



# CABINET

5 September 2013

A meeting of the CABINET will be held on Thursday, 12th September, 2013, 6.00 pm in Committee Room 1 Marmion House, Lichfield Street, Tamworth

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## A G E N D A

### NON CONFIDENTIAL

**1 Apologies for Absence**

**2 Minutes of the Previous Meeting** (Pages 1 - 4)

**3 Declarations of Interest**

*To receive any declarations of Members' interests (pecuniary and non-pecuniary) in any matters which are to be considered at this meeting.*

*When Members are declaring a pecuniary or non-pecuniary interest in respect of which they have dispensation, they should specify the nature of such interest. Members should leave the room if they have a pecuniary or non-pecuniary interest in respect of which they do not have a dispensation.*

**4 Matters Referred to the Cabinet in Accordance with the Overview and Scrutiny Procedure Rules**

None

**5 Quarter 1 2013/14 Performance Report** (Pages 5 - 62)

(Report of The Leader of the Council)

**6 Budget and Medium Term Financial Planning Process** (Pages 63 - 74)

(Report of the Leader of the Council)

**7 Local Authority Mortgage Rate for Mortgages Under Housing Act 1985**

(Pages 75 - 76)

(Report of the Portfolio Holder for Operations and Assets)

- 8 Safeguarding Children and Vulnerable Adult Protection Policy** (Pages 77 - 136)  
(Report of the Portfolio Holder for Public Housing and Vulnerable People)
- 9 Conservation Grant - Moat House, Lichfield Street, Tamworth** (Pages 137 - 140)  
(Report of the Portfolio Holder for Economy and Education)

Yours faithfully

A handwritten signature in black ink, appearing to read 'J. Wheatley', with a horizontal line underneath.

**pp Chief Executive**

*People who have a disability and who would like to attend the meeting should contact Democratic Services on 01827 709264 or e-mail [committees@tamworth.gov.uk](mailto:committees@tamworth.gov.uk) preferably 24 hours prior to the meeting. We can then endeavour to ensure that any particular requirements you may have are catered for.*

To Councillors: D Cook, R Pritchard, S Claymore, S Doyle, M Greatorex and J Oates



## **MINUTES OF A MEETING OF THE CABINET HELD ON 22nd AUGUST 2013**

**PRESENT:** Councillor D Cook (Chair), Councillors R Pritchard, S Claymore, S Doyle, M Greatorex and J Oates

The following officers were present: Anthony E Goodwin (Chief Executive), Jane Hackett (Solicitor to the Council and Monitoring Officer), Andrew Barratt (Director - Assets and Environment), Stefan Garner (Director of Finance), Robert Mitchell (Director - Communities, Planning and Partnerships) and Stephen Lewis (Head of Environmental Health)

### **32 APOLOGIES FOR ABSENCE**

There were no apologies for absence.

### **33 MINUTES OF THE PREVIOUS MEETING**

The minutes of the meeting held on 1 August 2013 were approved and signed as a correct record.

*(Moved by Councillor R Pritchard and seconded by Councillor S Doyle)*

### **34 DECLARATIONS OF INTEREST**

There were no Declarations of Interest.

### **35 MATTERS REFERRED TO THE CABINET IN ACCORDANCE WITH THE OVERVIEW AND SCRUTINY PROCEDURE RULES**

None.

### **36 WRITE OFFS 01/04/2013 – 30/06/2013**

The Report of the Portfolio Holder for Operations and Assets providing members with details of write offs from 1 April 2013 to 30 June 2013 was considered.

**RESOLVED:** That the amount of debt written off be endorsed.

*(Moved by Councillor R Pritchard and seconded by Councillor D Cook)*

### **37 LOCAL ENTERPRISE PARTNERSHIP GOVERNANCE ARRANGEMENTS**

The Report of the Portfolio Holder for Economy and Education informing the Cabinet of the Greater Birmingham and Solihull Local Enterprise Partnership (GBSLEP) proposed Governance arrangements in relation to the management of the Single Local Growth Fund was considered.

**RESOLVED:**

That:

- 1 The establishment of a Joint Committee, subject to approval of Council, in accordance with Article 12 of the constitution, the Localism Act 2011, and the Local Government Acts 1972 and 2000 for the purposes of acting as a Supervisory Board for the GBSLEP for decisions on any funds devolved from government as part of a Single Local Growth Fund be agreed, and;
- 2 The GBSLEP draft constitution, terms of reference and scrutiny arrangements as detailed in the documents attached in the Appendices be referred to Council for approval in accordance with the Constitution and Article 11 thereof be agreed, and;
- 3 The Solicitor to the Council and Monitoring Officer be authorised to make any amendments to the relevant documents and finalise the detail for the GBSLEP Constitution, terms of reference and scrutiny arrangements as the proposals are developed between the LEP and local authority members of the Joint Committee be agreed, and;
- 4 Delegate to the Leader and in his absence the Portfolio Holder for Economy and Education the membership position on the GBSLEP as contained in the Terms of Reference with full voting rights on all Supervisory Board matters be agreed.

*(Moved by Councillor S Claymore and seconded by Councillor D Cook)*

### **38 CORPORATE UPDATE**

Matthew Ellis (Police and Crime Commissioner) and Glynn Dixon (Chief of Staff) gave a presentation on District Deals Plan.

### **39 SCRAP METAL DEALERS ACT 2013**

The Report of the Portfolio Holder for Environment and Waste Management informing Cabinet of impending changes to the regulatory regime for Scrap Metal to be implemented through the provisions of the Scrap Metal Dealers Act 2013

and the increased duties and powers which this gives to the Council was considered.

**RESOLVED:**

That:

- 1 The Portfolio Holder for Environment and Waste Management in conjunction with the Director of Assets and Environment be authorised to take adequate measures to enable the Scrap Metal Dealers Act 2013 to be implemented by the due date envisaging adequate government guidance on the interpretation of the new legislation is released, to enable a formal policy to be considered by full Council, and;
- 2 A formal policy be presented to Cabinet in due course.

*(Moved by Councillor S Doyle and seconded by Councillor R Pritchard)*

**40 'PLANNING FOR A SUSTAINABLE FUTURE' (MEETING THE CHALLENGES TO OUR MTFS)**

The Report of the Leader of the Council and Chief Executive seeking Cabinet endorsement of the overarching strategy and the authority to proceed with the proposed work streams subject to the necessary consultation and policy requirements was considered.

**RESOLVED:**

That:

- 1 the recommendations as contained in the report be endorsed;
- 2 CMT be authorised to move from Planning Stage to Implementation, and;
- 3 That all actions taken to date be endorsed.

*(Moved by Councillor D Cook and seconded by Councillor R Pritchard)*

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Leader

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## REPORT OF THE LEADER

### Quarter One 2013/14 Performance Report

#### EXEMPT INFORMATION

Not Applicable.

#### PURPOSE

This report aims to provide Cabinet with a performance and financial health-check.

#### RECOMMENDATIONS

That Cabinet endorse the contents of this report.

#### EXECUTIVE SUMMARY

This report provides information on;

1. High level corporate plan projects/programmes,
2. Key Service Performance Indicators,
3. Performance management framework,
4. Corporate risks,
5. Financial matters.

#### RESOURCE IMPLICATIONS

None, directly arising from this report.

#### LEGAL/RISK IMPLICATIONS BACKGROUND

Not applicable.

#### SUSTAINABILITY IMPLICATIONS

Not applicable.

#### BACKGROUND INFORMATION




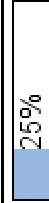







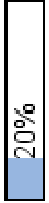



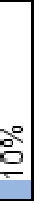

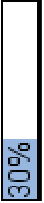
#### REPORT AUTHOR















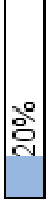

John Day




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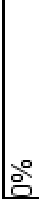



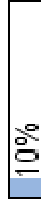

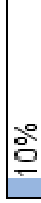


# 1. High level corporate plan projects/programmes

Corporate Priority					
1.To Aspire and Prosper in Tamworth					
Corporate Project/Programme	Latest Update	Milestone/Measure of Success	Status of Milestone/Measure of Success	Progress	
Ensure best use of all Council Assets, whether held for social, economic or environmental reasons	The stock condition survey on site works are now completed with approximately 60% of all premises inspected.	Undertake a stock condition survey of 90% of Council housing stock to inform future investment works			
	Detailed discussions are underway with Staffordshire County Council and the Police to maximise occupancy within council premises.	Work with public sector partners to maximise occupancy within Council premises			
Economic growth and town centre regeneration	A range of core services and project work much with partner agencies is contributing to the growth and regeneration agenda. An overarching Growth and Regeneration plan is being developed to help provide a	Use Council assets to contribute to wider regeneration aspirations			
		Gungate and spinning school lane re-development opportunities			
		Anker valley and housing developments			
		Gateways improvements			
		New Enterprise centre – link to Cultural Qtr			
		Empty shop and employment units – supporting them back into use			
Business advice and start up support					

Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	relatively concise picture of the context and strategy alongside a high level list of objectives and actions.	Employability and skills support Place marketing and promotion Transport and highways improvements Heritage product development and promotion	    	    
Cultural Quarter Project	The Cultural Quarter has a number of elements to it. A project group and project board have been set up to oversee them and reports to cabinet are planned quarterly. The HLF bid for the Assembly Rooms is in the development stage having had a stage 1 pass. Recent delays in procuring project management support and architectural support have delayed the project. The work on the Carnegie, public realm and enterprise centre are progressing but significant further work is required to evidence the viability of the various elements.	Specific project plans showing milestones		
Revised Local Plan	Not expected before 31st March 2014 which is the end date for the financial year not this action.	The approval of a revised document by Full Council for submission to the Secretary of State A report from the Planning Inspector concluding the document to	 	 

Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	<p>A Local Plan</p> <p>Members group has been revised to include 3 Conservative and 3 Labour Members. A revised timetable for the Local Plan has been developed and work is ongoing on 1) Housing allocations, 2) Employment allocations, 3) Town Centre/retail 4) Anker Valley. Consultation on the draft plan is being planned and legal and planning guidance followed.</p>	<p>be 'sound'</p> <p>The adoption by Full Council of the final Local Plan</p>		<input data-bbox="373 96 416 309" type="text" value="0%"/>
<p>Allocations Policy and Homelessness Strategy</p>	<p>Cabinet report completed with draft proposals.            Consultation launched.            External support has been appointed for equality impact assessment and review against best practise.            An implementation plan has been established.            Two properties are under management            Review of prevention tools is</p>	<p>Complete consultation regarding the proposed new allocations policy</p>		<input data-bbox="914 96 957 309" type="text" value="30%"/>
		<p>Review social lettings pilot</p>		<input data-bbox="1276 96 1319 309" type="text" value="20%"/>

Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/ Measure of Success	Progress
	<p>progressing.</p> <p>External support to review approach appointed.</p> <p>Housing Link project launched and Tamworth Borough Council and THEP commissioned by West Midlands local authorities to undertake prison based education scheme.</p>	Review of Homelessness Strategy Complete		
Tinkers Green and Kerria Area Regeneration	<p>ARK consultancy appointed to complete this assessment.</p> <p>First stage of procurement process complete.</p> <p>Shortlist of development agents complete.</p> <p>Cabinet report submitted.</p> <p>Decant principles agreed.</p> <p>The first phase of decant is progressing.</p> <p>Comprehensive communication and consultation with residents continuing.</p>	<p>Complete assessment of delivery vehicles and explore potential for SPV model for Tamworth</p> <p>Appoint Development Consultants</p> <p>Agree decommissioning proposals</p>		  
Town Centre Strategy and Development of New Housing	<p>Phase 1 garage sites redevelopment – Planning permission is in place.</p> <p>Cabinet report completed and</p>	Proposals completed to make use of retained RTB receipts and review of garage sites		






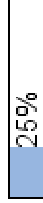





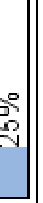




Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/ Measure of Success	Progress
	stage 2 garage site programme agreed. The approval for extension of council house building pilot is underway which is a new project.			
	Preliminary work completed. The project will progress once the local plan is complete and will be included in the 2014/15 business plan	Agree strategic principals in line with emerging supplementary planning guidance for the delivery of a balanced housing market in the Town centre		
	ARK consultancy appointed to complete this assessment.	Development of delivery vehicle proposals		
Review and Update the HRA Business Plan	On site works now completed with approximately 60% of all premises inspected.	Complete stock condition survey		
	Key financial issues identified and consultancy support agreed.	Update financial model		
	Progress linked to the update of the financial model	Develop proposals to support delivery of town centre housing strategy and increasing the number of affordable homes		
Tamworth Health and Wellbeing Board	Agreement on key priorities agreed. The key focus will be on hospital discharges, falls and suitable housing for older people	Complete first focussed needs and assets evaluation – Older People		

Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	To be included in Healthy Tamworth initiative.	Second focussed needs and assets evaluation – Healthy Lifestyles		
	Discussions regarding County support held with public health Staffordshire. The appointment of a District Health Development Officer is underway.	Updated eJSNA published and commissioning plan communicated		
Healthy Tamworth		Complete registration with Healthy Cities network		
	The Health and Well Being Board have endorsed the plan.	Healthy Cities Action plan in place with multi agency commitment		
	Practitioners workshop planned for October 2013	Commencement of targeted promotional activity		
Individual Electoral Registration	Progress has been made in line with government guidelines. A bid is being submitted for funding and the level of staff support required is being ascertained.			
Elections				




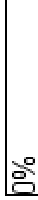
Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
Constitution Annual Review	The revised constitution was presented to Council in May. Further training was requested by members and two sessions have now taken place. The constitution will be approved at the next Council on 10th September 2013.	Revised Constitution presented to Council for approval		<div style="width: 50%;"><div style="background-color: #4F81BD; height: 10px;"></div></div> 50%
		Implementation review with stakeholders input on operability		<div style="width: 0%;"><div style="background-color: #4F81BD; height: 10px;"></div></div> 0%
Scheme of Delegation - Annual Review	Approved by Council	Review Scheme of Delegation presented to Council for approval		<div style="width: 100%;"><div style="background-color: #4F81BD; height: 10px;"></div></div> 100%
		Implementation review with stakeholders on operation of document		<div style="width: 0%;"><div style="background-color: #4F81BD; height: 10px;"></div></div> 0%
		Further review if required		<div style="width: 0%;"><div style="background-color: #4F81BD; height: 10px;"></div></div> 0%


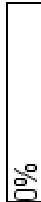

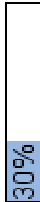



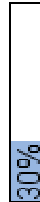
**Corporate Priority**  
2. To be healthier and safer in Tamworth









Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
Improve the green environment including management and maintenance of local nature reserves, open spaces and parks	Broad Meadow was endorsed as a local nature reserve by Cabinet	Broad Meadow endorsed by Cabinet as a Local Nature reserve by April 2013.		<div style="width: 100%;"><div style="background-color: #4F81BD; height: 10px;"></div></div> 100%
	The application process for local nature reserve status for Town Wall has stalled due to complicated land ownership	The achievement of local nature reserve status designation for Town Wall		<div style="width: 75%;"><div style="background-color: #4F81BD; height: 10px;"></div></div> 75%













Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	<p>issues taking considerably more time than originally planned. External legal support is engaged to assist in the matter however it could be up to 12 months delayed. It is proposed that this action be delayed with a revised completion date of March 2014.</p> <p>The Heart of England in Bloom competition took place on 16th July with the result expected in September.</p> <p>Recycling currently stands at 52.12%</p>			
		Achieve a further gold award in the "Heart of England in Bloom" competition		
		Recycling rates within waste management are maintained at their current level		
Ensure all regulatory functions provided by the Council are delivered in a consistent and fair manner to promote public safety and to minimise the burden to businesses	Work has been undertaken on all regulatory functions in the first quarter.	All planned food and health and safety inspections completed		
		Air Quality Improved		
		All Licensing applications processed in a timely fashion		
		A reduction in workplace accident investigations		
		Statutory nuisance investigations /actions completed within acceptable timescales		
Building Resilience in Families and Communities	The Council has taken a leading role in this agenda at a County	National Troubled Families agenda		



Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	<p>and local level. The CEO is chair of the County Leadership Group and Tamworth is one of the most developed districts in terms of its current status. Cohort one of the families identified are allocated key workers and despite significant resource issues they have been assessed and plans developed to support them. The Council is planning to further develop joint working in this area by co-locating the Community Safety hub back into Marmion House alongside SCC services such as Families First and Safeguarding teams. Resources to deliver the current workload are strained and cohort two will present a challenge. Discussions with the County about the release of resources to support our local model are in hand.</p>			
Revised Local Plan	<p>Please note this is not expected before 31st march 2014 which is the end date for the financial year not this action. A Local Plan</p>	<p>The approval of a revised document by Full Council for submission to the Secretary of State</p> <p>A report from the Planning Inspector concluding the document to be 'sound'</p>	 	 20%  0%

Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	<p>Members group has been revised to include 3 Conservative and 3 Labour Members. A revised timetable for the Local Plan has been developed and work is ongoing on 1) Housing allocations, 2) Employment allocations, 3) Town Centre/retail 4) Anker Valley. Consultation on the draft plan is being planned and legal and planning guidance followed.</p>	<p>The adoption by Full Council of the final Local Plan</p>		
<p>Allocations Policy and Homelessness Strategy</p>	<p>Cabinet report completed with draft proposals. Consultation launched. External support has been appointed for equality impact assessment and review against best practise. An implementation plan has been established. Two properties are under management. Review of prevention tools is progressing. External support to review</p>	<p>Complete consultation regarding the proposed new allocations policy</p>		
	<p>An implementation plan has been established.</p>	<p>Review social lettings pilot</p>		
	<p>Review of prevention tools is progressing. External support to review</p>	<p>Review of Homelessness Strategy Complete</p>		

Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
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Tinkers Green and Kerria Area Regeneration	<p>ARK consultancy appointed to complete this assessment.</p> <p>First stage of procurement process complete.</p> <p>Shortlist of development agents complete.</p> <p>Cabinet report submitted.</p> <p>Decant principles agreed.</p> <p>The first phase of decant is progressing.</p> <p>Comprehensive communication and consultation with residents continuing.</p>	<p>Complete assessment of delivery vehicles and explore potential for SPV model for Tamworth</p> <p>Appoint Development Consultants</p> <p>Agree decommissioning proposals</p>	<p></p> <p></p> <p></p>	<p></p> <p></p> <p></p>
Town Centre Strategy and Development of New Housing	<p>Phase 1 garage sites redevelopment – Planning permission is in place.</p> <p>Cabinet report completed and stage 2garage site programme agreed.</p>	<p>Proposals completed to make use of retained RTB receipts and review of garage sites</p>	<p></p>	<p></p>








Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	<p>The approval for extension of council house building pilot is underway which is a new project.</p> <p>Preliminary work completed. The project will progress once the local plan is complete and will be included in the 2014/15 business plan</p>	Agree strategic principals in line with emerging supplementary planning guidance for the delivery of a balanced housing market in the Town centre		
	ARK consultancy appointed to complete this assessment.	Development of delivery vehicle proposals		
Review and Update the HRA Business Plan	<p>On site works now completed with approximately 60% of all premises inspected.</p> <p>Key financial issues identified</p> <p>Key financial issues identified and consultancy support agreed.</p> <p>Progress linked to the update of the financial model</p>	Complete stock condition survey		
		Update financial model		
		Develop proposals to support delivery of town centre housing strategy and increasing the number of affordable homes		
Tamworth Health and Wellbeing Board	Agreement on key priorities agreed. The key focus will be on hospital discharges, falls and suitable housing for older people	Complete first focussed needs and assets evaluation– Older People		




Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
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	Discussions regarding County support held with public health Staffordshire. The appointment of a District Health Development Officer is underway.	Updated eJSNA published and commissioning plan communicated		
Healthy Tamworth		Complete registration with Healthy Cities network		
	The Health and Well Being Board have endorsed the plan.	Healthy Cities Action plan in place with multi agency commitment		
	Practitioners workshop planned for October 2013	Commencement of targeted promotional activity		

Corporate Priority  
3. Approachable, Accountable and Visible

Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
Provision of financial advice, assistance and business support for	First Quarter financial healthcheck underway – to be reported to CMT / Cabinet	<i>Measure (PI) Current Value      Current Target      Last Update Status</i>		

Corporate Project/Programme	Latest Update	Milestone/Measure of Success	Status of Milestone/Measure of Success	Progress
<p>Directores &amp; budget managers To monitor &amp; report on whether spending is maintained within approved budget and without significant underspends (less than 5%)</p>	<p>August 2013</p>	<p>Spending maintained within approved budget and without significant underspends 1.82% -5% June 2013</p> <p>Ledgers closed down within 5 working days of period end 1 5 June 2013</p> <p>Bank Reconciliation completed within 15 days (General Account) of period end 13 15 May 2013</p>	<p>✓</p> <p>✓</p> <p>✓</p>	
<p>To complete the Final Accounts process with an</p>	<p>Final accounts prepared &amp; provided to External Auditors</p>	<p>Achievement of an</p>	<p>Yes Yes</p>	<p>2011/12</p> <p>✓</p>


Corporate Project/Programme	Latest Update	Milestone/Measure of Success	Status of Milestone/Measure of Success	Progress														
unqualified audit opinion	and Audit & Governance Committee on 27 June 2013	unqualified audit opinion on the financial statements Number of material final account adjustments 0 0 2011/12	0 0 2011/12															
Budget / Council Tax Setting Key Budget milestones completed in line with the agreed timetable	No actions in the first quarter.																	
Maximisation of income/collection Council Tax, Non-Domestic Rates, Debtors and Mortgages. Improved cash flow and local collection targets achieved.	Council Tax Council Tax current year is as estimated Court costs income is ahead of target Overall arrears for 12/13 are up on last year and we are very close to target. Other arrears are consistent with last year's collection. In effect the older the debt becomes the	<table border="1"> <thead> <tr> <th>Measure (PI)</th> <th>Current Value</th> <th>Current Target</th> <th>Last Update</th> <th>Status</th> </tr> </thead> <tbody> <tr> <td>Percentage of Non-domestic Rates Collected</td> <td>29.50%</td> <td>30.10%</td> <td>June 2013</td> <td></td> </tr> <tr> <td>% of Council Tax</td> <td>29.70%</td> <td>29.70%</td> <td>June 2013</td> <td></td> </tr> </tbody> </table>	Measure (PI)	Current Value	Current Target	Last Update	Status	Percentage of Non-domestic Rates Collected	29.50%	30.10%	June 2013		% of Council Tax	29.70%	29.70%	June 2013		
Measure (PI)	Current Value	Current Target	Last Update	Status														
Percentage of Non-domestic Rates Collected	29.50%	30.10%	June 2013															
% of Council Tax	29.70%	29.70%	June 2013															







Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	harder it is to collect. NDR Current year collection was behind target as of 30 June but we are now ahead of target. Debtors Current year is ahead of target Debts over 6 months old are behind due to several aged debts	collected Debtors 84.52% 72% current year collection	June 2013	
Monitor the effects of changes to Benefits regulations & their impact on the collection & recovery of Council Tax (e.g. Local Council Tax Reduction, Universal Credits, Changes to Non-Dependant Allowances)	Monthly monitoring template commissioned by GMT in place since April 2013. no major adverse effects reported to date	<i>Measure (PI) Current Value</i> 29.70% % of Council Tax collected	<i>Current Target</i> 29.70% June 2013	
Monitoring of arrangements for localisation of Non-domestic rates (including financial implications for the Council & potential NDR Safety Net claim)	Following Business Rates reform / localisation, additional monitoring has been put in place since April 2013. No material adverse effects have been reported to date	<i>Measure (PI) Current Value</i> 29.50% Percentage of Non-domestic Rates	<i>Current Target</i> 30.10% June 2013	







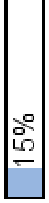
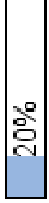




Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
		Collected		
Scrutiny Committees	Contained in the new Constitution to be approved at Council on 10th September 2013.	Job descriptions for Scrutiny Chairman		
	Cabinet members are attending relevant scrutiny committees. Training has been given in the following areas; Planning, Licensing and the Constitution. In addition, there has been some general training provided.	More involvement/support from Cabinet		
		Training for Members		
	This is a standing item on the agenda this year. Solicitor and Monitoring Officer to remind Scrutiny Chairs on their requirement to report to Cabinet	Regular monthly updates to Cabinet		
Review of Members Allowances		Regular cross committee working		
		New Allowance Structure Introduced		
		Review of Structure		
	This will start in January 2014	Further review based on outcomes of Allowance		




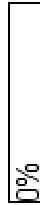















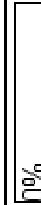
Corporate Project/Programme	Latest Update	Milestone/Measure of Success	Status of Milestone/Measure of Success	Progress
Member Training & Development	<p>Contained in the new Constitution to be approved by Council on 10th September 2013.</p> <p>Training has been given in the following areas;            Planning, Licensing and the Constitution.            In addition, there has been some general training provided</p>	New induction training for Members (web based)		<input type="text" value="0%"/>
		Job Descriptions for Members		<input type="text" value="0%"/>
		Additional training for Members – throughout municipal year		<input type="text" value="70%"/>
Land Charges		Feedback from peers /review		<input type="text" value="0%"/>
		Confirmed earlier submission to DCLG		<input type="text" value="100%"/>
		Meeting London to discuss next steps		<input type="text" value="100%"/>
		Land Registry operating pilot project in Liverpool and other authorities		<input type="text" value="70%"/>
		Outcome of pilot project (roll out?)		<input type="text" value="0%"/>
		DCLG approaching government for new burdens process/contribution to claim		<input type="text" value="40%"/>
		Collation of data relevant to searches and companies associated with it		<input type="text" value="70%"/>








Corporate Project/Programme	Latest Update	Milestone/Measure of Success	Status of Milestone/Measure of Success	Progress
Legal services review		Meetings and discussions arranged to identify legal requirements of services		100%
	This is being taken forward by the consultant project manager	Spending on legal services identified		0%
		Savings/methods of instruction		0%
		Options to consider on provision of legal services		0%
		Implementation of Legal services review		0%
Civic Representation	Mayoral functions attended.			33%
Delivery of Organisational Development Strategy	A final report to Cabinet on agile working is scheduled for 1st August 2013. EDRMS – no progress within Human Resources. Phase 2 – iTrent – Implementation of iTrent HR/Payroll system – payroll fully implemented. Self service now being tested. Full training roll out will be required for all staff commencing September and will take up to 6 weeks. The next phase will be implementation of	Implementation of Agile Working option		33%
		Implementation of new systems including hr/payroll/EDRMS/WM Jobs Portal		40%

Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	<p>learning and development package.</p> <p>WM Jobs –problems with security after launch for some Local Authorities has been reported. No official launch for TBC now until mid September. Human Resources coping as recruitment has slowed down due to freeze.</p>			
Enhancement to customer service	<p>Specifications have gone out to tender and final costings are being established.</p> <p>Website: proof of concept approved and being built,</p> <p>CRM: Initial set of processes have gone live,</p> <p>EDRMS: a roll out has been agreed with provider.</p> <p>Draft CS strategy and framework</p>	Implementation of new systems including Telephony, CRM and EDRMS		
		New performance framework for customer service delivery		
		Implementation of a new web site		

Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	<p>to CMT by 31<sup>st</sup> October</p> <p>Virtual site built and in test. Implementation of new site scheduled for 30<sup>th</sup> September.</p> <p>Performance to be recorded following launch of CRM and new web. Analysis of data of current situation to be presented to CMT end of September.</p>	<p>Channel shift of customers from front line to web</p>		<input data-bbox="448 96 491 309" type="text" value="0%"/>
Business Improvement	<p>The scope and purpose and timing of the Corporate Peer Challenge has now been decided:</p> <p>1. Community development:</p> <ul style="list-style-type: none"> <li>· How do we compare to good practice from other local authorities?</li> <li>· To review the impacts and outcomes from our existing model of service delivery; and</li> <li>· Consider opportunities to improve the service</li> </ul> <p>2. Partnerships and commissioning:</p>	<p>Undertake LGA Corporate Peer Challenge</p>		<input data-bbox="823 96 866 309" type="text" value="50%"/>

Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone/Measure of Success	Progress
	<ul style="list-style-type: none"> <li>Review our corporate approach to commissioning, highlighting gaps, if any</li> <li>Review our approach to voluntary and community sector engagement and commissioning</li> </ul>			
Corporate Change Programme	<p>Process reviews have taken place in Environmental Services, Creditors and Customer Services. The recommendations have been approved by the Corporate Change Board and are being implemented.</p> <p>Specifications have gone out to tender and final costs are being established.</p> <p>Website: proof of concept approved and being built,</p> <p>CRM: Initial set of processes have gone live,</p> <p>EDRMS: a roll out has been agreed with the provider.</p>	<p>Process Reviews within service to take service closer to customer</p> <p>Review, amend and commence replacement / upgrade of infrastructure, (including technology, telephony, mobile capacity, premises and service enabling systems (website, EDRMS, CRM))</p>	<p></p> <p></p>	<p></p> <p></p>
Ensure a stable, up to date and robust technical infrastructure	An initial list of contracts has been drawn up	Compilation of contract replacement schedule		
				

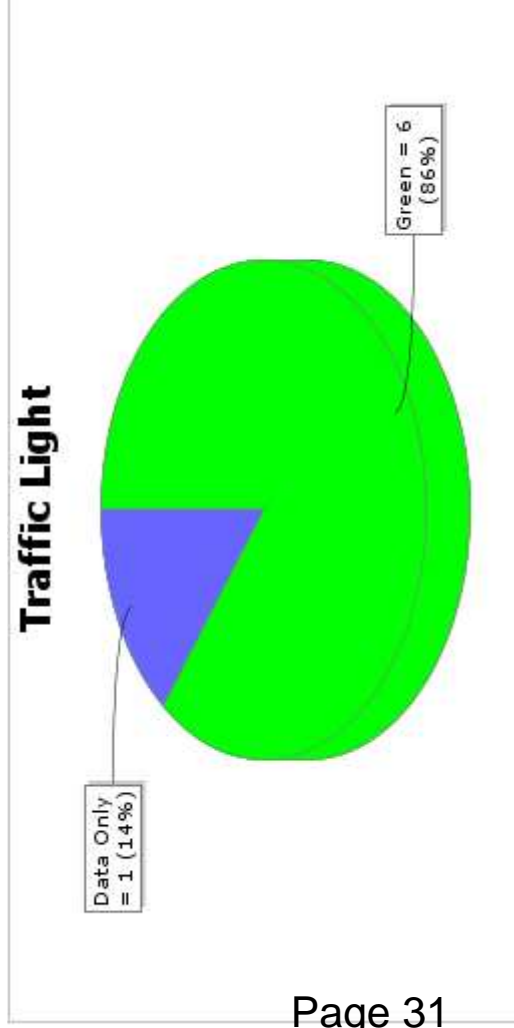
Corporate Project/Programme	Latest Update	Milestone /Measure of Success	Status of Milestone /Measure of Success	Progress
	The feasibility of going open source is being investigated.	Exploitation of GIS / Desktop Mapping		
	The contract expires in September 2014 so work will commence in September 2013.	Microsoft Exchange Upgrade		
	Planned in for October 2013	Replacement Print Fleet		
		Replacement SUN Box		
	Awaiting a Cabinet report on agile working before review of the strategy can begin	Review and update ICT Strategy		
Comply with legal and best practise obligations	Awaiting feedback on the submission	Compliance with Government Code of Connection		
	Work has been done on the retention schedule and an information repository has been established. This now requires CMT endorsement	Development of Publication Scheme		
		Development of Records Management Policies and Guidance		
	Currently evaluating products that will provide this solution.	Network and Log Event Management Implementation		
	No funding has been made available for this yet.	Penetration Testing		
		Process review and automation for FOIA Requests		

Corporate Project/Programme	Latest Update	Milestone/Measure of Success	Status of Milestone/Measure of Success	Progress
		Training and awareness in key areas for Data Protection and Freedom of Information		<input type="text" value="0%"/>
		Transition to new version of ISO20000		<input type="text" value="100%"/>
Ensure an appropriate, tested and robust response to Business Continuity and Civil Contingencies	A template has been established for completion by service heads.	Co-Ordination of service level Business Continuity Plans		<input type="text" value="5%"/>
		Desktop exercises		<input type="text" value="0%"/>
		Review Corporate Business Continuity Plan with consideration to resources, premises and technology		<input type="text" value="5%"/>
		Schedule of no notice tests		<input type="text" value="0%"/>
		Training within Civil Contingencies catalogue		<input type="text" value="0%"/>



## 2. Key Service Performance Indicators



### Assets and Environment Key Service Performance Indicators 2013/14







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### Assets & Environment



PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_A&E_KPI001 Monitor the local air quality in Tamworth, taking any necessary action as dictated by the results		Yes	Q1 2013/14	Yes		24-Jul-2013 This is an annually reportable indicator but a monthly sampling regime is in place.
LPI_A&E_KPI002 Work with other public sector organisations to offer co-		Yes	Q1 2013/14	Yes		24-Jul-2013 Work is ongoing

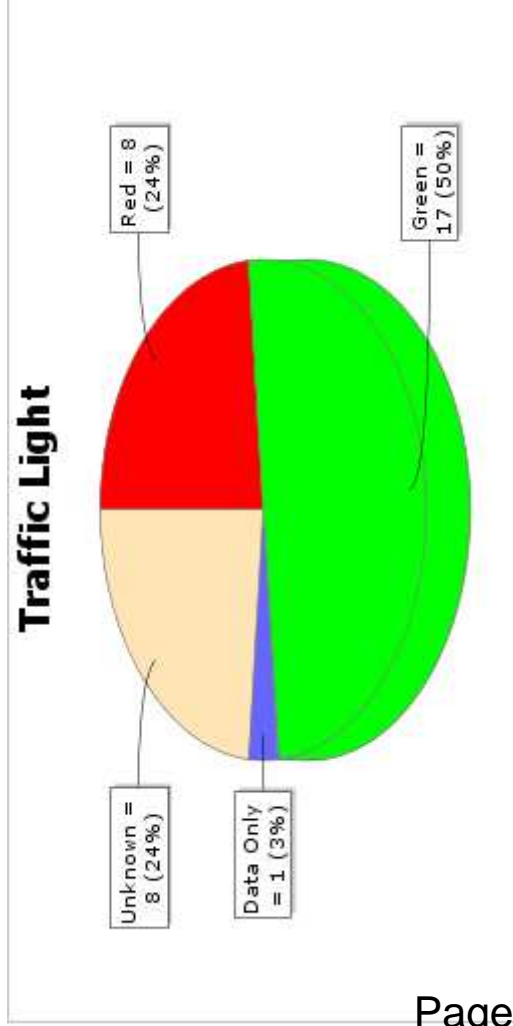
PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
location in strategic council premises						
LPI_A&E_KPI003 Deliver 100% of the Housing Capital Programme		25%	Q1 2013/14	25%		
LPI_A&E_KPI004 Continuation of the anti-dog fouling campaigns in hot spot locations		Yes	Q1 2013/14	Yes		24-Jul-2013 There have been two "mucky pup" campaigns in this quarter, one at Belgrave School and one at Abella – all to raise awareness of the issues of irresponsible dog ownership/dog fouling.

### Environmental Health & Regulatory Services

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_EHRS001 The number of 0 and 2 star rated businesses		30	2012/13			12-May-2013 One of the highlights this year was the move to the National Food Hygiene Rating Service. This complements the excellent work of the RateMyplace website and is another vehicle to inform the public about food safety. In addition, there has been an increase in broadly compliant premises from <b>86 to 90%</b> . As the scheme develops it is hoped that there are fewer businesses with 0-2 stars 29.
LPI_EHRS003 The percentage of planned high risk inspections undertaken		100%	2012/13	100%		

### Waste Management

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
NI 192 Percentage of household waste sent for reuse, recycling and composting (Tarnworth)		53.10%	Q1 2013/14	52.80%		





### Community Development

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_CEPDCD001am The number of partners delivering services in response to agreed issues - Amington		18	Q1 2013/14	7.5		18-Jul-2013 AARCH only - com cafe, changes, craft group, welfare rights, Dig-IT, police, wardens, housing, tenant participation, job club, staffordshire college, heritage trust/hodge lane, church, cornerstone, groundworks, Kerria community neighbourhood consultation group, staffs county, youth service.
LPI_CEPDCD001bg The number of partners delivering services in response to agreed issues - Belgrave		29	Q1 2013/14	7.5		04-Jul-2013 Street Wardens, Caretaking Services, Volunteer Centre, Community Cafe, FARS, South Staffs College, Housing Tenant Participation, Housing Income Team, Housing Officers, Streetscene, Neighbourhood Watch, Community Safety Team, Staffordshire Young Peoples Service, Staffs Wildlife Trust, Staffordshire Police, Sure Start, Belgrave Residents Association, Park Farm Community Centre, Tamworth African Caribbean Association, Belgrave Job Club, Hanbury's Farm Primary, Tamworth Enterprise College, St Gabriel's















PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_CEPDCD001gl The number of partners delivering services in response to agreed issues- Glasgote			Q1 2013/14	7.5		Primary, Coalfields Family Employment Initiative, Tamworth Baptist Church, Groundwork WM, Sports Development, Local Councilors, TBC Funding Officer.
LPI_CEPDCD001st The number of partners delivering services in response to agreed issues - Stonydelph			Q1 2013/14	7.5		

## Community Leisure

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_CPP_GOLF_018 Customer Satisfaction (Tamworth Golf Course)						
LPI_CPP_GOLF_023 Total Pay and Play rounds - 9 hole (Tamworth Golf Course)			July 2013			
LPI_CPP_GOLF_024 Total Pay and Play rounds - 18 hole (Tamworth Golf Course)			July 2013			
LPI_CPP_GOLF_025 Total Membership (Tamworth Golf Course)		250	July 2013			
LPI_CSPDCCLAR003 Total Attendance Overall - Assembly Rooms		2,102	June 2013	1,967		
LPI_CSPDCCLAR015 Customer Satisfaction - Assembly Rooms		99%	June 2013	97.2%		
LPI_CSPDCCLOE001 Visitor Numbers (Outdoor Events)		13,500	Q1 2013/14			
LPI_CSPDCCLOE002 Overall Satisfaction Rate "Good to Excellent" (Outdoor Events)		100%	Q1 2013/14			
LPI_CSPDCCLTC002 Total Number of visits/usages - Tamworth Castle		16,222	July 2013	16,000		
LPI_CSPDCCLTC020 Trip Advisor Rating - Tamworth Castle		4.5	2012/13	4.5		
LPI_PCPCLO01 Total 16+ attending organised activity		24,748	Q1 2013/14	33,000		

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
across the Borough						
LPI_PCPCLO02 Total under 16 attending organised activity across the Borough		110,674	Q1 2013/14	24,800		

### Community Safety

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_CSPDCS001 Burglary Dwelling		36	June 2013	60		
LPI_CSPDCS008 Incidents of Anti-Social Behaviour		561	June 2013	558		
LPI_CSPDCS011 Number of Serious Violent Crimes		10	June 2013	7		
LPI_CSPDCS011a Number of Less Serious Violent Crimes		110	June 2013	127		
LPI_CSPDCS012 Number of Serious Acquisitive Crimes		113	June 2013	173		
LPI_CSPDCS018 Violence with injury		120	June 2013	120		
LPI_CSPDCS018a Non domestic violence with injury		130	June 2013	128		

### Development Control

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
BV109a NI 157a Processing of planning applications: Major applications (Tamworth)		71.42%	Q1 2013/14	60.00%		
BV109b NI 157b Processing of planning applications: Minor applications (Tamworth)		77.27%	Q1 2013/14	65.00%		
BV109c NI 157c Processing of planning applications: Other applications (Tamworth)		96.55%	Q1 2013/14	80.00%		

### Economic Development

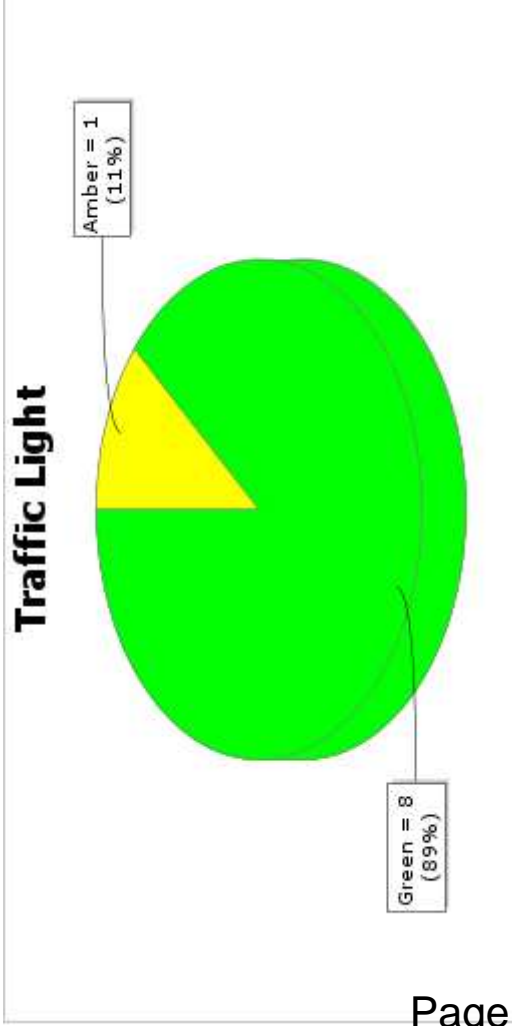
PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_CPPSPDED005 Percentage of working age population claiming Job Seekers Allowance		2.4%	Q1 2013/14	3.1%		23-Jul-2013 1,198 people claiming JSA. 4.3% in West Midlands 3.5% in Great Britain
LPI_CPPSPDED006 Percentage of total rateable value of commercial floor space that is unoccupied		7.7%	Q1 2013/14	9.7%		
LPI_CPPSPDED007 Percentage change in rateable value of commercial buildings		1.49%	Q4 2012/13	2%		
LPI_CPPSPDED008 Number of Tamworth businesses		23	Q1 2012/13	10		21-Aug-2012 Mgt workshops: 14, Mentoring sessions: 7, Strategic Reviews: 2

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
assisted through the TSP Enterprise and Job Creation service						
LPI CPPSPDED011 Number of Tamworth people assisted through the TSP Enterprise and Job Creation service about self-employment or to start a business.		75	Q4 2012/13			

### Strategic Planning and Development







PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_SP1_1d_003 The occupancy levels of Town Centre retail outlets		83%	Q4 2012/13	91%		24-Apr-2013 % rate has decreased by 4% since Q2. More units within Ankerside have closed - HMV in particular.
NI 154 Net additional homes provided (Tamworth)		128	Q4 2012/13	216		17-Apr-2013 Gross completions 135, losses 7. Net completions 2012/13 128
NI 155 Number of affordable homes delivered (gross) (Tamworth)		4	Q4 2012/13	58		











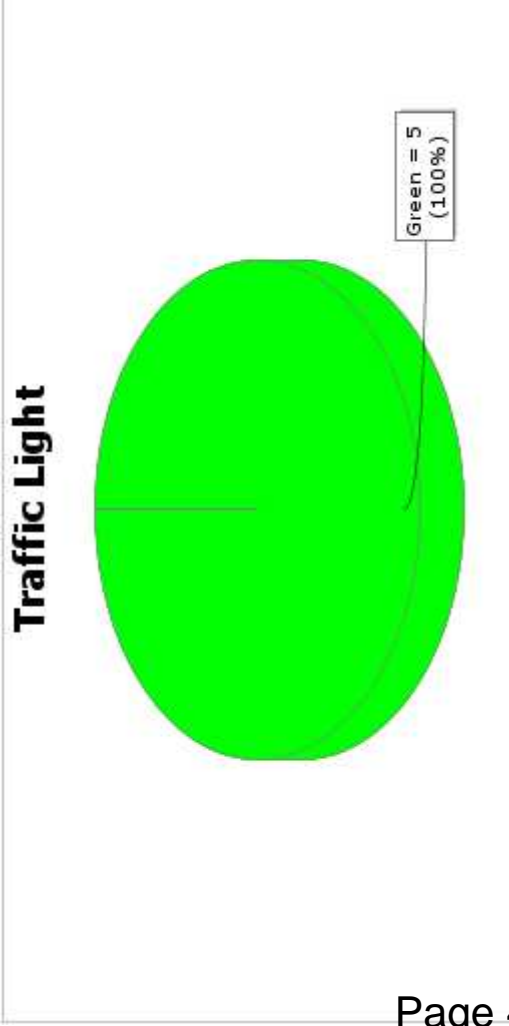
**Corporate Finance**

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_AAV_002 Achievement of an unqualified audit opinion on the financial statements		Yes	2011/12	Yes		
LPI_RDCF001 Spending maintained within approved budget and without significant underspends		1.82%	June 2013	-5%		
LPI_RDCF002 Number of material final account audit adjustments		0	2011/12	0		

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_RDCF025 Ledgers closed down within 5 working days of period end		2	July 2013	5		
LPI_RDCF026a Bank Reconciliation completed within 10 days (Payments Account)		5	June 2013	10		
LPI_RDCF026b Bank Reconciliation completed within 15 days (General Account) of period end		11	June 2013	15		

**Revenues Services**



Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
10 Percentage of Non-domestic Rates Collected		39.00%	July 2013	39.90%		
BV9 % of Council Tax collected		39.00%	July 2013	39.30%		
LPI_RDFOREV009 Debtors current year collection		84.02%	July 2013	75%		







**Housing Empty Property Management**

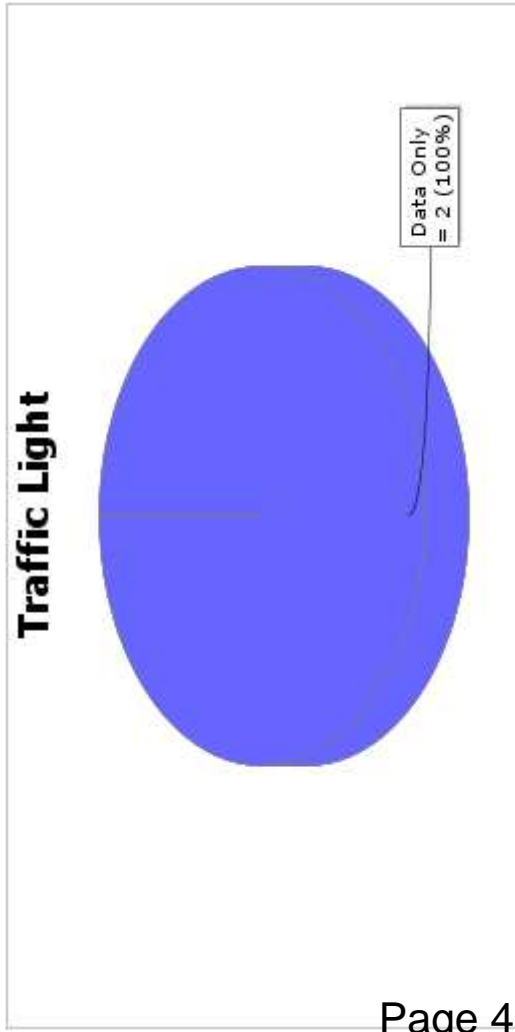
PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI BV212 Average number of days taken to re-let local authority housing (Standard Empty Homes)		15	July 2013	16	↑	09-Aug-2013 July 2013 - 29 empty properties with standard void works were relet on average within 15 days.
LPI_CSHSEPM009 The percentage of customers satisfied with the "Finding a Home" Service		89%	July 2013	80%	↑	09-Aug-2013 During July we received 27 completed surveys of which 24 rated the service as good or above which equates to 89%, 2 respondents rated the service as poor as have not been successful in bidding and 1 respondent rated the service as satisfactory

### Housing Estate Management

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_CSHSCS001 Percentage of offensive graffiti removed within 48 hours		100%	June 2013	100%		04-Jul-2013 This month 7 cases of offensive graffiti were reported.  In February 2011 through the Tamworth Community Partnership saw the purchase of a specialist graffiti removal machine which will offer a faster and environmentally friendly way to remove graffiti - requests for graffiti removal can now be requested on line through the Council website

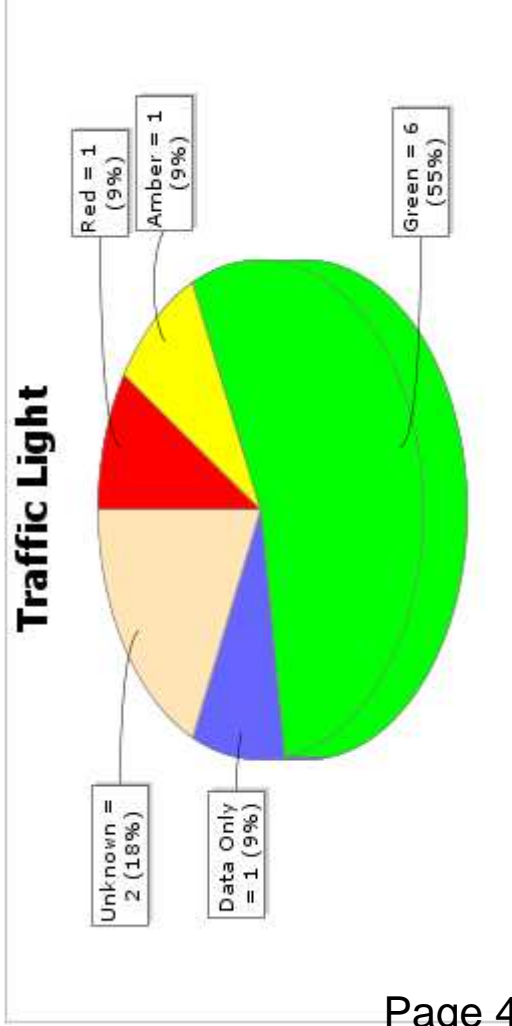
### Housing Maintenance

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_HMLSHMM001 Overall Percentage of tenant satisfaction with the responsive repairs service provided by Mears		85.8%	July 2013	85%		
LPI_HMLSHMM003 Percentage of all responsive repairs completed within target		98.2%	July 2013	97%		













**Solicitor and Monitoring Officer**

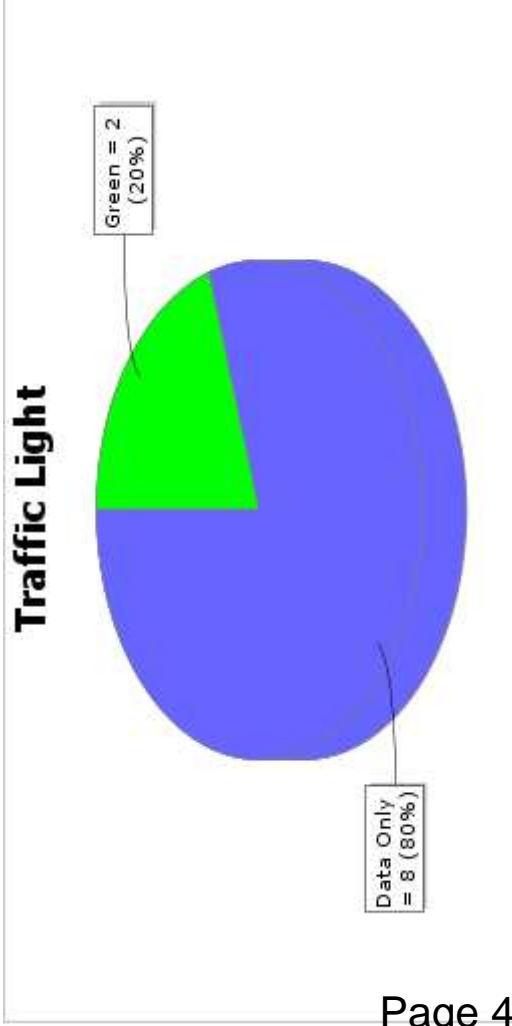
PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_SMO001 Number of Standard Searches carried out		270	Q4 2012/13			02-Jul-2013 103 official 167 personal
LPI_SMO002 The number of exempt items presented to meetings		TBA	TBA			



### Technology & Corporate Programmes

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_RDICT001 Percentage of incidents fixed by ICT	✓	86.72%	August 2011	70%	↑	
LPI_RDICT002 Incidents Resolved within SLA	✓	94.46%	September 2011	90%	↑	
LPI_RDICT003 Incidents Resolved within SLA	✓	97.61%	September 2011	90%	→	
LPI_RDICT004 ICT Backups	⚠	97.04%	September 2011	100%	↑	
LPI_RDICT005 Service Availability	✓	100%	August 2011	99%	↑	
LPI_RDICT006 Maintain	✓	Yes	2012/13	Yes	▬	

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
accreditation against ISO20000						
LPI_RDICT007 Maintain accreditation against ISO27001		Yes	2012/13	Yes		
LPI_RDICT008 Freedom of Information Requests Responded To Within legislative timescales		83.87%	March 2013	100%		29-Apr-2013 Mar-13 31 26 5 Requests fell behind due to demand on resources required on emergency planning and ISO27001 in Feb and starting to catch up on the deficit.
LPI_RDICT015 ICT Support Desk - Percentage of calls answered within 15 seconds		TBA		TBA		
LPI_RDICT016 ICT Support Desk - Percentage of calls abandoned		TBA		TBA		
LPI_RDICT017 ICT Service Desk - Outstanding incidents		TBA		TBA		



**Human Resources**

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
BV12 Working Days Lost Due to Sickness Absence		8.29	March 2013	8.50	↘	








### Organisational Development




PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_ACEODHS001 Number of accidents to employees reported		7	Q1 2013/14		→	
LPI_ACEODHS002 Number of accidents to non-employees reported		4	Q1 2013/14		←	
LPI_ACEODHS004 Number of HSE notifications/interactions		1	Q1 2013/14		←	
LPI_ACEODHS005 Number of violent/threatening incidents		0	Q1 2013/14		←	

### Transformation and Corporate Performance

PI Code & Short Name	Traffic Light Icon	Current Value	Last Update	Current Target	Performance compared to last reporting period	Latest Notes
LPI_T&CP_001 The number of hits on the website		128,483	Q1 2013/14		→	
LPI_T&CP_002 Average time spent on the website		3.17	Q4 2012/13		←	
LPI_T&CP_003 SoCITM Website score		3	2012/13	4	←	
LPI_T&CP_004 Average number of days to recruit to vacant posts		TBA		TBA		
LPI_T&CP_005 The number of payroll errors		TBA		TBA		

## Key to symbols

PI Status	
	Off target
	Slightly off target
	At target
	Unknown
	Data Only PI (i.e. no target set)

Performance compared to last reporting period	
	Improving
	No Change
	Getting Worse

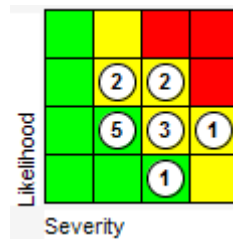
### 3. Performance Management Framework

The combined Corporate Plan and Annual Review was drafted and approved by Cabinet on 10<sup>th</sup> April 2013.

### 4. Corporate Risk register

The Corporate Risk register is reviewed and updated by the Corporate Management Team.

There are currently fourteen risks on the Corporate Risk Register, none of which are high risks and the “heat map” below indicates the current position of their risk status.



## 5. Financial healthcheck report

### Executive Summary

This section to the report summarises the main issues identified at the end of June 2013. Details relating to the summary including Directorate commentaries can be obtained from Phil Thomas, Corporate Accountancy Extension 239.

Summary action sheets showing agreed action points to address issues raised are attached at **Appendix A**.

### General Fund

#### Revenue

- The General Fund has a favourable variance against budget at period 3 of £195k.
- The projected full year position identifies a projected unfavourable variance against budget of £163k or a 1.82% overspend to budget.
- This projection has highlighted several budget areas for concern (detailed at **Appendix B** and within the Report) though we are a quarter of the way through the year and projections may change, ongoing investigations into these areas have been initiated to mitigate the levels of the deficits.
- A balance of £150k was held in the General Contingency Budget at the end of June 2013.

#### Capital

- Capital expenditure incurred was £259k compared to a profiled budget of £525k.
- It is predicted that £2.098m will be spent by the year-end compared to a full year budget of £2.098m (this includes re-profiled schemes from 2012/13 of £1.643m).
- A summary of Capital expenditure is shown at **Appendix C**.

#### Treasury Management

- At the end of June 2013 the Authority had £25.39m invested in the money markets (excluding the £1.59m which is classified as sums at risk invested in Icelandic Banks). The average rate of return on these investments is 0.85% though this may change through the year if market conditions ease. At this point it is anticipated that our investments will earn approximately £207k compared to the budgeted figure of £200k, an estimated over recovery of £7k.

- Borrowing by the Authority stood at £65.060m at the end of June 2013, all being long term loans from the Treasury Public Works Loans Board. The average rate payable on these borrowings equates to 4.47%. At this point it is anticipated that our interest payments will be £2.911m which is no variance to budget.
- A more detailed summary of the Treasury Management situation, detailing our current Lending and Borrowings together with the situation with our Icelandic investments, can be found at **Appendix D**.

## Balances

Balances on General Fund are projected to be in the region of £3.699m at the year-end from normal revenue operations compared to £3.465m projected within the 2013/14 budget report.

There is also currently a nil balance within the Repairs and Renewals Fund as the balance of £259k was released to revenue as approved in the 2013/14 budget report.

## Housing Revenue Account (HRA)

### Revenue

- The HRA has a favourable variance against budget at Period 3 of £311k.
- The projected full year position identifies a favourable variance against budget of £57k. Individual significant budget areas reflecting the variance are detailed at **Appendix B** and within the body of the Report.

### Capital

- Housing Capital expenditure of £1.339m has been incurred as at the end of Period 3 compared to a profiled budget of £2.434m.
- It is predicted that £9.737m will be spent by the year-end compared to the full year budget of £9.737m (including £2.845m re-profiled from 2012/13);
- A summary of Capital expenditure is shown at **Appendix C**.

### Balances

- Balances on the Housing Revenue Account are projected to be in the region of £4.725m at the year-end compared to £4.175m projected within the 2013/14 budget report.

## FINANCIAL HEALTHCHECK REPORT – QUARTER 1, PERIOD 3 JUNE 2013

This section of the report highlights the main issues identified, CMT and Members are asked to note the contents of the report and agree action points to address the issues raised.

### Issues Identified

The financial performance review has focussed on the following key areas, on which further work is being undertaken:

- Review of the actual activity to budget for the period;
- A projection of the actual activity to budget for the year;
- Identification of potential issues for action;
- This is the first monitoring report of the year and issues regarding budget profiles and previous year's accruals may distort the reported figures to some extent, though the majority of these issues will have been adjusted for manually.

### General Fund – Revenue

- The position at the end of June 2013 shows a favourable situation of £195k underspend.
- The projected full year position identifies an unfavourable variance against budget of £163k.

Significant items currently identified relating to overspends/under achievement of income are,

- Benefits - £83k. Estimated under recovery based on claimant activity recorded in the DWP claim as at end of June.
- Treasury Management - £70k. Overspend of Interest Payable to HRA, £51k and MRP £27k due to higher HRA balances, reduced by an over recovery of Interest £7k.
- ICT - £50k. Expected under achievement of income following termination of the contract with Bromsgrove & Redditch for provision of help desk facility.
- Public Spaces - £30k. Overspend on salaries.
- Outside Car Parks - £18k. Increase in the amount payable to Henry Boot for Spinning School Lane car park.

Significant items mitigating the financial impact of the above and contributing to the period position,

- Civil Parking Enforcement - £27k. To be paid by SCC in respect of the anticipated deficit in year in line with CPE agreement.

- Commercial Property Management - £25k. Over recovery of rents £17k and recharge of insurance premiums £9k.
- Partnership Support & Development - £18k. Under spend on salaries £8k, vacant post and Stoke & Staffs Partnership £10k as no longer exists.
- Homelessness Strategy - £16k. Under spend to reflect that salary budgets should be met from grant.
- Industrial Properties - £14k. Saving on provision for bad debts.

### **General Fund – Capital**

- The position at the end of June shows an underspend to profiled budget of £266k, mainly due to slippage on spend compared to predicted expenditure profiles at this early stage of the year.
- The projected full year position shows no variance to budget.

### **Housing Revenue Account – Revenue**

- The position at the end of June shows a favourable situation of £311k.
- The projected full year position identifies a favourable variance against budget of £57k.

#### **Significant items currently identified relating to overspends/under achievement of income are,**

- General Operations - £12k. Overspend on Salaries due to a regraded post.

#### **Significant items mitigating the financial impact of the above and contributing to the predicted outturn position,**

- Rents - £50k. Expected over recovery due to lower void levels.
- Interest on Balances - £30k. Changes to interest calculation due to HRA reform and higher HRA balances from unspent capital funds.

### **Housing Revenue Account – Capital**

- The position at the end of June shows an under spend to profiled budget of £1.096m, which appears to be a profiling variance.
- The projected outturn is showing no variance to budget at this stage.

REF	ACTIVITY	OPTIONS	AGREED ACTION	ACTION BY / WHEN	PROGRESS
<b>1</b>	<b>FINANCIAL ISSUES</b>				
1.1	Budget Monitoring & Control		Managers have been commissioned by CMT to review budgets to identify potential savings to mitigate projected overspends and assist in the achievement of a balanced MTFS.	Directors & Budget Holders	Ongoing
1.2	<u>Forward Look:</u> – Medium Term Financial Strategy (MTFS)		Investigation into significant variances, to identify reasons for the changes and implement 'lessons learned' to reduce the risk of future occurrences.	Findings incorporated within Budget Review Group's provisional consideration for the impact on 2014/15 (onwards) financial planning.	BRG will be given report on outturn situation for consideration and implications for the MTFS



	YTD Outturn	Projected Outturn	
	Period 03	Period 03	
GENERAL FUND	Over/(Under) Spends £000's	Over/(Under) Spends £000's	Comments
<b>CHIEF EXECUTIVE'S OFFICE</b> <i>Head of Organisational Development</i> Training and Development			
Various Training budgets	(14)	0	Underspends against profiled budgets to date, including £6k Post Entry Training
Other minor non-significant variances	(4)	0	
<b>CHIEF EXECUTIVE'S OFFICE</b>	(18)	0	
<b>EXECUTIVE DIRECTOR CORPORATE SERVICES</b>			
<b>Member Services</b>			
Members Attendance Allowance	(10)	0	Underspent due to some members not claiming full entitlement, plus changes introduced this year following review, eg. 10% allowance retained until end municipal year
<b>Electoral Process</b>			
Rents	(13)	0	No planned local elections this year
Election Staff	(48)	0	No planned local elections this year
<b>Conveyancing and Right to Buy</b>			
Legal Fees - Sale of Council Houses	(15)	(4)	Based on 14 council houses sold as at end June - budget based on 11 sales for the year
<b>Head of Benefits</b>			
<b>Benefits</b>			
Net of expenditure and subsidy due	38	83	Based on DWP estimate claim as at end June
<b>Benefits Administration</b>			
Government Grants	(33)	0	Government Grants not budgeted - £20k New Burdens Grant re Welfare Reform and £13k re Local Authority Data Sharing programme - expected to be spent during year
<b>ICT and Transformation</b>			
Other Hardware Maintenance	14	0	Commitments in advance of profiled year to date budget/ Expected underspend by year end
Software Maintenance	47	0	Expenditure in advance of profiled year to date budget
Application Software	21	0	Commitments in advance of profiled year to date budget
External Service Provision	(1)	50	Income target not expected to be achieved following termination of contract with Bromsgrove & Redditch for provision of help desk facility
<b>Corporate Finance</b>			
Localised Council Tax Benefit Scheme Grant	(54)	0	New Burdens Grant not budgeted
New Homes Bonus Scheme Grant	(17)	0	Additional 'top slice' amount not budgeted
<b>Treasury Management</b>			
Interest Payable to HRA	13	51	Higher HRA Balances than budgeted
Minimum Revenue Provision	7	27	
Misc Interest & Dividends	(2)	(7)	Over recovery
Other minor non-significant variances	(4)	(1)	
<b>EXECUTIVE DIRECTOR CORPORATE SERVICES</b>	(57)	199	
<b>ASSETS AND ENVIRONMENTAL SERVICES</b>			
<b>Industrial Properties</b>			
Provision for bad debts	(12)	(12)	Saving as at end of the period, however potential for full requirement by year end position will be closely monitored and updated throughout the year
<b>Outside Car Parks</b>			
Refundable Deposits - Henry Boot	5	20	Increase in the estimated amount payable to Henry Boot for Spinning School Lane car park. The situation will be monitored closely throughout the year.

GENERAL FUND	Over/(Under) Spends £000's	Over/(Under) Spends £000's	Comments
<b>Civil Parking Enforcement</b>			
Miscellaneous Income	(7)	(27)	Amount to be paid by Staffs County in respect of the anticipated deficit in year in line with CPE agreement.
<b>Cemeteries</b>			
Contribution to Reserves	23	11	Any underspend at year end is contributed to the Cemeteries retained fund
Various Minor Underspends	(23)	(11)	Various Minor Underspends
<b>Public Spaces</b>			
Salaries	(5)	21	There have been several vacant posts but recruitment is now complete.
<b>TBC Highways Maintenance</b>			
Contribution to Reserves	33	33	Any underspend at year end is contributed to the Balancing Ponds retained fund
Various Minor Underspends	(33)	(33)	Various Minor Underspends
<b>Environmental Health</b>			
Salaries	(12)	(4)	There have been several vacant posts but recruitment is now under way.
<b>Other minor non-significant variances</b>	49	3	
<b>ASSETS AND ENVIRONMENTAL SERVICES</b>	18	1	
<b>HOUSING &amp; HEALTH</b>			
<b>General Fund Housing</b>			
Salaries	0	(9)	Savings from flexible retirement to offset actuarial strain costs paid in 2012/13
<b>Homelessness</b>			
Bed & Breakfast Cost	(10)	0	Prevention schemes have reduced use of Bed & Breakfast accommodation
Bed & Breakfast Income	11	0	Reduced income offset by reduced expenditure
<b>Homelessness Strategy</b>			
Homelessness Prevention	(40)	(16)	Projects to utilise the grant funding are currently being reviewed. Projected underspend to reflect that salary budgets should be met from grant.
<b>Health Agenda</b>			
Health Promotions Joint Funding	(9)	0	Post being recruited to following restructure of service
<b>Other minor non-significant variances</b>	(14)	0	
<b>HOUSING &amp; HEALTH</b>	(62)	(25)	
<b>COMMUNITIES, PLANNING &amp; PARTNERSHIPS</b>			
<b>Development Control</b>			
Fees & Charges Planning Apps	(18)	0	Although income is up against profile and there appears to be renewed interest it is too early to predict if this trend will continue.
<b>Partnership Support &amp; Development</b>			
Salaries	0	(8)	Review of structure has been undertaken following a post becoming vacant.
Stoke & Staffs Partnership	0	(10)	Partnership no longer exists
<b>Tamworth Golf Centre</b>			
Contract	(6)	(6)	CVA dividend received from liquidator in respect of Jack Barker Golf.
<b>Golf Course (In House)</b>			
Contract Cleaning	0	(8)	Being delivered by alternative methods
Green Fees - 18 Hole	21	40	
Green Fees - 9 Hole	(7)	(10)	Income for the golf course across all codes is currently up against profile by £4k. Pay & Play income is a concern but is being monitored closely. Additional savings will be identified should income levels start to reduce.
7 day season	(16)	(16)	
<b>Golf Course (maint of Grounds)</b>			
Salaries	(5)	0	Staff were not in place until May.

GENERAL FUND	Over/(Under) Spends £000's	Over/(Under) Spends £000's	Comments
<b>Castle &amp; Museum</b>			
Wedding Income	(7)	0	Income is up against profile but it is too early to predict if this trend will continue
Admission Fees	(12)	0	Income is up against profile as there have been increased numbers of visitors. It is too soon to predict if this trend will continue
<b>Staffordshire Hoard</b>			
Salaries	0	8	No budget to cover additional staff costs for Hoard Exhibition
<b>Other minor non-significant variances</b>	<b>(26)</b>	<b>(2)</b>	
<b>COMMUNITIES, PLANNING &amp; PARTNERSHIPS</b>	<b>(76)</b>	<b>(12)</b>	
<b>GENERAL FUND</b>	<b>(195)</b>	<b>163</b>	
HOUSING REVENUE ACCOUNT	Over/(Under) Spends £000's	Over/(Under) Spends £000's	Comments
<b>HOUSING &amp; HEALTH</b>			
<b>General - Operations</b>			
Salaries	0	18	Regraded post
<b>Income Management</b>			
Other Supplies & Services	(18)	0	Budget earmarked for impact of Welfare Reform
<b>Caretakers</b>			
Electricity	(9)	0	Multiple sites
<b>HRA Summary</b>			
Contribution to the Repairs Account	(144)	0	Multiple Contracts, of which the Responsive Repairs contract is £66K overspent and the Planned Maintenance contract £138K underspent.
Provision for Bad Debts	(98)	0	Provision based on current level of arrears which are expected to rise due to the impact of the welfare reforms.
Rents	(17)	(50)	Projected outturn over recovery against budget due to lower void levels
Garage Rents	(6)	0	Occupation rate currently higher than budgeted. Work is underway to refurbish some garage sites and demolish sites with no demand. There are a number of other sites being developed for social housing.
Interest on Balances (Item 8 CR)	(7)	(30)	Changes to interest calculation due to HRA reform and unspent capital funds
<b>Other minor non-significant variances</b>	<b>(12)</b>	<b>5</b>	
<b>HOUSING REVENUE ACCOUNT</b>	<b>(311)</b>	<b>(57)</b>	

**CAPITAL PROGRAMME 2013-14 SUMMARY**  
**Period 3 - Ledger Info @ 03/07/13**

Directorate	Budget b/f from 12/13 £	13/14 Predicted Spend £	13/14 Project Budget (Incl b/f from 12/13) £	Predicted Re-profile to 14/15 £	13/14 Resultant Variance £	YTD Actuals £	YTD Accruals £	YTD Actuals + Accruals £	YTD Budget £	YTD Variance £
CORPORATE SERVICES	229,120	329,120	329,120	0	0	11,091	0	11,091	82,280	(71,189)
COMMUNITY SERVICES	1,413,880	1,769,251	1,769,250	0	1	235,807	12,021	247,828	442,313	(194,485)
GENERAL FUND TOTALS	1,642,970	2,098,371	2,098,370	0	1	246,898	12,021	258,919	524,593	(265,673)
HOUSING REVENUE ACCOUNT	2,844,910	9,737,460	9,737,460	0	0	1,175,225	163,580	1,338,804	2,434,365	(1,095,561)
<b>TOTAL APPROVED CAPITAL</b>	<b>4,487,880</b>	<b>11,835,831</b>	<b>11,835,830</b>	<b>0</b>	<b>1</b>	<b>1,422,123</b>	<b>175,601</b>	<b>1,597,724</b>	<b>2,958,958</b>	<b>(1,361,234)</b>
Specific Project Contingencies	130,000	0	130,000	0	(130,000)	0	0	0	32,500	(32,500)
<b>TOTAL (incl spec' contingencies)</b>	<b>4,617,880</b>	<b>11,835,831</b>	<b>11,965,830</b>	<b>0</b>	<b>(129,999)</b>	<b>1,422,123</b>	<b>175,601</b>	<b>1,597,724</b>	<b>2,991,458</b>	<b>(1,393,734)</b>
GF General Contingency	0	0	50,000	0	(50,000)	0	0	0	12,500	(12,500)
HRA General Contingency	0	0	100,000	0	(100,000)	0	0	0	25,000	(25,000)
Invest To Save Contingency	160,000	0	160,000	0	(160,000)	0	0	0	40,000	(40,000)
<b>ALL CAPITAL</b>	<b>4,777,880</b>	<b>11,835,831</b>	<b>12,275,830</b>	<b>0</b>	<b>(439,999)</b>	<b>1,422,123</b>	<b>175,601</b>	<b>1,597,724</b>	<b>3,068,958</b>	<b>(1,471,234)</b>

**Treasury Management Update – Period 3 - 2013/2014**Investments held as at 30<sup>th</sup> June 2013:

Borrower	Deposit £m	Rate %	From	To	Notice
Lloyds TSB	1.00	2.70	03/10/2012	02/10/2013	-
Lloyds TSB	2.00	2.25	02/11/2012	01/11/2013	-
Lloyds TSB	1.00	1.90	12/11/2012	11/11/2013	-
Barclays Bank	2.00	0.45	02/04/2013	02/07/2013	
Barclays Bank	1.00	0.45	15/05/2013	15/08/2013	
Barclays Bank	1.00	0.45	17/06/2013	17/09/2013	
Bank of Scotland	2.00	1.10	13/02/2013	12/02/2014	
Nationwide	2.00	0.44	05/04/2013	08/07/2013	
Nationwide	1.00	0.44	07/05/2013	07/08/2013	
The Royal Bank of Scotland	2.00	0.80			95 days
Nat West	2.00	0.80	-	-	95 days
Nat West	2.00	0.75	-	-	30 days
Deutsche Bank – MMF		0.32*	-	-	On call
MMF – Ignis	4.00	0.38*	-	-	On call
MMF – PSDF	2.39	0.35*			On call
<b>Total</b>	<b>25.39</b>	<b>0.85 (avg)</b>			

\* Interest rate fluctuates daily dependant on the funds investment portfolio, rate quoted is approximate 7 day average.

**External Borrowing as at 30<sup>th</sup> June 2013:**

<b><u>Borrowing from PWLB</u></b>				
<b><u>Loan Number</u></b>	<b><u>Rate</u></b>	<b><u>Principal</u></b>	<b><u>Start</u></b>	<b><u>Maturity</u></b>
468372	11.625%	1,000,000	29/03/1990	18/08/2015
468478	11.750%	2,000,000	23/04/1990	18/02/2017
475875	8.875%	1,200,000	29/04/1995	25/04/2055
478326	8.000%	1,000,000	17/10/1996	17/10/2056
479541	7.375%	1,000,000	28/05/1997	28/05/2057
479950	6.750%	2,000,000	02/10/1997	03/09/2057
481087	5.625%	3,000,000	22/06/1998	22/06/2058
481641	4.500%	1,400,000	09/10/1998	09/10/2058
483694	4.875%	92,194	21/12/1999	18/10/2059
484204	5.125%	2,000,000	20/04/2000	18/10/2015
488835	5.000%	2,000,000	01/07/2004	01/07/2034
490815	4.250%	1,000,000	24/11/2005	24/05/2031
494265	4.430%	2,000,000	21/01/2008	01/01/2037
494742	4.390%	700,000	15/08/2008	15/08/2058
500759	3.520%	5,000,000	28/03/2012	28/03/2053
500758	3.510%	5,000,000	28/03/2012	28/03/2054
500757	3.510%	5,000,000	28/03/2012	28/03/2055
500761	3.510%	5,000,000	28/03/2012	28/03/2056
500755	3.500%	5,000,000	28/03/2012	28/03/2057
500756	3.500%	3,000,000	28/03/2012	28/03/2058
500753	3.500%	1,000,000	28/03/2012	28/03/2059
500760	3.490%	5,000,000	28/03/2012	28/03/2060
500762	3.490%	5,000,000	28/03/2012	28/03/2061
500754	3.480%	5,668,000	28/03/2012	28/03/2062
<b>Total</b>		<b>65,060,194</b>		

**ICELANDIC BANKING SITUATION (30/06/2013)**

	Deposit with;	Ref Number	Date Invested	Amount	%
1	GLITNIR	1696	10/10/2007	1,000,000	
	GLITNIR	1715	31/08/2007	1,000,000	
	GLITNIR	1754	14/12/2007	1,000,000	
	Total Principal			3,000,000	
	Estimated of Contractual or Interest due to point of administration (subject to currency exchange rate fluctuations)			140,911	
	Total of Claim			3,140,911	
	Repayments Received to date			(2,554,432)*	81.33
	<b>Outstanding at 30/06/2013</b>			<b>586,479**</b>	

\*Partial repayment received on the 15th March 2012 in GBP/EUR/USD/NOK. The balance is currently being held in Icelandic Krone (ISK). Release of these funds is dependent on a change in Icelandic Law which currently does not allow the distribution of ISK outside the country. \*\*Interest will accrue on these funds until the date of final settlement and may also change due to exchange rate fluctuations.

- Best case recovery 100%

2	Heritable Bank	1802	12/09/2008	500,000	
	Heritable Bank	1803	15/09/2008	1,000,000	
	Total Principal			1,500,000	
	Interest due at point of administration 07/10/2008			5,127	
	Total of Claim			1,505,127	
	Repayments Received to date			(1,163,167)	77.28
	<b>Outstanding at 30/06/2013</b>			<b>341,960</b>	

- Current indications project an 85% recovery of our investments

3	Singer & Friedlander	1716	31/08/2007	1,000,000	
	Singer & Friedlander	1740	31/10/2007	1,000,000	
	Singer & Friedlander	1746	14/01/2008	1,000,000	
	Total Principal			3,000,000	
	Interest due at point of administration 08/10/2008			175,256	
	Total of Claim			3,175,256	
	Repayments Received to date			(2,508,452)	79.00
	<b>Outstanding at 30/06/2013</b>			<b>666,804</b>	

- Current indications project an 84 to 86.5% recovery of our investments

<b>Summary</b>					
	Total Principal			7,500,000	
	Interest			321,294	
	Total of Claim			7,821,294	
	Repayments Received to date			(6,226,051)	79.60
	<b>Outstanding at 30/06/2013</b>			<b>1,595,243</b>	

1 Registered Bank in Iceland - In Administration under Icelandic Law

2 Registered Bank in UK - In Administration in UK by Ernst & Young Under English Law

3 Registered Bank in UK - In Administration in UK by Ernst & Young Under English Law

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12<sup>th</sup> September 2013

### REPORT OF THE LEADER OF THE COUNCIL

#### BUDGET AND MEDIUM TERM FINANCIAL PLANNING PROCESS

##### EXEMPT INFORMATION

None

##### PURPOSE

To seek agreement to the proposed budget and medium term financial planning process for General Fund and the Housing Revenue Account for 2014/15.

##### RECOMMENDATION

**That the proposed process for the General Fund and Housing Revenue Account Budget and Medium Term Financial Planning Process for 2014/15 be adopted.**

##### EXECUTIVE SUMMARY

It has previously been recognised by the Council's Cabinet and Corporate Management Team (CMT) that Members will need to focus on strategic decisions relating to high level financial issues as flexibility within future budgets will be extremely limited given the need to identify substantial savings following significant constraints in public spending (post grant reductions of 34% since 2010 and recent announcements from CSR 2013 of further grant reductions for Local Government of 10% from 2015/16) - and that any growth proposals would require compensating reductions in other budget areas & services.

There also remains a high degree of uncertainty arising from the most significant changes in Local Government funding for a generation with effect from 1<sup>st</sup> April 2013, arising from Business Rates Retention, changes in Support for Council Tax and technical reforms to Council Tax - as well as other changes arising the Government's Welfare Reform agenda.

The Council holds sufficient funds in reserves and balances to allow it to plan its approach to budget setting, and Cabinet, on 22<sup>nd</sup> August 2013, endorsed the document 'Planning for a Sustainable Future' as the overarching strategy for meeting the challenges forecast for the Council's Medium Term Financial Strategy (MTFS) and a series of workstreams designed to deliver savings & efficiencies to mitigate grant & income reductions in the coming years. This includes exploring new and innovative ideas and to be more commercial in our approach to business.

The proposals likely to arise from the work streams will change the organisation and how it works; will require Members to take difficult decisions and adhere to them; will involve managed risks and will sustain this Council in the years ahead.

The attached Project Plan at **Appendix A** lists the stages, deadlines and the responsible officers for the production of the budget and medium term financial plan. **Appendix B** contains an outline of the process whilst **Appendix C** shows the flow of key stages over the process period.

Members are asked to endorse the process to be followed.

## **RESOURCE IMPLICATIONS**

There are no financial or resource implications arising from the implementation of the Budget and Medium Term Planning Process.

## **LEGAL/RISK IMPLICATIONS BACKGROUND**

It is considered that a Medium Risk to the achievement of the planned timetable exists due to the potential for a delay in the:

1. Provision of information from managers; and
2. Publication of the Revenue Support Grant (RSG) information for each individual authority by the Department for Communities & Local Government (DCLG).

## **SUSTAINABILITY IMPLICATIONS**

None

## **CONCLUSIONS**

Members are asked to endorse the process to be followed.

## **BACKGROUND INFORMATION**

### **Budget and Medium Term Financial Planning Process**

#### **Budget Process Approach**

It has previously been recognised by the Council's Cabinet and Corporate Management Team (CMT) that Members will need to focus on strategic decisions relating to high level financial issues as flexibility within future budgets will be extremely limited given the need to identify substantial savings following significant constraints in public spending (post grant reductions of 34% since 2010 and recent announcements from CSR 2013 of further grant reductions for Local Government of 10% from 2015/16 together with consultation around the proposed top-slicing of new homes bonus grant from 2015/16 which could reduce grant levels by up to 40%) - and that any growth proposals would require compensating reductions in other budget areas & services.

The impact of the announced grant reductions for 2015/16 should be clarified for individual Councils when the provisional Revenue Support Grant and the associated figures are published in November - followed by final notifications expected in January.

Initial data for each Council has recently been released which indicates that the impact for the Council could be as much as a 16% reduction in Government funding.

There also remains a high degree of uncertainty arising from the most significant changes in Local Government funding for a generation with effect from 1<sup>st</sup> April 2013, arising from Business Rates Retention, changes in Support for Council Tax and technical reforms to Council Tax - as well as other changes arising the Government's Welfare Reform agenda.

The Council holds sufficient funds in reserves and balances to allow it to plan its approach to budget setting, and Cabinet, on 22<sup>nd</sup> August 2013, endorsed the document 'Planning for a Sustainable Future' as the overarching strategy for meeting the challenges forecast for the Council's Medium Term Financial Strategy (MTFS) and a series of workstreams designed to deliver savings & efficiencies to mitigate grant & income reductions in the coming years.

This includes exploring new and innovative ideas and to be more commercial in our approach to business.

The proposals likely to arise from the work streams will change the organisation and how it works; will require Members to take difficult decisions and adhere to them; will involve managed risks and will sustain this Council in the years ahead.

As part of the budget process Policy Changes are required in order to amend base budget provision. As grant and other income levels are reducing, where increased costs are unavoidable then managers should identify compensatory savings. Where savings are identified they must be accompanied by a robust implementation plan. Robust business case templates will have to be submitted to Cabinet and CMT for all Policy Change submissions (Revenue and Capital).

A more detailed summary of the process is attached at **Appendix A** with an outline of the process and flow chart of the process being shown at **Appendix B and C**.

### **Budget Consultation**

For 2014/15, in addition to the activity planned for the Tamworth Listens process, consultation has been planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.

The consultation, detailed at **Appendix D**, will be carried out through 3 online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector. The online residents survey will be promoted using social networking/media sites and through email contact databases. The business survey will be promoted through business social networking sites and business email contact databases. The voluntary and community sector survey will be promoted through email contact databases.

## **Timetable**

Significant milestones in the process, detailed at **Appendix A**, are planned as:

- a) Consultation process - results to Cabinet 24<sup>th</sup> October;
- b) Base budget and technical adjustments to Cabinet 28<sup>th</sup> November;
- c) Council Taxbase calculation and initial Business Rates Forecast to Cabinet 28<sup>th</sup> November;
- d) Cabinet proposals to a Leaders Budget Workshop 3<sup>rd</sup> December;
- e) Provisional RSG settlement assessment to Cabinet and CMT in December;
- f) Joint Scrutiny Committee (Budget) to be held on 28<sup>th</sup> January 2014;
- g) Final Budget and Medium Term Plan reports to Cabinet 20<sup>th</sup> February 2014;
- h) Budgets set at Council 25<sup>th</sup> February 2014.

It should be noted that the complexity of some of the issues and the reliance on the Government for Business Rates Retention and RSG data to report might mean that some reports have to be treated as urgent items and/or are considered at a later meeting.

## **REPORT AUTHOR**

Stefan Garner, Director of Finance, Telephone: 01827 709242

## **LIST OF BACKGROUND PAPERS**

Planning for a Sustainable Future (Meeting the Challenges to MTFs) – Cabinet 22<sup>nd</sup> August 2013

## **APPENDICES**

### **Appendix A**

Project Plan for the Budget and Medium Term Financial Planning Process for the year 2014/15

### **Appendix B**

Outline of the Budget and Medium Term Financial Planning Process

### **Appendix C**

Flowchart of the Budget & Medium Term Financial Planning Process

### **Appendix D**

2014/15 Budget Consultation

<b>Budget and Medium Term Financial Planning Process for 2014/15</b>			
	<b>Project Plan</b>	<b>Deadline</b>	<b>Responsible Officer/s</b>
1	Review of the 2013/14 process, formulation of 2014/15 process and report, to Cabinet 12th September, including: <ul style="list-style-type: none"> <li>• Review of potential budget issues;</li> <li>• The Budget Consultation process.</li> </ul>	01/09/2013  31/08/2013 31/08/2013	DOF  EDCS / DOF DOF / Financial Accountant/ Corp. Performance Manager
2	Policy Changes <ul style="list-style-type: none"> <li>• Circulation to Directors of provisionally approved policy changes for 2013/14 onwards - for confirmation or otherwise;</li> <li>• Any unavoidable cost increases arising from, for example, legislative or demand led changes (e.g. reduced income), be identified and included together with completion of 2012/13 outturn review;</li> <li>• Return of responses with Business Cases completed for new proposals, to Corporate Accountancy for collation;</li> <li>• Meeting of CMT to review all Revenue Policy Changes proposals on 21st October 2013;</li> <li>• Responses to be presented to Executive Management Team 28th October for initial consideration.</li> </ul>	19/09/2013  03/10/2013 12/10/2013 21/10/2013 28/10/2013	Accountants  CMT/Accountants CMT/Accountants DOF / Accountants DOF / Accountants
3	Consideration of responses – including an analysis of the impact of such on the overall financial position of the Council at CMT 18th November, Executive Management Team 25th November and Cabinet 28th November, to formulate/consider budget proposals in detail prior to Budget Workshop review 3rd December.	11/11/2013	CMT/Accountants
4	Capital Programme <ul style="list-style-type: none"> <li>• Directors to review &amp; confirm the provisionally approved capital schemes already contained within the 5 year capital programme (including a 'block allocation' for Cabinet approval of new schemes during the year);</li> <li>• Impact of Stock Condition Survey results assessed</li> </ul>	19/10/2013  11/10/13	CMT/Accountants  DOA/Head of Property Services

	<b>Project Plan</b>	<b>Deadline</b>	<b>Responsible Officer/s</b>
	<ul style="list-style-type: none"> <li>Formulation of new 5 year programme including appraisal forms etc to be submitted to the Asset Strategy Group (ASG) prior to submission to Executive Management Team;</li> <li>Capital Programme report to CMT 18th November, Executive Management Team 25th November.</li> </ul>	25/10/2013	CMT/Accountants
5	Budget Consultation – Cabinet receive 24th October, the results of the consultation process,	14/10/2013	Corporate Performance Manager
6	Charges for Services – Updated recharges basis adjusted for any structural issues, proposals to be discussed at CMT 18th November, base recharges to be completed by 31st October to allow consultation period (to December 2013).	25/10/2013	CMT/Accountants
7	State of Tamworth Debate, to inform the budget process.	October/November	CMT
8	Consideration of the adjusted base budget, at CMT 18th November / Executive Management Team 25th November / Cabinet 28th November.	11/11/2013	EDCS/DOF/Accountants
9	Approval of initial Business Rates Forecast & adoption of the Council Tax Base Calculation for 2014/15 - to Cabinet 28th November	18/11/2013	Head of Revenues
10	A meeting of Cabinet on 28th November to receive/confirm budget proposals for Budget Workshop consideration.	25/11/2013	EDCS/DOF
11	Leaders Budget Workshop 3rd December.	28/11/2013	Leader
12	Local Government Finance Settlement (LGFS) implications - to CMT on 2nd December / Executive Management Team 16th December.	02/12/2013	DOF/Accountants
13	Draft Budget & MTFS Report to Executive Management Team 13th January / Cabinet 16th January and Joint Scrutiny Committee (Budget) 28th January.	06/01/2014	EDCS/DOF
14	Final Business Rates forecast for 2014/15 - to Cabinet 16th January.	06/01/2014	EDCS/DOF/Accountants
15	Implications of the final Business Rates forecast & LGFS information to be considered/built into the budget proposals (as soon as available).	January 2014	EDCS/DOF/Accountants
16	Final Budget & MTFS Report to CMT on 27th January / Executive Management Team 10th February.	24/01/2014	EDCS/DOF
17	Final budget reports considered by Cabinet on 20 <sup>th</sup> February who would recommend a budget to the Council meeting on 25th February.	10/02/2014	EDCS/DOF

## Outline of the Budget and Medium Term Financial Planning Process

### Reasons for Producing Budgets

Budgets are required to plan for forthcoming activities in meeting the objectives of the Council as a whole. Legally, the Council is required by legislation to set its budget (balanced funding/spend) and the associated Council Tax by 11<sup>th</sup> March each year.

The budget represents the Council's plans in financial terms and acts as a method of measuring performance against the achievement of these objectives. Variances from the budget are highlighted to Senior Management and Members on a monthly basis.

Budgets assist in bringing together views, opinions and decisions of all stakeholders such as Members, Local Residents, Focus Groups and the Business Community.

### The Budget Process

The budgets for the next financial year are compiled in the 'budget process' that runs mainly from September to March each year (some preparatory work / forecasts are prepared from July).

Day to day responsibility for setting budgets and financial performance monitoring may be delegated to appropriate line managers/senior officers, as appropriate.

A brief summary of the stages involved in the budget process are as follows:

- **Review / Formulation of Budget Process**

Following a review of the previous year's process, the outline process to be followed is formulated / agreed by the Corporate Management Team and Cabinet.

- **Consideration of Policy Changes**

Planned changes to services (provisionally approved during the previous budget process) are issued for confirmation. Budget Managers are also required to consider any unavoidable increased costs (arising from, for example, legislative or demand led changes e.g. reduced income) and targets for budget savings. They will be aware of the objectives of the Council as a whole within the Corporate Plan and should therefore be looking to incorporate changes or additions into their future plans.

As grant and other income levels are reducing, where increased costs are unavoidable then managers should identify compensatory savings. Where savings are identified they must be accompanied by a robust implementation plan. Robust business case templates will have to be submitted to Cabinet and CMT for all Policy Change submissions (Revenue and Capital).

- **Capital Programme**

Managers are asked to review provisionally approved schemes (within the medium term capital programme) and submit new / revised capital appraisal forms for consideration, and prioritisation within available resources, by CMT, Directors, the Asset Strategy Group and Cabinet.

- **Budget Consultation**

For 2014/15, in addition to the activity planned for the Tamworth Listens process, consultation has been planned to gauge residents', business and other core stakeholders' views on the Council's priorities to achieve the 'Vision' considering areas of spending or where savings could potentially be made.

The consultation will be carried out through three online surveys. A survey that is tailored for businesses, a full survey aimed at residents and a survey that is tailored for the voluntary and community sector. The online residents survey will be promoted using social networking/media sites and through email contact databases. The business survey will be promoted through business social networking sites and business email contact databases. The voluntary and community sector survey will be promoted through email contact databases.

- **Formulation of Budget Forecast & Base Budgets**

Managers should consider their future activities and spending requirements before discussions with their Accountant. Managers should identify any minor changes in expenditure or income or highlight other areas of concern with their Accountant prior to the finalisation of the base budget working papers. Regular review / monitoring during the year assist in this process.

It is important that managers assess budget figures carefully and do not merely increase the original budgets by the given inflation percentage. Managers should consider the previous year's level of expenditure when looking at budgets and decide if this is to be a normal level or an exception. A zero based budgeting approach to deliver service needs is required especially in a period of resource constraints.

In the main, the recalculation of the base budget involves changes that have already been approved or are outside the control of managers (e.g. inflation, pay award etc). Major alterations to budgets or proposals involving significant changes in service delivery need to be raised and submitted for approval through the policy changes process.

It should be borne in mind that financial guidance requires budget managers to be consulted (by the relevant accountant) in the preparation of the budgets for which they will be held responsible and that they are required to accept accountability for their budgets and the service to be delivered.

As part of the Governance process, there is a responsibility for Budget Managers to ensure that they are consulted and confirm that their budgets are accurate, complete and acceptable.

- **Compilation of Overall Budget figures**

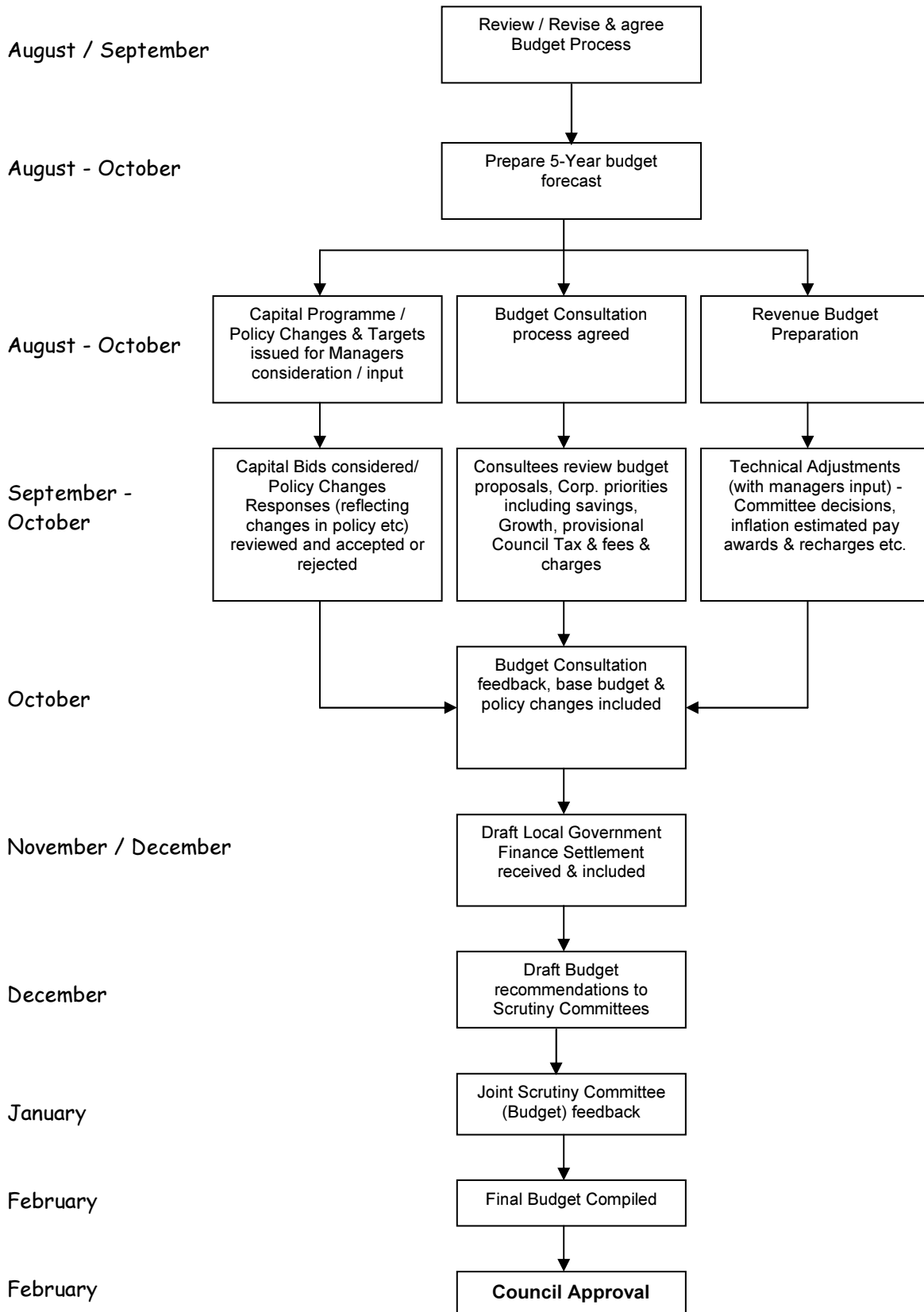
Once all the budget working papers have been prepared, an overall net expenditure figure for the Council can be assessed in terms of affordability and whether funding for these levels of expenditure is available. It may be that Managers would be required to identify savings in their budgets, dependant on guidance from Senior Managers and Members.

- **Final Budget Approved by the Council in February**

The final budgets are approved by Members at the Cabinet meeting, usually in February. No further amendments can be made after this point. The full Council approves the budget at its meeting in February.



The Budget & Medium Term Financial Planning Process



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**Tamworth Borough Council 2014/15 Budget Consultation****Background**

As part of a regular annual process Tamworth Borough Council reviews its Council Tax and Charges Strategy for the development of the budget. This process ensures that funding is put into areas of highest priority. An important element of this process is to understand the views of residents, tenants, businesses, and local voluntary groups on what these priorities are.

**Overview**

Consultation on the key issues affecting the 2014/15 budget consultation will be carried out through three surveys;

- A residents survey – on line and postal, promoted using social networking/media sites and through email contact databases
- A business survey – on line, promoted through business social networking sites and business email contact databases
- A voluntary and community sector survey – on line, promoted through email contact databases at the CVS

**Time Table**

Planning	from 1 <sup>st</sup> July 2013,
Postal survey (Residents)	posted 31 <sup>st</sup> July 2013,
Online survey (Residents)	launched 13 <sup>th</sup> August 2013,
Online survey (Businesses)	launched 13 <sup>th</sup> August 2013,
Online survey (V&CS)	launched 19 <sup>th</sup> August 2013,
Surveys taken offline	27 <sup>th</sup> September 2013,
Analyse data and write report	10 <sup>th</sup> October 2013,
Report signed off in Democratic Services	15 <sup>th</sup> October 2013
Budget Consultation report at Cabinet	24 <sup>th</sup> October 2013

**Objectives**

- Identify important priorities to target for savings
- Advise on acceptable levels of fees, charges and council tax

A small budget has been set a side within the Corporate Consultation budget to undertake this work.

**Tamworth Listens**

In addition, the activity scheduled for 'Tamworth Listens' includes:

Business event	Late September 2013,
Education Event	1 <sup>st</sup> October 2013,
Tamworth Listens Question Time Event	16 <sup>th</sup> October 2013,
Tamworth Listens Report at State of Borough Debate	TBA

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## Report of the Portfolio Holder Operations and Assets

### Local Authority Mortgage Rate for Mortgages granted Under Housing Act, 1985

#### EXEMPT INFORMATION

None

#### PURPOSE

The purpose of this report is, in accordance with Section 438 of the Housing Act 1985, to make the statutory declaration of the local authority mortgage interest rate from 1 October 2013 to 31 March 2014.

#### RECOMMENDATIONS

**Cabinet is recommended to endorse the statutory declaration of interest to remain unchanged at 4.72%.**

#### EXECUTIVE SUMMARY

In accordance with Section 438 of the Housing Act 1985 with effect from 1 June 2012 the Authority interest charged on Council mortgages has been 4.72%.

#### RESOURCE IMPLICATIONS

There are no significant resource implications.

#### LEGAL/RISK IMPLICATIONS BACKGROUND

None

#### SUSTAINABILITY IMPLICATIONS

None

#### BACKGROUND INFORMATION

Authorities are required to charge whichever is the higher of:

1. The standard national rate, which is set by the Secretary of State, or
2. The applicable local average rate based on the Authority's own borrowing costs and a small percentage (0.25%) for administration.

The Council currently has a portfolio of 3 mortgages with a total amount outstanding of £36,095.84.

The standard national rate last declared by the Secretary of State after taking into account rates charged by building societies is 3.13%.

The applicable local average rate for Tamworth Borough Council is the Council's local average rate 4.47% plus 0.25% being 4.72%.

The mortgage interest rate that will be applied from 1 October 2013 will be 4.72% as it is the higher of the standard national rate and the local average rate.

#### **REPORT AUTHOR**

Michael Buckland tel. 01827 709523, [michael-buckland@tamworth.gov.uk](mailto:michael-buckland@tamworth.gov.uk)

12<sup>th</sup> September 2013**REPORT OF THE PORTFOLIO HOLDER FOR PUBLIC HOUSING &  
VULNERABLE PEOPLE****SAFEGUARDING CHILDREN AND VULNERABLE ADULTS PROTECTION  
POLICY****EXEMPT INFORMATION**

N/A

**PURPOSE**

The purpose of the report is to secure Members' approval to adopt the revised Safeguarding Children and Vulnerable Adults Protection Policy (SCVAPP).

**RECOMMENDATIONS****That Members:**

- 1. Approve the revised Safeguarding Children and Vulnerable Adults Protection Policy**
- 2. Endorse the implementation of the policy and promote staff and Members attendance at the Safeguarding Children and Vulnerable Adults Protection training associated with this policy**
- 3. Authorise the Director of Communities, Planning & Partnerships and the Solicitor to the Council and Monitoring Officer in collaboration with the Portfolio Holder for Public Housing & Vulnerable People to disseminate the Policy throughout the Council**

**EXECUTIVE SUMMARY**

The revised Safeguarding Children and Vulnerable Adults Policy attached at appendix A has been developed with other Staffordshire Local Authorities using Tamworth's previous CVAPP as a benchmark and template. This new version of the Policy has the added weight of being endorsed by the Staffordshire Safeguarding Children's Board and Staffordshire & Stoke-on-Trent Adult Safeguarding Partnership. The CVAPP is split into two sections with the first providing a policy context for the procedures which follow in section two.

The revised CVAPP will be distributed to staff via the Net Consent tool which requires staff to open and read the document before logging on to their computer and for those not working on computers via paper and hard copy. The existing training for staff will be modified to take into account the revisions and a session for Councillors will be arranged.

The operational procedures related to this document are currently paper based while the new CRM system is implemented. The intention is to develop CRM processes which support the recording and monitoring of our Safeguarding cases and allow for better interrogation of historical cases. It is expected that this will be implemented in October 2013.

### **RESOURCE IMPLICATIONS**

There are no immediate financial implications arising from this report. The cost of training and materials will be met from existing budgets.

### **LEGAL/RISK IMPLICATIONS BACKGROUND**

This policy has been revised in line with the Working Together to Safeguard Children inter-agency guide 2013. An equalities impact assessment has been completed and is attached at appendix 'B'. The Council undertakes a Section 11 Audit in relation to its safeguarding standards for children on an annual basis.

### **SUSTAINABILITY IMPLICATIONS**

There are no sustainability issues arising from this report

### **BACKGROUND INFORMATION**

Between 1 Apr 2012 until 31 March 2013, 79 initial concerns have been reported and logged onto the Council's system. There has been an increase from the previous year's figure when we recorded 61 initial concerns.

In summary the reports are telling us that –

1. Teams reporting their initial concerns are – Housing Services (Estate Management, Housing Advice, Cleaning and Caretaking Services), CCTV, Street Wardens, Strategic Partnerships, Housing Benefits and Customer Services.
2. Those we have concerns for range from the unborn to 88 years old.
3. Reports have come in from a variety of sources, staff witnessing issues, neighbours reporting issues, staff hearing concerns when talking to customers over the phone.
4. There are significant implications for the Housing Service, with the exception of a few reports – most appear to relate to those in Council accommodation and some are in need of Council assistance in finding accommodation/housing advice.
5. Reports range from verbal abuse to serious sexual abuse and to financial abuse.
6. Some reports relate to multiple types of suspected abuse, with this there appears to be a link with substance abuse & sexual abuse.
7. There are several reports linked to alcohol related incidents.
8. It would also appear that most incidents take place at home or very near to the home of the person we have concerns for.
9. All incidents were reported to the Police, First Response, or another agency.

### **REPORT AUTHOR**

Stephanie Ivey, Safeguarding Children & Families Officer, Communities, Planning & Partnerships 01827 709381

[Stephanie-ivey@tamwoth.gov.uk](mailto:Stephanie-ivey@tamwoth.gov.uk)



## **LIST OF BACKGROUND PAPERS**

*Working Together to Safeguard Children (2013 Department for Education)*

<http://www.workingtogetheronline.co.uk/documents/Working%20TogetherFINAL.pdf>

*Statutory Guidance Under Section 11 of the Children Act 2004*

<http://webarchive.nationalarchives.gov.uk/20130401151715/https://www.education.gov.uk/publications/standard/publicationDetail/Page1/DFES-0036-2007>

*Professor Eileen Munro's report, 'A child-centred system' May 2011*

[http://media.education.gov.uk/assets/files/pdf/m/8875\\_dfe\\_munro\\_report\\_tagged.pdf](http://media.education.gov.uk/assets/files/pdf/m/8875_dfe_munro_report_tagged.pdf)

## **APPENDICES**

Appendix 'A' – Tamworth Borough Council Safeguarding Children and Vulnerable Adults Protection Policy

Appendix 'B' – Equality Impact Assessment

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**CORPORATE POLICY**

# Children and Vulnerable Adults Protection Policy

Document Hierarchy: Policy

Document Status: Final

Document Ref: DOC CVAPP

Originator: L Shore

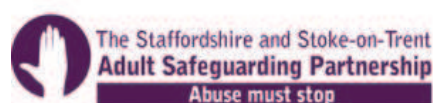
Updated: S Ivey

Owner: Director Communities, Planning and Partnerships

Version: 9

Date: 15/05/13

Classification: SEC1 - Routine



## Document Location

This document is held by Tamworth Borough Council, and the document owner is Robert Mitchell Director Communities, Planning and Partnerships.

Printed documents may be obsolete; an electronic copy will be available on Tamworth Borough Council's Intranet. Please check for current version before using.

## Revision History

Revision Date	Version Control	Summary of changes
August 08	1	Re draft pre existing policy
02/12/08	2	Draft incorporate Staffordshire Safeguarding Children Board changes
09/02/09	3	Draft procedural
16/3/09	4	Final Draft minor edit
31/3/09	5	Data protection content updated
12/6/09	6	Role of Members
01/04/11	7	Review of policy implementation of Working Together 2010 guidance
04/04/13	8	Disclosure and Barring Service information updated Revision of Domestic Violence and Abuse definition Contact information updated Procedural flowchart updated
15/05/13	9	Review of policy implementation of Working Together 2013 guidance

## Approvals V9

Name	Title	Approved
Robert Mitchell	Director Communities, Planning and Partnerships	
Christie Tims	Head of Organisational Development	
Jane Hackett	Solicitor Monitoring Officer	
Cllr Michael Greatorex	Portfolio Holder for Housing	
CMT	-	
Cabinet	-	
Carrie Wain	Staffordshire Safeguarding Children Board	18 06 13
Sarah Hollinshead-Bland	Staffordshire & Stoke-on-Trent Adult Safeguarding Board	

## Document Review Plans

This document is subject to a scheduled annual review. Updates shall be made in accordance with business requirements and changes and will be with agreement with the document owner.

## Distribution

The document will be available on the Intranet and access by authorised users.

## Security Classification

This document is classified as SEC 1 Routine with access restricted to Tamworth Borough Council Staff and business partners.

## Section 1

### Children and Vulnerable Adults

#### Protection Policy

## Section 2

#### Procedure Guide



## Contents

### Section 1 - Policy

- 1.1 Introduction
- 1.2 Policy Statement
- 1.3 Principles
- 1.4 Summary of supporting documentation

### Section 2 - Procedure Guide

- 2.1 Introduction
- 2.2 Definitions used within procedure
- 2.3 Recognition of abuse including bullying and neglect
- 2.4 Increased risk
- 2.5 Responding to disclosure, suspicions and allegations

### Appendices

Appendix A Relevant Guidance and Legislation

Appendix B (i) - Procedural Flow Charts for a Child Referral

Appendix B (ii) - Procedural Flowchart for a Vulnerable Adult Referral

Appendix C - Initial Concerns Reporting Form

Appendix D - Roles and Responsibilities

Appendix E - Contact Information

Appendix F Promoting Good Practice when working with Children and Vulnerable Adults

- First Aid and Treatment of Injuries
- Transporting Children & Vulnerable Adults away from home
- Social Networking
- Use of Contractors
- Guidelines on Children & Vulnerable Adults in publications and on the internet
- Guidelines on use of photography, video and filming children and vulnerable adults

Appendix G - Best practice in the recruitment of staff and volunteers

Appendix H - Safeguarding Reference Checking Form

Appendix I (i) - Example Consent Form

Appendix I (ii) - Example Consent Form for use of Cameras and other image recording devices

Appendix J - Guidance on the personal use of social networking sites

Appendix K- Declaration

## **Section 1**

### **1.1 Introduction**

All children <sup>1</sup>and vulnerable adults<sup>2</sup> have the right to live their lives to the fullest potential, to be protected, to have the opportunity to participate in and enjoy any activity, and to be treated with dignity and respect.

Tamworth Borough Council has both a moral and legal obligation to ensure a duty of care for children and vulnerable adults across its services. We are committed to ensuring that all children and vulnerable adults are protected and kept safe from harm whilst engaged in services organised and provided by the Council.

The purpose of this policy and its associated procedures is to help protect all children and vulnerable adults, including those living in our communities, placed in our care within our services and to protect Tamworth Borough Council, its staff, elected members and volunteers.

### **1.2 Policy Statement and Scope**

The scope of this policy is to understand the borough council's legislative framework, to outline the procedures to be followed and to identify the relevant contacts in relation to safeguarding children and vulnerable adults. The policy covers Safeguarding Children and Adult Protection.

Tamworth Borough Council has a legal responsibility to safeguard, promote wellbeing and protect children and vulnerable adults.

We will aim to comply with our duties by:

- Respecting and promoting the rights, wishes and feelings of children and vulnerable adults.
- Raising the awareness of the duty of care responsibilities relating to children and vulnerable adults throughout the Council.
- Promoting and implementing appropriate procedures to safeguard the well-being of children and vulnerable adults to protect them from harm.
- Creating a safe and healthy environment within all of our services, to protect all parties and reduce the risk of abuse or allegations of abuse from occurring.

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<sup>1</sup> 'Children' for the purposes of these guidelines are defined as those aged under 18 years

<sup>2</sup> A vulnerable adult can be anyone who is 18 years old or over, who has a physical or sensory impairment, a learning disability, or a mental health problem and may be unable to protect themselves from harm or abuse. Many frail or confused older people are especially vulnerable. As defined by the [Staffordshire and Stoke on Trent Adult Safeguarding Partnership](#)



- Recruiting, training, supporting and supervising staff, elected members and volunteers to adopt best practice to safeguard and protect children and vulnerable adults from abuse, and to also minimise any risks to themselves.
- Responding promptly to any suspicions or allegations of misconduct or abuse of children or vulnerable adults in line with the Staffordshire Safeguarding Children Board (SSCB) and Staffordshire and Stoke-on-Trent Adult Safeguarding Partnership (SSAP) policies and procedures.
- Requiring staff, elected members and volunteers to adopt and abide by the Council's Safeguarding Children and Vulnerable Adults Policy and Procedures, codes of conduct and associated procedures.
- Reviewing and evaluating this Policy and Procedure on an annual basis or in line with best practice, changing legislation, organisational requirements and service delivery.
- Ensuring representatives of Tamworth Borough Council who have contact with children, young people or vulnerable adults are subject to safe recruitment procedures. This is also applicable for when the council is working in partnership with other private, voluntary or contracted organisations and their employees.

### 1.3 Principles

This policy and supporting procedures are based on the following principles

- The welfare of children and vulnerable adults is the primary concern.
- All children and vulnerable adults irrespective of their age, culture, disability, gender, language, racial origin, socio-economic status, religious belief and/ or sexual orientation have the right to protection from abuse and harm.
- It is everyone's responsibility to report any concerns about abuse in order that prompt action be taken if required.
- All incidents of alleged poor practice, misconduct and abuse will be taken seriously and responded to swiftly and appropriately.
- All personal data will be processed in accordance with the requirements of the Data Protection Act 1998.

## **1.4 Supporting Documents/Legislation**

This policy should be read in conjunction with a number of additional policies and legislative documents, listed in Appendix A.

The major pieces of legislation and guidance are:

**The Children Act 1989 and 2004**

**Safeguarding Vulnerable Groups Act 2006**

**Public Interest Disclosure Act 1998**

**Data Protection Act 1998**

**European Convention of Human Rights**

**No Secrets 2000**

**Working Together to Safeguarding Children 2013**

**Mental Capacity Act 2005**

**Disclosure and Barring Service (formerly the Criminal Records Bureau (CRB) and Independent Safeguarding Authority (ISA)**

**Staffordshire Safeguarding Children Board Inter-Agency Procedures**

**Staffordshire and Stoke-on-Trent Adult Safeguarding Partnership Inter-Agency Procedures**

## **Section 2**

### **Procedure Guide**

#### **2.1 Introduction**

This set of procedures and guidelines sets out how Tamworth Borough Council will implement the Safeguarding Children and Vulnerable Adults Protection Policy. It is to be used by all staff that come into direct contact with those who fall under the definition of the procedure, or those who are responsible for managing services that affect these individuals or groups.

The procedure guide is intended to be used in conjunction with the policy document, and other supporting individual service procedures. See appendices for detail.

#### **2.2 Definitions used within the Procedure**

- The term children or young person is used to refer to anyone under the age of 18 years in accordance with the Children Act 1989.
- All the policies and procedures described within this document refer to vulnerable adults as well as children.

- Vulnerable Adults for the purposes of this procedure are those 18 and above who receive or are in need of community care services and are unable to take care of themselves as defined on Page 6 of this policy.
- The term staff, elected members and volunteers is used to refer to employees, borough councillors, volunteers and anyone working on behalf of, delivering a service for or representing the Council.

### 2.3 Recognition of Abuse including Neglect and Bullying

#### **Important Rule**

*It is important to remember that many children and vulnerable adults will exhibit some of these signs and indicators at some time, and the presence of one or more should not be taken as proof that abuse is occurring. There may well be other reasons for changes in behaviour such as a death, or the birth of a new baby in the family, relationship problems between parents/carers, etc. However, you should **always** report anything that causes you to suspect that abuse may be happening in order for appropriate action to be taken to ensure the welfare and safety of children and vulnerable adults.*

#### **Recognising Abuse**

Recognising abuse is not easy, and it is not the responsibility of council staff, elected members or volunteers to decide whether or not abuse has taken place or if there is significant risk. We do however have a responsibility to act if we think it may be happening.

Abuse, including neglect are forms of maltreatment of a child or vulnerable adult. Somebody may abuse a child or vulnerable adult by inflicting harm or by failing to act to prevent harm. Children and vulnerable adults may be abused in a family or in an institutional or community setting; by those known to them or, more rarely, by a stranger for example via the internet. They may also be abused by an adult or adults, or by another child or children.

#### **Types and Signs of Abuse**

It is generally accepted that there are the following types of abuse:

##### **Children and Vulnerable Adults:**

Physical, emotional (or psychological), sexual and neglect.

##### **Vulnerable Adults:**

Financial, discriminatory and institutional.

Please note that the tabled examples and signs detailed below may also be indicators of other medical factors and may not necessarily confirm abuse and

neglect. These tables are provided as a guide to help practitioners within their assessment process and their work with children, adults and their families.

<b>PHYSICAL ABUSE</b>	
<b>Examples include</b>	<b>Signs include</b>
<ul style="list-style-type: none"> <li>• Shaking</li> <li>• Pinching</li> <li>• Slapping</li> <li>• Force-feeding</li> <li>• Biting</li> <li>• Burning or Scalding.</li> <li>• Causing needless physical discomfort</li> <li>• Inappropriate restraint</li> <li>• Locking someone in a room</li> </ul>	<ul style="list-style-type: none"> <li>• Unexplained bruising, marks or injuries on any part of the body</li> <li>• Frequent visits to the GP or A&amp;E</li> <li>• An injury inconsistent with the explanation offered</li> <li>• Fear of parents or carers being approached for an explanation</li> <li>• Aggressive behaviour or severe temper outbursts</li> <li>• Flinching when approached</li> <li>• Reluctance to get changed or wearing long sleeves in hot weather</li> <li>• Depression</li> <li>• Withdrawn behaviour or other behaviour change</li> <li>• Running away from home/ residential care</li> <li>• Distrust of adults, particularly those with whom a close relationship would normally be expected</li> </ul>

<b>EMOTIONAL/PSYCHOLOGICAL ABUSE</b>	
<b>Examples include</b>	<b>Signs include</b>
<ul style="list-style-type: none"> <li>• Intimidation and/or threats</li> <li>• Bullying</li> <li>• Rejection</li> <li>• Shouting</li> <li>• Indifference and the withdrawal of approval</li> <li>• Denial of choice</li> <li>• Deprivation of dignity or privacy</li> <li>• The denial of human and civil rights</li> <li>• Harassment</li> <li>• Being made to fear for one's well being</li> </ul>	<ul style="list-style-type: none"> <li>• A failure to thrive or grow</li> <li>• Sudden speech disorders</li> <li>• Developmental delay, either in terms of physical or emotional progress</li> <li>• Behaviour change</li> <li>• Being unable to play or socialise with others</li> <li>• Fear of making mistakes</li> <li>• Self harm</li> <li>• Fear of parent or carer being approached regarding their behaviour</li> <li>• Confusion</li> </ul>

## SEXUAL ABUSE

### Examples include

- Rape and other sexual offences
- For vulnerable adults, sexual activity including sexual contact and non-sexual contact that the person does not want, to which they have not consented, could not consent, or were pressured into consenting to
- For vulnerable adults, being denied access to a sexual life
- Being encouraged or enticed to touch the abuser
- Coercing the victim into watching or participating in pornographic videos, photographs, or internet images
- Any sexual relationship that develops where one is in a position of trust, power or authority

### Signs include

- Pain or itching in the genital/anal areas
- Bruising or bleeding near genital/anal areas
- Sexually transmitted disease
- Vaginal discharge or infection
- Stomach pains
- Discomfort when walking or sitting down
- Pregnancy
- Sudden or unexplained changes in behaviour, e.g. becoming aggressive or withdrawn
- Fear of being left with a specific person or group of people
- Nightmares
- Leaving home
- Sexual knowledge which is beyond their age or development age
- Sexual drawings or language
- Bedwetting
- Saying they have secrets they cannot tell anyone about
- Self harm or mutilation, sometimes leading to suicide attempts
- Eating problems such as overeating or anorexia

## NEGLECT

### Examples include

- Withholding help or support necessary to carry out daily living tasks
- Ignoring medical and physical care needs
- Failing to provide access to health, social or educational support
- The withholding of medication, nutrition and heating
- Keeping someone in isolation

### Signs include

- Constant hunger, sometimes stealing food from others
- Dirty or 'smelly'
- Loss of weight, or being constantly underweight
- Inappropriate dress for the weather
- Complaining of being tired all the time
- Not requesting medical assistance and/or failing to attend appointments
- Having few friends
- Worsening of health conditions
- Pressure sores

<ul style="list-style-type: none"> <li>• Failure to intervene in situations that are dangerous to the vulnerable person</li> <li>• Inadequate supervision and guidance – leaving the child to cope alone, abandoning them or leaving them with inappropriate carers and failing to provide appropriate boundaries about behaviours such as under age sex or alcohol</li> </ul>	<ul style="list-style-type: none"> <li>• Mentioning their being left alone or unsupervised</li> <li>• Sore or extreme nappy rash</li> <li>• Skin infections</li> <li>• Lack of response to stimuli or contact</li> <li>• Poor skin condition(s)</li> <li>• Frozen watchfulness</li> <li>• Anxiety</li> <li>• Distressed</li> <li>• Child moves away from parent under stress</li> <li>• Little or no distress when separated from primary carer</li> <li>• Inappropriate emotional responses</li> <li>• Language delay</li> </ul>
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<b>FINANCIAL ABUSE (Vulnerable Adults)</b>	
<b>Examples include</b>	<b>Signs include</b>
<ul style="list-style-type: none"> <li>• Being over charged for services</li> <li>• Being tricked into receiving goods or services that they do not want or need</li> <li>• Inappropriate use, exploitation, or misappropriation of property and/or utilities</li> <li>• Theft</li> <li>• Deception</li> <li>• Fraud</li> <li>• Exploitation or pressure in connection with wills</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of basic requirements e.g. food, clothes, shelter</li> <li>• Inability to pay bills</li> <li>• Unexplained withdrawals from accounts</li> <li>• Inconsistency between standard of living and income</li> <li>• Reluctance to take up assistance which is needed</li> <li>• Unusual interest by family and other people in the person's assets</li> <li>• Recent changes in deeds</li> <li>• Power of Attorney obtained when person lacks capacity to make the decision</li> </ul>

## DISCRIMINATORY

### Examples

- Use of inappropriate “nick names”
- Use of derogatory language or terminology
- Enforcing rules or procedures which undermine the individual’s well being
- Denial to follow one’s religion
- Lack of appropriate food
- Denial of opportunity to develop relationships
- Denial of health care

### Signs

- Being treated unequally from other users in terms of the provision of care, treatment or services
- Being isolated
- Derogatory language and attitude by carers
- Dismissive language by staff
- Hate campaigns by neighbours or others
- Deteriorating health
- Indicators of other forms of abuse

## INSTITUTIONAL ABUSE

### Examples

- Service users required to ‘fit in’ excessively to the routine of the service
- More than one individual is being neglected
- Everyone is treated in the same way
- Other forms of abuse on an institutional scale

### Signs

- Inflexible daily routines, for example: set bedtimes and/or deliberate waking
- Dirty clothing and bed linen
- Lack of personal clothing and possessions
- Inappropriate use of nursing and medical procedures
- Lack of individualised care plans and failure to comply with care plans
- Inappropriate use of power, control, restriction or confinement
- Failure to access health care, dentistry services etc
- Inappropriate use of medication.
- Misuse of residents’ finances or communal finances
- Dangerous moving and handling practices
- Failure to record incidents or concerns

## Other types of abuse

### Domestic Violence and Abuse

As of 1<sup>st</sup> March 2013, the Home Office definition of Domestic violence and abuse is:

***Any incident or pattern of incidents of controlling<sup>3</sup>, coercive<sup>4</sup> or threatening behaviour, violence or abuse between those aged 16 or over who are or have been intimate partners or family members regardless of gender or sexuality. This can encompass but is not limited to the following types of abuse; psychological, physical, sexual, financial and/or emotional***

Source: [www.homeoffice.gov.uk](http://www.homeoffice.gov.uk)

In all cases where there is knowledge or suspicion that there exists a **potential** for a child or children to be suffering harm as a result of domestic violence and abuse, then a referral should be made to Children's Social Care via the First Response Team (FRT) who act as the first point of contact for all referrals in relation to the welfare and safety of a child (See Appendix E).

Where it is thought that a victim of domestic violence and abuse meets the definition of a vulnerable adult, then an Adult Protection referral should be made.

### Forced Marriage

Forced marriage<sup>5</sup> is a marriage without the full and free consent of both parties. It is a form of domestic violence and an abuse of human rights. In an arranged marriage the family will take the lead in arranging the match but the couples have a choice as to whether to proceed. In forced marriage, one or both spouses do not (or, in the case of some disabled young people and some vulnerable adults, cannot) consent to the marriage and some element of duress is involved. Duress can include physical, psychological, sexual, financial and emotional pressure.

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<sup>3</sup> Controlling behaviour is: a range of acts designed to make a person subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour.

<sup>4</sup> Coercive behaviour is: an act or a pattern of acts of assault, threats, humiliation and intimidation or other abuse that is used to harm, punish, or frighten their victim.

<sup>5</sup> Research carried out by the then Department for Children, Schools and Families estimated that the national prevalence of reported cases of forced marriage in England was between 5,000 and 8,000, with the youngest victim being 2 years old and the oldest 76 years..



It is important to note that the Mental Capacity Act does **NOT** allow for consent to marry to be given on behalf of a person without capacity to make this decision for themselves.

## **Human Trafficking**

The organised crime of human trafficking into the UK has become an issue of considerable concern to all professionals with responsibility for the care and protection of children and adults. Any form of trafficking humans is an abuse.

Trafficking of persons means the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat of, or use of coercion, abduction, fraud, deception, abuse of power or of a position of vulnerability. It also includes the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation.

It is important to note that some cases involve UK-born people being trafficked within the UK, e.g. people being trafficked from one town to another. The consent of the victim of trafficking is irrelevant where any of the above methods have been used.

Trafficked people may be used for sexual exploitation, agricultural labour including tending plants in illegal cannabis farms and benefit fraud. Children as well as adults are trafficked.

If you have a concern regarding the possible trafficking of a person you should immediately contact the Designated Officer or make a referral direct to the appropriate team. Practitioners should not do anything which would heighten the risk of harm or abduction to the child or vulnerable adult.

## **Race and Racism**

People from black and minority groups (and their parents or carers) are potentially likely to have experienced harassment, racial discrimination and institutional racism. Although racism causes significant harm it is not, in itself, a category of abuse (unless the victim meets the definition of a vulnerable adult, in which case an appropriate referral should be made) and dealing with it is considered under other specific policies of the Council and the District Community Safety Partnership.

## **Hate Crime**

The Association of Chief Police Officers (ACPO) and the Crown Prosecution Service (CPS) have a nationally agreed definition of Hate Crime. Hate crimes are taken to mean any crime where the perpetrator's hostility or prejudice against an identifiable group of people is a factor in determining who is victimised. This is a broad and inclusive definition. A victim does not have to be a member of the group. In fact, anyone could be a victim of a hate crime.

The Crown Prosecution Service (CPS) and The Association of Chief Police Officers (ACPO) have agreed 5 monitored strands of hate crime as set out below.

A hate crime is any criminal offence that is motivated by hostility or prejudice based upon the victim's:

- disability
- race
- religion or belief
- sexual orientation
- transgender identity

Hate crime can take many forms including:

- physical attacks such as physical assault, damage to property, offensive graffiti and arson
- threat of attack including offensive letters, abusive or obscene telephone calls, groups hanging around to intimidate, and unfounded, malicious complaints
- verbal abuse, insults or harassment - taunting, offensive leaflets and posters, abusive gestures, dumping of rubbish outside homes or through letterboxes, and bullying at school or in the workplace.

If the victim of a Hate Crime meets the definition of a vulnerable adult, an Adult Protection referral should be made to the Contact Centre (See Appendix E).

## **2.4 Risks that increase the likelihood of abuse happening to Vulnerable Adults**

There are certain situations and factors that put vulnerable adults at particular risk of abuse. If one or more of these factors are present, it does not mean that abuse will occur but it will increase the risk:

- Isolation
- Living in the same household as an abuser
- A previous history of abuse
- The existence of financial problems
- A member of the household experiences emotional or social isolation
- Inappropriate physical or emotional environment e.g. lack of privacy and/ or personal space
- Where there has been a change of lifestyle e.g. illness, unemployment or employment
- Dependence on others for personal and practical care
- Where a person is dependent on other people to administer money or where several people manage their money
- Where the vulnerable person exhibits difficult and challenging behaviour
- The carer has difficulties such as debt, alcohol or mental health problems

- Poor leadership in care services
- Unmonitored provision of care e.g. where reviews or inspections do not take place
- Failure to comply with standard operating policies and procedures

### **Increased Risk to Vulnerable Children**

There are many issues that may contribute to child abuse, but some factors *increase* the risk to children and make them more vulnerable to abuse. They can be found in the background of parents, in the environmental situation and in attributes of the child themselves.

#### **Parental factors:**

- Parent has a mental illness
- Parent is abusing drugs or alcohol
- Parent has already abused a child
- Pregnancy was not wanted
- Parent has a background of abuse when growing up
- Young, unsupported mother often with low education
- Parents have unrealistic expectations of the child and lack parenting knowledge
- Parent is isolated and has little support
- Parent has a learning difficulty

#### **Environmental factors:**

- Overcrowding in the house
- Poverty or lack of opportunity to improve the family's resources
- Domestic violence is present
- A non biological adult (i.e. unrelated) living in the house
- Family is experiencing multiple stresses

#### **Child factors:**

- Baby is sickly, colicky or unwanted
- Child has a physical or developmental disability
- Child is the product of an abusive relationship
- Lack of attachment between child and parent
- Child resides in care, particularly residential
- Child is excluded from mainstream school
- Child uses drugs/ alcohol

It is possible to limit the situations where the abuse of children and vulnerable adults may occur, by promoting good practice to all staff and elected members (see Appendix F).

## 2.5 Responding to Disclosure, Suspicions and Allegations

Council employees/ elected members/ volunteers may come across cases of suspected abuse either through direct or indirect contact with children and vulnerable adults, for example, running a holiday activity, or for peripatetic staff visiting homes as part of their day to day work. It is not an employee's/ elected members/ volunteer's responsibility to decide whether or not a child or vulnerable adult has been abused. It is however their responsibility to act immediately on any such suspicions and report their concerns and to ensure any relevant information is passed to the appropriate team (See appendix B1 & B2).

### Responding to Disclosure

Abused children and vulnerable adults are more likely to disclose details of abuse to someone they trust and with whom they feel safe. By listening and taking seriously what the child or vulnerable adult is saying employees/ elected members/ volunteers are already helping the situation.

The following points are a guide to help employees respond appropriately:

Dos and Don'ts	
Dos	Don'ts
<ul style="list-style-type: none"> <li>• React calmly so as not to frighten the child or vulnerable adult</li> <li>• Take what the person says seriously, recognising the difficulties inherent in interpreting what is being said by a person who has for example a speech impairment and / or differences in language</li> <li>• Avoid asking leading or direct questions other than those seeking to clarify your understanding of what the person has said. They may be subsequently formally interviewed by the Police and/or Social Care Services and they should not have to repeat their account on several occasions. The first person told may become a witness at court if they have asked/gained direct relevant information.</li> <li>• Reassure the child or vulnerable adult that they are right to tell</li> </ul>	<ul style="list-style-type: none"> <li>• Dismiss the concern</li> <li>• Panic</li> <li>• Allow your shock or distaste to show</li> <li>• Probe for more information than is offered</li> <li>• Speculate or make assumptions</li> <li>• Make negative comments about the alleged abuser</li> <li>• Make promises or agree to keep secrets</li> <li>• Ask the child, young person, vulnerable adult or any witnesses to sign your written information as this may be significantly detrimental to any subsequent police investigation</li> <li>• Do not take photographs of any alleged injuries. Any such recording must only be done by an approved</li> </ul>

<ul style="list-style-type: none"> <li>• Explain to them that concerns may have to be shared with someone who is in a position to act</li> <li>• Make a written record of what has been disclosed at the earliest opportunity</li> </ul>	<p>medical or other practitioner, following referral.</p>
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## Responding to Child/Adult Protection and Safeguarding Concerns

It is the responsibility of the individual employee, elected member or volunteer to take a lead on reporting any concerns. If any employee, elected member or volunteer has any concerns regarding a child or vulnerable adult who they think is being abused it is important for them to act **immediately**. All child/adult protection and safeguarding concerns must be recorded on the initial concerns reporting form\* and the information shared with the appropriate Staffordshire County Council team and the Tamworth Borough Council's Designated Officer notified.

**Please see procedural flowchart located at Appendix B1 & B2.**

\*The initial concerns reporting form is available via the Intranet by clicking on word **Safeguarding** displayed at the top of the webpage, a hard copy is also available for staff that do not have access to a computer (See Appendix C).

**Where there is evidence of immediate harm then the employee should phone 999 and report the incident to the Police. Where there is any possibility that a criminal act may have been committed care should be taken not to take any action that may jeopardise any subsequent criminal investigation.**

- Where concerns relate to a child or young person advice must be sought from Staffordshire Children's Social Care's First Response Team based at the MASH on **0800 1313126 (between 8.00 am and 5.30 pm and 4.30 pm on a Friday)** or via a brief e-mail [first@staffordshire.gov.uk](mailto:first@staffordshire.gov.uk) with your contact details **(please note this should not include any confidential details about a child or young person) and explain the need for an urgent response due to a child protection concern).**
- To make an Adult Protection referral advice should be sought from the Contact Centre **0845 604 2719.**
- **Outside of 8.00 am and 5.30 pm** any concerns relating to a child or vulnerable adult should be directed to Staffordshire County Council **Emergency Duty Service on 0845 6042886.**
- Alternatively you can contact Staffordshire Police Central Referral Unit on **101**

## Consent

Whilst professionals should in general discuss any concerns with the child and family and where possible seek their agreement to making referrals to Staffordshire Children's Social Care Services, this should only be done where such discussion and agreement-seeking will not place the child or others at increased risk of suffering significant harm.

Consent is **not** required for child protection referrals; however you, as the referring professional, would need to inform parents or carers that you are making a referral as stated above, unless by alerting them you could be putting that child or others at risk.

Consent is not required for adult protection referrals; however it is good practice to gain consent if possible. If the vulnerable adult lacks capacity to make a decision to share the information for themselves, a decision can be taken in their best interests about whether this is appropriate.

The Tamworth Borough Council Designated Officer/ Deputy should also ensure that the employee reporting the incident is reassured that their concerns are being appropriately addressed and that they have access to staff support if needed.

NB: if the child lives outside Staffordshire but accesses services within Staffordshire, the referral must be made to the area in which the child resides.

The record should include:

- The date and time
- The child or vulnerable adult's name, address and date of birth
- The nature of the allegation
- A description of any visible injuries
- Observations - e.g. a description of the child or vulnerable adult's behaviour and physical and emotional state
- What the child or vulnerable adult said and what was said in reply. Please record this as accurately as possible, using their choice of language
- Any action taken as a result of the concerns being raised e.g. who was spoken to and resulting actions. Include names, addresses and telephone numbers
- Sign and date what has been recorded
- Store the information in accordance with relevant procedures, e.g. Data Protection
- Report to and inform your line manager and/or the Council's Designated Child and Vulnerable Adults Protection Officer.

## Responding to allegations against Staff and Volunteers

Detailed procedures and guidance relating to the management of allegations against people who work with children are contained within the following documents:

- Working Together to Safeguarding Children (2013) Chapter 2
- SSCB Inter-Agency Procedures: Section 4A

It is essential that any concerns for the welfare of a child arising from abuse or harassment by a member of staff or a volunteer should be reported **IMMEDIATELY** to the Designated Child Protection Officer **Jane Hackett** / or Deputy **Rob Mitchell** and the Head of Organisational Development **Christie Timms (See Appendix E)**.

If a child or children have suffered or are at risk of suffering significant harm the Designated Officer/ Deputy will contact First Response and speak to the Local Authority Designated Officer (LADO).

If the matter does not meet the threshold for significant harm the Designated Child Protection Officer/ Deputy will contact First Response and speak to the LADO within 24 hours

The LADO is a statutory role in relation to allegations against children<sup>6</sup>, they provide an 'Initial Discussion' which allows for the giving of advice and guidance relating to the most appropriate way of managing the allegation or concern, and most importantly will help establish what the 'next steps' should be in terms of investigating the matter further.

The LADO will help ensure that, where appropriate, specific activities are initiated (e.g. Child Protection/Police processes) and consideration is given to issues such as - notifying the child's parents/carers; suspending the adult; risks to other children; communication with relevant other organisations/bodies; supporting the adult and possible media interest. The LADO will also monitor the progress of an investigation and assist an employer in the taking of any difficult judgments about a person's suitability to remain in the children's workforce.

If the allegation is in respect of abuse or harassment of a vulnerable adult, the Designated Child and Vulnerable Adult Protection Officer will make a referral to the Contact Centre 0845 604 2719.

### Support for the Referrer

The Council will fully support and protect all elected members/ employees/volunteers who, in good faith (without malicious intent), make a referral about a colleague who may be abusing a child or vulnerable adult and report his or her concern about a colleague's practice.

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<sup>6</sup> As defined in Working Together 2013, Chapter 2, page 48

This support may take the form of counselling through the Council's service, moving the person reporting the abuse / potential abuse to another workplace temporarily whilst the incident is reported. The Council also has a whistle blowing procedure which a referrer can follow if there are reasons why the standard procedures for dealing with allegations make them feel particularly vulnerable, or if they consider their concerns are not being acted upon appropriately. However, all elected members/ employees/ volunteers have a duty to safeguard and promote the welfare of children and vulnerable adults and in order to investigate concerns robustly it may not be possible to maintain complete anonymity, but the interests of the referrer will be protected when concerns are raised.

### **Types of Investigation**

There may be a number of strands to a child or adult protection investigation e.g. professionals strategy meetings, child protection conferences and core groups, criminal investigations, joint evaluation meetings as well as disciplinary investigations. Elected members/ employees/ volunteers may need to be involved as witnesses, holders of key information, or in regard to ongoing processes around protection and welfare.

**Further guidance available at:**

<http://www.staffsscb.org.uk/>

<http://preview.staffordshirecares.info/StayingSafeintheCommunity/Stopabuseofadults.aspx>



## Guidance and Legislation

- [The Children Act 1989](#) – provides legislation to ensure that the welfare and developmental needs of children are met, including their need to be protected from harm. The welfare of the child is paramount.
- [The Children Act 2004](#) – Section 11 places a duty on all organisations to ensure that their functions are discharged with regard to the need to safeguard and promote the welfare of children. The Act offered the legislative framework for the implementation of the five Every Child Matters principles which are considered to be integral to achieving positive outcomes and life chances for all children and young people from birth into adulthood. These principles are:

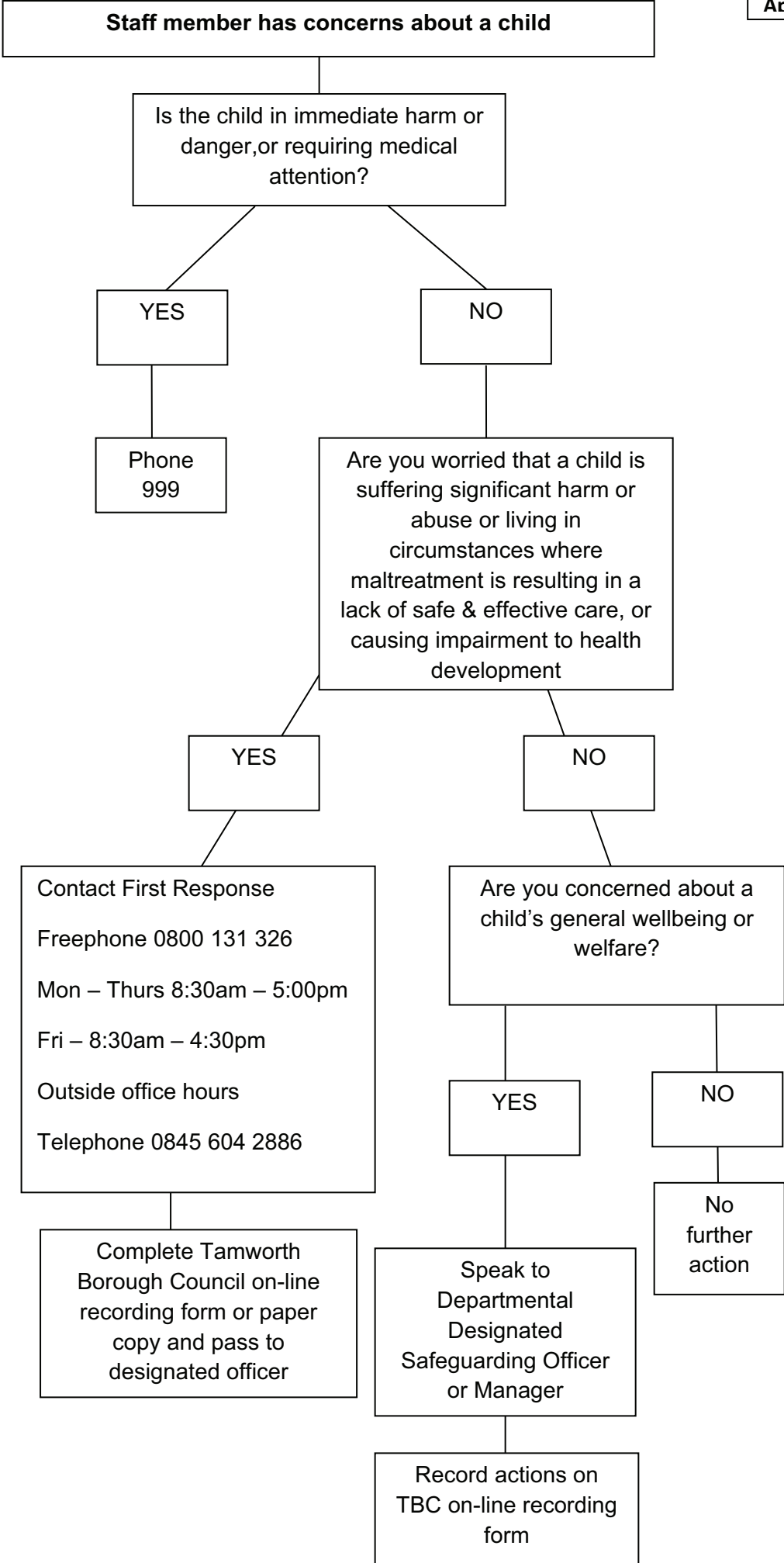
Be healthy  
Staying safe  
Enjoying and achieving  
Making a positive contribution  
Achieving economic wellbeing

- Working Together to Safeguard Children 2013, 2010, 2006, 1999 - This statutory guidance revised by the government in 2013 details the roles and responsibilities of all agencies with the aim of promoting effective working together to promote the welfare and safety of children. To view the 2013 Working Together to Safeguard Children statutory guidance please go to; [www.education.gov.uk](http://www.education.gov.uk)
- Inter-agency procedures for safeguarding children and promoting their welfare in Staffordshire are available on line at [www.staffsccb.org.uk](http://www.staffsccb.org.uk).
- The “No Secrets” guidance is available at: [http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH\\_4008486](http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_4008486)
- Care Standards Act 2000 – this Act details the statutory responsibility for all agencies to ensure the protection of vulnerable adults. In summary this Act –
  - establishes a new, independent regulatory body for social care and private and voluntary healthcare services (“care services”) in England to be known as the National Care Standards Commission;
  - provides for an arm of the National Assembly for Wales to be the regulatory body for such services in Wales;
  - establishes new, independent Councils to register social care workers, set standards in social care work and regulate the education and training of social workers in England and Wales;

- establishes an office of the Children’s Commissioner for Wales;
  - reforms the regulation of child minders and day care provision for young children;
  - provides for the Secretary of State to maintain a list of individuals who are considered unsuitable to work with vulnerable adults.
- The Mental Capacity Act provides a framework to empower and protect people who may lack capacity to make some decisions for themselves. The Act makes clear who can take decisions in which situations, and how they should go about this. Anyone who works with or cares for an adult who lacks capacity must comply with the MCA when making decisions or acting for that person. This applies whether decisions are life changing events or more every day matters and is relevant to adults of any age, regardless of when they lost capacity.

Interagency Procedures for Adult Protection in Staffordshire can be found at <http://preview.staffordshirecares.info/StayingSafeintheCommunity/Stopabuseofadults.aspx>

There is a wide range of associated legislation and guidance available, see the Office of Public Sector Information for more information ([www.opsi.gov.uk](http://www.opsi.gov.uk))



Staff member has a concern about a vulnerable adult?

Is the vulnerable adult in immediate harm or danger, or requiring medical attention?

YES

NO

Phone 999

Has the vulnerable adult been abused or come to harm as a result of an intentional or unintentional act or a failure to act?

YES

NO

Make an Adult Protection Referral immediately on  
0845 604 2719  
Mon – Thurs 8:30am – 5:00pm  
Fri – 8:30am – 4:30pm  
Outside office hours  
Telephone 0845 604 2886

Are you concerned about a vulnerable adult's general wellbeing or welfare?

YES

NO

No further action

Complete Tamworth Borough Council on-line recording form or paper copy and pass to designated officer

Speak to Departmental Designated Officer or Manager

Record actions on TBC on-line recording form

Confidential

**Child and Vulnerable Adult Safeguarding – Initial Concerns Form**

To be given to designated child and vulnerable adult protection officer

**ABOUT YOU**

Your Name	
Job Title	
Contact Tel No.	
E-mail Address	
Date concern raised	
Time concern raised	

**ABOUT THE CHILD/VULNERABLE ADULT**

Name of child / vulnerable adult you have concerns about	
Address of child/vulnerable adult you have concerns about	
Date of Birth of child/vulnerable adult (if known)	
Name of parent or carer responsible for child /vulnerable adult (if known)	

**NATURE OF YOUR CONCERN**

(please include as much detail as possible)

**ACTION YOU HAVE TAKEN**

<b><u>Details of what you have done with the concern</u></b>  e.g. passed concerns on to Police, passed to First Response, passed to Designated Officer ...	
<b>Reference Number if applicable</b>	

**To be completed by Tamworth Borough Council's Designated Child & Vulnerable Adult Protection Officer**

<b>Designated Child Protection Officer's name</b>	
<b>Date concern received</b>	
<b>Time concern received</b>	
<b><u>Action you have taken</u></b>	
<b>Reference Number if applicable</b>	
<b>Has the Multi Agency Referral Form been completed</b>  <a href="http://www.staffsscb.org.uk/professionals/procedures/">http://www.staffsscb.org.uk/professionals/procedures/.</a>	

## Roles and responsibilities within the Council

### Designated Child and Vulnerable Adult Protection Officer

For the Council the Designated Child and Vulnerable Adult Protection Officer is the Solicitor to the Council & Monitoring Officer - **Jane Hackett**.

It is their responsibility to:

- Receive information from staff, volunteers and children who have concerns, and record them.
- Be the delegated liaison on behalf of the Council for any formal investigations into allegations of abuse undertaken by the police and / or Staffordshire's Children's Social Care Service (CSC).
- Receive the appropriate child protection and vulnerable adults protection training.

In the absence of the Designated Child and Vulnerable Adult Protection Officer queries should be forwarded to the Deputy Child and Vulnerable Adult Protection Officer the Director for Communities, Planning and Partnerships - **Rob Mitchell** or one of the departmental safeguarding officers:

Housing & Health - **Lee Birch/ Lisa Hall**

Communities, Planning & Partnerships - **Stephanie Ivey**

Assets & Environment - **Jo Sands**

Queries can also be raised directly with Staffordshire's CSC First Response Team or the Vulnerable Adult Protection Team (see appendix E for contact details).

### The Director, Communities, Planning & Partnerships

The Director (or a delegated Deputy) is responsible for:

- Ensuring Policy documents and procedures are up to date and in line with best practice as defined under the "No secrets" documentation and other legislative and statutory guidance.
- Ensuring that all of their employees (including volunteers, contractors, agents and other partner representatives) are aware of this policy and understand how to comply with this procedure.
- Working with responsible bodies to implement and promote a partnership approach to working together to protect children and vulnerable adults in all areas of the community.

### Head of Organisational Development

The Head of Organisational Development is responsible for ensuring:

- Appropriate procedures are in place to carry out pre-employment checks for all employees and volunteers working with the Council who have contact

with children and / or vulnerable adults in carrying out their duties, including robust reference and Disclosure and Barring Service (DBS) checks.

- Will ensure that DBS checks are renewed every three years in accordance with DBS policy.
- Will ensure that DBS checks and employee references are kept secure and confidential in compliance with the DBS Code of Practice.
- Will maintain a record of all employees and volunteers that have completed a DBS check and are considered to be suitable for working with children, young people and vulnerable adults.
- Training is in place for all staff who fall into the definition of level 1 (basic) or level 2 (specialist / intermediate) and any additional specialist training as part of the corporate training plans for induction and on-going training, and that adequate budget is in place to fund training for those staff who require it as a part of their role.
- Appropriate support is provided for any employee that reports a concern in good faith, even if these concerns are subsequently proven to be unfounded.

#### **Departmental Children and Vulnerable Adult Protection Officers**

- Staff can seek advice or raise concerns with their Departmental Children & Vulnerable Adult (C&VA) Protection Officer.
- The Departmental C&VA Officer must ensure that the concern is recorded on the system and if considered a safeguarding issue referred to Staffordshire's Children's Social Care Services First Response Service or in the case of a vulnerable adult Staffordshire's Social Care and Health Service / Team.

#### **All Employees and Members**

- Should not begin any regulated activity involving direct access to children, young people or vulnerable adults prior to the Council receiving a satisfactory DBS check in accordance with DBS policy.
- Should be aware of this policy and procedure and of any local or national related policies / procedures that are applicable for their service area, as part of their induction programme.
- Need to attend mandatory child protection and vulnerable adults training if applicable to their employment role and responsibilities (i.e. if they have direct or some form of indirect contact with children / young people / vulnerable adults).
- Should be aware of appropriate and inappropriate behaviour for employees who are working with children, young people and vulnerable adults.
- Need to know who their Designated Child Protection Officer is.
- Have an expected responsibility to take action when they have concerns, witness or hold information that relates to the abuse of a child, young person or vulnerable adult.



## Contact Information

### Tamworth Borough Council's Designated Child and Vulnerable Adult Protection Officer is the Council's Monitoring Officer

Jane Hackett **01827 709258**

### Deputy Child Protection Officer

Director (Communities, Planning and Partnerships)

Rob Mitchell **01827 709616**

### Departmental Designated Child and Vulnerable Adult Protection Officers: Housing Services

Lee Birch **01827 709474**

Lisa Hall **01827 709507**

### Communities, Planning & Partnerships

Stephanie Ivey **01827 709381**

### Assets and Environment

Jo Sands **01827 709585**

### Head of Organisational Development

Christie Timms **01827 709215**

### Staffordshire County Council Children's Social Care Services

**First Response Team:** For all child protection issues contact:

- First Response Team based at the MASH on **0800 1313126 (between 8.30 am and 5.30 pm and 4.30 pm on a Friday)** or via a brief e-mail [firstr@staffordshire.gov.uk](mailto:firstr@staffordshire.gov.uk) with your contact details (**please note this should not include any confidential details about a child or young person**) and explain the need for an urgent response due to a child protection concern.
- To make an Adult Protection referral advice should be sought from the Contact Centre **0845 604 2719**.
- **Outside of office hours** any concerns relating to a child or vulnerable adult should be directed to Staffordshire County Council **Emergency Duty Service on 0845 6042886**.
- Alternatively you can contact Staffordshire Police Central Referral Unit on **101** or dial **999 in an emergency**.

## Promoting Good Practice with Children and Vulnerable Adults

### Code of Conduct for the Protection of Children and Vulnerable Adults

It is possible to limit the situations where the abuse of children and vulnerable adults may occur, by promoting good practice to all staff, elected members and volunteers.

This code of conduct details the type of practice required by all employees, elected members and volunteers when in contact with children or vulnerable adults. Suspicions or allegations of non-compliance of the Code by a member of staff will be dealt with through the Council's Disciplinary Procedure.

**Tamworth Borough Council** supports and requires the following good practice by employees, members and volunteers when in contact with children and vulnerable adults.

When working with children and vulnerable adults all parties should:

- Adhere to the children, young people and vulnerable adult's policy at all times
- Treat all children and vulnerable adults equally, with respect and dignity
- Be an excellent role model including not smoking or drinking alcohol in the company of children and vulnerable adults
- Ensure that personal care is delivered in a dignified manner that meets the needs of the individual
- Involve parents, guardians and carers wherever possible
- Build balanced relationships on mutual trust that empower children and vulnerable adults to share in the decision making process

Employees shall work to the organisation's policies and procedures, including for example:

- Safeguarding Children and Vulnerable Adults Protection policy
- Code of Conduct
- Whistle blowing

## Social Networking Sites

Due to the increasing personal use of social networking sites, staff, members and volunteers within the workforce should be aware of the impact of their personal use upon their professional position. Guidance on the personal use of social networking sites for adults involved in services for children, young people and vulnerable adults is available at appendix J.

## First Aid and Treatment of Injuries

If a child or vulnerable adult requires first aid or any form of medical attention whilst in the care of an employee, then the following good practice should be followed:

- Be aware of any pre-existing medical conditions, medicines being taken by participants or existing injuries and treatment required
- Keep a written record of any injury that occurs, along with the details of any treatment given
- Where possible, ensure access to medical advice and / or assistance is available
- Only those with a current, recognised First Aid qualification should respond to any injuries
- Where possible any course of action should be discussed with the child/vulnerable adult, in language that they understand, and their permission sought before any action is taken
- In more serious cases, assistance must be obtained from a medically qualified professional as soon as possible
- The child's or vulnerable adult's parents/guardians or carers must be informed of any injury and any action taken as soon as possible, unless it is in the child's or vulnerable adult's interests and on professional advice not to do so
- A notification of accident form must be completed and signed and passed to the Health and Safety Officer.

## For Transporting Children and Vulnerable Adults Away From Home

If it is necessary to provide transport to take children or vulnerable adults away from home or school the following good practice must be followed:

- Where practical request written parental/guardian consent if members of staff are required to transport children or vulnerable adults
- Always tell another member of staff that a child or vulnerable adult is being transported, giving details of the route and the anticipated length of the journey
- Never transport a child or vulnerable adult unaccompanied, other than in exceptional circumstances. Plan pick ups and drop offs to minimise the risk of being alone with a child or vulnerable adult
- Ensure all vehicles are correctly insured and well maintained
- Ensure drivers hold current, appropriate driving licenses, and have undergone training as appropriate (e.g. minibus driving, use of wheelchair hoist)
- All reasonable safety measures must be taken, e.g. children in the back seat behind the driver, seatbelts worn and booster seats in place
- Ensure where possible at least one male and one female accompany mixed groups of children or vulnerable adults. These adults should be familiar with and agree to abide by the Council's Child and Vulnerable Adult Protection Policy and Procedures
- Always plan and prepare a detailed programme of activities and ensure copies are available for other staff and parents/guardians

### **Use of Contractors**

Contractors must comply with the principles set out in:

- The Safeguarding Vulnerable Groups Act 2006 as amended by the Protection of Freedoms Act 2012
- The Department for Education 'Revised guidance on safeguarding children and safer recruitment in education (2010)
- Disclosure and Barring Service (DBS) Checks: Policy and Guidance for service providers and CQC staff (July 2011)

**Tamworth Borough Council** and its employees, elected members and volunteers should undertake reasonable care that contractors doing work on behalf of the Council are monitored appropriately. Service Level Agreements or contracts in place for these contractors should therefore specify this requirement.

Any contractor or sub-contractor engaged by the Council in areas where workers are likely to come into contact with children or vulnerable adults<sup>7</sup> and take part in 'regulated activity'<sup>8</sup> (as defined within the new definition with effect from September 2012) must have an appropriate DBS checks in place. Additionally they must have their own equivalent Children and Vulnerable Adult Protection Policy, or failing this, must confirm in writing to the relevant departmental manager that they have read and understood and are willing to comply with the terms of this policy and associated procedures.

There are five types of check that are available. Further guidance is provided on the DBS website ([www.gov.uk/disclosure-barring-service](http://www.gov.uk/disclosure-barring-service)) to enable employers to establish, which, if any, level of check is required. The checks that are available are:

1. **Enhanced Check for Regulated Activity (Children)** - used when someone is undertaking regulated activity relating to children. This check involves a check of the police national computer, police information and the children's barred list.
2. **Enhanced Check for Regulated Activity (Adults)** - used when someone is undertaking regulated activity relating to adults. This check involves a check of the police national computer, police information and the adults barred list.
3. **Enhanced Check for Regulated Activity (Children and Adults)** - used when someone is undertaking regulated activity relating to both children and adults. This check involves a check of the police national computer, police information and the children's and adults barred list.
4. **Enhanced DBS Check** - used where someone meets the pre September 2012 definition of regulated activity. This level of check involves a check of the police national computer and police information.
5. **Standard DBS Check** - used primarily for people entering certain professions such as: members of the legal and accountancy professions. Standard DBS checks just involve a check of the police national computer and do not include a check of police information or the children's or adults barred lists.

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<sup>7</sup> The DBS definition of regulated activity relating to **adults** no longer labels adults as 'vulnerable'. Instead the definition identifies the **activities** which, if any requires them, lead to that adult being considered vulnerable at that particular time. This means that the focus is on the activities required by the adult and not on the setting in which the activity is received, nor on the personal characteristics or circumstances of the adult receiving the activities. There is no longer a requirement for a person to do the activities a certain number of times before they are engaging in regulated activity. Further guidance is on the DBS website: [www.gov.uk/disclosure-barring-service](http://www.gov.uk/disclosure-barring-service)

<sup>8</sup> The full definition of regulated activity is set out in Schedule 4 of the Safeguarding Vulnerable Groups Act 2006, as amended (in particular, by the Protection of Freedoms Act 2012). Further information can be found at: [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/143666/eligibility-guidance.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/143666/eligibility-guidance.pdf)

Where there is potential for contact with children or vulnerable adults it is the responsibility of the manager who is using the services of the contractor (the Client) to check that the correct Disclosure and Barring Service (DBS) check has been satisfactorily completed.

## **Guidelines on Children and Vulnerable Adults in Publications and on the Internet**

Websites and publications provide excellent opportunities to publicise achievements of individuals and provide a showcase for the activities of children and vulnerable adults. In some cases, however, displaying certain information about children and vulnerable adults could place them at risk.

The following procedure must be followed to ensure the Council's publications and information on the internet does not place children or vulnerable adults at risk.

- Publications or information on an internet site must never include personal information that could identify the child or vulnerable adult. Any contact information must be directed to the Council or another relevant organisation.
- Before publishing any information about a child or vulnerable adult, written consent must be obtained from the child or vulnerable adult's parent / guardian. If the material is changed from the time of consent, the parents/guardians must be informed and consent provided for the changes (See Appendix I(i)).
- The content of photographs or videos must not depict a child or vulnerable adult in provocative pose or in a state of partial undress. Children and vulnerable adults must never be portrayed in a demeaning or tasteless manner.
- For photographs or videos of groups or teams of children or vulnerable adults ensure that only the group or team is referred to not individual members. Credit for achievements by an individual child or vulnerable adult are to be restricted to first names only.
- All published events involving children or vulnerable adults must be reviewed to ensure the information will not put children or vulnerable adults at risk. Any publications of specific meetings or child/vulnerable adult events e.g. team coaching sessions, must not be distributed to any individuals other than to those directly concerned.
- Particular care must be taken when publishing photographs, film or videos of children or vulnerable adults who are considered particularly vulnerable e.g. the subject of a child or vulnerable adult protection issue or a custody dispute.

Important Note: Any concerns or enquiries about publications or internet information should be reported to the Council's Communications and Public Relations Team.

## **Guidelines on Use of Photography, Videoing and Filming of Children and Vulnerable Adults - (Including Mobile Phone Technology)**

There is evidence that some individuals have used public events as an opportunity to take inappropriate photographs or film footage of children. The following best practice is to be adopted to protect children and vulnerable adults who are being photographed or videoed.

- When commissioning professional photographers or inviting the press to cover Council services, events and activities organisers must ensure that they make expectations clear in relation to child and vulnerable adult protection.
- Organisers must check the credentials of any photographers and organisations used.
- Where possible the consent of the parent/guardian for photographing, videoing and / or filming of a child or vulnerable adult must be obtained prior to the event or activity.
- Where possible anyone wishing to use photographic/film/video equipment at a venue must obtain the approval of the Council.
- An activity or event specific identification badge/sticker must be provided and clearly displayed at all times by the accredited photographers, film and video operators on the day of the activity or event.
- Unsupervised access must not be allowed to children or vulnerable adults or one to one photographic sessions.
- Do not allow photographic sessions outside of the activities or services, or at a child or vulnerable adult's home.
- It is recommended that the names of children or vulnerable adults should not be used in photographs or video footage, unless with the express permission of the child or vulnerable adult's parent or guardian.
- The Council reserves the right at all times to prohibit the use of photography, film or video at any event or activity with which it is associated.
- The specific details concerning photographic/video and filming equipment should, where possible, be published prominently in event programmes and must be announced over the public address system prior to the start of an event. The recommended wording is,

***“In line with the recommendation in the Councils Safeguarding Children and Vulnerable Adult Policy, the promoters of the event request that any person wishing to engage in any video, zoom or close range photography***

***should register their details with staff at the spectator's entry desk before carrying out any such photography. The promoter reserves the right to decline entry to any person unable to meet or abide by the promoter's conditions."***

Any concerns with photographers or video or film operators are to be reported to the Council's Designated Child and Vulnerable Adult Protection Officer and where relevant, the Police.

### **Parents/Carers use of Photographic and Filming Equipment at Events**

It is good practice to inform parents/carers of our expectations of them using their own photographic/filming equipment at events organised by the Council.

- Parents/carers and spectators should register with the organiser their intent to use zoom, close range photography or filming equipment at an event.
- Children, vulnerable adults and parents/carers should be informed that if they have concerns they can report these to the organiser.
- Concerns regarding inappropriate or intrusive photography or filming should be reported to the organiser, or senior member of staff present. It is their responsibility to record the incident on the initial reporting a concern form and pass on to the Child and Vulnerable Adult Protection officer to take appropriate action.

An example of wording to be displayed at an event or on publicity material prior to the event should follow the lines of:

***"In line with Tamworth Borough Council's Safeguarding Children and Vulnerable Adults Protection Policy, any person wishing to engage in zoom, close range photography or filming, should register their intent with the event/activity organiser, prior to carrying out any such photography or filming. The organiser reserves the right to refuse any such photography or filming if there are concerns or complaints about its appropriateness"***

An example form for use at Events and taking photographs, video material is given at Appendix I(ii).



## Best Practice in the recruitment of staff and volunteers

### Pre-recruitment

If any form of advertising is used to recruit staff and volunteers, it should reflect:

- The responsibilities of the role.
- The level of experience or qualifications required (e.g. experience of working with children is an advantage)
- The Council's open and positive stance on children and vulnerable adult protection.
- The use of the Disclosure and Barring Service procedures to promote safe recruitment and selection processes.

### Applicant Information

All applicants, whether for paid or voluntary, full or part-time positions, should complete an application form which should elicit the following information:

- Name, address and National Insurance Number.
- Past career, relevant interests, any gaps in employment and reasons for leaving.
- Relevant experience, educational qualifications, job specific qualifications and training.
- Any criminal record.
- The names of at least two people (not relatives) willing to provide written references that comment on the applicant's previous experience of , and suitability for, working with children or vulnerable adults where it is a requirement of the job or volunteering role,
- And a willingness to assist in the completion of a DBS check

### Checks and References

Staff and volunteers recruited to work in services for children and vulnerable adults must be checked for any possible irregularities (or issues), which may give reason for concern.

A minimum of two references should be taken up, one of which must be the previous employer and if available, at least one should be associated with former work with children or vulnerable adults. References should include the applicant's suitability to work with children or vulnerable adults where it is a requirement of the job (See Appendix H). Where references are given verbally, they must follow a prescribed format and a written record kept.

In accordance with guidance from the Disclosure and Barring Service (DBS) all posts that have direct contact with children and vulnerable adults will require an Enhanced DBS check. These checks will be completed by the Human Resources Team.

If a DBS check highlights an unspent conviction a risk assessment will be carried out to assess the suitability of the applicant to work with children or vulnerable adults. This will be carried out by the line manager and Human Resources Officer.

### **Interview**

Interviews are carried out in line with the Council's Recruitment and Selection procedures. The interview is likely to include questions on how to deal with children and vulnerable adult protection issues. Questions will assess competencies around:

- Forming appropriate relationships
- Acting in an appropriate way to protect the safety of individuals
- Behavioural cues and signs

### **Induction and Training**

Checks are only part of the process to protect children and vulnerable adults from possible abuse. Appropriate training will enable individuals to recognise their responsibilities with regard to their own good practice and the reporting of suspected poor practice/concern of possible abuse. It is important that the recruitment and selection process is followed by relevant inductions and training in order to further protect children and vulnerable adults from possible abuse.

The induction and training should include:

- An assessment of the training needs required carried out by the local manager.
- Clarification, agreement and signing up to the Council's Code of Conduct for Employees.
- Clarification, agreement and signing up to the Council's Safeguarding Children and Vulnerable Adult Policy and Procedure (See Appendix J).
- Clarification of the expectations, roles and responsibilities of the job or volunteering role.

- As a minimum the Council expects all staff who have contact with children, young people or vulnerable adults to have undergone formal children and or vulnerable adult training related to their job within 6 months of commencement of employment with the Council. Refresher training will be required every 3 years. This is the responsibility of line managers in services where children and/or vulnerable adults are clients/customers.

### **Probation, Monitoring and Appraisal**

All newly appointed members of staff undergo an agreed period of probation on commencement of their role.

All members of staff who have contact with children and vulnerable adults will be monitored and their performance appraised. This will give an opportunity to evaluate progress, set new goals, identify training needs and address any issues of poor practice. Line managers should be sensitive to any concerns about poor practice and act on them at an early stage. They should also offer appropriate support to those who report concerns/complaints.

Particular care must be taken to monitor casual and agency staff, whose less frequent employment reduces the opportunities for regular supervision and training and who may therefore be less familiar with policies and procedures.

It is the responsibility of line managers to monitor good practice. This can be done in a number of ways:

- Direct observation of the activity or service
- Staff appraisals, mentoring and providing feedback on performance
- Children's and adults' feedback on the activities or services

### **Rehabilitation of Offenders**

**Tamworth Borough Council** is committed to the fair treatment of its employees (both paid and voluntary), potential staff or users of its service, regardless of race, gender, religion, sexual orientation, responsibilities for dependants, age, physical/mental disability or offending background.

Having a criminal record will not necessarily bar someone from working or volunteering with the Council. This will depend on the nature of the position, the nature of the offence, how long ago and at what age the offence was committed and any factors which may be relevant.

Failure to declare a conviction, caution or pending police action, will disqualify the applicant from appointment or result in summary dismissal if the discrepancy comes to light.

**Safeguarding Reference Check**

Applicants Name: \_\_\_\_\_

Post Applied for: \_\_\_\_\_

Referees Name \_\_\_\_\_ Position \_\_\_\_\_

Please complete the following questions in relation to the above persons suitability to work with \*children / vulnerable adults.

The above named person worked with \*children / vulnerable adults in the following context:

#

Please provide details of any disciplinary procedures the applicant has been subject to involving issues related to the safety and welfare of children or vulnerable adults, including any in which the disciplinary sanction has expired, and the outcome of those:

#

Please provide details of any allegations or concerns that have been raised about the applicant that relate to the safety and welfare of children or vulnerable adults or behaviour towards children or vulnerable adults, and the outcome of those concerns e.g. whether the allegations or concerns were investigated, the conclusion reached, and how the matter was resolved:

#

I am satisfied that the above named person is suitable to work with \*children/ vulnerable adults

**\*yes/no**

If no, please give specific details of your concerns and the reasons you believe the above named person might be unsuitable

#

I understand that I have a responsibility to ensure that the above information is accurate and does not contain any material misstatement or omission; and relevant factual content of the reference may be discussed with the applicant.

Signature.....Date.....

\* delete as appropriate

# please attach a separate sheet if necessary

**Example Consent Form**

**All information will be treated in strict confidence**

Please use block capitals and print clearly

<b>Event/Activity:</b>	<b>Date:</b>
<b>Name of child:</b>	<b>Date of birth:</b>
<b>Home address:</b>	
<b>Home telephone No:</b>	<b>Mobile telephone No:</b>
<b>Medical conditions (if any) e.g. asthma, diabetes, allergies:</b>	

I confirm that my son/daughter is in good health and I give consent / do not consent for my son/daughter to participate in the above event/activity.

I consent / do not consent to any emergency treatment required by my son/daughter during the course of the event/activity

I give / do not give consent for my son/daughter to be photographed during the course of the above event/activity and I consent to the photographs being used by Tamworth Borough Council for bona fide promotional purposes. This also includes the use on the World Wide Web (internet).

The information you provide will be used in accordance with the Data Protection Act 1998, to ensure the safety of all participants and may be shared with other people/organisations involved in the delivery of the above event/activity, if appropriate. By signing this form you are consenting to the Council using the information, which you have supplied in the manner stated above.

Name of Parent/Guardian:

.....

Signature:..... Date: .....

**Consent Form for the use of Cameras and other Image Recorders**

<b>Event you would like to take photographs at</b>	
<b>Reason for taking photographs:</b>	
<b>Name of company (if taking photographs in a professional capacity)</b>	
<b>Full name and address of person taking photographs:</b>	
<b>Tel No:</b> <b>Mobile Tel No.</b> <b>E-mail Address</b> <b>Date of Birth ...../...../.....</b>	
<b>Relationship of the photographer and subject(s)</b>	
<b>Reason for taking photographs and/or uses the images are being, or are intended to be put to (i.e. family record/advertising etc)</b>	

I declare that the information provided is true and correct and that images will only be used for the purposes stated.

Signed.....

Date .....

Authorised by:.....

Date:.....

Position held:.....

Under the Data Protection Act 1998 the information that you have provided will be used only for the purposes contained within our Registration Document which is publicly available from Tamworth Borough Council or the Information Commissioners Office, [www.ico.gov.uk](http://www.ico.gov.uk).

## Safeguarding yourself

### Guidance on the personal use of social networking sites for adults involved in services for children, young people and vulnerable adults

Due to the increasing personal use of social networking sites, staff and volunteers within the workforce should be aware of the impact of their personal use upon their professional position.

In practice, anything posted on the internet will be there forever and is no longer in your control. Remember when something is on the internet even if you remove it, it may have already been “snapshotted” by a “web crawler” and so will always be there. Current and future employers and service users may see this. Keep all professional work completely separate from your private life.

The following guidance, in addition to the above, will safeguard adults from allegations and protect an individual’s privacy as well as safeguard vulnerable groups.

Failure to comply with the following may result in organisations taking disciplinary action.

- Social networking sites such as facebook have a range of privacy settings which are often set up to ‘expose’ your details to anyone. When ‘open’ anyone can find you from a search of the social networking site or even from a Google search. Therefore, it is important to change your setting to ‘just friends’ so that your details, comments, photographs can only be seen by your invited friends. Check settings regularly to ensure they have not changed during updates to sites such as facebook
- Have a neutral picture of yourself as your profile image
- Do not post embarrassing material or comments that may call into question your employment status
- Do not accept friendship requests unless you know the person or want to accept them - be prepared for being bombarded with friendship requests from people you do not know
- Do not make friendship requests with service users
- Choose your social networking friends carefully and ask about their privacy controls
- Do not accept friendship requests on social networking or messaging sites from students, pupils, young people (or their parents) or service users that you work with. For those working with young people remember that ex pupils may still have friends that you may have contact with through your work



- Exercise caution. For example, if you write on a friend's 'wall' on Facebook all of their friends can see your comment even if they are not your friend
- There is a separate privacy setting for Facebook groups and networks. You may have your own profile set to private, however, when joining a group or a network please be aware that everyone in that group or network is able to see your profile
- If you have younger friends or family members on your social networking groups who are friends with students, pupils, young people (or their parents) or service users that you work with, be aware that posts you write will be visible to them
- Do not use your personal or professional details (email or telephone) as part of your profile
- If you or a friend are tagged in an online photo album (Facebook, Flickr) the whole photo album may be visible to their friends, your friends and anyone else tagged in the photo album
- You do not have to be friends with anyone to be tagged in their photo album, if you are tagged in a photo you can remove the tag but not the photo
- You should be aware of the privacy settings on photo sharing websites
- Your friends may take and post photos that you may not be happy about. You need to speak to them first to request that it is removed rather than contacting the web provider. If you are over the age of 18, the website will only look into issues that contravene their terms and conditions
- Do not use your personal profile in any way for official business. If you are going to be a friend of your organisation's official social networking group ensure you have a separate professional profile

If you have difficulty in implementing any of this guidance contact the designated safeguarding officer.

For further information contact:

**Staffordshire Safeguarding Children Board - <http://www.staffscsb.org.uk//>**

**Staffordshire Safeguarding Vulnerable Adults Board -**

**<http://preview.staffordshirecares.info/StayingSafeintheCommunity/Stopabuseofadults.aspx>**

**Tamworth Borough Council would like to thank Dudley Safeguarding Children board for sharing their guidance document.**

**Declaration**

Tamworth Borough Council is fully committed to safeguarding the wellbeing of children and vulnerable adults by protecting them, from neglect, physical, sexual, emotional and financial harm.

Working as an employee or volunteer of Tamworth Borough Council or as an elected member it is important that you have taken time to thoroughly read this Children and Vulnerable Adult Protection Policy and Procedures.

By being made aware of the policy it is our intention to ensure that all are proactive in providing a safe and secure environment for the children and vulnerable adults in our care.

Declaration:

I have read and understood Tamworth Borough Council’s Children and Vulnerable Adults Protection Policy and Procedures and I accept the principles therein.

Signed: .....

Date: .....

Name (Please print):

.....

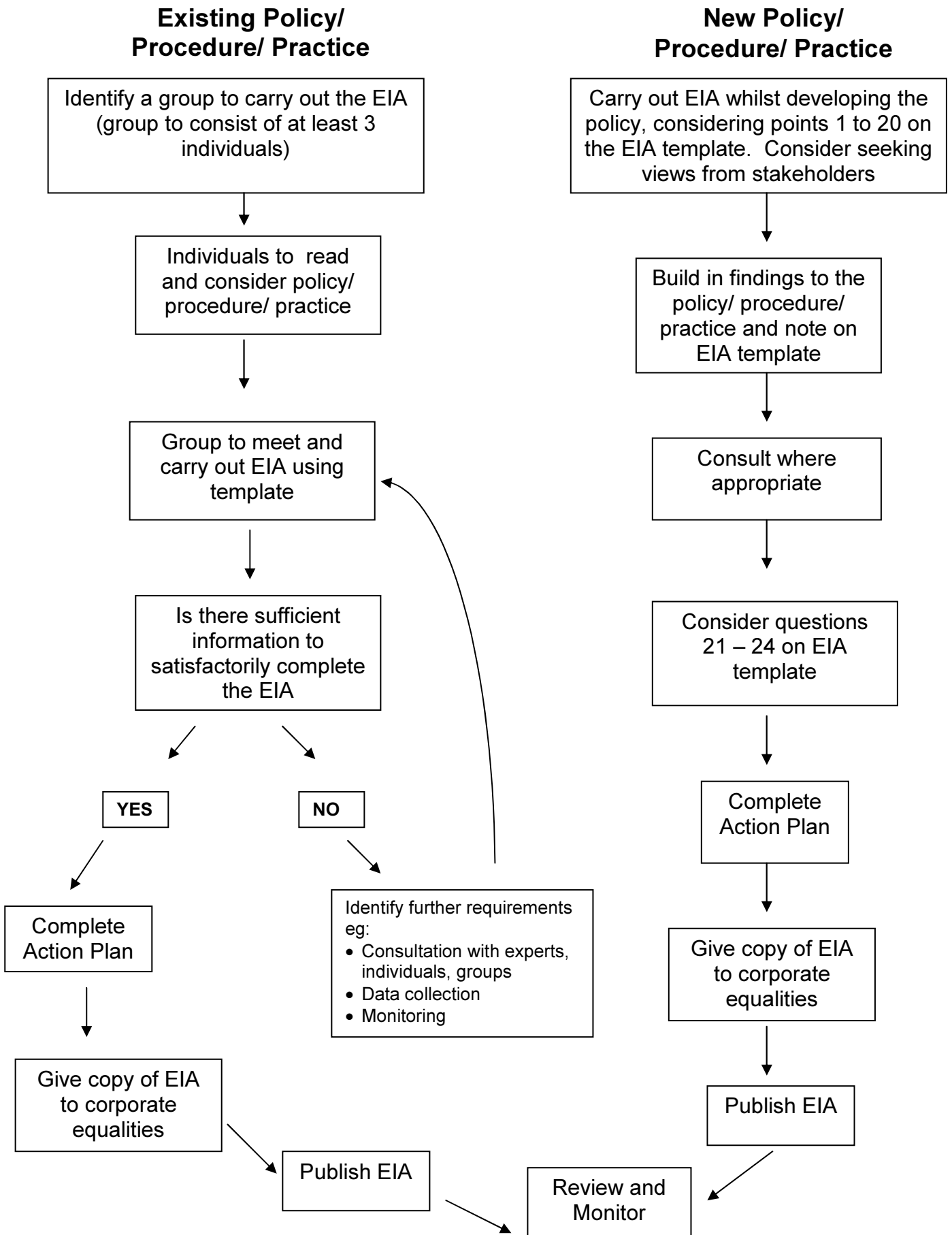
Position in organisation:

.....



# **Equality Impact Assessment Toolkit**

# Equality Impact Assessment Procedure



# Equality Impact Assessment Template

<b>Name of policy/ procedure/ practice to be assessed</b>	<b>Safeguarding Children &amp; Vulnerable Adults Protection Policy</b>		<b>Date of Assessment</b>	<b>15th August 2011</b>	
<b>Is this a new or existing policy/ procedure/ practice?</b>	<b>Revised Policy</b>	<b>Officer responsible for the Assessment</b>	<b>Stephanie Ivey</b>	<b>Department</b>	<b>Communities, Planning &amp; Partnerships</b>
<b>1. Briefly describe the aims, objectives and purpose of the policy/ procedure/ practice?</b>	<p>Tamworth Borough Council has both a legal and moral duty to protect vulnerable children and adults from harm. The Children's Acts 1989 and 2004 along with the associated statutory guidance set out our legal responsibilities for protecting children. The policy provides clear definitions of what constitutes abuse and the procedure that staff/members should follow if they have concerns about the welfare of a child or vulnerable adult.</p>				
<b>2. Are there any associated policy/ procedure/ practice which should be considered whilst carrying out this equality impact assessment?</b>	<p>Information Sharing Protocol, Acceptable Use Policy, Whistleblowing Policy</p>				
<b>3. Who is intended to benefit from this policy/ procedure/ practice and in what way?</b>	<p>Service users, our staff, partner agencies, stakeholders and the wider community.</p>				
<b>4. What are the desired outcomes from this policy/ procedure/ practice?</b>	<p>This Safeguarding Children &amp; Vulnerable Adult Protection policy is an overarching statement of the Council's commitment to protect those children and vulnerable adults who have been identified as being 'at risk' of harm being referred to the appropriate services to protect them.</p>				
<b>5. What factors/ forces could contribute/ detract from the outcomes?</b>	<p>Factors to contribute to positive outcomes are</p> <ul style="list-style-type: none"> <li>• commitment to the policy from staff</li> <li>• staff recognising and accepting that abuse does take place</li> <li>• staff confident to raise concerns with the appropriate team about a child or vulnerable adult</li> </ul>				

	<p>Factors that could detract are:</p> <ul style="list-style-type: none"> <li>• lack of training for staff around the policy and associated procedures</li> <li>• a reluctance of staff to share information about their concerns</li> <li>• a fear that they may make a wrong decision.</li> </ul>		
<p><b>6. Who are the main stakeholders in relation to the policy/ procedure/ practice?</b></p>	<p>Staff, Councillors, Staffordshire Safeguarding Children Board, Staffordshire &amp; Stoke-on-Trent Adult Safeguarding Partnership</p>		
<p><b>8. Which individuals/ groups have been/ will be consulted with on this policy/ procedure/ practice?</b></p>	<p><b>Please explain</b></p> <p>Staffordshire Safeguarding Children Board, Staffordshire &amp; Stoke-on-Trent Adult Safeguarding Partnership, Customer Services, Organisational Development, Tamworth Borough Council Corporate Management Team, Internal Audit, Portfolio Holder for Public Housing and Vulnerable People, Community Safety Manager, Head of Community Leisure</p>		
<p><b>9. Are there concerns that the policy/ procedure/ practice <u>could</u> have a differential impact on racial groups?</b></p>	<p>Y</p>	<p>N X</p>	<p><b>Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise).</b></p> <p>All aspects of vulnerability are at the forefront of this policy.</p>
<p><b>10. Are there concerns that the policy/ procedure/ practice <u>could</u> have a differential impact due to gender?</b></p>	<p>Y</p>	<p>N X</p>	<p><b>Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise).</b></p> <p>There are no gender specific issues.</p>
<p><b>11. Are there concerns that the policy/ procedure/ practice <u>could</u> have a differential impact due to them being transgender or transsexual?</b></p>	<p>Y</p>	<p>N X</p>	<p><b>Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise).</b></p>

12. Are there concerns that the policy/ procedure/ practice <u>could</u> have a differential impact due to disability?	Y	N X	Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise).
13. Are there concerns that the policy/ procedure/ practice <u>could</u> have a differential impact due to sexual orientation?	Y	N X	Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise).
14. Are there concerns that the policy/ procedure/ practice <u>could</u> have a differential impact due to age?	Y	N X	Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise).
15. Are there concerns that the policy/ procedure/ practice <u>could</u> have a differential impact due to religious belief?	Y	N X	Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise).
16. Are there concerns that the policy/ procedure/ practice <u>could</u> have a differential impact on Gypsies/ Travellers?	Y	N X	Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise).
17. Are there concerns that the policy/ procedure/ practice <u>could</u> have a differential impact due to dependant/caring responsibilities?	Y	N X	Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise).

<p><b>18. Are there concerns that the policy/ procedure/ practice <u>could</u> have a differential impact due to them having an offending past?</b></p>	<p><b>Y</b></p>	<p><b>N</b> <b>X</b></p>	<p><b>Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise). Depend on the type offence committed if the offence bars the individual from working with children or vulnerable adults</b></p>
<p><b>19. Are there concerns that the policy/ procedure/ practice could have an impact on children or vulnerable adults?</b></p>	<p><b>Y</b></p>	<p><b>N</b> <b>X</b></p>	<p><b>Please explain, your reasoning, giving details of existing evidence (either presumed or otherwise). Will be a positive impact as it will support and identify specific needs.</b></p>
<p><b>20. Does any of the differential impact identified cut across the equality strands (e.g. elder BME groups)?</b></p>	<p><b>Y</b></p>	<p><b>N</b> <b>X</b></p>	<p><b>Please explain</b></p>
<p><b>21. Could the differential impact identified in 9 – 20 amount to there being the potential for adverse impact in this policy/ procedure/ practice?</b></p>	<p><b>Y</b></p>	<p><b>N</b> <b>X</b></p>	<p><b>Please explain</b></p>
<p><b>22. Can this adverse impact be justified:</b></p> <ul style="list-style-type: none"> <li>• on the grounds of promoting equality of opportunity for one group?</li> <li>• For any other reason?</li> </ul>	<p><b>Y</b></p>	<p><b>N</b></p>	<p><b>Please explain for each equality heading on a separate piece of paper (questions 9 – 20).</b></p>



<p><b>23. As a result of carrying out the equality impact assessment is there a requirement for further consultation?</b></p>	<p>Y</p>	<p>N</p>	<p>Please explain</p>
<p><b>24. As a result of this EIA should this policy/ procedure/ practice be recommended for implementation in it's current state?</b></p>	<p>Y X</p>	<p>N</p>	<p>Please explain</p>

**PLEASE COMPLETE THE FOLLOWING ACTION PLAN FOR ALL IMPACT ASSESSMENTS**

# Equality Impact Assessment Action Plan

Complete the action plan demonstrating the changes required in order to meet TBC's commitment to equality and diversity. The action plan must contain monitoring arrangements, the publishing of results and the review period required for this policy.

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ACTION/ ACTIVITY	RESPONSIBILITY	TARGET	PROGRESS
<b>Monitoring arrangements:</b>		<b>Data collected quarterly</b>	
<b>Publication:</b>			
<b>Review Period:</b>		<b>Reviewed 12 monthly unless otherwise stated</b>	

Expand as appropriate

Signed  
(Completing Officer).....

Date .....

Signed  
(Head of Department) .....

Date .....

Signed  
Corporate Diversity/ Equality .....

Date .....

DATE OF COMMITTEE  
12<sup>th</sup> September 2013

THE PORTFOLIO HOLDER FOR ECONOMY AND EDUCATION/

CONSERVATION GRANT – THE MOAT HOUSE, LICHFIELD STREET, TAMWORTH

**EXEMPT INFORMATION**

None

**PURPOSE**

For Members to consider and approve an application for a conservation grant for the repair of the first floor ceiling of The Moat House.

**RECOMMENDATIONS**

**It is recommended that the following grant offer be made subject to the normal grant conditions:**

- 1. A grant of £9,169.00 be made in respect of The Moat House, Lichfield Street from the 2013-2014 conservation budget**

**EXECUTIVE SUMMARY**

An application has been received for grant aid towards restoration of the first floor ceiling of The Moat House.

The Moat House is a grade 2\* listed building and the “listing” includes reference to the first floor ceiling as follows:

“1<sup>st</sup> floor has long room with C16 plaster ceiling with square and oval panels with armorial bearings or birds with grapes and Tudor-arched fireplace with fluted frieze and cornice”

During 2012 concerns were raised about the condition of the ceiling with the fear that it may collapse.

A visit was undertaken by your officers, English Heritage and the Conservation Officer from Lichfield District Council and it was considered that a more detailed inspection was required. This was carried out by Fairhurst Ward Abbots in November 2013.

The initial observations from their visit were

“The Jacobean ceiling exhibits a pattern of plaster “strap work” and is decorated with the family tree heraldry of the Comberford family. The approximate size is 5.5m x 16m. the condition is varied, with signs of water ingress and cracks have been reported as having become enlarged, the ceiling where we applied gentle pressure

was satisfactory despite the contortion and sagging”.

A further in depth survey commenced on 13<sup>th</sup> February 2013 and lasted for 2 days. The cost of the survey was £1985 plus VAT. The survey identified a number of problems including

- Slumping of plasterwork
- A series of cracks
- Failure of paints
- Water ingress
- Poor repairs in the past which are unsuitable and could lead to further problems
- Movement early in the life of the ceiling arising the use of green oak joists
- Use of gypsum plaster to create crisp new mouldings
- Loss of paint, particularly to the heraldic shields

The consultants have recommended 16 actions aimed at restoring the ceiling. They include

- Filling larger cracks with appropriate material
- Selective paint removal with paint softeners and small steam tools
- Careful removal of some face plaster, where it is a modern introduction, and make good with riven oak and lime plaster
- Re-secure ribbed strap work
- Repair attic floor to allow access to the ceiling
- Treat timbers with wood preservative
- Secure the plaster ceiling into the timber matrix above (in excess of 300 fixing points) to stabilise ceiling and prevent further slumping.

The works are estimated to cost £16,750 with a further contingency of £3,500.

The adopted Conservation Grant Scheme allows for the payment of a 50% grant towards the restoration of special architectural features and 40% towards professional fees.

If a full grant was to be given, without allowing for contingency, a contribution of £8375 towards the works and £794 towards professional fees could be considered. A total of £9169.

Given the unique nature of the ceiling, and the status of the building, it is considered very important to carry out conservation works without delay and therefore it is recommended that a grant of £9169 be offered.

## **RESOURCE IMPLICATIONS**

The offer of a conservation grant incurs limited resource implications arising from the initial inspection of the ceiling with the applicant, English Heritage and Lichfield District Council's Conservation Officer. These costs have been met from current revenue budget. Follow up visits will be required during the works which will also be met from existing revenue budget.

The capital works will be dependent on finance from the Conservation Grant budget. The

total available budget is £68,717 less actuals of £14,945 and commitments of £13,284 leaving a balance of £40,488. Committing a further £9,169 would leave a balance of £31,319 for other projects being considered.

## **LEGAL/RISK IMPLICATIONS BACKGROUND**

In accepting a conservation grant the applicant would be bound by the terms and conditions set out in the Conservation Grant Scheme which provides for the repayment of the grant in the event that the property is sold on within 3 years. All works would be inspected prior to payment of the grant to ensure delivery of the works in accordance with the schedule of works and to a good standard of workmanship. Failure to comply with the terms and conditions of the Conservation Grant conditions may result in the grant being withheld either in part or total.

## **SUSTAINABILITY IMPLICATIONS**

The Conservation Grant scheme supports works to historic buildings so that they can be appreciated by future generations. The Moat house is a very important building within the Borough and would greatly benefit from the works proposed. Failure to address the problems currently being experienced may result in the loss of the ceiling.

## **BACKGROUND INFORMATION**

List of Buildings of Architectural or Historic Interest

The Moat House, Tamworth – The Long Gallery Ceiling – Survey by Fairhurst Ward Abbotts

## **REPORT AUTHOR**

Mr J Gunn

## **LIST OF BACKGROUND PAPERS**

None

## **APPENDICES**

None

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