through community led action using assets for community benefit;
- promote an understanding of community assets and commitment from Thurrock Council to develop a policy;
- test people's understanding of social value;
- manage expectations of groups with good ideas so they are aware of what is involved;
- increase confidence to take on sustainable and effective community asset management;
- provide an understanding of community enterprise and the importance of a robust business plan, and,
- complement existing networks.

19. How did you feel the relationship management worked? Are you able to include any benefits, or anything that could be improved?

Locality's Relationship Manager (RM) in Thurrock – Lawrence Walker - has provided invaluable support helping to transform a range of conversations taking place across the Council and with communities into a strong Thurrock CAT partnership that will sustain beyond the COMA programme.

The RM has helped the partnership to form clear objectives to develop the social and corporate appetite for CAT across the borough and realise opportunities for community benefit where viable. Best practice advice and guidance has been shared with the Council's lead officer (Becky Price) at regular intervals enabling the advance and development of the Council's CAT policy as well as opening debate with officers and members on the benefits CAT can bring to communities and public services.

Two community engagement sessions were hosted in Thurrock by the RM who, owing to his wider experience and connections to members of the partnership, was both knowledgeable and able to demonstrate a vital understanding of the local area and challenges faced by services and communities. Delegates' feedback from both events was positive and created avenues to extend the CAT partnership in the future.

The RM has provided a great deal of support to move the CAT agenda forward in Thurrock over the last 9 months, as such, there are no suggested improvements to the assistance that has been provided.

20. Can you summarise how the grant was spent and what was achieved with this fund, which could not have been achieved without it?

COMA pre-feasibility grant funding has principally supported the advancement of two specific assets and associated groups in Hardie Park and Lightship Café. This took a three pronged approach focused on business planning, green audits and waste training and surveys. Training around business planning and energy management was offered out to the wider stakeholder group. A study visit was also arranged to the Sunlight Centre in Gillingham to inspire and support local project development by giving a clear understanding of what needs to be in place to manage an asset.

21. Any other comments?

Going forward by the time the programme ends we feel will have the knowledge and resources locally to extend the programme further to new partners and a greater range of assets.

Quotes:

Friends of Hardie Park, Rob Groves: *"The programme has enabled Thurrock Council to work intentionally with our organisation to pursue the common goal of asset transfer and partnership working whilst increasing our capacity through consultancy and training to optimise the opportunity that asset transfer presents to us as a relatively inexperienced and new body of local people. It has also helped establish a precedent for similar future public/voluntary sector partnerships across the borough by establishing a proven way of working and the necessary policies and procedures"*. **Lightship Café**, Andrew Blakey: *"The Community Ownership and Management of Assets project took a wish and started to turn it into reality. This was the spur that drove the project forward. COMA allowed us to access resources that were not available to us"*.

Report prepared on: 25 February 2016

Report prepared on behalf of the COMA Partnership by:

Lawrence Walker, Development Officer Locality

Becky Price, Community Development Officer, Thurrock Council

Community Asset Transfer Policy

Draft v.10 – June 2016

Revision History

This document will be subject to amendments during the review period and will be updated during this time using formal change control procedures.

Version	Date	Reasons/Summary of Changes	Author
Draft v.1	19.03.14	First draft	B. Price
Draft v.2	30.04.14	Incorporation of vetting statement to mitigate risk of extremist groups hiring or leasing council buildings	B. Price
Draft v.3	26.11.14	Incorporation of definition of community asset and minor amendments noted by Community Assets Steering Group	B. Price
Draft v.4	April 15	Amendments by Asset Management	I Rydings
Draft v.5	May 15	Feedback from CEDU SMT	B Price
Draft v.6	June 15	Initial feedback from COMA Partnership	B Price
Draft v.7	Sept 15	Additional feedback from COMA Partnership following detailed review and insertion of Stronger Together Appendices C-E provided by L. Walker and J. Cole	B. Price
Draft v.8	Jan 16	Feedback from Head of Assets and Regeneration and Corporate Assets Manager, addition to Appendix B (model lease)	B. Price
Draft v.9	May 16	Amendments following feedback from Head of Assets and Regeneration, Thurrock CVS, Locality, Legal Services, amendments to background, purpose and commitments, heads of terms, removal of Appendix B (model lease), addition of decision making process, process for community and council driven CAT	B. Price
Draft v.10	June 16	Amendments to governance framework set out in Appendix 1 to set out role of elected members in assessment and decision making process for CAT	B. Price

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Vision for Thurrock

Our Community Strategy was approved in September 2012, and refreshed in January 2015, following extensive consultation with our communities culminating in the following vision for Thurrock and five enabling strategic priorities:

"Thurrock: A place of opportunity, enterprise and excellence, where individuals, communities and businesses flourish"

- SP1. **Create** a great place for learning and opportunity
- SP2. **Encourage** and promote job creation and economic prosperity
- SP3. **Build** pride, responsibility and respect
- SP4. **Improve** health and well-being
- SP5. **Promote** and protect our clean and green environment

The Council is taking positive action to become an enabler of improved outcomes for communities rather than a direct provider of services using its property portfolio to support this approach.

Our relationship with partners and the community is transforming and the Council wants to enable increased community leadership across the borough for groups and individuals.

We recognise the vital role of the voluntary, community and faith sector (herein 'VCFS') as key partners in the delivery of services and links with local people. The sustainability of the sector is therefore essential to build pride, respect, cohesion and resilience in local communities whilst supporting active citizens, local assets and neighbourhood networks, community led development and management of our borough-wide community hubs.

We are clear that the way we manage our physical assets can have a very positive impact on the long-term strength of local communities and the VCFS more generally, helping the sector to grow, become more secure and gain access to additional assets and external funding. This Community Asset Transfer (herein 'CAT') policy has therefore been designed to help us to both promote and identify opportunities for CAT whilst achieving fairness, transparency and consistency through the assessment and decision making process creating a long-term partnership approach between the Council and the VCFS to support and manage suitable assets.

Whilst CAT will not always be the most suitable option for all properties or all organisations, the Council will continue to work with local organisations to ensure that programmes are in place to support the development of a strong and sustainable VCFS in Thurrock.

Background

In recent years the Council has adopted several approaches to support the leasing, licensing and management of the buildings and other assets that it owns.

In December 2010 the Community Sport Facilities, Leases and Licences policy was approved by Cabinet with a view to establishing a range of sustainable self-management options for tenants allowing for the variation of terms and conditions of licenses in some instances allowing for leases to be set below market value. The policy determined the criteria for organisations wishing to be a tenant of the Council; terms and conditions of related leases and licences; governance and considerations to support decision-making.

The Council's Asset Management Plan, approved by Cabinet in February 2011 established high level objectives for the future management of property, based on Government guidance, good practice, and the Council's operating environment.

These high level objectives required that the Council's property portfolio would in future be:

- managed strategically to support corporate aims and objectives;
- held and managed in support of service delivery;
- used to provide Value for Money and deliver efficiencies and savings for the future;
- procured and managed in a way that minimises the impact on the environment;
- used to support the regeneration of the Borough, and,
- used to support the activities and development of Thurrock's communities and the Council's partners.

The Asset Management Plan took into account the direction of travel established by the Localism Act of 2011 and its intention to shift power from government to individuals and communities, making it easier for them to get things done and achieve their ambitions for the place where they live. This shift in the ownership of land and buildings from public bodies to communities demonstrates localism in action.

A general consent for local authorities to dispose of property under community asset transfer rules was introduced by the Government in 2003. Local authorities are now empowered to transfer the ownership of land and buildings to communities for less than their market value through a process known as 'discounted asset transfer' or 'asset transfer' (in Thurrock) giving greater powers to:

- community and voluntary sector organisations;
- community and social enterprises;
- individuals looking to form a not-for-private-profit group to benefit their area or neighbourhood;
- charitable trusts.

As part of the Localism Act, the Community Right to Bid has also been enacted giving power to communities to nominate land and buildings to be part of a register of 'assets of community value'. If such land or buildings are then offered for sale, eligible community organisations then have six weeks to indicate an 'intention to bid'.

If a bid is subsequently received, any sale of the asset cannot be completed for six months from the date that the council is given notice of the proposed sale.

For further information on the council's process for administering the Community Right to Bid, please see: <https://www.thurrock.gov.uk/bidding-for-assets-of-community-value/community-right-to-bid>

A list of council-owned land and buildings is also available here: <https://www.thurrock.gov.uk/land-and-premises-in-thurrock/local-authority-land-and-premises>

School disposals are covered by an alternative legislative framework. Any disposal would first need approval under Section 77 of the Schools Standards and Framework Act 1998. Therefore, school buildings and landholding will not be considered under this policy.

It is important to note that Community Asset Transfer is not an automatic right referred in the Localism Act 2011 but a central government policy directed at public bodies use of their assets. It is however based on individual business cases. Not all assets are available for CAT.

Purpose and commitments

We believe that organisations within the voluntary, community and faith sector (VCFS) are often best placed to manage facilities, making extensive use of volunteers and their local knowledge and hands-on management achieving lower overheads and better value for money as well as a more intensive use of the asset that helps to foster a sense of belonging in communities whilst bringing together people from different backgrounds.

This policy sets out the Council's approach to enable the community, voluntary and faith sector to achieve successful, vibrant, inclusive and sustainable community managed assets that meet local needs, maximise social value, support growth and resilience in the VCFS and deliver the most efficient use of publicly owned buildings and spaces in Thurrock.

It outlines a framework that supports the identification, transfer and sustainable management of council assets by the VCFS if the anticipated social value and financial viability outweigh the potential risks. The policy also provides a structure by which the Council can initiate the CAT process following a review. It is founded on the principles of **fairness, transparency, and consistency** in the assessment and administration of CAT.

Through the delivery and application of this policy we are therefore committed to:

- Community Asset Transfer (CAT) where it will achieve benefits to local residents and contribute towards the council's vision and objectives;
- acknowledging the social, economic and environmental value of CAT and the opportunities this may present to offset this value against economic rent;
- using Council assets to form long-term partnerships with the VCFS in order to create stronger, more cohesive and more sustainable communities;
- proactively investigating potential opportunities for CAT to local communities and social enterprises, and seeking to minimise processes associated with administering this policy;
- creating a fair, transparent and consistent process for CAT, and,
- reviewing the application of this policy with the VCFS at regular intervals.

It is important to note at this point however that we will **not** invite or accept expressions of interest for assets:

- that are, or it is anticipated maybe required in future, for the Council's operational purposes;
- where the Council considers that the property will achieve full market rent;

- where the Council has identified the property for disposal for a capital receipt. (in this case VCS organisations may still choose to submit a bid when the asset is marketed), and,
- where there are known or anticipated plans or strategies that may affect the potential for CAT.

What is the process?

The Council has determined two potential options that may instigate a Community Asset Transfer process:

1. **Community driven** – where an expression of interest for an asset transfer is received by the council from an eligible organisation, or,
2. **Council driven** – where a **service review** leads to a preferred option that includes CAT to support ongoing delivery, or, where a **surplus property** has been identified and deemed suitable for CAT

All CAT nominations need to demonstrate how they will directly benefit local residents and the wider communities of Thurrock and how their activities and expected outcomes will contribute to the delivery of the Community Strategy vision and strategic priorities.

The process for both options is presented in **Appendix 1** to this policy.

How will decisions be reached?

Detailed guidance on the decision making process is provided in Appendix 1 to this policy including the roles and responsibilities for the Corporate Assets (CA) Team, Community Development and Equalities (CD&E) Team, CAT Assessment Panel, Corporate Property Board, Member Working Group for Property and other elected members.

In most cases, it is expected that proposals for CAT will involve a transfer (and hence lease) of not greater than 21 years. In these circumstances, the Corporate Property Board will be able to reach a final decision on the outcome of the CAT proposal in consultation with the Member Working Group for Property.

In exceptional cases where a lease of greater than 21 years is proposed, or in rare cases, the transfer of freehold, the decision making process will follow the relevant terms for the disposal of assets set out in the Council's Constitution. As such, decisions relating to the disposal by CAT of land or property valued below £500,000 will be delegated to the Leader and Cabinet Member for Finance and Education on advice from the Monitoring Officer and the S151 Officer (and Chair of the Corporate Property Board) in consultation with the Corporate Property Officer (and Corporate Director of Environment and Place) and ward members. Any decision relating to the disposal by CAT of land or property valued above £500,000 will be taken by the Cabinet.

There may be occasions where the involvement of Cabinet or other member committees is required before a final decision on the CAT is reached. An example of this may be noted where the viability of a CAT proposal is subject to gaining planning consent to enact a change of use for a building. In this case, in-principle approval for the CAT only may be granted by the relevant parties highlighted in this section in advance of a formal decision concerning the planning application from Planning Committee.

What is a Community Asset?

For the purpose of this policy, the council has used the Localism Act 2011 (Section 88 (1) and (2)) to define an asset of community value in Thurrock as:

A building or other land in the local authority's area that:

- (a) has an actual current use of the building or other land that is not an ancillary use, furthers the social wellbeing or social interests of the local community, and;
- (b) it is realistic to think that there can continue to be non-ancillary use of the building or other land which will further (whether or not in the same way) the social wellbeing or social interests of the local community.
- (c) has furthered the social wellbeing or social interests of the local community in the recent past, and which it is realistic to consider will do so again during the next five years.

Such assets are not always in public or local authority ownership, but when they are, the Council will take a pragmatic view of ownership and management arrangements, seeking to balance the costs of management and maintenance, the social, economic and environmental benefits realisable from the asset's use.

What is a Community Asset Transfer?

At the simplest level, community asset transfer (CAT) is a change in management and/or ownership of land or buildings, from public bodies to communities.

The range of transfer options can vary widely although communities typically take on the ownership or management of a community asset on a management agreement, long lease, shorter lease or a licence to occupy.

CAT usually involves a transfer at less than market value, either at a reduced cost or free of charge. The level of subsidy will however be determined by the social, economic or environmental benefits generated by the transfer.

For how long will leases be granted?

We will carefully consider the specific needs of the organisation, the condition of the asset and the requirements of potential funders or lenders. We will base the length of the lease term on the needs that are clearly supported by the organisation's business plan and on its capacity to manage the asset. In certain cases we may offer a phased transfer.

The following is a guide to the type of property arrangement that may apply to new CATs based on the anticipated requirements of most charitable funders:

- a management agreement or licence will normally be granted for up to 12 months
- a lease of up to 21 years
- in exceptional cases, a lease longer than 21 years, or a freehold transfer, protected by appropriate covenants may be appropriate if supported by a business case that demonstrates special circumstances or requirements from funders or lenders.

Which organisations can be considered for CAT?

We are interested in discussing community asset transfer with community groups and VCFS organisations. A key consideration however will be the sustainability of the organisation and its capacity to manage and develop the asset.

Organisations that benefit from the transfer must be credible, constituted, financially viable with a clear business case.

Organisations that will be considered through this process are those that are not for private profit and specifically:

- an unincorporated charitable organisation with at least 21 local individual members (who appear on the electoral roll within Thurrock Council or a neighbouring Local authority) and which does not distribute any surplus it makes to its members;
- company limited by guarantee with charitable status;
- company limited by guarantee which does not distribute any surplus it makes to its members;
- community benefit society (or industrial and provident society registered with FCA prior to the 2014 Act) which does not distribute any surplus it makes to its members;
- community land trust;
- community interest companies (CIC) limited by guarantee, or,
- CIC limited by shares,
- charitable incorporated organisations, and,

- community benefit societies

CAT recipients can be of any size but need to:

- generate social, economic or environmental benefits in Thurrock;
- directly benefit the local people of Thurrock;
- benefit as wide and diverse a range of local people as possible, and,
- provide evidence of these benefits

Privately owned or commercial organisations can only be considered if their main aim is to deliver social, economic or environmental benefits in Thurrock. Any organisation that is not a registered charity must also have an asset lock to ensure the asset remains in community use in perpetuity.

Which organisations and activities will not be eligible for CAT?

In accordance with the Equality Act 2010, it is our duty to ensure that anyone can use our services regardless of age, gender, disability, race, sexual orientation, and religion or belief. We oppose all forms of prejudice and discrimination and promote diversity and tolerance in Thurrock that prevents the harassment and victimisation of our residents, service users and employees.

Through the application of this policy, we will endeavour to prevent both the use of space or transfer of assets to groups or individuals that seek to promote hatred or extremism against individuals and/or society.

We expect these terms, and those set out in the Equality Act 2010, to be upheld by community groups and organisations using or accessing land and buildings that are the subject of CAT.

What are the key considerations that organisations will need to meet to be eligible for CAT?

Interested organisations should complete the Expression of Interest Form presented in **Appendix 2** and must be able to demonstrate:

- a clear community/social demand for the proposal that is inclusive and does not duplicate activities, services or facilities already provided in the local community,
- the benefits for local residents, and,
- alignment with the Community Strategy vision and strategic priorities.

Organisations must also:

- have a strong financial background and/or a demonstrable financial plan for the asset;

- set out a clear, financially viable vision for the asset that will contribute to its sustainability;
- continue to provide access to community and voluntary groups currently using the premises;
- demonstrate strong governance by operating through transparent, accountable and co-operative principles, and,
- demonstrate the skills and capacity within, or available to, it's managing body to effectively deliver services and manage the asset.

Proposals from 'community anchor organisations' (independent, community run and led organisations rooted in a sense of place and with a mission to improve things for the whole community) and those which include the co-location of several services (a 'community hub') will be encouraged in this context.

Depending on the type of asset, there may be additional criteria, for example, running a library service. This will be communicated to the applicant on the council's consideration of their expression of interest.

How do we express an interest in CAT?

If you are interested in a specific asset you will first need to submit an Expression of Interest Form (**Appendix 2**) and return it to CAT@thurrock.gov.uk where it will be acknowledged within 10 working days.

If this is the first time that the property has been brought to the attention of the Corporate Property (CP) Team, the eligibility of the asset itself for CAT will be assessed by the Corporate Property Board. The process flowchart illustrated in Appendix 1 will be applied.

If the asset is considered suitable for transfer, it will be advertised. If your initial Expression of Interest is considered viable, you will be asked to prepare a full business plan using the guidance at **Appendix 3**.

Lease Terms:

Key lease heads of terms will ordinarily contain the following:

1. Full repairing and insuring lease.
2. Contracted out of the Landlord and Tenant Act 1954.
3. A mutual break clause (e.g. periodic break clauses, potentially after 3 years and every 5 years thereafter or on 6 months written notice from either party).
4. The ingoing tenant may not sub-let the asset (land or property) but subject to landlords consent we may agree sub-letting/licenses or shared use subject to a business case.
5. Rent reviews every 5 years and to be uplifted by the consumer price index.
6. The tenant will be required to keep the whole of the asset (land or property) in good repair, decoration and maintenance at all times.
7. Tenant to pay for all utilities, Rates, and any costs and expenses incurred or associated with their use and occupation of the premises.

8. The lease to be entered into on the Council's standard terms containing terms as the Borough solicitor considers appropriate.
9. The lease will contain a permitted use clause. A service agreement will be appended to the lease.

Once granted, leases can be extended or restructured at a future stage to meet the organisations changed activities or circumstances, or to meet the requirement of potential funders or lenders, subject to receipt of a business case by the Head of Regeneration and Assets.

What happens after a CAT has been approved?

After a CAT has been approved a service agreement will be determined with the applying organisation, with ongoing support provided by the council's Corporate Property (CP) Team working with the Community Development and Community Development and Equalities (CD&E) Team signposting to other sources for advice and guidance where appropriate.

Once agreed, it will form a legally binding agreement that will be an appendix to the lease.

An annual self-assessment of the service agreement targets, measurement of benefits etc. will be completed by the applicant and submitted to the council's CP Team. The Council may require further information, face to face meetings and a site visit as necessary before providing formal feedback on the self-assessment.

Further advice, guidance and resources

For further information on the council's CAT process, please email:
CAT@thurrock.gov.uk

Advice, guidance and support for VCFS organisations is also available from Thurrock Council for Voluntary Services (TCVS). For further details please see:
www.thurrockcvs.org or email: info@thurrockcvs.org

Additional information and supporting resources can be found in Appendix 4-6 to this policy.

Thurrock Council's Constitution may be found via:
<https://www.thurrock.gov.uk/constitution-of-council/thurrock-council-constitution>

Appendix Reference

Appendix 1: Community Asset Transfer Process: Community/Council Driven and Decision Making Process

Appendix 2: Expression of Interest for a Community Asset Transfer

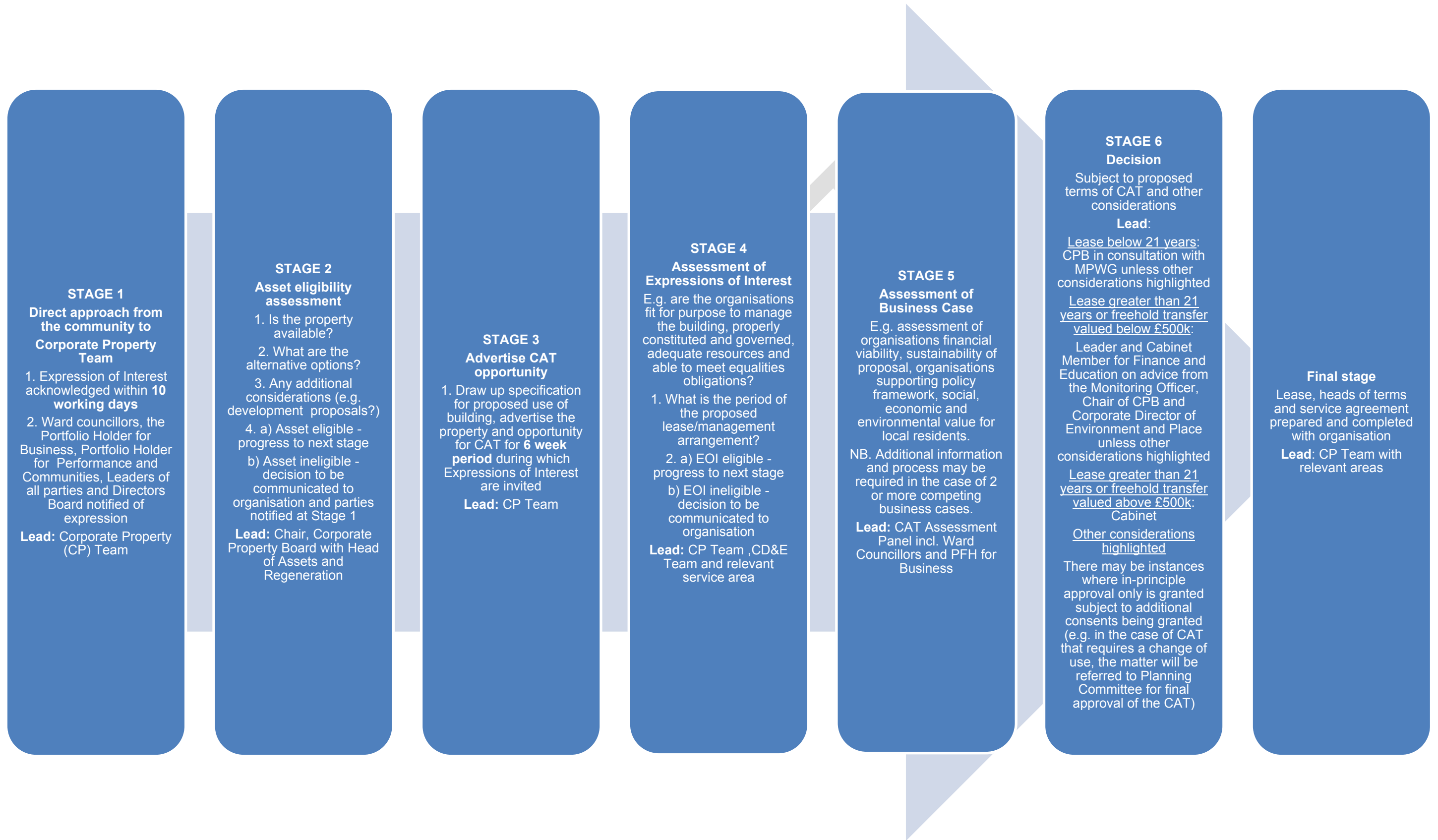
Appendix 3: Business Plan Guidance

Appendix 4: Types of governance models for community organisations (Stronger Together)

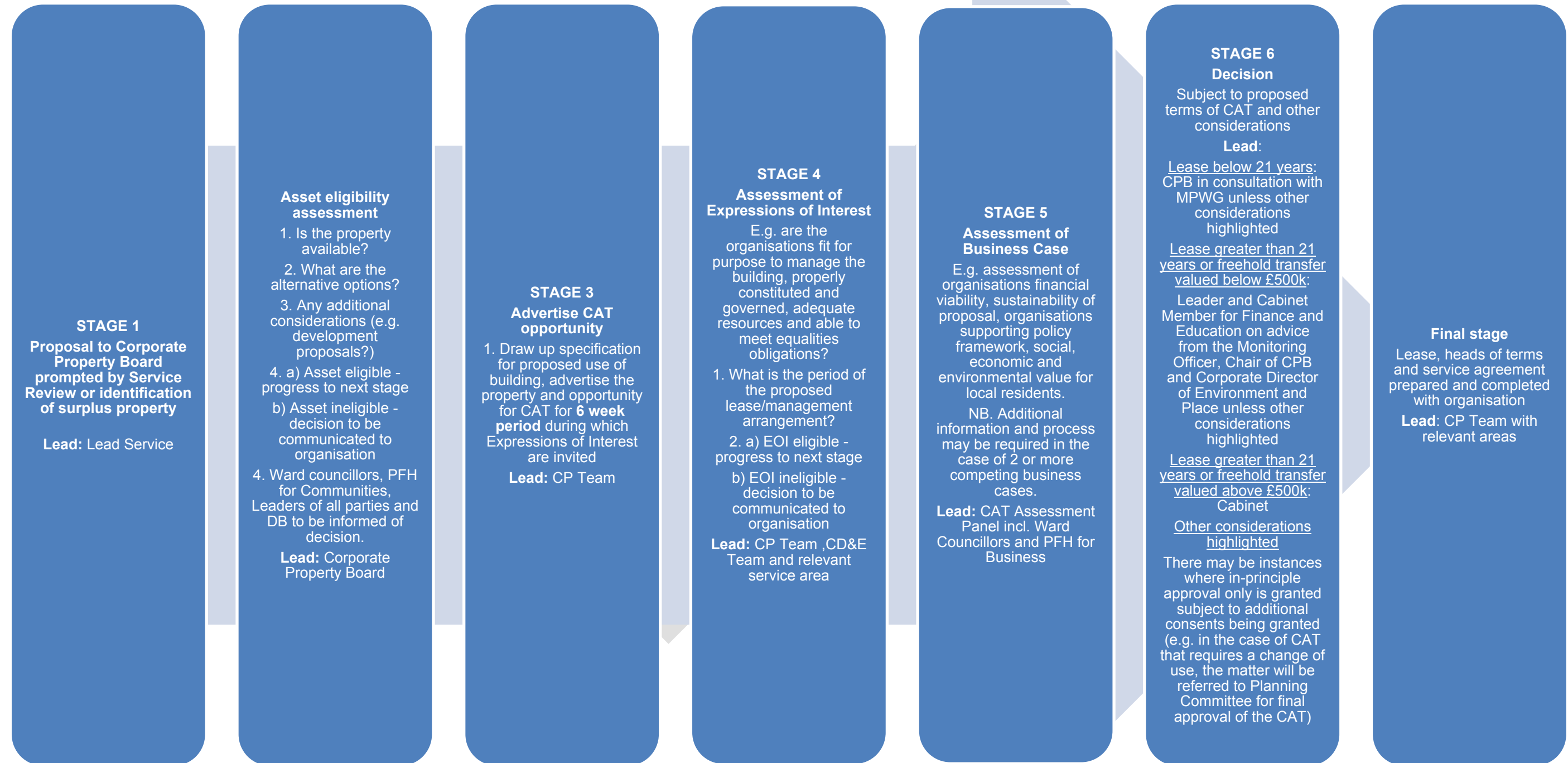
Appendix 5: Community Asset Transfer: Resources (Stronger Together)

Appendix 6: Community Asset Transfer: Sources of Support (Stronger Together)

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Appendix 1: Community Asset Transfer Process: Council Driven



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How will decisions be reached?

Stage 1: Expressions of Interest

Community Driven

'Expressions of Interest' (EOI) will be received and acknowledged by the **Corporate Property (CP) Team** within 10 working days.

In the case of community driven CAT, the CP Team will complete an initial eligibility assessment that will include consideration of the status of the organisation submitting the EOI as well as the current occupation and lease arrangements for the asset. Additional information may be sought from the organisation at this stage to clarify eligibility.

During this stage, notification of the EOI will be provided to Ward Councillors, the Portfolio Holder for Business, Portfolio Holder for Performance and Communities, Leaders of all parties, Directors Board and Member Property Working Group with a copy of the supporting process.

The CP Team will highlight the outcome of the eligibility assessment to the **Head of Assets and Regeneration**. Other services will also be notified at this stage where their area of responsibility is either the subject of the CAT or expected to be involved with the approval process (e.g. in the case of planning matters).

Council Driven

Proposals for CAT driven by a service review will be prepared and presented in the form of a report to the Council's Corporate Property Board by the relevant service area. The proposal should include information on:

- the service review that highlighted the opportunity for CAT;
- the current use of the asset and occupancy;
- potential uses for the asset;
- community engagement already undertaken and the involvement of elected members;
- consideration of alternative options;
- any additional factors including the implications of current or emerging plans or strategies that may be relevant to the asset and viability of CAT, and,
- the name and contact details for the Service Area Lead that will be a member of the CAT Assessment Panel.

Stage 2: Asset eligibility assessment

Community Driven

The **Head of Assets and Regeneration and Chair of the Corporate Property Board** will use information from Stage 1 to complete a basic eligibility assessment of the asset identified as a potential CAT opportunity.

Their considerations will clarify:

- whether the property is available;
- alternative options to CAT (where relevant);
- the anticipated duration of a lease or management arrangement (e.g. greater or lesser than 21 years);
- known or anticipated plans, strategies or other dependencies that may affect the potential or viability for CAT,
- potential conflicts of interest, and,
- any other known sensitivities at this stage.

If the asset is deemed eligible for CAT, the application will proceed to Stage 3 and the applicant and all relevant parties notified by the CP Team within 5 working days of that decision.

If the asset is deemed ineligible, feedback will be provided to the applicant and all relevant parties by the CP Team within 5 working days of that decision.

Council Driven

The **Corporate Property Board** will use information from the report prepared at Stage 1 to determine the viability of the proposal presented by the relevant service area.

If the proposal is accepted by Corporate Property Board, notification of the service review that has led to the proposal will be provided to Ward Councillors, the Portfolio Holder for Business, Portfolio Holder for Communities, Leaders of all parties and Directors Board by the Service Area Lead.

If the proposal is not accepted, feedback and recommendations will be provided by Corporate Property Board.

Stage 3: Advertising CAT opportunity

If the EOI is considered eligible at Stages 1 and 2, the opportunity for CAT will be advertised through a range of local media including the council's website for a period of 6 weeks during which additional EOI's will be invited. The **CP Team** will lead this process.

The advertisement will include a specification for the proposed use of the asset.

Additional information (e.g. running costs) may also be provided by the CP Team, where available, on direct application to CAT@thurrock.gov.uk

Stage 4: Assessment of Expression/s of Interest

As soon as possible after the advertised close date for EOI's, a member of the CP Team will convene a meeting that includes a representative of the CP Team, CD&E Team along with a member of the relevant service area/s to complete a basic assessment of the EOI.

If more than one EOI is received a competitive process will be invoked in which case notification will be provided to the applying organisations and the relevant parties identified in Stage 1.

In the case of just one application, the panel will consider:

- the constitution and governing documents for the organisation;
- the proposed use of the asset and community benefit;
- alignment with the community strategy vision and priorities;
- the financial resources to take on, manage and maintain the asset,
- any additional skills and experiences of members of the organisation that would support a successful CAT;
- an assessment of the mitigation of risk factors;
- gaining an understanding of the community demand, benefits and involvement and supporting evidence, and,
- any additional support required by the organisation.

A standard assessment template will be prepared for members of the panel to 'score' the EOI. The panel may require additional information from the applying organisation before a decision is reached.

The group will reach a consensus allowing them to prepare a recommendation to the Corporate Property Board who, in consultation with the Member Property Working Group, will determine which organisations to invite to submit a full business case.

If the EOI is deemed eligible, the applying organisation will be notified and invited to submit a business case allowing the process to move on to Stage 5. A timetable for the submission of a business case will be developed on a case by case basis and notified to the organisation depending on any additional support requirements highlighted in their EOI.

If the asset is deemed ineligible, information on the rationale for such a decision will be provided to the applying organisation and other parties notified at Stage 1. The CAT opportunity will therein be withdrawn.

The outcome from this stage will be provided to the **CP Team** who will notify the applying organisation, and all other relevant parties, of the decision and next steps.

The council may consider reinstating the process at Stage 4 if a further EOI is received within 6 months from the close date of the original advertisement for the CAT opportunity.

CAT Assessment Panel

In the case of proposals that are either deemed eligible or acceptable, nominations will be sought by the Corporate Property Board for the purpose of establishing a CAT Assessment Panel. The panel will be Chaired by the Head of Assets and Regeneration (or a nominated substitute at senior management grade) and include representatives from the Corporate Assets Team, Community Development and

Equalities Team, other relevant services along with ward councillors and the Portfolio Holder for Business*.

*Where the application process highlights a potential conflict of interest for an elected member to be involved with the assessment process, an alternative elected member will be invited to replace that member in consultation with the Leader of the relevant party.

Stage 5: Assessment of Business Case/s

On receipt of the business case, a meeting of the CAT Assessment Panel will be convened by the CP Team for the purpose of completing a detailed assessment of the business case that will include an evaluation of:

- the organisations track record, financial viability and ability to run and maintain the asset;
- the sustainability of the proposal;
- the supporting policy framework (e.g. Health and Safety, Equal Opportunities);
- the range of social, economic and environment benefits for local residents and communities;
- how it will help to realise the community strategy vision and priorities
- any additional factors that may affect the proposal (e.g. dependency on acquiring planning consent).

A standard assessment template will be prepared to allow all members of the group to 'score' the business plan.

The panel may require additional information from the applying organisation before preparing a recommendation to the Corporate Property Board and Member Property Working Group based on their assessment.

Stage 6: Decision

The Corporate Property Board and Member Property Working Group will receive the recommendation of the CAT Assessment Panel following their assessment of the business case.

Depending on the nature of the CAT, additional considerations, sensitivities* and the recommended lease period, the Corporate Property Board may reach a decision in consultation with the Member Property Working Group to:

- Approve
- Approve with variations
- Approve in-principle, or,
- Reject the CAT

In the case of CATs that involve a proposed lease in excess of 21 years and where there are no further considerations or sensitivities, the Corporate Property Board with the Member Property Working Group may provide its in-principle acceptance

for the CAT proposal before making a final recommendation to the Leader and Portfolio Holder for Finance and Education who may reach a decision to accept or reject the proposal in those cases where the same is valued below £500,000. Where the CAT comprises a lease or freehold transfer that will exceed an estimated value greater than £500,000, a report will be prepared by the CP Team for Cabinet approval.

If a referral to the Leader and Portfolio Holder for Finance and Education, or Cabinet is required, the applying organisation will be notified within 5 working days of that decision and provided with a supporting timeline for the Cabinet meeting.

In all cases, the final decision and next steps will be provided by the CP Team to the applying organisation and all other parties highlighted in Stage 1 within 5 working days of the relevant meeting.

*Additional considerations or sensitivities

There may be occasions where the involvement of Cabinet or other member committees is required before a final decision on the CAT is reached. An example of this may be noted where the viability of a CAT proposal is subject to gaining planning consent to enact a change of use for a building. In this case, in-principle approval for the CAT only may be granted by the relevant parties highlighted earlier in this section in advance of a formal decision concerning the planning application from Planning Committee.

Final Stage

The final stage of the process will involve the preparation of the lease, heads of terms and service agreements with the applying organisation.

Appendix 2 – Community Asset Transfer Policy

Expression of Interest for a Community Asset Transfer

This application form should be completed by all groups wishing to have their application for an asset transfer from Thurrock Council to be considered.

Guidance relating to the key considerations and eligibility criteria for organisations is set out in the Community Asset Transfer Policy

1	Name and Location of Asset in which you are interested	
2	Name of your organisation	
3	Name and contact details of the Lead Contact, including email (this will be the lead person for correspondence etc)	
4	What type of organisation are you? e.g. registered charity? Please provide your company or charity registration number (if applicable)	
5	Do you presently occupy the asset or are you aware of any existing occupancy arrangement?	Yes/No Please describe:
6	What do you want to use the asset for? Please include brief details of any activities or services which will be delivered and specify whether these are existing activities or new ones.	
7	How will your proposal be funded? Include details of grants, sustainable income streams etc	

8	<p>How will your proposal help to realise the Community Strategy vision and priorities?</p>	
9	<p>Do you have any plans to improve the physical condition of the asset?</p> <p>Please specify, including details of how improvements will be funded and if they are dependent on gaining any additional consents (e.g. planning permission)</p>	
10	<p>If this asset is transferred to you what do you think will be the main benefits for the local community?</p>	
11	<p>How long are you seeking to lease/manage this asset for?</p>	
12	<p>Please provide evidence of any consultation you have undertaken with the community or other organisations about your proposals</p>	
13	<p>Who are the key people involved in your organisation, with a summary of their role and key skills?</p>	
14	<p>What do you think are the key risks to your proposal and how will you mitigate them?</p>	
15	<p>Are there any areas in which you think you need help and support to enable you to successfully manage this asset?</p>	

Attachment Checklist

- Copy of group constitution (or Registration Form and Interest Statement for Community Interest Company)
- Evidence of decision of organisation or group to submit this Expression of Interest
- Name and home addresses of 21 members registered to vote in nomination area (if group is not constituted)

Conflict of Interest Questionnaire

Officers and Members have a duty to act in the best interest of the Council. They must avoid situations where their personal interest conflict or duties conflict with their duty to the Council unless they have been authorised to do so in accordance with the Council's procedures. The duty also extends to conflicts that arise because of persons connected with them. Conflicts of interest can occur in many ways. A conflict of interest can occur where an Officer/ Member or connected person stands to benefit personally from the Council. Conflicts of interest must therefore be appropriately identified and this questionnaire should help.

Questionnaire

Please answer the following questions:

1. 1. Are you a Councillor or Thurrock Council Employee?
Yes/No
2. Do you have a spouse, co-habiting partner, child, parent or business associate who is employed by Thurrock Council at a senior level or who is a Councillor?
Yes/No
3. Have any of your directors/partners/company secretary ever worked for or are currently employed by Thurrock Council?
Yes/No
4. Have any of your directors/partners/company secretary ever served as or are currently a Councillor at Thurrock Council?
Yes/No
5. Do any of your directors/partners/company secretary have a spouse, co-habiting partner, child, parent or business associate who is employed by Thurrock Council at a senior level or who is a Councillor?
Yes/No
6. Is there any basis on which there maybe or perceived to be a conflict or interest, i.e. a connection that may provide you with a potential advantage over other bidders or put you in a position where there maybe a conflict of interest between you/your organisation and Thurrock?
Yes/No

If the answer to any of the questions 1-6 is yes please provide more details on a separate page, including details of the connection, the person's name and role.

Next steps

If a conflict is identified you must not use your position in any way to gain an advantage. Officers will treat conflicted applicants in the same manner as any other bidder so that the Council can demonstrate that it has not shown any favouritism to you and any declaration will be appropriately reported. The connection will be reported to the appropriate officers and an approach agreed. All connections will be reported in decision making reports and recommendations.

The Members and Officers Codes of Conduct outlined in the council's constitution emphasises the responsibility of Officers and Members to declare conflicts of interest.

Declaration

I declare that to the best of my knowledge the information submitted in this form and the associated documents are correct. I understand that the information will be used in the process to assess the eligibility of my Expression of Interest for Community Asset Transfer.

Name:

Date:

Signature:

Data Protection Statement

We will process the information provided in accordance with the Data Protection Act for the purposes of administering the Community Asset Transfer procedure. The information provided will be stored securely by Thurrock Council and will be destroyed within 6 years. The information provided will be subject to the Freedom of Information Act, but personal information (names and contact details) will not be released in responses to Freedom of Information requests.

Further advice and guidance

We welcome informal discussions prior to the submission of your Expression of Interest. If you would like to arrange such a discussion please email:

CAT@thurrock.gov.uk

Additional sources for support are noted in Appendix 6 to the Community Asset Transfer Policy.

Please return your completed Expression of Interest to:

CAT@thurrock.gov.uk

or post to: Corporate Assets Team, 4th Floor, Thurrock Council, Civic Offices, New Road, Grays Thurrock, Essex, RM17 6SL

Appendix 3: Community Asset Transfer Policy

Community Asset Transfer: Full Business Plan Guidance

You can structure your business plan in any way you like but it should contain as a minimum the following information

Business Plan Element	Detail to be included
Summary	<p>This is usually written last and should include a clear summary of</p> <ul style="list-style-type: none"> ○ Who you are ○ What you want to do ○ How you intend to do it
About your organisation	<p>This should include details about:</p> <ul style="list-style-type: none"> ○ Your track record ○ What you currently do ○ How you run your organisation, for example details about your staff (paid and volunteers), governance and your legal structure ○ Any relevant partnership working
Summary of the project	<p>This includes:</p> <ul style="list-style-type: none"> ○ Project objectives ○ How you will deliver these objectives ○ The impact and benefit of your project ○ Proposals for the management and operation of the asset ○ Proposals for any improvements to the asset you intend to undertake (and where relevant proposals for the management of any construction phase) ○ How your proposal aligns to the Community Strategy vision and priorities and the delivery of the same
Community demand and benefits	<p>In this section you need to consider:</p> <ul style="list-style-type: none"> ○ Needs – what community needs will you be meeting? Who will be the beneficiaries of your project? How many local residents? How many community organisations? ○ Supply – who else is delivering similar activities in the same area? Is there potential for collaboration or competition?

	<ul style="list-style-type: none"> ○ Which organisations are already using the assets? ○ Pricing – what is the rationale for pricing (e.g. for services, renting space etc) ○ Are there any additional social, economic or environmental benefits the CAT will help to achieve? <p>Be as specific as you can</p>
<p>Inclusion and promoting the asset</p>	<p>How will you ensure the asset is open to all members of the community? How will you promote your asset and encourage people to use it. You should include details about your marketing strategy, including:</p> <ul style="list-style-type: none"> ○ What methods you will choose (online, direct to the customer) ○ Who will you target? ○ Who will do this?
<p>Resources (Financial Information)</p>	<p>How will you fund the organisation to meet the running costs for the proposed use and operational costs of the asset?</p> <p>This is a critical section. You should include explanations explaining the rationale for any projections and any assumptions made.</p> <p>You need to be clear about the different types of income/expenditure for your project. This includes:</p> <ul style="list-style-type: none"> ○ Capital (this includes one off expenditure, for example improving or altering the building, purchasing equipment). Be clear about how such expenses will be financed, for example through specific grants or from surpluses from other parts of the business. ○ Revenue, these are on going expenses, for example payment of staff, costs associated with delivering services, ongoing maintenance costs. Again be clear about your income streams e.g. payments for delivery of services, rental income, grants etc. <p>You should include:</p> <ul style="list-style-type: none"> ○ Financial projections with funding sources ○ Your cashflow for the first two years ○ Your expected budget (for the next 3-5 years) ○ Longer term projections/assumptions about the long-term sustainability of your project.

Risk assessment, management and mitigation	<p>This should include:</p> <ul style="list-style-type: none"> ○ Identifying the different risks associated with the project and a description of the implications of those risks occurring. ○ Risks should be evaluated in two ways – the likelihood that the risk will occur and the level of impact if the risk item does occur. ○ For each risk you should set out the actions that will be taken to prevent the risk occurring, or to cope with the risk if it occurs.
Additional considerations	<ul style="list-style-type: none"> ○ Are there any additional considerations or dependencies that may affect the CAT (e.g. is planning consent required)? If so, please provide details.

The organisation will also be expected to submit additional supporting evidence, for example, copies of governing documents, expressions of support from partners/customers, copies of accounts, plans etc.

Equalities Information

Under the Equalities Act 2010, the Local Authority has a duty to:

- Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act.
- Advance equality of opportunity between people who share a protected characteristic and those who do not.
- Foster good relations between people who share a protected characteristic and those who do not.

There are eight protected characteristics of people who use services, which are

- Age
- Disability
- Gender reassignment
- Pregnancy and maternity
- Race
- Religion and belief
- Sex (gender)
- Sexual orientation

As part of the assessment of your application we will assess the extent to which your application will help us to achieve the above duties.

Please describe how you will ensure your activities/services will be accessible to, and foster good relation between groups in relation to the eight protected characteristics above.

Please describe how your activities/services will be accessible to and benefit communities or individuals who experience financial or social disadvantage?

Advice, guidance and resources for organisations that wish to find out more about CAT is also available from Thurrock Council for Voluntary Services (TCVS). For further details please see: www.thurrockcvs.org or email: info@thurrockcvs.org

Appendix 4: Community Asset Transfer Policy

Community Asset Transfer: Types of governance models for community organisations and their features



Unincorporated Association

Governing document	Constitution
Governing body	Management Committee (or Trustees)
Membership	Participating membership or an Open membership
Charity	May be set up as a charity
Reports to	Charity Commission (if a registered charity)
Surpluses	No profit distribution permitted

Management committee members are personally liable as the organisation has no legal identity. The management committee / trustees can insure themselves against this liability but this would not protect them from reckless or negligent management of the organisation. To be a charity an unincorporated association must exist for a purpose that the law recognises as charitable, and its activities must be solely for public benefit. The Charities Act requires 'charitable' associations to

register if they have an annual income of over £10,000. There are some benefits in being registered as a charity (exemptions from some taxation, rate relief, funding sources) but there are also additional administrative burdens.

No member can profit from the association (although expenses can be reimbursed). The surplus on winding up must be transferred to an organisation with similar objects.

Trust

Governing document	Trust Deed
Governing body	Trustees
Membership	Closed - the only members are the trustees
Charity	May be set up as a charity
Reports to	Charity Commission (if a registered charity)
Surpluses	No profit distribution permitted

This governance model is ideal for the holding of an asset or land (with an association set up to run activities) known as holding trustees – as happens with community buildings.

This is also the traditional model for an organisation that wants to distribute grants (an endowed grant giving trust) – sometimes to rapidly raise and distribute funds e.g. for humanitarian crisis. Trustees make the distributions of funding. It is most likely to be set up as a charity

This model is not suitable for an organisation that wishes to encourage participation in its own governance.

No member can profit from the trust (expenses can be reimbursed). This payment of expenses must not be confused with grant distribution.

Company Limited by Guarantee

Governing document	Memorandum & Articles of Association (Mem and Arts)
Governing body	Directors
Membership	Participating membership or an Open membership
Charity	May be set up as a charity
Reports to	Companies House (and Charity Commission if registered)
Surpluses	Profit distribution permitted if not a charity

Membership is very flexible like an unincorporated association. For a 'Charitable' Company Limited by Guarantee, this model has the potential to encourage member participation. This structure is most common form for a charity at present.

It does allow profit distribution to members (unless the company is also a registered charity). The rules on profit distribution will be specified in the Mem & Arts.

Charitable Company Limited by Guarantee

Governing	Memorandum & Articles of Association (Mem and Arts)
-----------	---

document	
Governing body	Directors / Trustees
Membership	Participating membership or an Open membership
Charity	Charitable status
Reports to	Companies House and Charity Commission
Surpluses	No profit distribution permitted

A company limited by guarantee (see previous type of organisation) that is also a registered charity. For charitable companies, profits cannot be distributed and there is an asset lock to ensure land and buildings owned by the charitable company remain in community ownership. There are specific purposes that are recognised as charitable and there is a 'public benefit test' to comply with

Community Interest Company (CIC)

Governing document	Memorandum & Articles of Association (Mem and Arts)
Governing body	Directors
Membership	Participating membership or an Open membership
Charity	Not eligible for charity status
Reports to	Companies House
Surpluses	Possible profit distribution

The CIC governance model was established as a new structure to recognise social enterprises – i.e. organisations that are socially motivated and intend to make profits to use for the public good. Mem and Arts contains an 'asset lock' to prevent any assets owned by the CIC being transferred. Although not a charity, a CIC must satisfy a 'community interest test' to demonstrate how it will benefit the community. As a company it will be subject to corporation tax (whereas charities are not).

A level of profit distribution may be permitted in the form of bonuses, but is subject to the discretion of the CIC Regulator. On dissolution, any assets or surpluses must go to another organisation with an asset lock.

Charitable Incorporated Association (CIO)

Governing document	Constitution
Governing body	Trustees
Membership	Closed, Participating membership or an Open membership
Charity	Charitable status
Reports to	Charity Commission
Surpluses	Profit distribution not permitted

Membership – there is a full choice of membership structures. A CIO can be set up either with just the trustees as the members, or with a participating or open membership. The CIO model was created to remove the requirement for organisations requiring incorporation and charitable status to register with both Companies House and the Charity Commission. The CIO will register only with the Charity Commission which will ease the burden of regulation. Hence the membership requirement being as open as possible.

This governance model is only available to charities therefore all surpluses must be retained and reinvested in the organisation

Community Benefit Societies (BenComs)

Governing document	Rules
Governing body	Directors
Membership	Open membership
Charity	Can apply for charitable status if operating for public benefit
Reports to	Financial Conduct Authority (FCA)
Surpluses	Surpluses cannot be distributed in the form of dividend but interest can be paid to shareholders as an operating expense

Membership – Society legislation has little to say about membership. The rules must state who can (and cannot) be a member, including individuals, corporate bodies, and the nominees of unincorporated bodies. This includes joint members, where one member must be the nominee representing the interests of the joint members. The FCA does not require members to participate in the business, which means that, unlike a co-operative society, anyone is able to invest in a community benefit society, subject to its rules. Although a society is required by the FCA to specify the community it serves, membership is not restricted to this community.

A community benefit society can issue community shares to raise funds to enable it to start up or to expand. The term ‘community shares’ refers to non-transferable withdrawable share capital; a form of share capital unique to co-operative societies and community benefit societies, including charitable community benefit societies.

Co-operative Societies (Co-ops)

Governing document	Rules
Governing body	Directors
Membership	Open membership
Charity	Cannot be a charity (run for the mutual benefit of its members)
Reports to	Financial Conduct Authority (FCA)
Surpluses	Surpluses can be distributed in the form of dividend

Membership – the FCA must be satisfied that a co-operative society is a bona fide co-operative, which implies that it must meet internationally agreed principles for membership of co-operatives. The rules must state who can (and cannot) be a member, including individuals, corporate bodies, and the nominees of

unincorporated bodies. This includes joint members, where one member must be the nominee representing the interests of the joint members.

A co-operative society can have more than one category of membership but must ensure that such membership rules are consistent with the International Co-operative Alliance's Statement on co-operative Identity.

A co-operative society operates for the mutual benefit of its members and may or may not be a social enterprise, depending on its activities and how it distributes profits. Co-operatives cannot be established as charities. Co-operatives 'are based on the values of self-help, self-responsibility, democracy, equality, equity and solidarity. In the tradition of co-operative founders, co-operative members believe in the ethical values of honesty, openness, social responsibility and caring for others'.

A co-operative society can issue community shares to raise funds to members to raise funds which enable it to start up or to expand. The term 'community shares' refers to non-transferable withdrawable share capital; a form of share capital unique to co-operative societies and community benefit societies.

A co-operative society can pay interest on share and loan capital provided it is not more than a rate necessary to obtain and retain enough capital to run the business. It is not a bona fide co-operative if it carries on business with the object of making profits mainly for paying interest, dividends or bonuses on money invested with or lent to it. If the rules of the society allow profits to be distributed, they must be distributed among the members in line with those rules. Each member should receive an amount that reflects the extent to which they have traded with the society or taken part in its business. For example, in a retail trading society or an agricultural marketing society, profits might be distributed among members as a dividend or bonus on purchases from or sales to the society. In other societies (for example, social clubs) profits are not usually distributed among individual members but members benefit through cheaper prices or improvements in the amenities available.

Appendix 5: Community Asset Transfer Policy Community Asset Transfer: Resources (Stronger Together)



Understanding Community Asset Transfer

Community Asset Transfer is an established mechanism used to enable the community ownership and management of publicly owned land and buildings.

This guide provides you with a basic understanding of Community Asset Transfer.

[Link](#)

To Have and to Hold

A guide to long-term community ownership and development of land and buildings.

It's aimed at individuals and community groups and organisations, as well as local authorities and registered social landlords. Each of these groups has the power to be an asset project champion or stakeholder supporter.

[Link](#)

Community Led Space

A guide for community organisations and local authorities around the community asset transfer of public spaces such as parks, gardens and woodlands. The guide includes considerations for local authorities around transfer and advice for community organisations around viable and sustainable transfer.

[Link](#)

The show must go on

This publication is based on presentations at the Community Owned Civic Buildings event held in November 2012. The event aimed to inspire the reinvention of civic buildings in community ownership and to inform proposals for the future community asset transfer of theatres, performance, event and exhibition venues and town halls.

[Link](#)

A history of community asset ownership

A history of community asset ownership was written by Steve Wyler, ex-CEO of Locality.

It gives an overview of the long history of community assets, starting from pre-1066, a time when local communities really did own the land they lived on, all the way up the present day.

With the issue of community ownership of local land and buildings currently high on the national agenda, this short book gives a useful potted history of community assets.

[Link](#)

Pillars of the community: the transfer of local authority heritage assets

Aimed at both local authorities and community groups, this guidance is designed to provide clear, useful advice on when and how to transfer heritage assets from public to community ownership. The guidance also provides links to case studies, checklists, a glossary, bibliography and additional sources of information.

[Link](#)

Multiple Asset Transfer

This document gives an overview of the multiple asset transfer process.

[Link](#)

Empowering Communities: making the most of local assets – an officers' guide

This guide aims to provide support to council officers and introduces the full suite of tools available to unleash the creativity, innovation and growth flowing from community asset ownership and management.

[Link](#)

Empowering Communities: Making the most of local assets – a councillors’ guide

This guide explores the range of tools available to unleash the creativity, innovation and growth flowing from community asset ownership and management.

[Link](#)

Making buildings work for your community

This guide provides an introduction to the design process and practical advice on how to ensure that your building can be the best possible facility for your community.

[Link](#)

Making Land Work: Case Studies in Collaboration

The report describes case studies of four examples of shared management of a range of different environmental assets that are in private, charitable and local and national public ownership. It identifies some of the benefits of shared management, the success factors that make collaborative approaches work, and the particular role of intermediaries in the process.

[Link](#)

Supporting land-based social enterprises

This report explores some of the key issues to consider when supporting new land-based social enterprises. The findings are drawn from interviews with 13 representatives from land-based social enterprises who received direct technical, business and training support from Shared Assets.

[Link](#)

Appendix 6: Community Asset Transfer Community Asset Transfer: Sources of Support



Sources of funding are changing all the time and therefore the information below should not be treated as comprehensive. It is intended as a starting point to help you in your search for funding for your project or organisation.

Up to date advice, guidance and resources for organisations is available from Thurrock Council for Voluntary Services (TCVS). For further details please see: www.thurrockcvs.org or email: info@thurrockcvs.org

Search Engines

Funding Central search engine for grants

There are many sources of grant funding, and new initiatives are launched all the time by national bodies such as the BIG Lottery Fund as well as various trusts and foundations. It can be very time consuming to keep a track of all of the various grant opportunities, so we recommend that you use an internet-based tool to take the strain out of your search. This free website will help you search under particular themes. It will also keep you up to date with new opportunities tailored to your needs:

- <http://www.fundingcentral.org.uk/>

Social Finance

There is a range of advice, grants and support available for social and community enterprises for start-up and development. Grants, gifts and donations are the best because they are not repayable. However, most successful community enterprises tend to blend grants, loans and equity.

Regarding loans, ie: debt finance, it comes in a variety of forms, and its 'cost' will depend on whether the loan is secured/unsecured, the repayment period, fixed/variable rates, arrangement fees, penalties, etc. Sources of loan finance include high street retail banks, some of whom have specialist teams dedicated to the sector, eg: RBS Nat West

- <http://www.rbs.co.uk/corporate/banking/g2/expert-industry-teams/notprofit.ashx#tabs=section1>

It may also be worth joining networks like:

- <http://www.theguardian.com/social-enterprise-network>

Start-up funding

New social enterprises often face difficulties raising capital finance. Social enterprises are just like any other business, they need to raise capital as pre-starts, when they start-up and when they grow.

Apart from using your own money, (or friends and family), you'll need to look at all the alternatives from banks, grants, loans, 'business angles', and other potential investment routes. It won't be quick or easy, (unless you're very fortunate!), but if you've got an 'investable' idea, you will find someone eventually who will take a financial interest.

A good place to start your research is the Government's Business Link service:

- <http://www.businesslink.gov.uk/bdotg/action/layer?r.i=1083154049&r.l1=1073858790&r.l2=1084705429&r.l3=1087443481&r.l4=1074441426&r.s=m&r.t=B LTTOOL&topicId=1084705429>

Also, Social Enterprise London will probably have a good idea of the funding scene in London:

- <http://www.sel.org.uk/funding-and-finance/>

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Appendix 3: Involvement and key roles of Voluntary, Community and Faith Sector, Council Officers and Elected Members through the Community Asset Transfer Process

Stage of process	Voluntary, Community and Faith Sector	Council officers	Corporate Property Board (CPB)	Ward Councillors	Portfolio Holder for Business	Portfolio Holder for Communities and Performance	Leaders of all parties	Directors Board	Member Property Working Group (MPWG)	Cabinet	Other elected members or committees
Part 1 Stage 1 (Community driven): Expression of interest received (community)	Submit EOI to cat@thurrock.gov.uk Receive acknowledgment of EOI from Corporate Property (CP) Team within 10 working days	CP Team acknowledge receipt and initial assessment of eligibility of organisation submitting EOI Head of Assets and Regeneration notified of outcome Other services notified where the CAT relates to their area of responsibility or other considerations apply (e.g. planning)	Notified of EOI	Notified of EOI	Notified of EOI	Notified of EOI	Notified of EOI	Notified of EOI	Notified of EOI	N/A	N/A
	Stage 2 (Community driven): Asset eligibility assessment	Notification of outcome of eligibility assessment to be received from CP Team	CP Team notify relevant parties of outcome of eligibility assessment including applicant organisation	Head of Assets and Regeneration and Chair of CPB consider whether the asset is eligible for CAT alongside requirements set out in CAT policy (e.g. known or anticipated plans or strategies that may affect the potential for CAT)	Notified of outcome of eligibility assessment	Notified of outcome of eligibility assessment	Notified of outcome of eligibility assessment	Notified of outcome of eligibility assessment	Notified of outcome of eligibility assessment	Notified of outcome of eligibility assessment	N/A
Stage 1 (Council driven): CAT opportunity prompted by council service review	N/A	Relevant service to prepare business case to CPB and notify other services either impacted or where other considerations apply (e.g. planning)	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
Stage 2 (Council driven): Asset eligibility assessment	N/A	Lead officer for Council driven CAT to notify all other parties of decision of CPB where the proposal is deemed eligible	Receive business case and consider alongside requirements set out in CAT policy	Notified of CAT opportunity if deemed eligible	Notified of CAT opportunity if deemed eligible	Notified of CAT opportunity if deemed eligible	Notified of CAT opportunity if deemed eligible	Notified of CAT opportunity if deemed eligible	Notified of CAT opportunity if deemed eligible	N/A	N/A
Stage 3: Advertising CAT opportunity	CAT opportunity advertised using a range of local mediums for a period of 6 weeks during which EOIs may be submitted	CP Team to advertise CAT opportunity using a range of local mediums for a period of 6 weeks	N/A	To promote and flag opportunity for CAT	To promote and flag opportunity for CAT	To promote and flag opportunity for CAT	To promote and flag opportunity for CAT	N/A	N/A	N/A	N/A
Stage 4: Assessment of Expression/ s of Interest	Invited to submit additional information where required and informed of progress by CP Team Notified of outcome of assessment process by CP Team and invited to Stage 5 where appropriate	CP Team and Community Development and Equalities Team (CD&E Team) to complete basic assessment of EOI/s (e.g. eligibility of organisation/s applying) based on policy requirements and prepare recommendation to CPB CP Team to notify outcome to relevant parties	Receive officer recommendation and determine organisations to invite to prepare a full business case in consultation with MPWG Highlight council officers to be involved with CAT Assessment Panel	Notified of outcome and invited to CAT Assessment Panel	Notified of outcome and invited to CAT Assessment Panel	Notified of outcome	Notified and invited to submit substitute where conflict of interest identified for Ward Councillor/s or PFH/s	Notified of outcome	Receive officer recommendation and determine organisations to invite to submit business case in consultation with CPB	N/A	N/A

Stage of process	Voluntary, Community and Faith Sector	Council officers	Corporate Property Board (CPB)	Ward Councillors	Portfolio Holder for Business	Portfolio Holder for Communities and Performance	Leaders of all parties	Directors Board	Member Property Working Group (MPWG)	Cabinet	Other elected members or committees
Stage 5: Assessment of business case	N/A	CP and CD&E Teams along with other relevant services to form CAT Assessment Panel with Elected Members	Receive recommendation of CAT Assessment Panel and reach decision on CAT with MPWG where no additional considerations highlighted that require direction of Cabinet or other Member Committees	CAT Assessment Panel members	CAT Assessment Panel member	CAT Assessment Panel member	N/A	N/A	N/A	N/A	N/A
Stage 6: Decision	To receive notification of outcome from CP Team	CP Team notify outcome of decision to applicant and other parties	<p>Receive recommendation of CAT Assessment Panel and reach decision on CAT with MPWG where lease is below 21 years and no additional considerations highlighted that require direction of Cabinet or other member committees</p> <p>Where CAT requires planning consent for viability (e.g. for change of use) in-principle approval for the CAT only may be granted subject to planning consent being granted</p>	Notified of decision	Notified of decision	Notified of decision	Notified of decision	Notified of decision	<p>Receive recommendation of CAT Assessment Panel and reach decision on CAT with CPB where lease is below 21 years and no additional considerations highlighted that require direction of Cabinet or other member committees</p> <p>Where CAT requires planning consent for viability (e.g. for change of use) in-principle approval for the CAT only may be granted subject to planning consent being granted</p>	<p>To receive report and recommendation of CPB and MPWG where additional considerations/sensitivities are highlighted during earlier stages and reach decision to approve or reject CAT</p> <p>In case of leases in excess of 21 years (considered as disposal) or freehold transfer and valued above £500k, to reach a decision or in-principle decision to approve or reject CAT (e.g. 'in-principle' decision to apply in case of CATs that require planning consent for viability)</p>	<p>Overview and Scrutiny Committees consulted where appropriate</p> <p>Planning Committee to consider any related planning applications (e.g. for change of use) before final decision on CAT may be reached</p> <p>For leases in excess of 21 years (considered as disposal) or freehold transfer valued below £500k, a decision or in-principle decision (e.g. in case of planning related matters) may be granted by the Leader and Cabinet Member for Finance and Education on advice from the Monitoring Officer, S151 Officer and Corporate Property Officer.</p>
Final stage	Involvement and consultation through preparation of lease, heads of terms and service agreements	Preparation of the lease, heads of terms and service agreements etc by relevant departments	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A

13 July 2016	ITEM: 16 (Decision 01104378)
Cabinet	
Local Air Quality	
Wards and communities affected: West Thurrock and South Stifford Aveley and Uplands	Key Decision: Key
Report of: Councillor Tolson, Portfolio Holder for Environment	
Accountable Head of Service: Lucy Magill, Head of Residents Services	
Accountable Director: Steve Cox, Corporate Director Environment and Place	
This report is Public	

Executive Summary

This report asks Cabinet to approve the declaration of two new Air Quality Management Areas in Aveley and Purfleet, for which Action Plans are under development and will be brought for Cabinet Approval in September. Work carried out in 2013/14 led to concerns that there were problems with air quality in parts of Aveley and Purfleet. Follow-up investigation confirmed the annual average air quality for nitrogen dioxide (NO₂) in these areas was likely to be above 40 micrograms per cubic metre (µg m³).

Further monitoring and modelling work confirmed it was likely the Air Quality Objective would be exceeded in specific parts of Aveley along part of Aveley High Street and Ship Lane. Also a smaller area in Purfleet along the Purfleet By-Pass was found to likely be above the Air Quality Objective. As a result there is a need for two new Air Quality Management Areas (AQMAS) to be declared along Aveley High Street / Ship Lane and for the Purfleet By-Pass.

The Cleaner, Greener Overview and Scrutiny Committee, agree that these AQMAS should be declared, and recommend that Cabinet approve the declaration of these AQMAS.

1. Recommendation(s)

- 1.1 **To approve the declaration of two new Air Quality Management Areas Aveley High Street / Ship Lane and Purfleet By-Pass.**

1.2 To note that action plan proposals for these proposals are under development and will be brought to Cabinet for approval in September.

2. Introduction and Background

2.1 The statutory Local Air Quality Management regime started in 1998 as a result of the Environment Act 1995. It requires local authorities to identify and take action to tackle local air quality problems arising from pollutants; sulphur dioxide, nitrogen dioxide, fine particles (PM₁₀), benzene, 1,3-butadiene, carbon monoxide and lead.

2.2 Local authorities have a statutory duty to assess the levels of these pollutants against air quality standards and objectives laid out in the Air Quality Regulations 2000. These objectives are based on how these pollutants affect health. If it is considered the objectives are unlikely to be met, the authority is obliged to declare an AQMA and subsequently complete an Action Plan, detailing how the Council intends to improve air quality for the health of residents.

2.3 In April 2001 Thurrock Council declared 20 AQMAs as air quality modelling for NO₂ and particulates PM₁₀ showed these areas were above the air quality objective. The main contributor to the high levels of pollutants in these areas is directly related to road traffic emissions, in particular Heavy Goods Vehicles. This then led to the development of an Air Quality Action Plan in summer 2002.

2.4 In October 2003, as part of the council's ongoing review and assessment the next air quality report concluded there had been sufficient changes in air quality to warrant a more detailed assessment. This was for nitrogen dioxide, benzene, particulates and sulphur dioxide in specific locations. It was completed in October 2004 and the number of AQMAs was reduced from 20 to 15 and a revised Air Quality Action Plan was produced which led to the production of an Air Quality Management Order in 2005 listing the then 15 AQMAs.

2.5 In 2013 the Council declared a further AQMA (AQMA 24) for NO₂ in Tilbury, along part of Dock Road, Calcutta Road and St Chad's Road. This was confirmed by both monitoring data and also from detailed dispersion modelling at these locations. This brought that the total number of AQMA to 16.

2.6 Air quality monitoring data highlighted in the 2013 and 2014 Air Quality Progress Report's identified a potential exceedence of the annual mean objective for nitrogen dioxide (NO₂) in parts of Aveley and Purfleet By-Pass.

2.7 A more detailed assessment of air was undertaken in 2014 to determine if there was still an exceedence at locations within Aveley and along the Purfleet By-Pass. The 2014 Detailed Assessment Report formally identified

and confirmed that these two areas were likely to breach the annual mean objective for NO₂; evidenced by the use of detailed dispersion modelling which was then verified by annual monitoring data. The first location identified was along the main high street within Aveley, Aveley High Street and also part of Ship Lane which is an area mainly comprised of retail and residential premises. The second location identified was a residential development close to the Purfleet By-Pass.

Figure 1 and table 1 found in the appendix 1 of this report – list all 16 current AQMAs and also shows the two new proposed AQMAs for Purfleet & Aveley.

The two proposed AQMAs from this report are shown in the appendix 1 of this report in (figures 2 & 3).

3. Issues, Options and Analysis of Options

- 3.1 Thurrock Council should declare two AQMAs for NO₂ on Aveley High Street / Ship Lane and Purfleet By-pass. Declaration of these AQMAs will formally recognise the need for remedial action to improve air quality within these areas and provide the framework for the adoption of Action Plans which are under development, and have recently been consulted upon alongside Thurrock's draft Air Quality and Health Strategy, a copy of which can be found at <https://consult.thurrock.gov.uk/portal/tc/pt/transport/aqstrategy?platform=hootsuite>.

This document outlines the authority's approach to improving air quality related health and wellbeing throughout the Borough and reduce air pollution exposure to safe levels for human health. The Strategy provides the context for Council to manage air quality through a suite of policies to prevent new AQMAs from arising as well as outlining a number of actions and measures to improve air quality in each AQMA with a view to moving towards compliance and revocation. An adoption draft will be brought to Cabinet for approval in January 2017.

- 3.2 To meet statutory requirements the Secretary of State will have to be informed of progress on these measures annually.
- 3.3 Declaration of the two new AQMAs for Aveley and Purfleet will lead to recommendations and actions to improve overall air quality and health for residents.

4. Reasons for Recommendation

- 4.1 Having reviewed all the relevant air quality monitoring and modelling data for this area it is clear the annual average objective for NO₂ is in breach at relevant areas of public exposure. Under Section 83 of the Environment Act 1995 the council has a legal obligation to declare these two AQMAs.

5. Consultation (including Overview and Scrutiny, if applicable)

- 5.1 As part of the declaration of these AQMAs the council will liaise with the Secretary of State, the Environment Agency, the Mayor of London, surrounding local authorities and those members of the public who will be situated within these AQMAs.
- 5.2 These consultees will be advised a that review of air quality in Aveley and Purfleet has been completed along with recommendations for declaration of an AQMA. This is required by Sections 83 and 84 of the Environment Act 1995.
- 5.3 The Cleaner, Greener Overview and Scrutiny Committee, are supportive of the recommendation to declare two new AQMAs to bring about improvements to air quality. They recommend that the Cabinet approve the declaration of these two new AQMAs.

6. Impact on corporate policies, priorities, performance and community impact

- 6.1 Declaring these two AQMAs, will highlight issues with air quality and lead to positive action to improve air quality and the general environment.

7. Implications

7.1 Financial

Implications verified by: Michael Jones
Management Accountant

All costs associated with these reports can be contained within the relevant revenue budget for Environmental Protection. There will be no financial implications as a result of the declaration of a new Air Quality Management Area.

7.2 Legal

Implications verified by: Chris Pickering
Principal Solicitor - Employment & Litigation

The declaration of AQMAs, the formulation of action plans and assessment of air quality are statutory duties of the council under the provisions of Part IV of the Environment Act 1995.

The council is obliged to undertake regular monitoring of air quality and to make an Air Quality Management Order (AQMAO) when thresholds are breached and are unlikely to be met within a reasonable timescale.

Following the implementation of an AQMAO the Council has a duty to implement an Air Quality Action Plan which makes recommendations for improving air quality within the AQMA.

By pursuing this course of action the council will seek to update and amend the current AQMAO 2005 and subsequent amendment in 2013 to reflect the proposed revisions within the Detailed Assessment Report 2014.

7.3 **Diversity and Equality**

**Implications verified by: Natalie Warren
Community Development and Equalities
Manager**

The introduction of two new AQMAs in Aveley & on the Purfleet By-Pass will support the wellbeing of some vulnerable members of the local community including those suffering from health conditions affecting the upper-respiratory system. Associated AQAPs will tackle existing air quality problems and help to bring down levels of nitrogen dioxide which may reduce the number of health impacts for people living and working in and around these AQMAs.

The council will engage members of the public who will be situated within the AQMA and will have due regard to the Equality Act 2010 through this process. Action will be taken to mitigate any risk of negative community impact highlighted through the engagement process.

7.4 **Other implications** (where significant) – i.e. Staff, Health, Sustainability, Crime and Disorder)

Under the Health and Social Care Act 2012, local authorities have a statutory duty to improve and protect the health of their population.

It is recognised that exposure to consistently high levels of air pollution can have an adverse impact on health, particularly in those with heart or lung problems, especially if they are elderly.

The declaration of this new Air Quality Management Area, which covers residential and retail premises, will lead to the development of a specific Air Quality Action Plan that identifies ways in which the levels of nitrogen dioxide can be reduced in this specific area.

In declaring these new AQMAs the appropriate officers in Thurrock Council will be better informed to provide advice for preventing or mitigating against any new developments that could worsen air quality, or introduce additional exposure in this area.

Ian Wake, Director of Public Health

- 8. Background papers used in preparing the report** (including their location on the Council's website or identification whether any are exempt or protected by copyright):

References

Defra, (2009). Local Air Quality Management, Technical Guidance LAQM.TG09. Defra, London.

Defra, (2009). Local Air Quality Management, Policy Guidance LAQM. PG09. Defra, London.

Thurrock (2013). Local Air Quality Management – Air Quality Progress Report 2013

Thurrock (2014). Local Air Quality Management – Air Quality Progress Report 2014

Thurrock (2014). Local Air Quality Management – Detailed Assessment For NO₂. 2014

<https://www.thurrock.gov.uk/air-quality/air-quality-monitoring>

All Reports can be provided if needed

- 9. Appendices to the report**

Appendix 1: Air Quality Management Area's (AQMA's) within Thurrock

Report Author

Dean Page

Air Quality Pollution Officer

Appendix 1: Air Quality Management Area's (AQMA's) within Thurrock

Table 1: Summary of existing Thurrock Air Quality Management Areas & proposed (in Grey)

Number of AQMA's	AQMA (Designation Number)	Pollutant	Description of Air Quality Management Area
1	1	NO ₂	479 properties, Grays town centre and London Road Grays
2	2	NO ₂	220 properties, London Road South Stifford and adjoining roads
3	3	NO ₂	60 properties, East side of Hogg Lane and Elizabeth Road
4	4	NO ₂	56 properties, West of Chafford Hundred Visitor Centre
5	5	NO ₂ and PM10	65 properties, Warren Terrace, A13 and A1306
6	7	NO ₂ and PM10	2 Hotels, next to M25
7	8	NO ₂ and PM10	1 Hotel, next to Junction 31 of the M25
8	9	NO ₂	1 Hotel, next to Junction 31 of the M25
9	10	NO ₂ and PM10	76 properties, London Road Purfleet near to Jarrah Cottages
10	12	NO ₂	15 properties, Watts Wood estate next to A1306
11	13	NO ₂	15 properties, London Road Aveley next to A1306
12	15	NO ₂	1 building, Near to M25 on edge of Irvine Gardens, South Ockendon
13	16	NO ₂	1 cottage, Next to M25 off Dennis Road
14	21	NO ₂	1 Hotel, on Stonehouse Lane
15	23	NO ₂	115 properties, London Road West Thurrock
16	24	NO ₂	78 properties, Tilbury: Dock Road, Calcutta Road & St Chad's Road
(17)	(25)	NO ₂	76 properties, Aveley: Aveley High Street & Ship Lane
(18)	(26)	NO ₂	6 properties, Purfleet: Purfleet By-Pass

Figure 1: Map of Air Quality Management Areas in Thurrock (with AQMA designations)

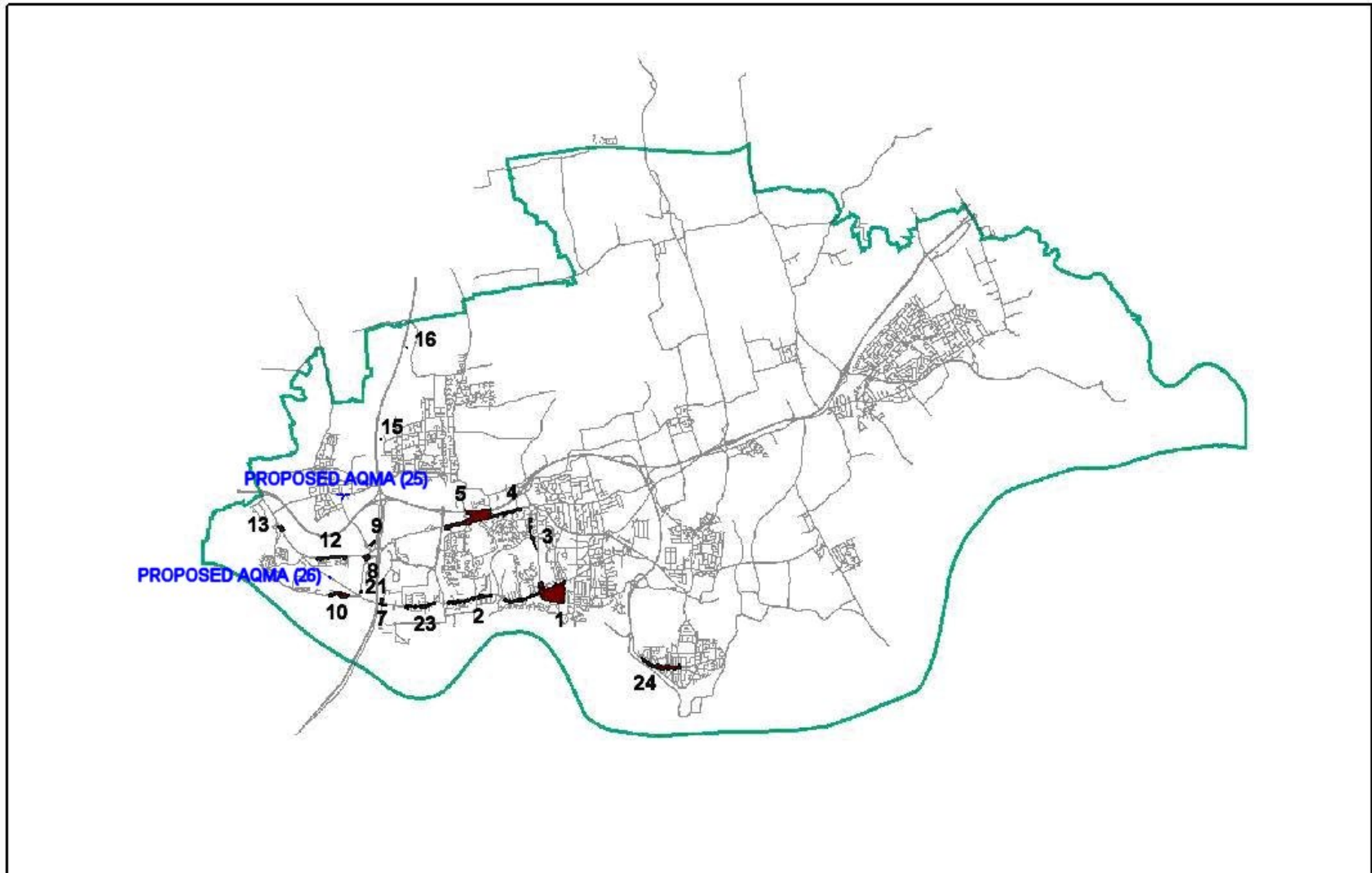


Figure 2: New proposed Air Quality Management Area {AQMA 25}: Aveley: Aveley High Street / Ship Lane

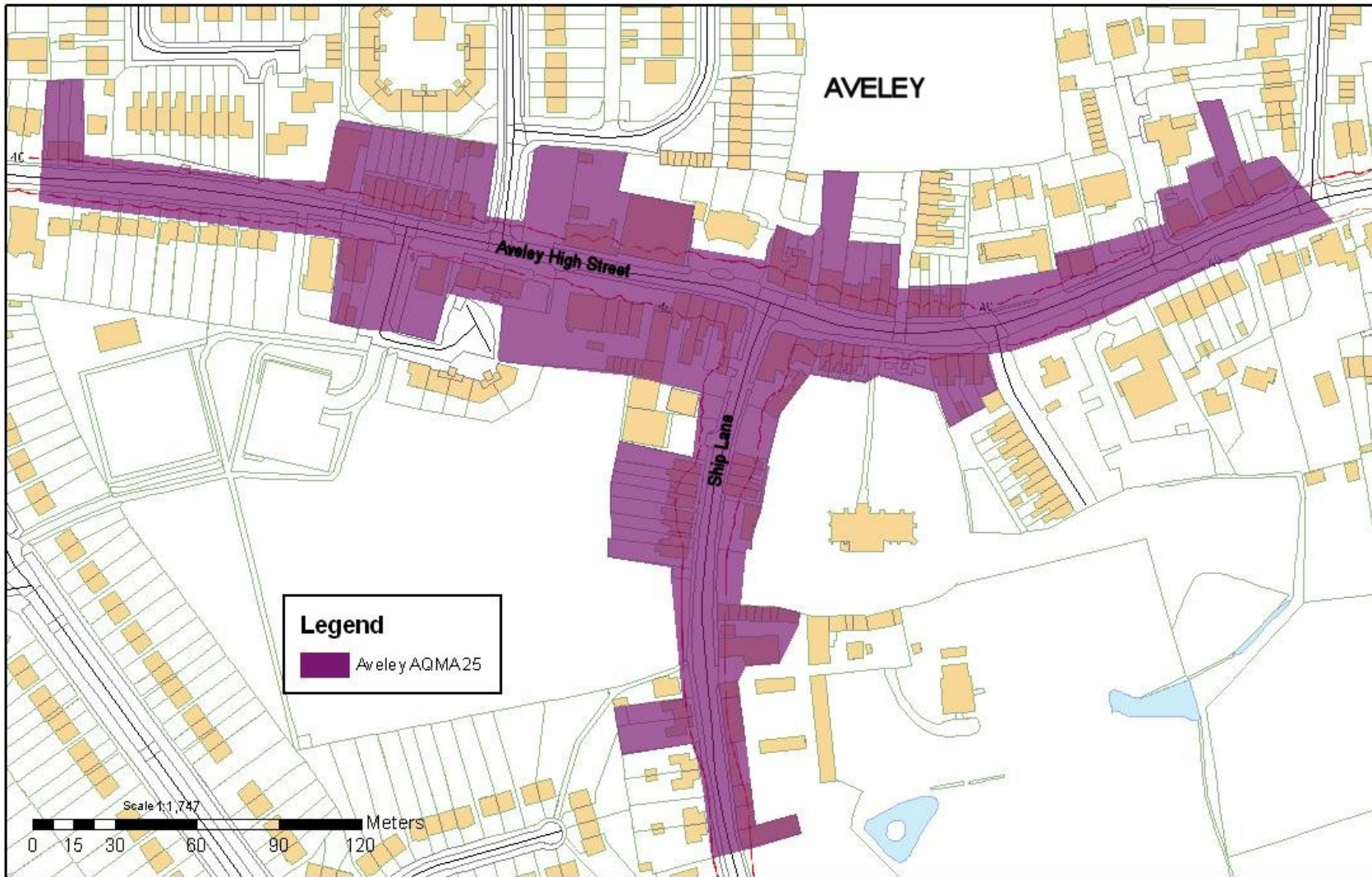
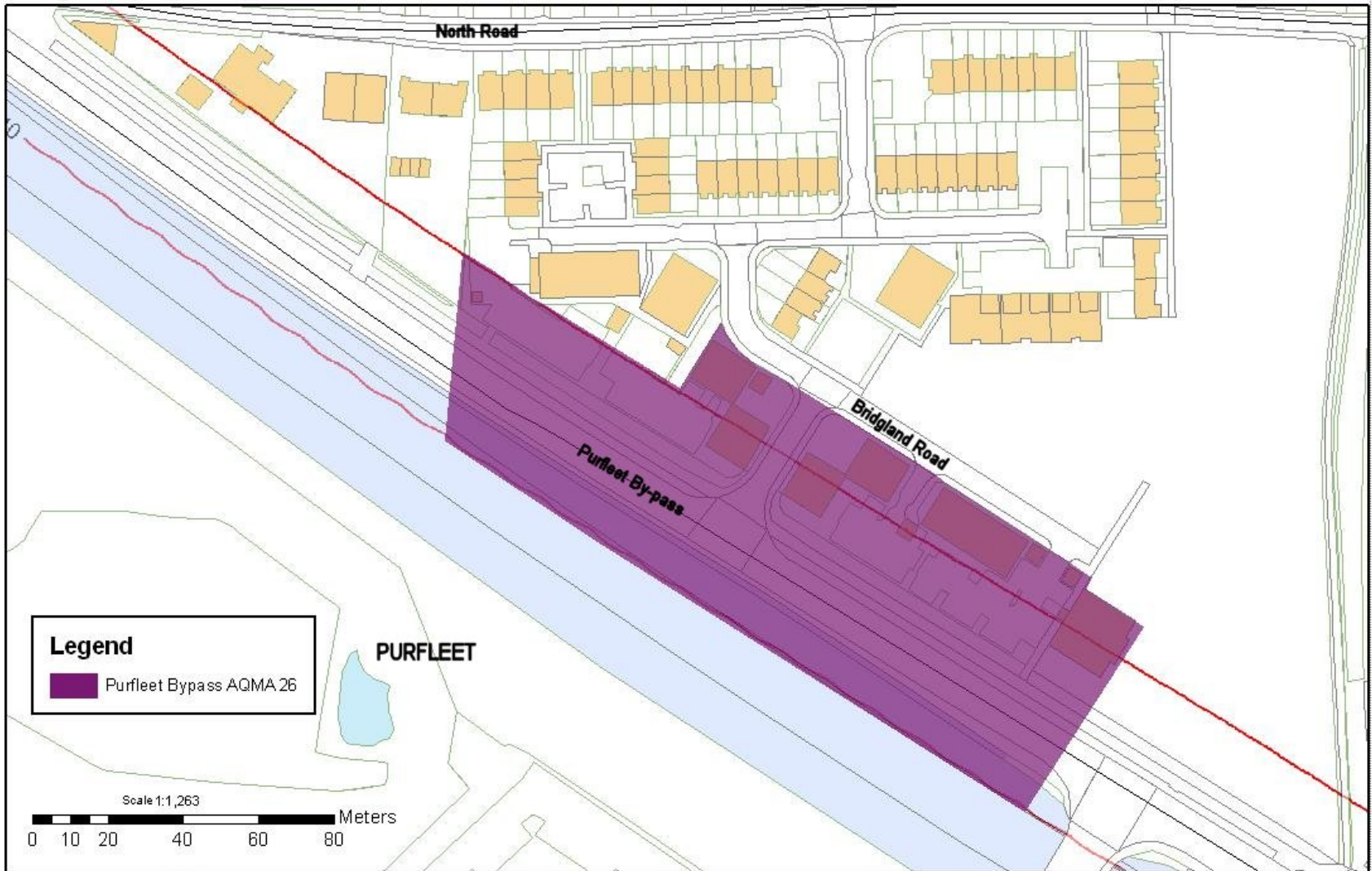


Figure 3: New proposed Air Quality Management Area {AQMA 26}: Purfleet: Purfleet By-Pass



By virtue of paragraph(s) 1 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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