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Sefton Council 

MEETING: CABINET
DATE: Thursday 5th December, 2019
TIME: 10.00 am
VENUE: Committee Room, Town Hall, Bootle

DECISION MAKER: **CABINET**

Councillor Maher (Chair)
Councillor Atkinson
Councillor Cummins
Councillor Fairclough
Councillor Hardy
Councillor John Joseph Kelly
Councillor Lappin
Councillor Moncur
Councillor Veidman

COMMITTEE OFFICER: Ruth Harrison
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The Cabinet is responsible for making what are known as Key Decisions, which will be notified on the Forward Plan. Items marked with an * on the agenda involve Key Decisions

A key decision, as defined in the Council's Constitution, is: -

- any Executive decision that is not in the Annual Revenue Budget and Capital Programme approved by the Council and which requires a gross budget expenditure, saving or virement of more than £100,000 or more than 2% of a Departmental budget, whichever is the greater
- any Executive decision where the outcome will have a significant impact on a significant number of people living or working in two or more Wards

If you have any special needs that may require arrangements to facilitate your attendance at this meeting, please contact the Committee Officer named above, who will endeavour to assist.

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A G E N D A

Items marked with an * involve key decisions

<u>Item No.</u>	<u>Subject/Author(s)</u>	<u>Wards Affected</u>	
1	Apologies for Absence		
2	Declarations of Interest Members are requested at a meeting where a disclosable pecuniary interest or personal interest arises, which is not already included in their Register of Members' Interests, to declare any interests that relate to an item on the agenda. Where a Member discloses a Disclosable Pecuniary Interest, he/she must withdraw from the meeting room, including from the public gallery, during the whole consideration of any item of business in which he/she has an interest, except where he/she is permitted to remain as a result of a grant of a dispensation. Where a Member discloses a personal interest he/she must seek advice from the Monitoring Officer or staff member representing the Monitoring Officer to determine whether the Member should withdraw from the meeting room, including from the public gallery, during the whole consideration of any item of business in which he/she has an interest or whether the Member can remain in the meeting or remain in the meeting and vote on the relevant decision.		
3	Minutes of the Previous Meeting Minutes of the meeting held on 7 November 2019.		(Pages 5 - 20)
4	Programme of Meetings – 2020/21 Municipal Year Report of the Chief Legal and Democratic Officer	All Wards	(Pages 21 - 44)
* 5	Hired Passenger Transport Framework Agreement 2020/21 Report of the Head of Communities	All Wards	(Pages 45 - 48)

* 6	<p>Extension of Housing Related Support Contracts</p> <p>Report of the Head of Economic Growth and Housing</p>	All Wards	(Pages 49 - 54)
* 7	<p>Senior Management Arrangements</p> <p>Joint Report of the Chief Executive and the Chief Personnel Officer.</p>	All Wards	(Pages 55 - 94)
* 8	<p>Anti-Fraud, Corruption and Bribery Policy</p> <p>Report of the Head of Corporate Resources</p>	All Wards	(Pages 95 - 122)
9	<p>Revenue and Capital Budget Update - Treasury Management Position to October 2019</p> <p>Report of the Head of Corporate Resources</p>	All Wards	(Pages 123 - 132)
* 10	<p>Revenue and Capital Budget Update 2019/20</p> <p>Report of the Head of Corporate Resources</p>	All Wards	(Pages 133 - 152)

THE "CALL IN" PERIOD FOR THIS SET OF MINUTES ENDS AT 12 NOON ON TUESDAY 19 NOVEMBER, 2019.

CABINET

MEETING HELD AT THE BIRKDALE ROOM, TOWN HALL, SOUTHPORT ON THURSDAY 7TH NOVEMBER, 2019

PRESENT: Councillor Maher (in the Chair)
Councillors Atkinson, Fairclough, Hardy,
John Joseph Kelly, Lappin, Moncur and Veidman

59. APOLOGIES FOR ABSENCE

An apology for absence was received from Councillor Cummins.

60. DECLARATIONS OF INTEREST

Councillor Veidman declared an Interest in Agenda Items 12, 13, 15 and 16, Minute No's: 70, 71, 73 and 74 refers, Revenue and Capital Budget 2019/20 – Public Sector Reform Maximisation Disposal and Crosby Lakeside Redevelopment Project, by virtue of his position as Chair of the Planning Committee and he left the room during consideration of the items.

61. MINUTES OF THE PREVIOUS MEETING

Decision Made:

That the minutes of the Meeting held on 3 October 2019 be approved as a correct record.

62. PROPOSAL TO DEVELOP AN OUTLINE BUSINESS CASE FOR A SEFTON CLEAN AIR ZONE

The Cabinet considered the joint report of the Head of Health and Wellbeing and Head of Highways and Public Protection that:

- a) advised Cabinet of the findings and recommendations of the Sefton Clean Air Zone (CAZ) Feasibility Study;
- b) sought approval to develop an Outline Business Case (OBC) to inform future decisions in relation to the possible implementation of a Sefton CAZ; and
- c) sought approval to provide the additional funding necessary to enable the OBC to be prepared.

Decisions Made: That the Cabinet:

- (1) noted the conclusions and recommendations from the Clean Air

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Zone (CAZ) Feasibility Study;

- (2) approved the proposal to proceed with development of an Outline Business Case for a Sefton CAZ in line with the 5 Case Model, as detailed in the report;
- (3) noted the Revenue & Capital Budget Update 2019/20 report, Minute no: X refers, Agenda Item 9, containing a recommendation to approve a supplementary revenue estimate of £0.530M to fund the development of the Business Case;
- (4) granted authority for officers to commence soft consultation with the key stakeholders identified in this report as an early and essential step in the OBC process;
- (5) noted the risks, assumptions and uncertainties associated with this key decision; and
- (6) noted future key decisions that result from the completion of an OBC.

Reasons for the Decisions:

The Outline Business Case process is a systematic approach. It establishes the case for change, evaluates affordability, and aims to identify a commercially viable option or options that offers best value for money and is practically deliverable. The 5 Case Business Case model is the framework being used in other local authority areas where a CAZ is being considered. This model also enables effective risk management and strengthens rigour, transparency and objectivity in decision-making. Investment in this approach is commensurate with the magnitude of costs, benefits and risks that attend future decisions about a CAZ in Sefton.

Alternative Options Considered and Rejected:

This section summarises considerations in relation to,

- Alternative options for reducing traffic-related air pollution
- Alternative options for further exploring a CAZ in Sefton compared to the funded, 5 Case OBC model being proposed

Sefton Council has good coverage of air quality monitors and has implemented air quality improvement action plans in four air quality management areas where air pollution readings are above government targets. A summary of these are provided here.

<https://mysefton.co.uk/2019/06/18/sefton-council-clears-the-air-on-pollution-initiatives/>

The rationale for conducting the CAZ Feasibility Study was provided by: evidence of the risk to health from road traffic pollution, ongoing above-

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target concentrations in discrete 'hotspots', and the absence of any other high impact interventions left to consider.

The Sefton Clean Air Zone Feasibility Study used a detailed mathematical model, to predict where the government's target for annual average nitrogen dioxide (NO₂) concentration would not be achieved in the future, assuming no further air quality improvement interventions are implemented. This 'do nothing' scenario identifies 70 relevant locations in 2020. The prediction for 2025 is zero, however several remain just under the target.

The study concluded that a CAZ would achieve reduced emissions, but recommended additional, specialist analyses to identify a best fit design and location in order to identify options with the optimum balance of direct health benefit (less exposure to NO₂) and indirect costs to health (e.g. possible displacement of polluting traffic, impacts on access to transport, economic conditions for local employers).

The Council's primary objective is to reduce harm from traffic pollution throughout Sefton, but particularly in those places where concentrations are highest. The risks of the three broad response options are as follows:

- Under a 'do nothing scenario' people will be exposed to more air pollution for longer, adding to inequality arising from other socio-economic and behavioural risk factors in communities in and around Sefton's existing Air Quality Management Areas
- A strategy of minor improvement measures is likely to result in a similar outcome
- Possible implementation of a CAZ addresses the primary objective but has risks in a number of areas – strategic context, economic, financial, commercial and management

The proposal to develop a comprehensive OBC is the best way to address the issues identified above.

The proposal to allocate funding to support this process recognises the scale and complexity of the task, and the specialist skills and knowledge needed to complete it.

The risks associated with not progressing along these lines include: delay, weaker basis for future decisions and sub-optimum management of risk.

63. SUPPORTED LIVING AND COMMUNITY SUPPORT SERVICES

The Cabinet considered the report of the Interim Director for Adult Social Care in relation to the proposal to commence procurement exercises to establish new Pseudo Dynamic Purchasing Systems (PDPS) for both supported living and community support services. The PDPS's will be open for a period of 5 years.

Decisions Made: That:

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- (1) the Interim Director for Adult Social Care be authorised to commence a two-stage procurement exercise for supported living and community support services (including floating support), which will create two separate PDPS mechanisms. Commencing with an exercise for supported living which will enable new contracts from September 2020 and then following this with an exercise to procure services for community support (floating support), which will establish an individual PDPS for each;
- (2) the Interim Director for Social Care in consultation with the Cabinet Member - Adult Social Care be granted delegated authority to the making of any decisions regarding the tender evaluation and the development of a new outcome-based service specification, such decisions will be made in advance of the procurement exercise commencing; and
- (3) the Interim Director for Adult Social Care in consultation with Cabinet Member - Adult Social Care be granted delegated authority to award the contracts from each of the individual PDPS's, as detailed in paragraph 3 to the report.

Reasons for the Decisions:

To establish new commissioning and contractual arrangements for the provision of supported living and community support services, which will encompass a new model of service delivery, improved market sustainability, updated processes for the commissioning of new services and to support people to live the lives they want to lead

Alternative Options Considered and Rejected:

The following options were considered and rejected;

1. **Maintaining the status quo** – this was not considered a viable option as there is a need to establish updated contracts with Providers which also reflect the implementation of a new service specification which is more outcome focussed.
2. **Conducting a procurement exercise solely utilising the Liverpool City Region framework** – Members will recall Cabinet has previously approved Sefton joining an LCR framework that provides a route to market for a larger number of Providers who provide support across the LCR for people with complex support needs. This route to market is still being put in place and it is anticipated that Sefton will be able to take advantage of the framework where this would offer some benefit and enhancement of local arrangements where these were not able to meet needs. The LCR framework is seeking to establish a larger range of provision which could be used by all the LCR Authorities. The option to develop a local PDPS would enable Sefton to utilise and develop its

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local market and where needed have access to the broader range of provision through the LCR framework. This would ensure that Sefton makes best use of the local market to secure effective and sustainable placements for local people.

64. MAKING THE FORMBY AND LITTLE ALT CAR NEIGHBOURHOOD PLAN

The Cabinet considered the report of the Chief Planning Officer in relation to the making of Formby and Little Altcar Neighbourhood Plan. The report is also scheduled to be considered by the Council at its meeting on 21 November 2019.

Decision Made:

That the Cabinet notes that the Formby and Little Altcar Neighbourhood Plan was passed at referendum and recommends that the Council be requested to 'make' the Formby and Little Altcar Neighbourhood Plan and that it becomes part of the Development Plan for Sefton.

Reasons for the Decision:

The preparation of the Formby and Little Altcar Neighbourhood Plan has followed the statutory procedures set out in The Neighbourhood Planning (General) Regulations 2012 (as amended). The plan has successfully undergone examination, has satisfied the basic conditions and is in conformity with the Sefton Local Plan. Where a Referendum results in a majority 'yes' vote, the Local Planning Authority is required to 'make' the Neighbourhood Plan within 8 weeks of the referendum decision in accordance with Regulations. This will enable the Council to use the Formby and Little Altcar Neighbourhood Plan to determine planning applications in those parishes.

Alternative Options Considered and Rejected:

As set out in the various Neighbourhood Planning Regulations, the referendum and subsequent 'making' of Neighbourhood Plans following a successful referendum is part of the legal process for a community (Neighbourhood Forum or Town or Parish Council) to make a Neighbourhood Plan for its area. As such Sefton Council does not have any option other than to make the plan.

65. APPOINTMENT TO LIVERPOOL UNIVERSITY HOSPITAL COUNCIL OF GOVERNORS

The Cabinet considered the report of the Chief Legal and Democratic Officer in relation to the appointment of a Council representative to the Council of Governors of the newly formed Liverpool University Hospital NHS Foundation Trust, an amalgamation of both the Aintree University Hospital NHS Foundation Trust (AUH) and Royal Liverpool & Broadgreed

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University Hospitals NHS Trust (RLB).

Decisions Made: That the Cabinet:

- (1) noted the termination of the appointment of Councillor Lappin to the Aintree University Hospital - NHS Foundation Trust - Council of Governors due to the recent merger of Aintree university Hospital NHS Foundation Trust (AUH) and Royal Liverpool & Broadgreed University Hospitals NHS Trust (RLB); and
- (2) appointed Councillor Friel as the Sefton Council representative, to the newly formed Liverpool University Hospitals NHS Foundation Trust University Hospital Council of Governors, term of office from 2 December 2019 – 2 December 2022.

Reasons for the Decisions:

The Cabinet has delegated powers set out in Chapter 5, Paragraph 40 of the Constitution to appoint the Council's representatives to serve on Outside Bodies.

Alternative Options Considered and Rejected:

None

66. ANNUAL HEALTH AND SAFETY REPORT

The Cabinet considered the report of the Head of Corporate Resources in relation to the progress made towards the implementation of the Council's Health and Safety policy for 2018/19.

Decision Made:

That the Cabinet noted the progress on implementing the Council's Corporate Health and Safety Policy for the 2018/19 financial year.

Reasons for the Decision:

The annual report provides assurance to the Cabinet, which has strategic responsibility for employee health and safety, that there is continued progress to implement and enhance an effective health and safety system across the Council.

Alternative Options Considered and Rejected:

None.

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67. REVENUE AND CAPITAL BUDGET UPDATE 2019/20

The Cabinet considered the report of the Head of Corporate Resources in relation to:

1. the current forecast revenue outturn position for the Council for 2019/20;
2. the current forecast on Council Tax and Business Rates collection for 2019/20; and,
3. the monitoring position of the Council's capital programme to the end of September 2019, the forecast expenditure to year end, variations against the approved budgets and an explanation of those variations for consideration by Members. Updates to spending profiles and proposed amendments to capital budgets necessary to ensure the efficient delivery of capital projects are also presented for approval.

Decisions Made: That the Cabinet:

- (1) noted the current forecast revenue outturn position for 2019/20 and the current position relating to delivery of savings included in the 2019/20 revenue budget;
- (2) noted the mitigating measures being used to ensure a balanced forecast outturn position excluding a forecast deficit on Housing Benefits due to be considered at the end of the financial year should it materialise;
- (3) approved a supplementary revenue estimate of £0.53m funded from earmarked reserves to support the development of an outline business case for a Sefton Clean Air Zone;
- (4) noted updates to spending profiles across the financial year, as detailed in paragraph 5.1.1 to the report;
- (5) noted the new schemes added to the Capital Programme under delegated authority for 2019/20 as detailed in paragraph 5.1.3 to the report;
- (6) noted the updates to spending profiles across financial years as detailed in paragraph 5.1.1 to the report;
- (7) noted the latest capital expenditure position as at 30 September 2019 to date of £7.397m with the latest full year forecast being £26.107m as detailed in paragraphs 5.2.2 and 5.3.1 to the report;
- (8) noted the explanations of variances to project budgets as detailed in paragraph 5.3.2 to the report;
- (9) noted the capital programme outputs to the end of September as

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detailed in paragraph 1.4 to the report; and

- (10) noted that the capital resources will be managed by the Head of Corporate Resources to ensure the capital programme remains fully funded and that capital funding arrangements secure the maximum financial benefit to the Council.

Reasons for the Decisions:

To ensure that the Cabinet is informed of the forecast outturn position for the 2019/2020 Revenue Budget as at the end of September 2019, including delivery of agreed savings, and to provide an updated forecast of the outturn position with regard to the collection of Council Tax and Business Rates.

To keep members informed of the progress of the Capital Programme against the profiled budget for 2019/20 and agreed allocations for future years.

To progress any changes that are required in order to maintain a relevant and accurate budget profile necessary for effective monitoring of the Capital Programme.

To approve any updates to funding resources so that they can be applied to capital schemes in the delivery of the Council's overall capital strategy.

In March 2017 Council approved a three-year budget plan to March 2020. The final year of this plan was revised in February 2019 as part of the process of setting the 2019/20 budget. The Council is in the final year of the budget plan and remains confident its strategic approach to budget planning alongside good financial management and extensive community engagement means that the plan continues to develop on solid foundations; it remains flexible and will secure the future sustainability to 2020 and beyond. However, in year demand for social care services is currently resulting in the costs for these services significantly exceeding the budget. If further budget pressures are identified between now and the end of the year additional remedial action will be required to bring the overall budget into balance.

Alternative Options Considered and Rejected:

None.

68. REVENUE AND CAPITAL BUDGET UPDATE – MEDIUM TERM FINANCIAL PLAN 2020/21 TO 2022/23

The Cabinet considered the report of the Head of Corporate Resources that detailed the latest position with regard to Government funding announcements for 2020/21; the update to the Medium Term Financial Plan (MTFP) for 2020/21 to 2022/23 taking account of all currently

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available information and the funding issues being faced by High Needs and Secondary Schools.

Decision Made: That the Cabinet:

- (1) approved the updated Medium Term Financial Plan for 2020/21 to 2022/23 and any assumptions made;
- (2) noted the funding pressures being faced by the Council within High Needs and Secondary Schools and the actions being taken to address these;
- (3) noted the Council's position in relation to its financial resilience; and
- (4) approved a full review of reserves and balances, the outcome of which will be reported to Cabinet in December 2019.

Reasons for the Recommendation(s):

In March 2017 Council approved a three-year budget plan to March 2020. The final year of this plan was revised in February 2019 as part of the process of setting the 2019/20 budget. As part of this report, an indicative budget gap of £45m for 2020/21 to 2022/23 was reported. The MTFP for this period has subsequently been updated to reflect the latest information available. In approving the recommendations laid out in this report, the Council will continue to ensure resources are well managed and reflect the key priorities of the residents of Sefton.

Alternative Options Considered and Rejected:

None

69. EXCLUSION OF PRESS AND PUBLIC

Decision Made:

That, under the Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012, the press and public be excluded from the meeting for the following item on the ground that it involves the likely disclosure of exempt information as defined in Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972. The Public Interest Test has been applied and favours exclusion of the information from the Press and Public.

70. REVENUE AND CAPITAL BUDGET 2019/20 - PUBLIC SECTOR REFORM MAXIMISATION DISPOSAL

The Cabinet considered the joint report of the Head of Corporate Resources and Head of Economic Growth and Housing in relation to the Asset Maximisation Project that sits within the Framework for Change, Public Sector Reform Programme.

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Decision Made:

That the exempt information be considered as part of the public report in relation to this matter, reference Minute No: 73 refers.

Reason for the Decision:

The exempt information is required to be considered with the information in the public report in order that an informed decision may be made.

Alternative Options Considered and Rejected:

None.

71. CROSBY LAKESIDE REDEVELOPMENT PROJECT

The Cabinet considered the report of the Head of Commercial Development in relation to the Crosby Lakeside Adventure Centre Redevelopment Project.

Decision Made:

That the exempt information be considered as part of the public report in relation to this matter, reference Minute No: 74 refers.

Reason for the Decision:

The exempt information is required to be considered with the information in the public report in order that an informed decision may be made.

Alternative Options Considered and Rejected:

None.

72. RE-ADMIT PRESS AND PUBLIC

Decision Made:

That the press and public be re-admitted to the meeting.

73. REVENUE AND CAPITAL BUDGET 2019/20 - PUBLIC SECTOR REFORM MAXIMISATION DISPOSAL

The Cabinet considered the joint report of the Head of Corporate Resources and Head of Economic Growth and Housing in relation to the Asset Maximisation Project that sits within the Framework for Change, Public Sector Reform Programme.

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Decisions Made: That the Cabinet:

- (1) approved that Legal and Property and Facilities Management finalise Heads of Terms for the disposal of the Council's land, Plots B and C at Holgate Thornton – this will result in the developer partner entering into an Option Agreement so that they can commence technical due diligence work and working up a planning application;
- (2) approved that subsequent to the agreement of Heads of Terms that the Chief Legal and Democratic Officer be granted delegated authority to negotiate sale contracts for the disposal of Plots B and C at Holgate Thornton; and
- (3) approved that when sale contracts and all financial issues have been resolved, a final report will be submitted to the Cabinet in order that approval can be obtained to conclude the proposed transaction.

Reasons for the Decisions:

- (i) The disposal will enable a comprehensive scheme to be brought forward. This will avoid the sterilisation of the Council's land (Plot C – 3.29 acres) if Orchard Farm was redeveloped in isolation with highways access provided from Holgate Road;
- (ii) Disposal will ensure that an off-site highways solution is funded and delivered at Park View, which provides an appropriate access into the Council's land at Plot A. This site will be brought forward in future years and does not form part of the proposed land disposal in this report;
- (iii) The proposal will pass all costs associated with progressing ground investigations and technical surveys onto the developer – the Council will not have to fund these works.

Alternative Options Considered and Rejected:

- (i) Option 1 – “*Do nothing*”: the developer has successfully appealed their planning refusal and indicated that they will exercise their option and develop out their consented scheme, utilising Holgate for construction and residential access.

Risk: by redeveloping Orchard Farm in isolation, Holgate Road would be the main highways access into the site, but there would be insufficient capacity on this road to support the redevelopment of Plot C – this would likely remain as farmland. The impact would be the Council taking the remaining Plots A and B to market (see Option 2). The Council would incur costs associated with technical surveys, planning and marketing fees and lose the value of Plot C (see Appendix 2).

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- (ii) Option 2 – “*Council bring forward Plots A and B in isolation*”: the Council would appoint consultants to progress desktop surveys (ecology, highways and ground conditions) and prepare a planning brief. The Council’s remaining land would then be marketed to prospective partners – the deal to be conditional upon planning consent.

Risk: The Council would incur costs and staff resource to progress the upfront technical works and due diligence to take the site to market, including the appointment of Agents to market the land.

- (iii) Option 3 – “*Council buy out the Option Agreement*”: this would ensure that the Council had control of the whole site and would be free to take the site to the open market seeking a disposal or joint venture partner.

Risk: Option would mean that the Council would need to pay compensation for costs incurred to date in pursuing planning and loss of future development profit, in addition to a land value to reflect the 14-dwelling scheme proposed. This would not be financially viable.

74. CROSBY LAKESIDE REDEVELOPMENT PROJECT

The Cabinet considered the report of the Head of Commercial Development in relation to the Crosby Lakeside Adventure Centre Redevelopment Project.

Decisions Made: That the Cabinet:

- (1) approved the Full Business Case and option 5 within the Full Business Case;
- (2) authorised the Head of Commercial Development to implement the delivery plan outlined within the Full Business Case in consultation with: the Cabinet Member – Regeneration and Skills; the Cabinet Member – Regulatory, Compliance and Corporate Services; and the Cabinet Member – Health and Wellbeing;
- (3) authorised the Head of Commercial Development to conduct a procurement exercise for the appointment of a contractor to undertake the capital works outlined in the Full Business Case in consultation with the Portfolio Cabinet Members and granted delegated authority to award the contract resulting from the procurement.
- (4) authorised the Head of Commercial Development to conduct a procurement exercise to procure a partner in line with the requirements outlined within the Full Business Case in consultation

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with the Cabinet Members and granted delegated authority to award the contract resulting from the procurement.

- (5) authorised Officers to engage in appropriate consultation with employees and trade unions in terms of employment matters following the Council's normal procedures; and
- (6) noted that the capital cost of this project and refurbishment will be £3.1m and will be funded from a direct grant by the Combined Authority. A subsequent supplementary capital estimate for this sum will be provided for Cabinet to recommend to Council for approval.

Reasons for the Decisions:

To enable the project to progress from the Development Stage (Stage 1) onto Transition to Delivery Stage (Stage 2) then to on-going Operations (Stage 3).

Alternative Options Considered and Rejected:

Five options for delivery of the objectives of this project were considered, which are detailed in the table below.

The assessment of these options identified the Preferred Option to be Option 5: a JVCo to deliver operational transformation within a fully refurbished hospitality facility.

The summary of the outcome of the assessment is shown in the table below:

OPTION	VALUE AND RISK ASSESSMENT
<p>Option 1. No ops changes. No refurbishment.</p>	<p>Retain the existing operating model and team; no investment in the hospitality facilities. No change – continue 'as-is'.</p> <p>Financial outcome: no reduction in current c.£250k pa subsidy (likely to rise over next 10 years, average of c. £290k pa).</p> <p>(Backlog maintenance requirements not addressed).</p> <p>Overall assessment: not a sustainable option.</p>
<p>Option 2 New management. No refurbishment.</p>	<p>Retain the existing operating model and team and hire new management with hospitality experience; no investment in the facilities.</p> <p>Financial outcome: only marginal reduction in current c.£250k pa subsidy to an average of c.£220k</p>

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OPTION	VALUE AND RISK ASSESSMENT
	<p>pa subsidy over 10 years).</p> <p>(Backlog maintenance requirements not addressed).</p> <p>Overall assessment: not a sustainable option.</p>
<p>Option 3. No ops changes. Full refurbishment.</p>	<p>Retain the existing operating model and team; and invest in refurbishment and reconfiguration of the facility.</p> <p>Financial outcome: increase in current c.£250k pa subsidy after funding on-going maintenance to c. £420k pa average over 10 years.</p> <p>(Backlog maintenance requirements covered in full refurbishment).</p> <p>Overall assessment: not a sustainable option.</p>
<p>Option 4. New management. Full refurbishment.</p>	<p>Retain the existing operating model and team and hire new management with hospitality experience. Also invest in the refurbishment and reconfiguration of the facility.</p> <p>Financial outcome: current c.£250k subsidy not removed with insufficient new income to fully fund on-going maintenance requirements: average £265k pa over 10 years.</p> <p>(Backlog maintenance requirements will be covered in full refurbishment).</p> <p>Overall assessment: not a sustainable option.</p>
<p>Option 5. New JV and operating model Full refurbishment.</p>	<p>Financial outcome: current c.£250k pa subsidy fully removed and a surplus generated for the Council of c. £70k pa average over 10 years (total c. £320k pa average) after fully funding on-going maintenance and paying profit share to operator partner (c. £100k pa average over 10 years).</p> <p>Backlog maintenance requirements covered in full refurbishment.</p> <p>£3.53m benefit to the Council (improvement on</p>

OPTION	VALUE AND RISK ASSESSMENT
	<p>current position) over 10 years.</p> <p>Overall assessment: sustainable and Preferred Option.</p>

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Agenda Item 4

Report to:	Cabinet Council	Date of Meeting:	5 December 2019 23 January 2020
Subject:	Programme of Meetings – 2020/21 Municipal Year		
Report of:	Chief Legal and Democratic Officer	Wards Affected:	All
Cabinet Portfolio:	Regulatory, Compliance and Corporate Services		
Is this a Key Decision:	No	Included in Forward Plan:	No
Exempt / Confidential Report:	No		

Summary:

To seek approval of a Programme of Meetings for the 2020/21 Municipal Year.

Recommendation:

Cabinet

That the Programme of Meetings for the Cabinet, Public Engagement and Consultation Panel, Sefton Safer Communities Partnership and the Health and Wellbeing Board for 2020/21 as set out in Annexes A and D of the report be approved.

Council

That:

1. the Programme of Meetings for the Council, Member Briefing Sessions; Regulatory Committees; and Overview and Scrutiny Committees for 2020/21 as set out in Annexes B and C of the report be approved; and
2. the Programme of Meetings for the Cabinet, Public Engagement and Consultation Panel, Sefton Safer Communities Partnership and the Health and Wellbeing Board for 2020/21 as set out in Annexes A and D of the report be noted.

Reasons for the Recommendation:

To enable the business of the Council and its various Committees/bodies to be conducted during the 2020/21 Municipal Year.

Alternative Options Considered and Rejected:

None. The Council is required to produce a programme of meetings.

What will it cost and how will it be financed?

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(A) Revenue Costs – None

(B) Capital Costs – None

Implications of the Proposals:

Resource Implications (Financial, IT, Staffing and Assets):
Legal Implications:
Equality Implications: There are no equality implications.

Contribution to the Council's Core Purpose:

Protect the most vulnerable: Not applicable
Facilitate confident and resilient communities: Not applicable
Commission, broker and provide core services: Not applicable
Place – leadership and influencer: The Programme of Meetings for 2020/21 will be published on the Council's website for the benefit of the residents of Sefton and the wider general public. This will raise awareness of the Council's political management system and allow the opportunity for the public to engage in the Council's democratic processes.
Drivers of change and reform: Not applicable
Facilitate sustainable economic prosperity: Not applicable
Greater income for social investment: Not applicable
Cleaner Greener: Not applicable

What consultations have taken place on the proposals and when?

(A) Internal Consultations

The Head of Corporate Resources (FD5856/19) has been consulted and notes there are no direct financial implications arising from this report.

The Chief Legal and Democratic Officer (LD4090/19) is the author of this report.

Head of Corporate Resources
Head of Communities

Head of Strategic Support
Chief Planning Officer

(B) External Consultations

Merseyside Police and Crime Commissioner

Implementation Date for the Decision

In respect of the Programme of Meetings for the Cabinet, Public Engagement and Consultation Panel, Sefton Safer Communities Partnership and the Health and Wellbeing Board the implementation date will be upon the expiry of the call-in period of the minutes of the Cabinet meeting.

In respect of the Programme of Meetings for the Council, Member Briefing Sessions; Regulatory Committees; and Overview and Scrutiny Committees immediately following the Council meeting.

Contact Officer:	Paul Fraser
Telephone Number:	0151 934 2068
Email Address:	paul.fraser@sefton.gov.uk

Appendices:

Annex A - Programme of Meetings for the Cabinet in 2020/21

Annex B - Programme of Meetings for the Council, Members' Briefing Sessions and Regulatory Committees in 2020/21

Annex C - Programme of Meetings for the Overview and Scrutiny Committees in 2020/21

Annex D - Programme of Meetings for the Public Engagement and Consultation Panel, Sefton Safer Communities Partnership and the Health and Wellbeing Board in 2020/21.

Background Papers:

There are no background papers available for inspection.

1. Introduction/Background

1.1 The Council is required to establish a programme of meetings for the 2020/21 Municipal Year.

1.2 Annexes are attached to the report setting out programme.

1.3 Similar to the arrangements put in place last year once the programme of meetings are approved, an "in-house" diary will be produced for Members of the Council.

2. Programme of Meetings 2020/21

2.1 The key principles of the Programme of Meetings are as follows:

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- Five Ordinary Council Meetings to be held every 8 weeks on a Thursday commencing at 6.30 p.m. plus the Budget Council Meeting to be held on 25 February 2021.
- Council will not meet on the same day as Cabinet.
- Members' Briefing Sessions to be held at 5.00 p.m. prior to the five Ordinary Council Meetings.
- No meetings will be held:
 - In the period between Christmas and New Year (December 2020/January 2021)
 - In April 2021 except for the meetings of the Planning Committee, Cabinet and Council.
- As far as possible no meetings will be held during the school half term holiday weeks.
- The venues for all meetings alternate between Bootle and Southport Town Halls.
- Cabinet Meetings to be held on a Thursday at 10.00 a.m. The first meeting to be held on 28 May 2020.
- Planning Committee to meet every four weeks on a Wednesday, commencing at 6.30 p.m.
- Planning Visiting Panel to meet 2 days prior to each meeting of the Planning Committee to undertake site visits as agreed by the Committee.
- Each of the 4 Overview and Scrutiny Committees to meet bi monthly, 5 times during the year commencing at 6.30 p.m. – the main Overview and Scrutiny work will be done by Working Groups established on an ad hoc basis.
- Special meeting of the Overview and Scrutiny Committee (Regulatory, Compliance and Corporate Services) to be held on 9 February 2021 to scrutinise the Cabinet budget process.
- Overview and Scrutiny Management Board to meet 5 times per year, commencing at 4.30 p.m.
- Licensing and Regulatory Committee to meet quarterly on a Monday commencing at 6.30 p.m.
- Meetings of the Licensing Sub-Committee to be convened as and when required.
- Audit and Governance Committee to meet every quarter (4 meetings per year) on a Wednesday commencing at 3.00 p.m. in order to meet statutory requirements etc.

- Pay and Grading Committee to be convened as and when required.
- Health and Wellbeing Board to meet 4 times per year.
- The dates for the Public Engagement and Consultation Panel, which are not public meetings are included in the Corporate Calendar.

3. Calendar of Meetings

- 3.1 A copy of the Calendar of Meetings for 2020/21 and associated annexes are attached.

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SEFTON COUNCIL CALENDAR OF MEETINGS 2020/21

MAY 2020		
FRI	1	
SAT	2	
SUN	3	
MON	4	
TUE	5	
WED	6	
THU	7	COUNCIL, LIVERPOOL CITY REGION MAYOR, MERSEYSIDE POLICE AND CRIME COMMISSIONER AND FORMBY PARISH COUNCIL ELECTIONS
FRI	8	MAY BANK HOLIDAY/VE DAY
SAT	9	
SUN	10	
MON	11	
TUE	12	
WED	13	
THU	14	
FRI	15	10.00 PUBLIC ENGAGEMENT AND CONSULTATION PANEL (B)
SAT	16	
SUN	17	
MON	18	
TUE	19	6.00 ANNUAL COUNCIL (VENUE TO BE DETERMINED)
WED	20	
THU	21	6.30 ADJOURNED ANNUAL COUNCIL (B)
FRI	22	
SAT	23	
SUN	24	
MON	25	SPRING BANK HOLIDAY SCHOOL HALF-TERM HOLIDAY WEEK
TUE	26	
WED	27	6.30 MANDATORY PLANNING COMMITTEE TRAINING SESSION (B)
THU	28	10.00 CABINET (B)
FRI	29	
SAT	30	
SUN	31	
MAY 2020		

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JUNE 2020		
MON	1	10.00 PLANNING VISITING PANEL (B)
TUE	2	
WED	3	6.30 PLANNING COMMITTEE (S)
THU	4	
FRI	5	
SAT	6	
SUN	7	
MON	8	
TUE	9	
WED	10	2.00 HEALTH AND WELLBEING BOARD (B)
THU	11	10.00 SEFTON SAFER COMMUNITIES PARTNERSHIP (B)
FRI	12	
SAT	13	
SUN	14	
MON	15	6.30 LICENSING AND REGULATORY (B)
TUE	16	6.30 OVERVIEW AND SCRUTINY (REGULATORY, COMPLIANCE AND CORPORATE SERVICES) (S)
WED	17	
THU	18	
FRI	19	
SAT	20	
SUN	21	
MON	22	
TUE	23	4.30 OVERVIEW AND SCRUTINY MANAGEMENT BOARD (B) 6.30 OVERVIEW AND SCRUTINY (ADULT SOCIAL CARE) (B)
WED	24	3.00 AUDIT AND GOVERNANCE (B)
THU	25	10.00 CABINET (S)
FRI	26	
SAT	27	
SUN	28	
MON	29	10.00 PLANNING VISITING PANEL (B)
TUE	30	6.30 OVERVIEW AND SCRUTINY (REGENERATION AND SKILLS) (B)
JUNE 2020		

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JULY 2020		
WED	1	5.00 PLANNING TRAINING SESSION (B) 6.30 PLANNING COMMITTEE (B)
THU	2	
FRI	3	
SAT	4	
SUN	5	
MON	6	
TUE	7	6.30 OVERVIEW AND SCRUTINY (CHILDREN'S SERVICES AND SAFEGUARDING) (B)
WED	8	
THU	9	
FRI	10	10.00 PUBLIC ENGAGEMENT AND CONSULTATION PANEL (B)
SAT	11	
SUN	12	
MON	13	
TUE	14	
WED	15	
THU	16	5.00 MEMBERS' BRIEFING (S) 6.30 COUNCIL (S)
FRI	17	
SAT	18	
SUN	19	
MON	20	
TUE	21	
WED	22	3.00 AUDIT AND GOVERNANCE (B) (SPECIAL MEETING FOR APPROVAL OF 2019/20 STATEMENT OF ACCOUNTS)
THU	23	
FRI	24	
SAT	25	
SUN	26	
MON	27	10.00 PLANNING VISITING PANEL (B)
TUE	28	
WED	29	5.00 PLANNING TRAINING SESSION (S) 6.30 PLANNING COMMITTEE (S)
THU	30	10.00 CABINET (B)
FRI	31	

Agenda Item 4

AUGUST 2020		
SAT	1	
SUN	2	
MON	3	
TUE	4	
WED	5	
THU	6	
FRI	7	
SAT	8	
SUN	9	
MON	10	
TUE	11	
WED	12	
THU	13	
FRI	14	
SAT	15	
SUN	16	
MON	17	
TUE	18	
WED	19	
THU	20	
FRI	21	
SAT	22	
SUN	23	
MON	24	10.00 PLANNING VISITING PANEL (B)
TUE	25	
WED	26	5.00 PLANNING TRAINING SESSION (B) 6.30 PLANNING COMMITTEE (B)
THU	27	
FRI	28	
SAT	29	
SUN	30	
MON	31	SUMMER BANK HOLIDAY
AUGUST 2020		

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SEPTEMBER 2020		
TUE	1	6.30 OVERVIEW AND SCRUTINY (ADULT SOCIAL CARE) (S)
WED	2	
THU	3	10.00 CABINET (S)
FRI	4	
SAT	5	
SUN	6	
MON	7	6.30 LICENSING AND REGULATORY (S)
TUE	8	4.30 OVERVIEW AND SCRUTINY MANAGEMENT BOARD (B) 6.30 OVERVIEW AND SCRUTINY (REGULATORY, COMPLIANCE AND CORPORATE SERVICES) (B)
WED	9	2.00 HEALTH AND WELLBEING BOARD (B)
THU	10	10.00 SEFTON SAFER COMMUNITIES PARTNERSHIP (B)
FRI	11	10.00 PUBLIC ENGAGEMENT AND CONSULTATION PANEL (B)
SAT	12	
SUN	13	
MON	14	
TUE	15	6.30 OVERVIEW AND SCRUTINY (REGENERATION AND SKILLS) (S)
WED	16	3.00 AUDIT AND GOVERNANCE (S)
THU	17	5.00 MEMBERS' BRIEFING (B) 6.30 COUNCIL (B)
FRI	18	
SAT	19	
SUN	20	
MON	21	10.00 PLANNING VISITING PANEL (B)
TUE	22	6.30 OVERVIEW AND SCRUTINY (CHILDREN'S SERVICES AND SAFEGUARDING) (S)
WED	23	5.00 PLANNING TRAINING SESSION (S) 6.30 PLANNING COMMITTEE (S)
THU	24	
FRI	25	
SAT	26	
SUN	27	
MON	28	
TUE	29	
WED	30	
SEPTEMBER 2020		

Agenda Item 4

OCTOBER 2020		
THU	1	10.00 CABINET (B)
FRI	2	
SAT	3	
SUN	4	
MON	5	
TUE	6	
WED	7	
THU	8	
FRI	9	
SAT	10	
SUN	11	
MON	12	
TUE	13	6.30 OVERVIEW AND SCRUTINY (ADULT SOCIAL CARE) (B)
WED	14	
THU	15	
FRI	16	
SAT	17	
SUN	18	
MON	19	10.00 PLANNING VISITING PANEL (B)
TUE	20	6.30 OVERVIEW AND SCRUTINY (REGULATORY, COMPLIANCE AND CORPORATE SERVICES) (S)
WED	21	5.00 PLANNING TRAINING SESSION (B) 6.30 PLANNING COMMITTEE (B)
THU	22	
FRI	23	
SAT	24	
SUN	25	
MON	26	SCHOOL HALF-TERM HOLIDAY WEEK
TUE	27	
WED	28	
THU	29	
FRI	30	
SAT	31	
OCTOBER 2020		

Agenda Item 4

NOVEMBER 2020		
SUN	1	
MON	2	
TUE	3	6.30 OVERVIEW AND SCRUTINY (REGENERATION AND SKILLS) (B)
WED	4	
THU	5	10.00 CABINET (S)
FRI	6	
SAT	7	
SUN	8	REMEMBRANCE SUNDAY
MON	9	
TUE	10	4.30 OVERVIEW AND SCRUTINY MANAGEMENT BOARD (B) 6.30 OVERVIEW AND SCRUTINY (CHILDREN'S SERVICES AND SAFEGUARDING) (B)
WED	11	
THU	12	
FRI	13	10.00 PUBLIC ENGAGEMENT AND CONSULTATION PANEL (B)
SAT	14	
SUN	15	
MON	16	10.00 PLANNING VISITING PANEL (B)
TUE	17	
WED	18	5.00 PLANNING TRAINING SESSION (S) 6.30 PLANNING COMMITTEE (S)
THU	19	5.00 MEMBERS' BRIEFING (S) 6.30 COUNCIL (S)
FRI	20	
SAT	21	
SUN	22	
MON	23	
TUE	24	
WED	25	
THU	26	
FRI	27	
SAT	28	
SUN	29	
MON	30	
NOVEMBER 2020		

Agenda Item 4

DECEMBER 2020		
TUE	1	
WED	2	
THU	3	10.00 CABINET (B)
FRI	4	
SAT	5	
SUN	6	
MON	7	
TUE	8	
WED	9	2.00 HEALTH AND WELLBEING BOARD (B)
THU	10	10.00 SEFTON SAFER COMMUNITIES PARTNERSHIP (B)
FRI	11	
SAT	12	
SUN	13	
MON	14	10.00 PLANNING VISITING PANEL (B)
TUE	15	
WED	16	3.00 AUDIT AND GOVERNANCE (B) 5.00 PLANNING TRAINING SESSION (B) 6.30 PLANNING COMMITTEE (B)
THU	17	
FRI	18	
SAT	19	
SUN	20	
MON	21	SCHOOL CHRISTMAS BREAK
TUE	22	
WED	23	
THU	24	COUNCIL OFFICES CLOSED
FRI	25	CHRISTMAS DAY
SAT	26	
SUN	27	
MON	28	BANK HOLIDAY
TUE	29	COUNCIL OFFICES CLOSED
WED	30	COUNCIL OFFICES CLOSED
THU	31	COUNCIL OFFICES CLOSED
DECEMBER 2020		

Agenda Item 4

JANUARY 2021		
FRI	1	NEW YEAR'S DAY
SAT	2	
SUN	3	
MON	4	
TUE	5	6.30 OVERVIEW AND SCRUTINY (ADULT SOCIAL CARE) (S)
WED	6	
THU	7	10.00 CABINET (S)
FRI	8	
SAT	9	
SUN	10	
MON	11	6.30 LICENSING AND REGULATORY (B)
TUE	12	4.30 OVERVIEW AND SCRUTINY MANAGEMENT BOARD (B) 6.30 OVERVIEW AND SCRUTINY (REGULATORY, COMPLIANCE AND CORPORATE SERVICES) (B)
WED	13	
THU	14	
FRI	15	10.00 PUBLIC ENGAGEMENT AND CONSULTATION PANEL (B)
SAT	16	
SUN	17	
MON	18	10.00 PLANNING VISITING PANEL (B)
TUE	19	6.30 OVERVIEW AND SCRUTINY (REGENERATION AND SKILLS) (S)
WED	20	5.00 PLANNING TRAINING SESSION (S) 6.30 PLANNING COMMITTEE (S)
THU	21	5.00 MEMBERS' BRIEFING (B) 6.30 COUNCIL (B)
FRI	22	
SAT	23	
SUN	24	
MON	25	
TUE	26	6.30 OVERVIEW AND SCRUTINY (CHILDREN'S SERVICES AND SAFEGUARDING) (S)
WED	27	
THU	28	
FRI	29	
SAT	30	
SUN	31	
JANUARY 2021		

Agenda Item 4

FEBRUARY 2021		
MON	1	
TUE	2	
WED	3	
THU	4	10.00 CABINET (B)
FRI	5	
SAT	6	
SUN	7	
MON	8	
TUE	9	6.30 OVERVIEW AND SCRUTINY (REGULATORY, COMPLIANCE AND CORPORATE SERVICES) BUDGET MEETING (B)
WED	10	
THU	11	10.00 CABINET (BUDGET) (S)
FRI	12	
SAT	13	
SUN	14	
MON	15	SCHOOL HALF-TERM HOLIDAY WEEK 10.00 PLANNING VISITING PANEL (B)
TUE	16	
WED	17	5.00 PLANNING TRAINING SESSION (B) 6.30 PLANNING COMMITTEE (B)
THU	18	
FRI	19	
SAT	20	
SUN	21	
MON	22	
TUE	23	6.30 OVERVIEW AND SCRUTINY (ADULT SOCIAL CARE) (B)
WED	24	
THU	25	
FRI	26	
SAT	27	
SUN	28	
FEBRUARY 2021		

Agenda Item 4

MARCH 2021		
MON	1	
TUE	2	6.30 OVERVIEW AND SCRUTINY (REGULATORY, COMPLIANCE AND CORPORATE SERVICES) (S)
WED	3	
THU	4	10.00 CABINET (B) 6.30 BUDGET COUNCIL (B)
FRI	5	
SAT	6	
SUN	7	
MON	8	
TUE	9	6.30 OVERVIEW AND SCRUTINY (REGENERATION AND SKILLS) (B)
WED	10	2.00 HEALTH AND WELLBEING BOARD (B)
THU	11	10.00 SEFTON SAFER COMMUNITIES PARTNERSHIP (B)
FRI	12	10.00 PUBLIC ENGAGEMENT AND CONSULTATION PANEL (B)
SAT	13	
SUN	14	
MON	15	10.00 PLANNING VISITING PANEL (B) 6.30 LICENSING AND REGULATORY (S)
TUE	16	4.30 OVERVIEW AND SCRUTINY MANAGEMENT BOARD (B) 6.30 OVERVIEW AND SCRUTINY (CHILDREN'S SERVICES AND SAFEGUARDING) (B)
WED	17	3.00 AUDIT AND GOVERNANCE (S) 5.00 PLANNING TRAINING SESSION (S) 6.30 PLANNING COMMITTEE (S)
THU	18	
FRI	19	
SAT	20	
SUN	21	
MON	22	
TUE	23	
WED	24	
THU	25	
FRI	26	
SAT	27	
SUN	28	
MON	29	SCHOOL SPRING HOLIDAY
TUE	30	
WED	31	
MARCH 2021		

Agenda Item 4

APRIL 2021		
THU	1	10.00 CABINET (S)
FRI	2	GOOD FRIDAY
SAT	3	
SUN	4	EASTER SUNDAY
MON	5	EASTER MONDAY
TUE	6	
WED	7	
THU	8	
FRI	9	
SAT	10	
SUN	11	
MON	12	10.00 PLANNING VISITING PANEL (B)
TUE	13	
WED	14	5.00 PLANNING TRAINING SESSION (B) 6.30 PLANNING COMMITTEE (B)
THU	15	
FRI	16	
SAT	17	
SUN	18	
MON	19	
TUE	20	
WED	21	
THU	22	5.00 MEMBERS' BRIEFING (S) 6.30 COUNCIL (S)
FRI	23	
SAT	24	
SUN	25	
MON	26	
TUE	27	
WED	28	
THU	29	
FRI	30	
APRIL 2021		

Agenda Item 4

MAY 2021		
SAT	1	
SUN	2	
MON	3	MAY BANK HOLIDAY
TUE	4	
WED	5	
THU	6	
FRI	7	
SAT	8	
SUN	9	
MON	10	
TUE	11	6.00 ANNUAL COUNCIL (VENUE TO BE DETERMINED)
WED	12	
THU	13	6.30 ADJOURNED ANNUAL COUNCIL (B)
FRI	14	
SAT	15	
SUN	16	
MON	17	
TUE	18	
WED	19	
THU	20	
FRI	21	
SAT	22	
SUN	23	
MON	24	
TUE	25	
WED	26	6.30 MANDATORY PLANNING COMMITTEE TRAINING SESSION (B)
THU	27	10.00 CABINET (B)
FRI	28	
SAT	29	
SUN	30	
MON	31	SPRING BANK HOLIDAY SCHOOL HALF-TERM HOLIDAY WEEK
MAY 2021		

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ANNEX A
METROPOLITAN BOROUGH OF SEFTON
PROGRAMME OF CABINET MEETINGS - 2020/2021

Meeting	Day	Time	Venue	2020								2021					
				May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	
CABINET	Thur.	10.00 a.m.	B	28		30				1		3		4	4		27
			S		25				3		5		7	11		1	

Key to Venues:

B - Bootle Town Hall

S - Southport Town Hall

ANNEX B
METROPOLITAN BOROUGH OF SEFTON
PROGRAMME OF COUNCIL, MEMBERS' BRIEFING SESSIONS AND REGULATORY COMMITTEE MEETINGS ETC. - 2020/2021

Meeting	Day	Time	Venue	2020								2021						
				May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June	
COUNCIL	Thur.	6.30 p.m.	B	21←					17				21		4→		11↓ Tue	
			S	19↑			16				19						22	13°
MEMBERS' BRIEFING SESSIONS Prior to each Ordinary Council Meeting	Thur.	5.00 p.m.	B						17				21					
			S				16				19					22		
AUDIT AND GOVERNANCE COMMITTEE	Wed.	3.00 p.m.	B		24	22						16						
			S						16						17			
DEALS (FOR PERSONNEL ISSUES) - as and when required	Thur.	-																
PLANNING AND REGULATORY COMMITTEE	Mon.	6.30 p.m.	B		15								11					
			S						7							15		
LICENSING SUB-COMMITTEE - as and when required			B															
			S															
PLANNING COMMITTEE	Wed.	6.30 p.m.	B	↑27		1	26			21		16		17		14	↓26	
			S			3	29		23		18			20		17		
PLANNING VISITING PANEL	Mon	10.00 a.m.	B		1/29	27	24	21	19	16	14	18	15	15	12			
PAY AND GRADING COMMITTEE – as and when required																		

↑ Annual Meeting 2020/21 - commences at 6.00 p.m. (Tuesday) (Venue to be determined)

← Adjourned Annual Meeting - Appointment of Committees etc. for 2020/21

→ Budget Meeting

↑Mandatory Planning Committee

° Annual Meeting 2021/2022 - commences at 6.00 p.m. (Tuesday) (Venue to be determined)

↓ Adjourned Annual Meeting - Appointment of Committees etc. for 2021/2022

ANNEX C
METROPOLITAN BOROUGH OF SEFTON
PROGRAMME OF MEETINGS FOR OVERVIEW AND SCRUTINY COMMITTEES - 2020/2021
(Tuesday)

Meeting	Venue	2020								2021				
		May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
OVERVIEW AND SCRUTINY COMMITTEE (Adult Social Care) (6.30 p.m.) (Tue)	B		23				13					23		
	S					1				5				
OVERVIEW AND SCRUTINY COMMITTEE (Regulatory, Compliance and Corporate Services) (Tue) (6.30 p.m.)	B					8				12	*9			
	S		16				20					2		
OVERVIEW AND SCRUTINY COMMITTEE (Regeneration and Skills) (6.30 p.m.) (Tue)	B		30						3			9		
	S					15				19				
OVERVIEW AND SCRUTINY COMMITTEE (Children's Services Safeguarding) (6.30 p.m.) (Tue)	B			7					10			16		
	S					22				26				
OVERVIEW AND SCRUTINY MANAGEMENT BOARD (4.30 p.m.) (Tue)	B		23			8			10			16		
	S													

* Special meeting to consider Budget proposals.

ANNEX D
METROPOLITAN BOROUGH OF SEFTON
PROGRAMME OF MEETINGS FOR PARTNERSHIP MEETINGS- 2020/2021

Meeting	Day	Time	Venue	2020								2021				
				May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May
PUBLIC ENGAGEMENT AND CONSULTATION PANEL ^	Fri	10.00 a.m.	B	15		10		11		13		15		12		
			S													
SEFTON SAFER COMMUNITIES PARTNERSHIP	Thu	10.00 a.m.	B		11			10			10			11		
			S													
HEALTH AND WELLBEING BOARD	Wed.	2.00 p.m.	B		10			9			9			10		
			S													

Meetings video conferenced to Southport Town Hall

Agenda Item 5

Report to:	Cabinet	Date of Meeting:	5 December 2019
Subject:	Hired Passenger Transport Framework Agreement 2020/21		
Report of:	Head of Communities	Wards Affected:	(All Wards);
Portfolio:	Cabinet Member - Children, Schools and Safeguarding		
Is this a Key Decision:	Yes	Included in Forward Plan:	Yes
Exempt / Confidential Report:	No		

Summary:

That the Head of Communities be authorised to grant the two one-year extensions (2020 & 2021) to the existing Framework Agreement for Hired Passenger Transport service, which had previously been tendered in accordance with OJEU regulations and the Council's procurement regulations as described in the Cabinet report of 6th April 2017.

Recommendation(s):

(1) Authorise the Head of Service – Communities to extend the existing 2018/20 Framework Agreement for two further one-year extensions.

Reasons for the Recommendation(s):

The current framework agreement is made up of 15 hired passenger transport companies, in 4 lots, divided up into vehicle seating capacity. The core period will expire on 31st December 2019.

Alternative Options Considered and Rejected: (including any Risk Implications)

None. Based upon the level of requests from commissioning departments there is currently an ongoing need for the Council to provide transport to some service users. As such, this procurement exercise and the subsequent establishment of a Framework Agreement provides the Council with the opportunity to procure services at the most economically advantageous rates, whilst also meeting the stringent Health and Safety and Safeguarding issues associated with transporting vulnerable adults and children.

What will it cost and how will it be financed?

(A) Revenue Costs

There are no direct financial implications as a result of this report. This framework agreement establishes a list of approved suppliers, together with their tendered unit costs, from which, future transport contract bids for routes are measured, or individual transport is commissioned.

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The Council currently budgets and spends around £8.5m on Transport for vulnerable adults and children with Special Education Needs and Disabilities. The use of the framework agreement will help to ensure value for money is maintained during the award of future contracts.

(B) Capital Costs

N/A

Implications of the Proposals:

Resource Implications (Financial, IT, Staffing and Assets): Not applicable
Legal Implications: Not applicable
Equality Implications: Not applicable

Contribution to the Council's Core Purpose:

Protect the most vulnerable: This framework is in place to allow the procurement of home to school transport and home to day care transport for the most vulnerable members of the public.
Facilitate confident and resilient communities: Not applicable
Commission, broker and provide core services: This extension to the existing Framework is required to enable the Travel Support Team to continue commissioning this transport.
Place – leadership and influencer: Not applicable
Drivers of change and reform: Not applicable
Facilitate sustainable economic prosperity: Not applicable
Greater income for social investment: Not applicable
Cleaner Greener Not applicable

What consultations have taken place on the proposals and when?

(A) Internal Consultations

The Head of Corporate Resources (FD5854/19) and the Chief Legal and Democratic Officer (LD4088/19) have been consulted and any comments have been incorporated into the report.

(B) External Consultations

None

Implementation Date for the Decision

Following the expiry of the “call-in” period for the Minutes of the Cabinet Meeting

Contact Officer:	Anthony Bradbury
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Email Address:	anthony.bradbury@sefton.gov.uk

Appendices:

There are no appendices to this report

Background Papers:

There are no background papers available for inspection.

Introduction

Specialist Transport has recently been restructured as part of Public Sector Reform and is now included within the newly established Travel Support Team. This team supports the delivery of all aspects of the Council's Home to School Travel Support Policy. It is recognised that there is scope to improve the effectiveness and efficiency of this service area and the restructure of the team was the first step in this process. The team are now looking to improve a number of areas including procurement but at this stage the current framework is fit for purpose. An extension of 2 years allows the team time to analyse and understand cost drivers, develop a better understanding of the market place and the service that we require and develop a new contract to improve our procurement in line with our policy.

Background

The Sefton Travel Support Team commissions transport for over 1,150 vulnerable children and adults travelling to more than 85 different Schools, Colleges and Day Centres. It also provides journeys for these service users to and from respite centres enabling short-break respite for families and carers. In addition, the team supports Children's Social Care providing transport to enable access to contact meetings with family members, respite breaks and home to school transport.

The Hired Passenger Transport Framework Agreement established an approved supplier list and a pricing structure for two years with the option to extend for two years. It reaches the end of the first two years in December 2019.

Extending the framework will allow the Travel Support Team to continue to use the established Approved Supplier List of suitable service providers. This enables the Council to award contracts directly by using the pricing structure established within the framework, to ensure best value without the need to run competitions. This is most frequently used for low cost trips.

Mini-competitions using the Approved Supplier List are used to ensure best value for more expensive routes, such as 16 seat minibuses with multiple passenger assistants to provide support for service users with a higher level of need.

Performance of each route is reviewed throughout the year and considered individually before an extension to any of the 390 routes is offered. Key performance considerations are: punctuality, readiness for students to learn, and also factors in feedback from schools and parents.

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Agenda Item 6

Report to:	Cabinet	Date of Meeting:	5 December 2019
Subject:	Extension of Housing Related Support Contracts		
Report of:	Head of Economic Growth and Housing	Wards Affected:	(All Wards);
Portfolio:	Cabinet Member - Communities and Housing		
Is this a Key Decision:	Yes	Included in Forward Plan:	Yes
Exempt / Confidential Report:	No		

Summary:

To seek approval from Cabinet to utilise the option to extend the commissioned Housing Related Support (homelessness) Services contracts by two years.

Recommendation(s):

- (1) That Cabinet approves the request to extend the commissioned Housing Related Support (homelessness) Services contracts by two years.
- (2) That Cabinet approves the contract price variation for 2-years, following the core period ending, to be funded from the Flexible Homelessness Support Grant

Reasons for the Recommendation(s):

Sefton's current commissioned Housing Related Support Services commenced on 1st July 2015 for a period of 5 years, with the option to extend for two x one year periods.

Alternative Options Considered and Rejected: (including any Risk Implications)

The Council could decide not to extend, which would mean that the contracts would end on 30th June 2020.

What will it cost and how will it be financed?

(A) Revenue Costs

The contracts include the provision for inflationary costs of 2% or prevailing rate of CPI (whichever is the lowest) of the contract value should the contracts be extended. The increase in annual cost will be £17,212 (£34,424 over the two-years) for all of the contracts, which can be funded from the Flexible Homeless Support Grant.

(B) Capital Costs

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No direct costs arising from the recommendations of this report

Implications of the Proposals:

Resource Implications (Financial, IT, Staffing and Assets): Increase in financial cost of £17,212 per year for 2 years.
Legal Implications: None
Equality Implications: There are no equality implications.

Contribution to the Council's Core Purpose:

Protect the most vulnerable: Those who are homeless, and, those at risk of becoming homeless are among the most vulnerable in society.
Facilitate confident and resilient communities: Through the intervention by the Council and its partners at the most critical moment when residents are homeless or at the risk of becoming homeless in order to prevent further reliance on public sector support in the future.
Commission, broker and provide core services: The delivery of services which are based on the needs of some of the most vulnerable in society.
Place – leadership and influencer: Through the close working relationship with commissioned service providers to deliver services that help deliver the 2030 vision of the borough.
Drivers of change and reform: Through the understanding of the needs of the most vulnerable in society and change and reform of services in order to meet those needs.
Facilitate sustainable economic prosperity: Help to relieve rough sleeping and homelessness in Sefton has a wide ranging positive impact for those most vulnerable in society by providing residents with the most basic form of need; housing.
Greater income for social investment: Not applicable
Cleaner Greener Not applicable

What consultations have taken place on the proposals and when?

(A) Internal Consultations

The Head of Corporate Resources (FD5814/19) and the Chief Legal and Democratic Officer (LD4038/19) have been consulted and any comments have been incorporated into the report.

(B) External Consultations

Discussions with the existing Providers of Homeless Support services

Implementation Date for the Decision

Following the expiry of the “call-in” period for the Minutes of the Cabinet Meeting

Contact Officer:	Graham Parry
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Appendices:

There are no appendices to this report

Background Papers:

The following background papers, which are not available elsewhere on the Internet can be accessed on the Council website:

- Cabinet Paper – Procurement of Homeless and Housing Related Support Services 27.11.2014
- Homelessness & Rough Sleeping Strategy 2018-2023.
- Homelessness & Rough Sleeping Action Plan

<https://www.sefton.gov.uk/housing/homelessness-and-rough-sleeping-strategy.aspx>

1. Introduction/Background

1.1 The Council entered into a range of contracts effective from 1st July 2015 to provide Housing Related Support (HRS) Services linked to the prevention, resolution and relief of homelessness in the Borough.

1.2 The contracts are scheduled to last for 5 years, commencing on the 1st July 2015 ("the commencement date") and terminating on the 30th June 2020, with option to extend annually for up to a further 2 years to 30th June 2022.

1.3 Current Contracts

The contracts awarded are as follows:

Provider	Service	No. of clients/units	Cost per annum (£)
Sefton Supported Housing Group (SSHG Consortium)	Accommodation-generic homeless people (including a	70	426,995

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	Sit-Up service)		
Humankind	Accommodation-substance misuse	10	93,577
Excel	Accommodation-single women with complex needs	4	29,950
North West Property Custodians	Accommodation-offenders	8	46,250
Humankind	Dispersed Accommodation and Floating Support - generic low level	30	29,722
Humankind	Dispersed Accommodation and Floating Support - offenders	40	93,119
Light for Life	Southport Housing Advice Service	n/a	57,865
Light for Life	Rough Sleeper Outreach & Rough Sleeper Community Service	40	44,134
Whitechapel	Floating Support service – medium level multiple needs clients	20	39,000

2.0 Contract Variation/Increase Agreed

2.1 The below sentence is contained within the existing Housing Related Support Services contracts regarding a contract variation at the end of June 2020,

‘Any price variation following the core period of the Contract (ending June 2020), must be made in writing, with supporting documents, and shall only become valid following acceptance by the Council, and will be limited to 2% or the prevailing rate, whichever is lowest, unless a fixed price contract is agreed.’

2.2 As the contracts total £860,610 per annum it would mean an additional cost of £17,212 per annum (£34,424 over the two-years) would be required in order to fulfil this uplift. It is proposed that this would be funded through the Flexible

Homelessness Support Grant, which is a ringfenced grant that can only be used to prevent or deal with homelessness.

3.0 EIP 1 – Acute Wraparound

- 3.1 These Housing Related Support (homelessness) contracts are within scope of the Council's 'Acute Wraparound services review exercise' (Early Intervention & Prevention 1) workstream which is part of Framework for Change 2017.
- 3.2 The purpose of this workstream has been to capture those specialist services that are commissioned for some of the Council's most vulnerable residents and to look at how those services can work in a more person-centred way, tackling issues together rather than in a service-specific manner. This work has been heavily informed by lottery funded programmes delivered elsewhere across the country, some of which are due to end and be evaluated shortly. In order to take advantage of best practice on these significant pieces of work, it will be several months before the evaluation reports are received and the implications for the commissioning of local services are assessed. It is not intended that this work will change the provision of the commissioned services but may provide an opportunity to amend contract specifications to cover any best practice that is highlighted.
- 3.3 Due to the timescales for moving the Acute Wraparound exercise forward, it won't be possible to undertake and complete a procurement exercise prior to the end date of the current contracts (June 2020). To ensure there is adequate time to finalise our approach to the Acute Wraparound review, follow this with a thorough preparation for procurement, and then undertake a procurement exercise, it is recommended that the current contracts be extended, and an inflationary contract price uplift provided to each of the service providers.

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Agenda Item 7

Report to:	Cabinet	Date of Meeting:	5 December 2019
Subject:	Senior Management Arrangements		
Report of:	Chief Executive Chief Personnel Officer	Wards Affected:	N/A
Cabinet Portfolio:	Corporate Resources/Chief Executive		
Is this a Key Decision:	Yes	Included in Forward Plan:	Yes
Exempt / Confidential Report:	No		

Summary:

The purpose of the report is to facilitate a new Senior Management Structure at a key strategic level given the recent recruitment of the Chief Executive and the continuing need for the Authority to meet existing and future challenges. Changes are deemed necessary to facilitate the increased demands facing the council, increasing challenges in key services, most notably Children's Services and Adult Social Care, creating stronger reporting lines, with an appropriate number of direct reports, and to allow the Chief Executive to adopt an appropriate concentration on strategic issues.

Cabinet are asked to authorise structural changes and recruitment as defined in this report and to recommend remuneration levels to Full Council (such remuneration levels being over £100,000). Recruitment as required will be within existing arrangements and will be for the Employment Procedure Committee.

Recommendation(s):

1. That the post of Director of Social Care and Health which was formerly held by the Chief Executive prior to his recruitment is deleted
2. That posts of Executive Director of Adult Social Care and Health and Executive Director of Children's Social Care and Education be formed at salary level at HAY 1 (such salary level subject to the Pay Policy), which both have recommended level of remuneration over £100,000 (the salary over £100,000 to be approved by Full Council in accordance with the constitution). Recruitment of these posts will be a matter of open recruitment by the Employment Procedure Committee.
3. The amendment of two permanent Executive Director posts, one to form the post of Executive Director Place and the other Executive Director People. Such salary levels will remain unchanged at HAY 1. Amendment of these posts is subject to consultation with the individuals involved in accordance with normal Council HR processes. These are not new posts but reflect a refocus of responsibilities. Cross and without portfolio working will still be required as necessary.

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4. The formation of a new post of Executive Director of Corporate Resources and Customer Services at HAY 1 and the deletion of the post of Head of Corporate Resources (such remuneration level over £100,000 and subject to approval by Full Council in accordance with the constitution). This post will be subject to an assimilation.
5. The current temporary arrangement of the Executive Director (Without Portfolio) will continue on a temporary basis to February 2021 as the Council has secured additional funding from the Combined Authority to support additional projects which require capacity. The post will be re-titled Executive Director (Without Portfolio).
6. The alignment of services and posts below Executive Director level to be in accordance with Annex 1. The Chief Executive, in consultation with the Leader, be authorised to make any necessary changes in alignment of services and posts below Executive Director level, however, it is not anticipated that immediate changes in established posts below will be necessary to existing Head of Service posts.

Reasons for the Recommendation(s):

To provide for a Strategic Management Structure which will enable the delivery of the Core Purpose and Council objectives at both an operational and strategic level.

Alternative Options Considered and Rejected: (including any Risk Implications)

As would be expected the demands and challenges faced by local government and Sefton MBC continue to increase and evolve, therefore it is essential that the senior management structure reflects this. These proposals coincide with the recruitment of the new Chief Executive.

What will it cost and how will it be financed?

(A) Revenue Costs

The increased costs of the substantive posts in this structure amount to £0.175m. It is proposed the cost associated with the Executive Director of Corporate Resources and Customer Services (£0.027m) be met from existing budgets, whilst the additional costs associated with the Executive Directors of Adult Social Care and Health and Children's Social Care and Education (£0.149m) will be included in the councils 2020/21 budget and will be funded through the additional resources allocated in the recent spending review.

The Executive Director (without portfolio) will be funded by EU Exit funding that has been made available to the council of £0.49m and funding provided by the combined authority of £0.114m. Both of these sums are one-off allocations that will directly fund this post until February 2021.

(B) Capital Costs

There are no capital costs arising from these proposals

Implications of the Proposals:

<p>Resource Implications (Financial, IT, Staffing and Assets):</p> <p>Normal HR processes will be followed which will include appropriate consultation and the financial implications are as set out within the report</p>
<p>Legal Implications:</p> <p>Changes will be made in accordance with the Council’s constitution and processes.</p>
<p>Equality Implications:</p> <p>There are no equality implications.</p>

Contribution to the Council’s Core Purpose:

<p>Protect the most vulnerable: The structure will enable continuing close focus to protect the most vulnerable, but provide dedicated Executive leadership with a focus on Children’s Social Care / Education and separately Adult Social Care and Health</p>
<p>Facilitate confident and resilient communities: The structure will provide for continuing good work in this respect to enable strategic delivery</p>
<p>Commission, broker and provide core services: This aspect will be strengthened by the new management structure</p>
<p>Place – leadership and influencer: A focus will continue in Place leadership and influencing allowing the designation of a particular Executive Director</p>
<p>Drivers of change and reform: The will be enhanced by the adoption of a strategic approach</p>
<p>Facilitate sustainable economic prosperity: This structure will enable close focus on this objective with a particular strategic lead</p>
<p>Greater income for social investment: This will be enhanced by the strategic changes</p>
<p>Cleaner Greener Along with other initiatives this will be strengthened by closer reporting ties</p>

What consultations have taken place on the proposals and when?

(A) Internal Consultations

The Head of Corporate Resources (FD5851/19) and Chief Legal & Democratic Officer (LD4084/19) have been consulted and any comments have been incorporated into the report.

(B) External Consultations

Following the expiry of the “call-in” period for the Minutes of the Cabinet Meeting

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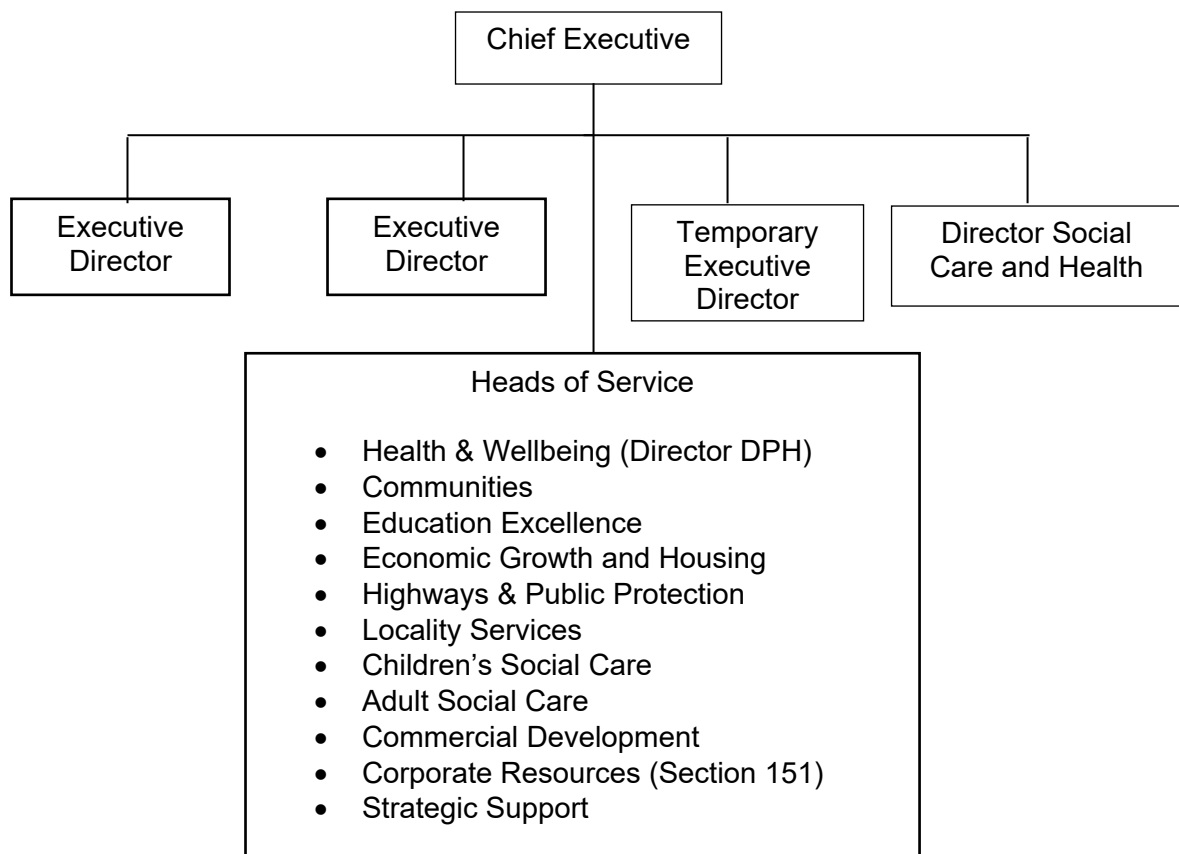
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Appendices:

There are no appendices to this report

Background

1. Following the appointment of the new Chief Executive in June 2019, this has given an opportunity to reflect on the existing management arrangements and an additional opportunity to continue the development of Sefton's key strengths which are identified as:
 - Strong Financial Management
 - Excellent Community Working
 - A Committed and Dedicated Workforce
2. Senior Management arrangements were changed in 2015 to include two substantive roles and with one additional fixed term Executive Director (added later) who would support the Council, Cabinet and Chief Executive in the development of the Council's vision and priority outcomes.
3. Before the recruitment of the current Chief Executive, the structure currently is as follows:



4. Part of the original aims of the structure was to encourage cross area working, to break down silos and to ensure that management and the organisation were responsive to the Leader, Cabinet, our Elected Members and ultimately our communities.

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5. In terms of the structure, it was envisaged that strategically the primary responsibility for development of strategy with the Leader and Cabinet, would rest with the Chief Executive and Executive Directors. Heads of Service would also have appropriate but limited strategic input with approximately 80% of their role being operational.
6. Organisationally, the structure facilitated an Executive Leadership Team (ELT) that comprised of:
 - Chief Executive
 - Executive Directors
 - Director of Health & Social Care (DCS and DAS)
 - Head of Corporate Resources
7. The Authority utilises a Strategic Leadership Board which encompasses the members of ELT and Heads of Service.
8. In terms of pay, from 2015 onwards the Authority adopted pay on a spot salary for Hay Grades 1 – 4, with Hay Grades 5 and 6 remaining as incremental grades.
9. After the recruitment of the current Chief Executive (who held the role of Director of Social Care and Health and undertook the 2 statutory roles of Director of Adult Social Care and Director of Children’s Services), a number of interim arrangements were put into place. The Head of Adult Social Care became the interim Director of Adult Social Care (encompassing the DAS) in terms of statutory position, and on a similar basis the Head of Children’s Social Care became the interim statutory Director of Children’s Social Care (encompassing Education). Both interim DCS and DAS arrangements allowed the Chief Executive to correctly concentrate on the key role of Chief Executive.
10. As a result of the successful evolution of the Executive Director role, the potential changes are deemed necessary in respect of how senior management is organised. The changes are to provide for clearer reporting lines (with appropriate span of control) and concentration on key strategic areas. The “without portfolio” approach has been successful, however, the need for closer reporting is deemed beneficial by the Chief Executive.
11. Any changes in relation to senior management must also be conscious of the following factors:
 - The continuance of the successful cross organisational work
 - Continuing the culture of openness in leadership and management
 - Encouraging innovation, commercialism, and team approaches
 - Focus on the key asset of our workforce and partnership working
 - The continued financial challenges
12. Importantly, the challenges which have been faced by the Authority within the last 10 years in terms of financial pressures, it is suggested will continue and it is necessary to ensure the Authorities management, is responsive and capable of delivering for the Leader, Cabinet, Council and our partners as required. This and the ever changing demand in Adult Social Care and Health and Children’s Social

Care and Education both in terms of regulatory demands, changes to function within the council and engagement with partners and the demand from residents, also facilitates the review. This has been recognised in the latest government spending round announced in September 2019.

13. Annex 1 provides a representation of the alignment of functions, although all other existing arrangements will simply fit below this strategic structure.

Changes

14. Existing arrangements provide the Chief Executive with a large number of direct reports. Given the future strategic challenges, a lesser number of direct reports is created. This will allow the organisation to operate with flexibility whilst maintaining stronger reporting lines.
15. As a result of the recruitment to the Chief Executive and the need for specific focus on the increasing demands and changes in the large service areas of Children's Social Care and Education and Adult Social Care as detailed in paragraph 12, it is recommended that two posts be formed, one being an Executive Director of Children's Social Care and Education and the other an Executive Director of Adult Social Care and Health.
16. It is recommended that these roles be at HAY 1 level £116,742 (with any necessary market supplement in accordance with the Council's existing Pay Policy). This recommendation is given when looking at comparative salaries at other roles and the necessity to attract a good calibre of recruit. These appointments are permanent roles and will be subject to an open recruitment process through the Employment Procedure Committee.
17. It is further recommended that the role of Head of Corporate Resources be deleted and a new post of Executive Director of Corporate Resources and Customer Services be formed. This role as an Executive Director will be a post which encompasses the Head of Corporate Resources role but with an enhanced strategic role (which will encompass responsibility for strategic support and the transformation elements). This is an enhanced role and the role of Head of Corporate Resources will not be replaced. It is recommended that this post be subject to an assimilation given the non continuance of the existing role of Head of Corporate Resources and the assimilation of a number of key roles within the new post.
18. As a result of the changes in emphasis within the structure, and not having "without portfolio" Executive Directors, the two permanent Executive Directors will be offered roles of Executive Director, Place and Executive Director, People, in accordance with the Council's normal HR processes. In this respect, the existing roles of Executive Director will therefore simply be amended to reflect the service areas and reporting lines which come under their remit. Existing postholders of permanent Executive Director will be assimilated after due process.
19. Constitutionally, any posts which are newly formed and attract a salary level of over £100,000 are subject to approval of that remuneration level to Full Council. The advice of the Chief Personnel Officer is that the salary levels for the roles of Executive Director Adult Social Care and Health, Executive Director Children's

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Social Care and Education and Executive Director Corporate Resources and Customer Services are in line with expectations of over £100,000 and it is suggested will be advertised at HAY 1 level (any level above subject to the Council's existing Pay Policy). The Chief Personnel Officer has considered salaries which are payable in comparable posts.

20. Full Council is therefore recommended by Cabinet to authorise the salary level of above £100,000 for those roles, which the Chief Personnel Officer advises is a salary level consistent with these posts.
21. The arrangements to be put in place will build on the excellent work of the 'without portfolio' Executive Directors (who have worked successfully thematically) and this aspect as required will continue.
22. The arrangements will allow future succession planning options for the Chief Executive post when required.
23. In June 2018, an additional Executive Director was appointed on a temporary basis to support a range of strategic programmes. The Executive Director has successfully led on a number of very high profile and challenging strategic projects, including being the Council's lead on EU Exit, the Borough of Culture and involvement in a range of Combined Authority matters. Since then the Combined Authority have indicated that they would be willing to provide some revenue funding to support strategic programmes and alongside the EU Exit funding which Government has made available in order to facilitate a smooth exit (and for which the council must have a nominated lead), it is proposed that this post is extended for a further 12 months until February 2021. This post will become Executive Director (Without Portfolio).
24. Changes in job titles in respect of the structure are highlighted in Annex 1 and the job descriptions and person specifications for the posts which are changing are attached. HAY methodology has been used for all posts.

Savings and Financial Position

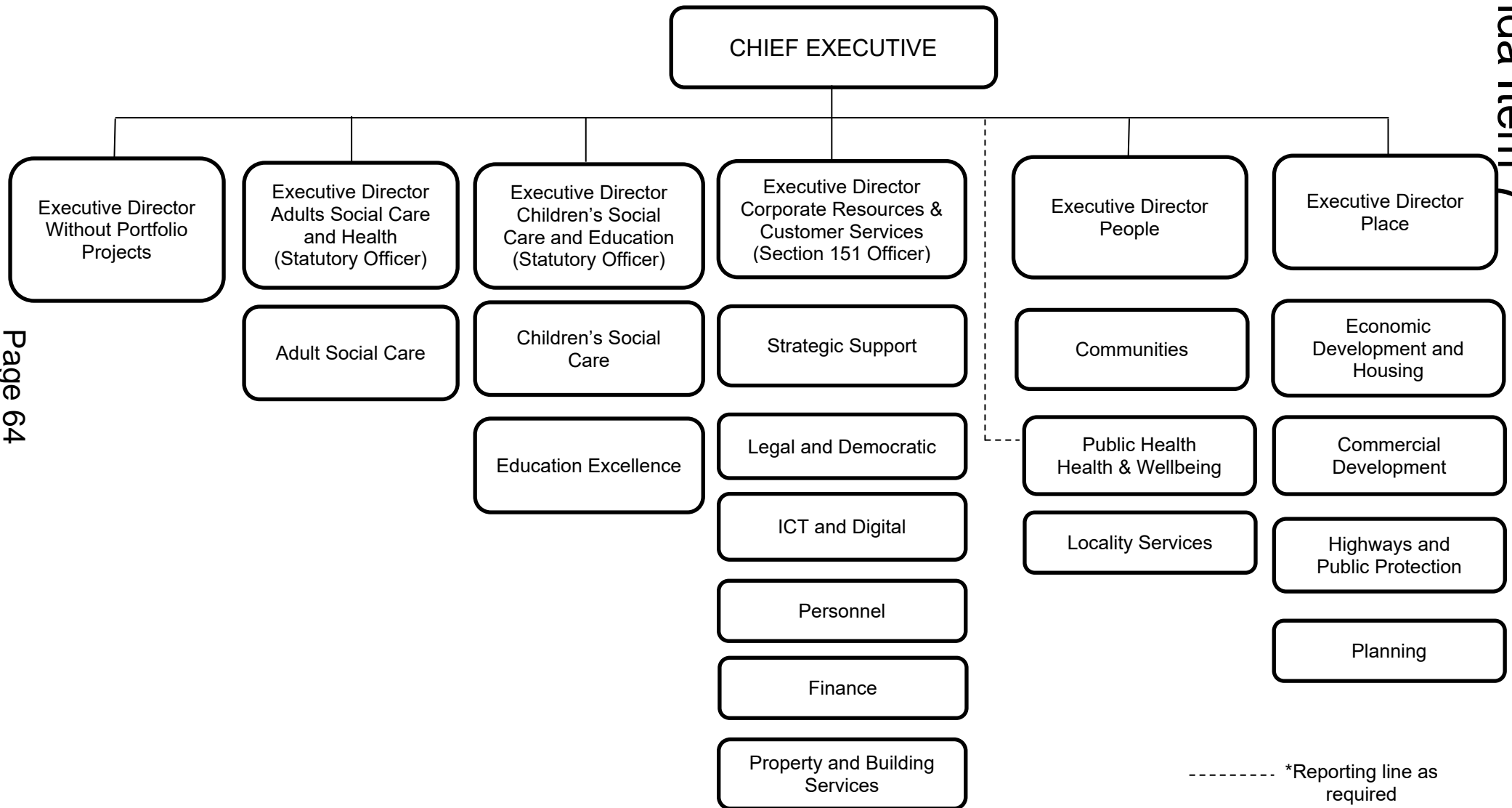
25. As stated within the report the existing Executive Director Posts will be funded as they are now with permanent existing budget being available. The Executive Director (without portfolio) will be funded via one-off funding for a period of 12 months until the end of February 2021 via grants that have been received in relation to EU exit and to support activity in the Combined Authority.
26. In respect of the new post Executive Director, Corporate Resources and Customer Services the additional cost of £0.027m can be funded via existing service budgets.
27. From the deletion of the existing Director of Social Care and Health post and the creation of the 2 posts in respect of Adult Social Care and Health and Children's Social Care and Education an additional budget requirement of £0.149m will be required. This sum will be included within the 2020/21 budget and will be met from the additional support being made available to those service from the spending round announced in September 2019.

Changes below High Strategic Level

28. It is suggested that in relation to the alignment of services, Annex 1 provides what the Chief Executive believes is the best reporting lines for various services, however, it is also suggested that any necessary future changes in this structure be dealt with in accordance with delegated authority of the Chief Executive and the Leader.
29. In respect of the Director of Public Health a reporting line will exist as necessary to the Chief Executive when required, although most line management will be with the appropriate Executive Director.

Consultation

30. Trade Unions and members of Strategic Leadership Board and Executive Leadership Team have been informed and consulted as necessary in respect of these changes.



SEFTON METROPOLITAN BOROUGH COUNCIL **JOB PROFILE**

POST - EXECUTIVE DIRECTOR ADULT SOCIAL CARE AND HEALTH

Salary £116,742

JOB PURPOSE

To have key accountability and responsibility for the delivery and strategic development within the area of Adult Social Care with ability to lead other areas within the organisation as required.

Support the Council, Cabinet and the Chief Executive in the development and achievement of the Councils vision and priority outcomes.

The role will support the Chief Executive creating and sustaining consistent culture and behaviours conducive with a high performing Council, lead collectively and collaboratively within and outside the Council as key drivers of change supporting the Council to innovatively, proactively and confidently adapt to the dynamic resource and policy agenda.

The role will have very high level accountability spanning organisational and system leadership, developing and sustaining effective partnerships, together with performance and stakeholder management and freedom to act in support of the Chief Executive.

The role will drive a high performance culture within the Council.

The role will lead of key thematic matters and be responsible for the delivery of key corporate and Borough projects

PRINCIPAL RESPONSIBILITIES

1. Provide Strategic Leadership across the Council with specific responsibility for ensuring that priority initiatives are delivered in accordance with the Sefton Vision Outcomes Framework and the Council's Core Purpose.
2. Lead a transformational approach to the delivery of Sefton services including creating new revenue streams, new models of service delivery, new demand management methods and new operating models to achieve the Sefton 2030 vision.

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3. Work with the Chief Executive, Cabinet, Council, Elected Members and colleagues to deliver our vision for Sefton.
4. Personal accountability for the delivery of a prioritised work programme with agreed thematic outcomes relating to the Sefton's Core Purpose.
5. Responsibility for Strategic resource decisions and leadership of transformational projects.
6. Develop and sustain strategic partnerships at the local regional and national level.
7. Role model the agreed leadership behaviours and support the development of a high performance, innovative and collaborative culture.

RESPONSIBILITIES

1. Provide strategic leadership to the whole Council and work in close partnership with the Chief Executive to deliver the Council's plans and develop its ambitions.
2. Ensure the Council's longer term vision, strategy and priorities are delivered.
3. Develop and embed a performance culture that delivers better outcomes for local people.
4. Work closely with all Elected Members, specifically with the Leader and Cabinet Members, and support them in undertaking their Strategic Leadership and Community Leadership roles by providing expert strategic advice, support and challenge.
5. Advocate for the needs of local people and develop strategies that enable local communities to become more resilient and self sufficient.
6. The postholder will:
 - Lead Council-wide partner Boards and working groups as required;
 - Act as the Emergency Duty Co-ordinator, on a rota basis, for the Council's Emergency Planning processes and to attend ongoing training as required;
 - Represent the Council at key Civic events as required including Remembrance Services;
 - Represent the Council at partner events as appropriate.

ROLE SPECIFIC RESPONSIBILITIES

Accountability to discharge the key duties of the statutory role of Director of Adult Services which includes strategic leadership to ensure vulnerable adults within the Borough are effectively protected from abuse and harm and to ensure the co-

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ordination of inter-agency and partnership working and the protection of the interests of people whose rights are restricted under the Mental Health Act 1983.

Act in the capacity of the Authority's lead officer for Adult Social Care to ensure the strategic planning, design and delivery of these service areas and provision of the best possible services for the people of Sefton.

To be part of the Council's Executive Leadership Team and Senior Leadership Board recognising that the role incorporates ownership, commitment and leadership responsibilities for delivery of both Council and Community strategies, working in partnership with other agencies to achieve goals and embracing the concept of One Council.

To engage colleagues responsible for the provision of adult social care and key service areas to ensure that agreed outcomes are met consistently and in accordance with agreed policies and standards.

Responsible for providing strategic leadership to ensure vulnerable adults within the Borough are effectively protected from abuse and harm and to ensure the co-ordination of inter-agency working and ensuring the protection of the interests of people whose rights are restricted under the Mental Health Act.

Responsible for assessment and commissioning of Adult Social Care provision and ensuring all adults are safeguarded, working with the Director of Social Care and Health to contribute to the strategic planning and direction of the Service.

Lead and manage a range of complex operational and specialist service teams covering the functional areas encompassing; assessment of need, direct payment services, quality assurance and safeguarding together with the commissioning of appropriate Adult Care incorporating Day Care, Home Care, Residential, Respite and Carers Services activities.

Direct the effective delivery of performance, policy and planning for multi-agency Safeguarding services to respond to the needs of vulnerable adults ensuring the Council fulfils its statutory safeguarding responsibilities and ensuring decisions and actions are appropriate.

Achieve synergy by ensuring there is effective integration of related services within the Directorate and across the Council ensuring the contribution of private providers, and the voluntary and community sectors are effectively and appropriately harnessed. To ensure that services provided or procured are capable of meeting the Council's needs.

GENERAL:

The post may require specific safeguarding checks. Where these are required the person appointed will be subject to those checks.

The post may require access to the Public Service Network (PSN) requiring compliance with the HMG Baseline Personnel Security Standard.

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New appointments will be required to satisfactorily complete a six month probationary period.

The postholder will be expected to work flexibly and the exact nature of the duties described above is subject to periodic review and is liable to change. Out of hours working will be required as appropriate.

This job description is a representative document. Other reasonably similar duties may be allocated from time to time commensurate with the general character of the post and its grading.

All staff have a duty to take care of their own health & safety and that of others who may be affected by your actions at work. Staff must co-operate with employers and co-workers to help everyone meet their legal requirements.

The Authority has an approved equality policy in employment and copies are freely available to all employees. The post holder will be expected to comply, observe and promote the equality policies of the Council.

Since confidential information is involved with the duties of this post, the postholder will be required to exercise discretion at all times and to observe relevant codes of practice and legislation in relation to data protection and personal information.

Note: Where the post-holder is disabled, every effort will be made to support all necessary aids, adaptations or equipment to allow them to carry out all the duties of the job.

EXECUTIVE DIRECTOR ADULT SOCIAL CARE AND HEALTH – PERSON SPECIFICATION

Personal Attributes Required	Essential (E) or Desirable (D)	Method of Assessment
<u>Qualifications / knowledge</u>		
Educated to Post Graduate level	E	C/AF
Recognised Leadership Qualification or Relevant Experience	E	C/AF
Knowledge and understanding of the strategic, regulatory and political context within which local government operates with the ability to lead the service areas within the post.	E	AF/I
In depth Knowledge of formulating and implementing corporate policies and strategies.	E	AF/I
<u>Experience Relative to Role</u>		
Experience of operating at a high level within a complex organisation involving diverse stakeholders.	E	AF/I
Ability to successfully co-ordinate and deliver large multi partner projects.	E	AF/I
Substantial and proven ability to work successfully with Elected Members.	E	AF/I
Proven track record on delivering successful leadership and management outcomes within a large organisation setting.	E	AF/I
Significant understanding of strategic policy development and implementation within a large organisation setting applicable to Local Government and Sefton Council's vision.	E	AF/I
Excellent knowledge of the working of Local Government and other public, private and voluntary sector organisations.	E	AF/I
An ability to provide and empower innovative thinking which leads to tangible delivery of outcomes.	E	AF/I

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Assessment Methods Key:

AF – Application Form

C – Certificates

P - Presentation

I – Interview

Skill and Attitude and Value Based Criteria

- Sefton’s vision and promise sets out how we as a Council want to work with each other, and with our communities and our partners, to make Sefton a great place to be.
- Personal responsibility to support the delivery of the vision and consistently demonstrate the behaviours and values expressed in the Promise and Leadership requirements.
- Have the necessary political knowledge, skills and abilities needed to operate effectively in a political environment.
- Develop, lead, participate and collaborate in effective partnership across organisations and sectors.
- Focus on outcomes, break down barriers and facilitate One Council delivery.
- Thrive on ambiguity and demonstrate exceptional personal resilience.
- Create and sustain enabling and open relationships.
- Create the most effective environment for innovation, learning and performance.
- Lead change and empower the Council to effectively manage complexity, ambiguity and risk.

Prepared by:

<u>Name</u>	D. Johnson
<u>Designation</u>	Chief Executive
<u>Date</u>	September 2019

SEFTON METROPOLITAN BOROUGH COUNCIL **JOB PROFILE**

POST - EXECUTIVE DIRECTOR CHILDREN'S SOCIAL CARE AND EDUCATION

Salary £116,742

JOB PURPOSE

To have key accountability and responsibility for the delivery and strategic development within the area of Children's Social Care with ability to lead other areas within the organisation as required.

Support the Council, Cabinet and the Chief Executive in the development and achievement of the Council's vision and priority outcomes.

The role will support the Chief Executive creating and sustaining consistent culture and behaviours conducive with a high performing Council, lead collectively and collaboratively within and outside the Council as key drivers of change supporting the Council to innovatively, proactively and confidently adapt to the dynamic resource and policy agenda.

The role will have very high level accountability spanning organisational and system leadership, developing and sustaining effective partnerships, together with performance and stakeholder management and freedom to act in support of the Chief Executive.

The role will drive a high performance culture within the Council.

The role will lead on key thematic matters and be responsible for the delivery of key corporate and Borough projects

PRINCIPAL RESPONSIBILITIES

1. Provide Strategic Leadership across the Council with specific responsibility for ensuring that priority initiatives are delivered in accordance with the Sefton Vision Outcomes Framework and the Council's Core Purpose.
2. Lead a transformational approach to the delivery of Sefton services including creating new revenue streams, new models of service delivery, new demand management methods and new operating models to achieve the Sefton 2030 vision.

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3. Work with the Chief Executive, Cabinet, Council, Elected Members and colleagues to deliver our vision for Sefton.
4. Personal accountability for the delivery of a prioritised work programme with agreed thematic outcomes relating to the Sefton's Core Purpose.
5. Responsibility for Strategic resource decisions and leadership of transformational projects.
6. Develop and sustain strategic partnerships at the local regional and national level.
7. Role model the agreed leadership behaviours and support the development of a high performance, innovative and collaborative culture.

RESPONSIBILITIES

1. Provide strategic leadership to the whole Council and work in close partnership with the Chief Executive to deliver the Council's plans and develop its ambitions.
2. Ensure the Council's longer term vision, strategy and priorities are delivered.
3. Develop and embed a performance culture that delivers better outcomes for local people.
4. Work closely with all Elected Members, specifically with the Leader and Cabinet Members, and support them in undertaking their Strategic Leadership and Community Leadership roles by providing expert strategic advice, support and challenge.
5. Advocate for the needs of local people and develop strategies that enable local communities to become more resilient and self sufficient.
6. The postholder will:
 - Lead Council-wide partner Boards and working groups as required;
 - Act as the Emergency Duty Co-ordinator, on a rota basis, for the Council's Emergency Planning processes and to attend ongoing training as required;
 - Represent the Council at key Civic events as required including Remembrance Services;
 - Represent the Council at partner events as appropriate.

ROLE SPECIFIC RESPONSIBILITIES

Accountability to discharge the key duties of the statutory role of Director of Children's Services (including Education) providing expert strategic advice on

Agenda Item 7

statutory functions and professional practice in relation to vulnerable children requiring collaborative working across the Council and beyond.

Act in the capacity of the Authority's lead officer for Children's Social Care (including Education) to ensure the strategic planning, design and delivery of these service areas and provision of the best possible services for the people of Sefton.

To be part of the Council's Executive Leadership Team and Senior Leadership Board recognising that the role incorporates ownership, commitment and leadership responsibilities for delivery of both Council and Community strategies, working in partnership with other agencies to achieve goals and embracing the concept of One Council.

To engage colleagues responsible for the provision of children's social care and key service areas to ensure that agreed outcomes are met consistently and in accordance with agreed policies and standards.

Overall responsibility for the leadership and management of Children's Social Care providing universal and targeted services for children, young people and their families ensuring children are safeguarded and welfare is promoted. Act as required for any registration in connection with the post.

Responsibility for ensuring that the general principles stemming from the United Nations Convention on the Rights of the Child (UNCRC) are effectively implemented providing children and young people with involvement in the development and delivery of local services.

Manage, and develop the local Joint Strategic Needs Assessment (JSNA) and joint health and wellbeing strategy to promote the interests of children, young people and their families.

Oversee the provision of the Schools Functions ensuring Education Excellence for the Borough

Achieve synergy by ensuring there is effective integration of related services within the Directorate and across the Council ensuring the contribution of private providers, and the voluntary and community sectors are effectively and appropriately harnessed. To ensure that services provided or procured are capable of meeting the Council's needs.

GENERAL:

The post may require specific safeguarding checks. Where these are required the person appointed will be subject to those checks.

The post may require access to the Public Service Network (PSN) requiring compliance with the HMG Baseline Personnel Security Standard.

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New appointments will be required to satisfactorily complete a six month probationary period.

The postholder will be expected to work flexibly and the exact nature of the duties described above is subject to periodic review and is liable to change. Out of hours working will be required as appropriate.

This job description is a representative document. Other reasonably similar duties may be allocated from time to time commensurate with the general character of the post and its grading.

All staff have a duty to take care of their own health & safety and that of others who may be affected by your actions at work. Staff must co-operate with employers and co-workers to help everyone meet their legal requirements.

The Authority has an approved equality policy in employment and copies are freely available to all employees. The post holder will be expected to comply, observe and promote the equality policies of the Council.

Since confidential information is involved with the duties of this post, the postholder will be required to exercise discretion at all times and to observe relevant codes of practice and legislation in relation to data protection and personal information.

Note: Where the post-holder is disabled, every effort will be made to support all necessary aids, adaptations or equipment to allow them to carry out all the duties of the job.

EXECUTIVE DIRECTOR CHILDREN'S SOCIAL CARE AND EDUCATION – PERSON SPECIFICATION

Personal Attributes Required	Essential (E) or Desirable (D)	Method of Assessment
<u>Qualifications / knowledge</u>		
Educated to Post Graduate level	E	C/AF
Recognised Leadership Qualification or Relevant Experience	E	C/AF
Knowledge and understanding of the strategic, regulatory and political context within which local government operates with the ability to lead the service areas within the post.	E	AF/I
In depth Knowledge of formulating and implementing corporate policies and strategies.	E	AF/I
<u>Experience Relative to Role</u>		
Experience of operating at a high level within a complex organisation involving diverse stakeholders.	E	AF/I
Ability to successfully co-ordinate and deliver large multi partner projects.	E	AF/I
Substantial and proven ability to work successfully with Elected Members.	E	AF/I
Proven track record on delivering successful leadership and management outcomes within a large organisation setting.	E	AF/I
Significant understanding of strategic policy development and implementation within a large organisation setting applicable to Local Government and Sefton Council's vision.	E	AF/I
Excellent knowledge of the working of Local Government and other public, private and voluntary sector organisations.	E	AF/I
An ability to provide and empower innovative thinking which leads to tangible delivery of outcomes.	E	AF/I

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Assessment Methods Key:

AF – Application Form

C – Certificates

P - Presentation

I – Interview

Skill and Attitude and Value Based Criteria

- Sefton’s vision and promise sets out how we as a Council want to work with each other, and with our communities and our partners, to make Sefton a great place to be.
- Personal responsibility to support the delivery of the vision and consistently demonstrate the behaviours and values expressed in the Promise and Leadership requirements.
- Have the necessary political knowledge, skills and abilities needed to operate effectively in a political environment.
- Develop, lead, participate and collaborate in effective partnership across organisations and sectors.
- Focus on outcomes, break down barriers and facilitate One Council delivery.
- Thrive on ambiguity and demonstrate exceptional personal resilience.
- Create and sustain enabling and open relationships.
- Create the most effective environment for innovation, learning and performance.
- Lead change and empower the Council to effectively manage complexity, ambiguity and risk.

Prepared by:

<u>Name</u>	D. Johnson
<u>Designation</u>	Chief Executive
<u>Date</u>	September 2019

SEFTON METROPOLITAN BOROUGH COUNCIL **JOB PROFILE**

POST - EXECUTIVE DIRECTOR CORPORATE RESOURCES AND CUSTOMER SERVICES

Salary £116,742

JOB PURPOSE

To have key accountability and responsibility for the delivery and strategic development within the area of Finance & Customer Services (meaning Legal & Democratic Services, Strategic Support, ICT & Digital, Human Resources, Finance, and Facilities Management) with ability to lead other areas within the organisation as required.

Support the Council, Cabinet and the Chief Executive in the development and achievement of the Council's vision and priority outcomes.

The role will support the Chief Executive creating and sustaining consistent culture and behaviours conducive with a high performing Council, lead collectively and collaboratively within and outside the Council as key drivers of change supporting the Council to innovatively, proactively and confidently adapt to the dynamic resource and policy agenda.

The role will have very high level accountability spanning organisational and system leadership, developing and sustaining effective partnerships, together with performance and stakeholder management and freedom to act in support of the Chief Executive.

The role will drive a high performance culture within the Council.

The role will lead of key thematic matters and be responsible for the delivery of key corporate and Borough projects

PRINCIPAL RESPONSIBILITIES

1. Provide Strategic Leadership across the Council with specific responsibility for ensuring that priority initiatives are delivered in accordance with the Sefton Vision Outcomes Framework and the Council's Core Purpose.
2. Lead a transformational approach to the delivery of Sefton services including creating new revenue streams, new models of service delivery, new demand management methods and new operating models to achieve the Sefton 2030 vision.

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3. Work with the Chief Executive, Cabinet, Council, Elected Members and colleagues to deliver our vision for Sefton.
4. Personal accountability for the delivery of a prioritised work programme with agreed thematic outcomes relating to the Sefton's Core Purpose.
5. Responsibility for Strategic resource decisions and leadership of transformational projects.
6. Develop and sustain strategic partnerships at the local regional and national level.
7. Role model the agreed leadership behaviours and support the development of a high performance, innovative and collaborative culture.

RESPONSIBILITIES

1. Provide strategic leadership to the whole Council and work in close partnership with the Chief Executive to deliver the Council's plans and develop its ambitions.
2. Ensure the Council's longer term vision, strategy and priorities are delivered.
3. Develop and embed a performance culture that delivers better outcomes for local people.
4. Work closely with all Elected Members, specifically with the Leader and Cabinet Members, and support them in undertaking their Strategic Leadership and Community Leadership roles by providing expert strategic advice, support and challenge.
5. Advocate for the needs of local people and develop strategies that enable local communities to become more resilient and self sufficient.
6. The postholder will:
 - Lead Council-wide partner Boards and groups as required;
 - Act as the Emergency Duty Co-ordinator, on a rota basis, for the Council's Emergency Planning processes and to attend ongoing training as required;
 - Represent the Council at key Civic events as required including Remembrance Services;
 - Represent the Council at partner events as appropriate.

ROLE SPECIFIC RESPONSIBILITIES

Act in the capacity of the Authority's lead officer for Statutory 151 Officer, Legal and Democratic Services, Strategic support, ICT, Personnel, Finance and Facilities management to ensure the strategic planning, design and delivery of these service areas and provision of the best possible services for the people of Sefton.

To be part of the Council's Executive Leadership Team and Senior Leadership Board recognising that the role incorporates ownership, commitment and leadership responsibilities for delivery of both Council and Community strategies, working in partnership with other agencies to achieve goals and embracing the concept of One Council.

To engage colleagues responsible for the following key service areas to ensure that agreed outcomes are met consistently and in accordance with agreed policies and standards:

- Legal and Democratic Services- to ensure the Council complies with legislation and manages regulatory risk associated with its internal activities and services.
- Strategic support- oversee the Council's Policy, Performance and Communication Systems through the development and delivery of corporate transformation projects.
- ICT and Digital, Human Resources, Finance, Facilities management – strategic management of the co-ordination and delivery of high quality wide ranging and comprehensive Corporate Support Services.

Achieve synergy by ensuring there is effective integration of related services within the Directorate and across the Council ensuring the contribution of private providers, and the voluntary and community sectors are effectively and appropriately harnessed. To ensure that services provided or procured are capable of meeting the Council's needs.

GENERAL:

The post may require specific safeguarding checks. Where these are required the person appointed will be subject to those checks.

The post may require access to the Public Service Network (PSN) requiring compliance with the HMG Baseline Personnel Security Standard.

New appointments will be required to satisfactorily complete a six month probationary period.

The postholder will be expected to work flexibly and the exact nature of the duties described above is subject to periodic review and is liable to change. Out of hours working will be required as appropriate.

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This job description is a representative document. Other reasonably similar duties may be allocated from time to time commensurate with the general character of the post and its grading.

All staff have a duty to take care of their own health & safety and that of others who may be affected by your actions at work. Staff must co-operate with employers and co-workers to help everyone meet their legal requirements.

The Authority has an approved equality policy in employment and copies are freely available to all employees. The post holder will be expected to comply, observe and promote the equality policies of the Council.

Since confidential information is involved with the duties of this post, the postholder will be required to exercise discretion at all times and to observe relevant codes of practice and legislation in relation to data protection and personal information.

Note: Where the post-holder is disabled, every effort will be made to support all necessary aids, adaptations or equipment to allow them to carry out all the duties of the job.

EXECUTIVE DIRECTOR CORPORATE RESOURCES AND CUSTOMER SERVICES – PERSON SPECIFICATION

Personal Attributes Required	Essential (E) or Desirable (D)	Method of Assessment
<u>Qualifications / knowledge</u>		
Educated to Post Graduate level	E	C/AF
Recognised Leadership Qualification or Relevant Experience	E	C/AF
Knowledge and understanding of the strategic, regulatory and political context within which local government operates with the ability to lead the service areas within the post.	E	AF/I
In depth Knowledge of formulating and implementing corporate policies and strategies.	E	AF/I
<u>Experience Relative to Role</u>		
Experience of operating at a high level within a complex organisation involving diverse stakeholders.	E	AF/I
Ability to successfully co-ordinate and deliver large multi partner projects.	E	AF/I
Substantial and proven ability to work successfully with Elected Members.	E	AF/I
Proven track record on delivering successful leadership and management outcomes within a large organisation setting.	E	AF/I
Significant understanding of strategic policy development and implementation within a large organisation setting applicable to Local Government and Sefton Council's vision.	E	AF/I
Excellent knowledge of the working of Local Government and other public, private and voluntary sector organisations.	E	AF/I
An ability to provide and empower innovative thinking which leads to tangible delivery of outcomes.	E	AF/I

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Assessment Methods Key:

AF – Application Form

C – Certificates

P - Presentation

I – Interview

Skill and Attitude and Value Based Criteria

- Sefton’s vision and promise sets out how we as a Council want to work with each other, and with our communities and our partners, to make Sefton a great place to be.
- Personal responsibility to support the delivery of the vision and consistently demonstrate the behaviours and values expressed in the Promise and Leadership requirements.
- Have the necessary political knowledge, skills and abilities needed to operate effectively in a political environment.
- Develop, lead, participate and collaborate in effective partnership across organisations and sectors.
- Focus on outcomes, break down barriers and facilitate One Council delivery.
- Thrive on ambiguity and demonstrate exceptional personal resilience.
- Create and sustain enabling and open relationships.
- Create the most effective environment for innovation, learning and performance.
- Lead change and empower the Council to effectively manage complexity, ambiguity and risk.

Prepared by: **Name** D. Johnson
 Designation Chief Executive
 Date September 2019

SEFTON METROPOLITAN BOROUGH COUNCIL **JOB PROFILE**

POST - EXECUTIVE DIRECTOR PEOPLE

Salary £116,742

JOB PURPOSE

To have key accountability and responsibility for the delivery and strategic development within the area of People (meaning Communities, Locality Services and Public Health) with ability to lead other areas within the organisation as required.

Support the Council, Cabinet and the Chief Executive in the development and achievement of the Councils vision and priority outcomes.

The role will support the Chief Executive creating and sustaining consistent culture and behaviours conducive with a high performing Council, lead collectively and collaboratively within and outside the Council as key drivers of change supporting the Council to innovatively, proactively and confidently adapt to the dynamic resource and policy agenda.

The role will have very high level accountability spanning organisational and system leadership, developing and sustaining effective partnerships, together with performance and stakeholder management and freedom to act in support of the Chief Executive.

The role will drive a high performance culture within the Council.

The role will lead of key thematic matters and be responsible for the delivery of key corporate and Borough projects

PRINCIPAL RESPONSIBILITIES

1. Provide Strategic Leadership across the Council with specific responsibility for ensuring that priority initiatives are delivered in accordance with the Sefton Vision Outcomes Framework and the Council's Core Purpose.
2. Lead a transformational approach to the delivery of Sefton services including creating new revenue streams, new models of service delivery, new demand management methods and new operating models to achieve the Sefton 2030 vision.
3. Work with the Chief Executive, Cabinet, Council, Elected Members and colleagues to deliver our vision for Sefton.

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4. Personal accountability for the delivery of a prioritised work programme with agreed thematic outcomes relating to the Sefton's Core Purpose.
5. Responsibility for Strategic resource decisions and leadership of transformational projects.
6. Develop and sustain strategic partnerships at the local regional and national level.
7. Role model the agreed leadership behaviours and support the development of a high performance, innovative and collaborative culture.

RESPONSIBILITIES

1. Provide strategic leadership to the whole Council and work in close partnership with the Chief Executive to deliver the Council's plans and develop its ambitions.
2. Ensure the Council's longer term vision, strategy and priorities are delivered.
3. Develop and embed a performance culture that delivers better outcomes for local people.
4. Work closely with all Elected Members, specifically with the Leader and Cabinet Members, and support them in undertaking their Strategic Leadership and Community Leadership roles by providing expert strategic advice, support and challenge.
5. Advocate for the needs of local people and develop strategies that enable local communities to become more resilient and self sufficient.
6. The postholder will:
 - Lead Council-wide partner Boards and working groups as required;
 - Act as the Emergency Duty Co-ordinator, on a rota basis, for the Council's Emergency Planning processes and to attend ongoing training as required;
 - Represent the Council at key Civic events as required including Remembrance Services;
 - Represent the Council at partner events as appropriate.

ROLE SPECIFIC RESPONSIBILITIES

Act in the capacity of the Authority's lead officer for Locality Services, Health and Wellbeing and Communities to ensure the strategic planning, design and delivery of these service areas and provision of the best possible services for the people of Sefton.

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To be part of the Council's Executive Leadership Team and Senior Leadership Board recognising that the role incorporates ownership, commitment and leadership responsibilities for delivery of both Council and Community strategies, working in partnership with other agencies to achieve goals and embracing the concept of One Council.

To engage colleagues responsible for the following key service areas to ensure that agreed outcomes are met consistently and in accordance with agreed policies and standards:

- Locality Services- strategic oversight of large scale universal direct services which enhance the Council's environmental offer and which are capable of generating additional income for the Council.
- Health and Wellbeing - managing the Statutory provisions associated with Public Health working with local partners to directly influence the commissioning of Health services to improve the health of Sefton residents.
- Communities - Developing resilience in Sefton's communities through prevention and early intervention strategies, support to neighbourhoods and managing community assets together with the development of initiatives which maximise voluntary sector and partnership input.

Achieve synergy by ensuring there is effective integration of related services within the Directorate and across the Council ensuring the contribution of private providers, and the voluntary and community sectors are effectively and appropriately harnessed. To ensure that services provided or procured are capable of meeting the Council's needs.

GENERAL:

The post may require specific safeguarding checks. Where these are required the person appointed will be subject to those checks.

The post may require access to the Public Service Network (PSN) requiring compliance with the HMG Baseline Personnel Security Standard.

New appointments will be required to satisfactorily complete a six month probationary period.

The postholder will be expected to work flexibly and the exact nature of the duties described above is subject to periodic review and is liable to change. Out of hours working will be required as appropriate.

This job description is a representative document. Other reasonably similar duties may be allocated from time to time commensurate with the general character of the post and its grading.

All staff have a duty to take care of their own health & safety and that of others who may be affected by your actions at work. Staff must co-operate with employers and

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co-workers to help everyone meet their legal requirements.

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Since confidential information is involved with the duties of this post, the postholder will be required to exercise discretion at all times and to observe relevant codes of practice and legislation in relation to data protection and personal information.

Note: Where the post-holder is disabled, every effort will be made to support all necessary aids, adaptations or equipment to allow them to carry out all the duties of the job.

EXECUTIVE DIRECTOR PEOPLE – PERSON SPECIFICATION

Personal Attributes Required	Essential (E) or Desirable (D)	Method of Assessment
<u>Qualifications / knowledge</u>		
Educated to Post Graduate level	E	C/AF
Recognised Leadership Qualification or Relevant Experience	E	C/AF
Knowledge and understanding of the strategic, regulatory and political context within which local government operates with the ability to lead the service areas within the post.	E	AF/I
In depth Knowledge of formulating and implementing corporate policies and strategies.	E	AF/I
<u>Experience Relative to Role</u>		
Experience of operating at a high level within a complex organisation involving diverse stakeholders.	E	AF/I
Ability to successfully co-ordinate and deliver large multi partner projects.	E	AF/I
Substantial and proven ability to work successfully with Elected Members.	E	AF/I
Proven track record on delivering successful leadership and management outcomes within a large organisation setting.	E	AF/I
Significant understanding of strategic policy development and implementation within a large organisation setting applicable to Local Government and Sefton Council's vision.	E	AF/I
Excellent knowledge of the working of Local Government and other public, private and voluntary sector organisations.	E	AF/I
An ability to provide and empower innovative thinking which leads to tangible delivery of outcomes.	E	AF/I

Assessment Methods Key:

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AF – Application Form

C – Certificates

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I – Interview

Skill and Attitude and Value Based Criteria

- Sefton’s vision and promise sets out how we as a Council want to work with each other, and with our communities and our partners, to make Sefton a great place to be.
- Personal responsibility to support the delivery of the vision and consistently demonstrate the behaviours and values expressed in the Promise and Leadership requirements.
- Have the necessary political knowledge, skills and abilities needed to operate effectively in a political environment.
- Develop, lead, participate and collaborate in effective partnership across organisations and sectors.
- Focus on outcomes, break down barriers and facilitate One Council delivery.
- Thrive on ambiguity and demonstrate exceptional personal resilience.
- Create and sustain enabling and open relationships.
- Create the most effective environment for innovation, learning and performance.
- Lead change and empower the Council to effectively manage complexity, ambiguity and risk.

Prepared by: **Name** D. Johnson
 Designation Chief Executive
 Date September 2019

SEFTON METROPOLITAN BOROUGH COUNCIL **JOB PROFILE**

POST – EXECUTIVE DIRECTOR PLACE

Salary £116,742

JOB PURPOSE

To have key accountability and responsibility for the delivery and strategic development within the area of Place (meaning Highways & Public Protection, Economic Growth & Housing, Planning, and Commercial Development) with ability to lead other areas within the organisation as required.

Support the Council, Cabinet and the Chief Executive in the development and achievement of the Councils vision and priority outcomes.

The role will support the Chief Executive creating and sustaining consistent culture and behaviours conducive with a high performing Council, lead collectively and collaboratively within and outside the Council as key drivers of change supporting the Council to innovatively, proactively and confidently adapt to the dynamic resource and policy agenda.

The role will have very high level accountability spanning organisational and system leadership, policy and place shaping, developing and sustaining effective partnerships, together with performance and stakeholder management and freedom to act in support of the Chief Executive.

The role will drive a high performance culture within the Council.

The role will lead of key thematic matters and be responsible for the delivery of key corporate and Borough projects

PRINCIPAL RESPONSIBILITIES

1. Provide Strategic Leadership across the Council with specific responsibility for ensuring that priority initiatives are delivered in accordance with the Sefton Vision Outcomes Framework and the Council's Core Purpose.
2. Lead a transformational approach to the delivery of Sefton services including creating new revenue streams, new models of service delivery, new demand management methods and new operating models to achieve the Sefton 2030 vision.

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3. Work with the Chief Executive, Cabinet, Council, Elected Members and colleagues to deliver our vision for Sefton.
4. Personal accountability for the delivery of a prioritised work programme with agreed thematic outcomes relating to the Sefton's Core Purpose.
5. Responsibility for Strategic resource decisions and leadership of transformational projects.
6. Develop and sustain strategic partnerships at the local regional and national level.
7. Role model the agreed leadership behaviours and support the development of a high performance, innovative and collaborative culture.

RESPONSIBILITIES

1. Provide strategic leadership to the whole Council and work in close partnership with the Chief Executive to deliver the Council's plans and develop its ambitions.
2. Ensure the Council's longer term vision, strategy and priorities are delivered.
3. Develop and embed a performance culture that delivers better outcomes for local people.
4. Work closely with all Elected Members, specifically with the Leader and Cabinet Members, and support them in undertaking their Strategic Leadership and Community Leadership roles by providing expert strategic advice, support and challenge.
5. Advocate for the needs of local people and develop strategies that enable local communities to become more resilient and self sufficient.
6. The postholder will:
 - Lead Council-wide and partner Boards and working groups as required;
 - Act as the Emergency Duty Co-ordinator, on a rota basis, for the Council's Emergency Planning processes and to attend ongoing training as required;
 - Represent the Council at key Civic events as required including Remembrance Services;
 - Represent the Council at partner events as appropriate.

ROLE SPECIFIC RESPONSIBILITIES

Act in the capacity of the Authority's lead officer for Highways and Public Protection, Economic Growth and Housing, Planning, and Commercial Development to ensure

the strategic planning, design and delivery of these service areas and provision of the best possible services for the people of Sefton.

To be part of the Council's Executive Leadership Team and Senior Leadership Board recognising that the role incorporates ownership, commitment and leadership responsibilities for delivery of both Council and Community strategies, working in partnership with other agencies to achieve goals and embracing the concept of One Council.

To engage colleagues responsible for the following key service areas to ensure that agreed outcomes are met consistently and in accordance with agreed policies and standards:

- **Highways and Public Protection** Direction of the Highway Infrastructure Services, and all Public Protection enforcement, monitoring and inspection services and licensing matters.
- **Economic Growth and Housing** providing direction and leadership of the Economic growth, Housing and Economy and Skills Service.
- **Planning** - lead Statutory Planning and Building Control initiatives to ensure contribution to the achievement of sustainable development.
- **Commercial Development-** Management of the Strategic Investment Strategy requiring the application of innovative ideas and concepts and the implementation of major commercialisation projects

Achieve synergy by ensuring there is effective integration of related services within the Directorate and across the Council ensuring the contribution of private providers, and the voluntary and community sectors are effectively and appropriately harnessed. To ensure that services provided or procured are capable of meeting the Council's needs.

GENERAL:

The post may require specific safeguarding checks. Where these are required the person appointed will be subject to those checks.

The post may require access to the Public Service Network (PSN) requiring compliance with the HMG Baseline Personnel Security Standard.

New appointments will be required to satisfactorily complete a six month probationary period.

The postholder will be expected to work flexibly and the exact nature of the duties described above is subject to periodic review and is liable to change. Out of hours working will be required as appropriate.

This job description is a representative document. Other reasonably similar duties may be allocated from time to time commensurate with the general character of the post and its grading.

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All staff have a duty to take care of their own health & safety and that of others who may be affected by your actions at work. Staff must co-operate with employers and co-workers to help everyone meet their legal requirements.

The Authority has an approved equality policy in employment and copies are freely available to all employees. The post holder will be expected to comply, observe and promote the equality policies of the Council.

Since confidential information is involved with the duties of this post, the postholder will be required to exercise discretion at all times and to observe relevant codes of practice and legislation in relation to data protection and personal information.

Note: Where the post-holder is disabled, every effort will be made to support all necessary aids, adaptations or equipment to allow them to carry out all the duties of the job.

EXECUTIVE DIRECTOR PLACE –PERSON SPECIFICATION

Personal Attributes Required	Essential (E) or Desirable (D)	Method of Assessment
<u>Qualifications / knowledge</u>		
Educated to Post Graduate level	E	C/AF
Recognised Leadership Qualification or Relevant Experience	E	C/AF
Knowledge and understanding of the strategic, regulatory and political context within which local government operates with the ability to lead the service areas within the post.	E	AF/I
In depth Knowledge of formulating and implementing corporate policies and strategies.	E	AF/I
<u>Experience Relative to Role</u>		
Experience of operating at a high level within a complex organisation involving diverse stakeholders.	E	AF/I
Ability to successfully co-ordinate and deliver large multi partner projects.	E	AF/I
Substantial and proven ability to work successfully with Elected Members.	E	AF/I
Proven track record on delivering successful leadership and management outcomes within a large organisation setting.	E	AF/I
Significant understanding of strategic policy development and implementation within a large organisation setting applicable to Local Government and Sefton Council's vision.	E	AF/I
Excellent knowledge of the working of Local Government and other public, private and voluntary sector organisations.	E	AF/I
An ability to provide and empower innovative thinking which leads to tangible delivery of outcomes.	E	AF/I

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Assessment Methods Key:

AF – Application Form

C – Certificates

P - Presentation

I – Interview

Skill and Attitude and Value Based Criteria

- Sefton’s vision and promise sets out how we as a Council want to work with each other, and with our communities and our partners, to make Sefton a great place to be.
- Personal responsibility to support the delivery of the vision and consistently demonstrate the behaviours and values expressed in the Promise and Leadership requirements.
- Have the necessary political knowledge, skills and abilities needed to operate effectively in a political environment.
- Develop, lead, participate and collaborate in effective partnership across organisations and sectors.
- Focus on outcomes, break down barriers and facilitate One Council delivery.
- Thrive on ambiguity and demonstrate exceptional personal resilience.
- Create and sustain enabling and open relationships.
- Create the most effective environment for innovation, learning and performance.
- Lead change and empower the Council to effectively manage complexity, ambiguity and risk.

Prepared by: **Name** D. Johnson
 Designation Chief Executive
 Date September 2019

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Report to:	Cabinet	Date of Meeting:	5 December 2019
Subject:	Anti-Fraud, Corruption and Bribery Policy		
Report of:	Head of Corporate Resources	Wards Affected:	(All Wards);
Portfolio:	Cabinet Member - Regulatory, Compliance and Corporate Services		
Is this a Key Decision:	No	Included in Forward Plan:	Yes
Exempt / Confidential Report:	No		

Summary:

The purpose of this report is to obtain Cabinet approval for the revised Sefton Council Anti-Fraud, Bribery and Corruption Policy for adoption by the Council.

The existing Policy has been reviewed and revised in order to strengthen and improve the Council's overall arrangements for the prevention, detection and investigation of fraud, bribery and corruption. The revised Policy provides guidance on how any individual can report, in confidence, any suspected fraudulent or corrupt activity.

Recommendation(s):

- (1) Note the contents of this report.
- (2) Approve the revised Sefton Council Anti-Fraud, Bribery and Corruption Policy for adoption by the Council.

Reasons for the Recommendation(s):

Sefton Council is required by law to protect the public funds it administers and to raise awareness in relation to any potential threats that may affect the financial and/or reputational position of the Council. The revised Sefton Council Anti-Fraud, Bribery and Corruption Policy will support the Council's commitment to creating an environment in which fraud, bribery and corruption is minimised and complements a number of other Council policies which support internal controls and expected standards of behaviour.

Alternative Options Considered and Rejected: (including any Risk Implications)

If the Council fails to put in place proper policies regarding fraud, bribery and corruption, it will be unable to demonstrate adherence to proper practices in relation to the prevention and detection of fraud and its actions or decisions could be challenged.

The Council also faces financial and reputational risk in that: -

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- standards of public service that the Council is attempting to achieve are undermined.
- financial resources available to pay for vital services are reduced.
- public confidence in the Council is affected.

What will it cost and how will it be financed?

(A) Revenue Costs – There are no revenue costs associated with the Policy outside of the approved budget.

(B) Capital Costs – There are no capital costs associated with the Policy.

Implications of the Proposals:

Resource Implications (Financial, IT, Staffing and Assets): None arising from this report.
Legal Implications: S151 Local Government Act 1972 states that “every Local Authority is under a statutory duty to secure the proper administration of its financial affairs” (i.e. to safeguard public funds).
Equality Implications: There are no equality implications.

Contribution to the Council’s Core Purpose:

Protect the most vulnerable: None
Facilitate confident and resilient communities: None
Commission, broker and provide core services: Effective measures to counter the risk of fraud, bribery and corruption will contribute to the effective function of governance arrangements at the Council, helping to minimise losses and risks to the organisation and thereby contributing to the achievement of overall Council priorities.
Place – leadership and influencer: None
Drivers of change and reform: None
Facilitate sustainable economic prosperity: None
Greater income for social investment: None
Cleaner Greener: None

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What consultations have taken place on the proposals and when?

(A) Internal Consultations

The Head of Corporate Resources (FD5823/19) and the Chief Legal and Democratic Officer (LD4047/19) have been consulted and any comments have been incorporated into the report.

(B) External Consultations

Not relevant for the purposes of this report.

Implementation Date for the Decision

Following the expiry of the “call-in” period for the Minutes of the Cabinet Meeting

Contact Officer:	David Eden
Telephone Number:	0151 943 4053
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Appendices:

The following appendices are attached to this report:

Appendix 1 – Sefton Council Anti- Fraud, Bribery and Corruption Policy

Background Papers:

There are no background papers available for inspection.

1. Introduction

1.1 Sefton Council’s (“the Council”) Anti-Fraud, Bribery and Corruption Policy (“the Policy”) was last reviewed in October 2016 and since that time monitoring of the Policy arrangements has been conducted by the Council’s Audit and Governance Committee.

1.2 The Policy is an integral part of a range of inter-related Council policies and procedures that provide a corporate framework to help counter any fraudulent activity. These have been formulated in line with appropriate legislative requirements and professional best practice and include: -

- Code of Conduct for Members
- Code of Conduct for Employees
- Confidential reporting -Whistle-Blowing Policy
- Corporate Complaints Procedures
- Recruitment and Selection Procedures
- Disciplinary procedures and guidelines

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- Contract Procedure Rules
- ICT Acceptable Use Policy

2. Anti-Fraud, Bribery and Corruption Policy

2.1 The Policy sets out the Council's position in respect of fraud, bribery and corruption and is applicable to all aspect of the Council's business, its members, employees, contractors and any persons or organisations doing business with the Council.

2.2 The Policy has been reviewed to ensure it continues to meet good practice principles and align with the Government's counter fraud and corruption strategy for local government.

2.3 The Policy is intended as a high-level statement of overall principles and approach rather than detailed guidance and sets out:

- The Council's commitment to the protection of public funds
- The approach to managing the risk of fraud, bribery and corruption
- The strategy in preventing, detecting and investigating fraud, bribery and corruption
- Guidance on how an individual can report suspected fraudulent or corrupt activity
- Expected behaviour of Members and Employees, the Public and External Parties who have dealings with the Council.
- Key Roles and Responsibilities in minimising the risk of fraud, bribery and corruption
- The Council's main rules and procedures aimed at preventing fraud, bribery and corruption.
- Types of fraud – some examples
- Risk factors

2.4 A copy of the revised Policy can be found in Appendix 1.

3. Monitoring arrangements

3.1 The Policy will form part of the Council's monitoring arrangements conducted by the Audit and Governance Committee ("the Committee).

3.2 The monitoring role of the Committee includes the consideration of the Council's internal control systems, risk management and corporate governance issues.

3.3 As part of its role the Committee will ensure that the Policy

- continues to comply with relevant legislation and best practice
- remains effective, in particular in acting as a deterrent against acts of fraud, bribery and corruption.

Sefton Council -Anti Fraud, Bribery and Corruption Policy

DECEMBER 2019



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Version Control

Owner	Corporate Resources – Risk and Audit Services
Date approved	December 2019
Date published	December 2019
Version No.	3
Next review	December 2021

Contact

For more information about this Policy please contact: -

Sefton Council Risk & Audit Services - Specialising in audit, risk management, health & safety, insurance, assurance, value for money, investigations and counter fraud.

Key contact: - Angela Ellis, Assurance Manager

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Fin.Assure@sefton.gov.uk

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1. Anti-Fraud, Bribery and Corruption Statement

Sefton Council is committed to the protection of public funds and seeks to fulfil its responsibility to reduce the risk of fraud, bribery and corruption through an integrated approach which includes deterrence, prevention, detection and investigation of incidences.

Where fraud, bribery or corruption is identified, whether from internal or external sources, appropriate action will be taken as necessary. This may include disciplinary and/or legal action.

The Council's framework for managing the risk of fraud includes a commitment to:

- maintain an anti-fraud culture across the organisation
- minimise opportunities for fraud, bribery and corruption through effective systems, procedures and controls
- maintain effective systems and procedures for the detection of fraud, corruption and bribery
- investigate confirmed reports of fraud, bribery and corruption in an appropriate manner
- report incidents of fraud, bribery and corruption to the appropriate authorities as appropriate
- ensure staff are aware of the risks of fraud, bribery and corruption and their obligations
- impose sanctions and recovering losses where fraud, bribery and corruption is identified

I urge all employees, members, contractors, partners and members of the public to assist the Council in tackling fraud, bribery and corruption in order to ensure that financial resources are utilised in the areas where they are needed most.

Dwayne Johnson

Chief Executive

2. Introduction

- 2.1 Sefton Council (“the Council”) is required by law to protect the public funds it administers.
- 2.2 The Council may share information provided to it with other bodies responsible for auditing, administering public funds or where undertaking a public function, in order to prevent and detect fraud.
- 2.3 The Anti-Fraud, Bribery and Corruption Policy (“the Policy”) sets out the Council’s approach to managing the risk of fraud, bribery and corruption, both internally and externally, and applies to all individuals who work for the Council e.g. employees, members etc. and those who have dealings with the Council e.g. partners, suppliers, contractors, service users, customers etc.
- 2.4 This Policy includes details of the Council’s strategy in preventing, detecting, investigating fraud, bribery and corruption. It provides guidance on how any individual can report, in confidence, any suspected fraudulent or corrupt activity.
- 2.5 Fraud continues to pose a major financial threat to local authorities. Every pound stolen means there is less to spend on providing key services to support our local communities, like caring for our adults and children most at risk, collecting the bins and keeping our transport networks running. Fraud is a drain on local authority resources and can lead to reputational damage.
- 2.6 Due to significant cuts in Government funding over the recent years it is more important than ever for the Council to seek to minimise the risk of losses through fraud.
- 2.7 The term “fraud” typically describes activities such as theft, corruption, money laundering, conspiracy, bribery and extortion. Definitions of Fraud, Bribery and Corruption are outlined in Appendix 1. “Fraud” will be used throughout this policy document for convenience.
- 2.8 The UK Fraud Act 2006 sets out three ways in which the crime can be committed: -
 - Fraud by false representation
 - Fraud by failing to disclose information
 - Fraud by abuse of position

In each case the conduct must be dishonest with an intention to make gain or to cause loss to another party.

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3. Expected Behaviour

Employees and Members

- 3.1 All members and employees are required to demonstrate the highest standards of honesty, openness and integrity at all times. This includes compliance with the provisions of the Employee and Members' Codes of Conduct which set out expected behaviour requirements including the declaration of:
- Additional employment
 - Personal/pecuniary interests
 - Gifts, hospitality and favours
- 3.2 The Code of Conduct for Members is based on the Nolan Committee's 7 principles of Public Life which include Selflessness, Integrity, Objectivity, Accountability, Openness, Honesty and Leadership. Further explanation of these principles is provided in Appendix 2.
- 3.3 Employees who are members of professional bodies will also be guided in accordance with their body's own standards of behaviour.

The Public and Other External Parties

- 3.4 Members of the public, partners, suppliers, contractors and any other external parties who have dealings with the Council are also expected to act with integrity and honesty in any dealings they have with the Council.

4. Deterrence Mechanisms

- 4.1 The Council will employ a variety of measures to deter potential fraudsters from committing or attempting fraudulent or corrupt acts including bribery, whether they are internal or external to the Council.
- 4.2 These include: -
- Publicising that the Council is firmly set against fraud, bribery and corruption e.g. clauses in contracts; Council Tax, Business Rates and Housing benefit claim forms; Social Care Financial assessments; publications; committee reports; website etc.

- Where applicable claim/application forms will inform service users that their data will be shared in order to prevent and detect fraud and include details of the ability to prosecute as applicable.
- Acting firmly and decisively when fraud, bribery and corruption are suspected, also taking appropriate action where the case is proven e.g. termination of contracts, dismissal and prosecution.
- The operation and advertising of a Council Tax fraud hotline and national fraud helpline.
- The operation and advertising of confidential reporting (“whistleblowing”) and complaints procedures.
- Reporting details of detective and investigative fraud work to the Audit and Governance Committee.
- Potential press coverage of criminal proceedings resulting in a successful prosecution.
- Taking action to effect the maximum recoveries for the Council e.g. through agreement, court action, penalties, insurance and any other appropriate methods.

5. Prevention

Governance, Risk Management and Internal Control

- 5.1 Governance can be described as “the systems and processes, the cultures and values, by which local government bodies are directed and controlled and through which they account to, engage with and, where appropriate, lead their communities”.
- 5.2 The Council’s governance arrangements seek to minimise the risk of fraud, bribery and corruption through effective leadership and management and development of a culture of openness and transparency. The Council’s rules, policies and procedures are also integral part of the system of governance and risk management. These are set out in Appendix 4. Whilst the list is not exhaustive it serves to demonstrate the wide range of measures that have been established.
- 5.3 There are a number of roles and responsibilities which are integral to the promotion of a culture which seeks to minimise instances of fraud, bribery and corruption and maintain adequate risk management and internal control arrangements, as follows: -

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- Chief Executive Officer
- Audit and Governance Committee
- Members
- Section 151 Officer
- Monitoring Officer
- Chief Internal Auditor
- Internal Audit
- Other Teams
- Managers
- External Audit
- Council Employees

5.4 Further details of these roles and their responsibilities in relation to the minimisation of fraud, bribery and corruption are detailed in Appendix 3.

Fraud Alerts

5.5 Internal Audit receives fraud warnings from other organisations, most notably fraud bulletins provided by the National Anti-Fraud Network. On receipt of these bulletins, the appropriate personnel are notified and action taken as appropriate to detect and prevent any potential instances.

5.6 Where necessary the alert may require wider notification to the whole Council and possibly the general public. In these instances, an alert will be published as necessary on the Council's Intranet and/or website as appropriate.

6. Detection

Internal Reporting

6.1 The Council encourages its employees to report concerns about fraud, bribery and corruption. Some examples of types of fraud are outlined in Appendix 5. Normally such reports will be made via the employee's line manager but, if necessary, there are alternative routes available, including: -

- Chief Executive
- Monitoring Officer
- Section 151 Officer
- Heads of Service
- Chief Internal Auditor

6.2 Details of types of risk factors that may either alone or cumulatively with other factors suggest the possibility of fraud, which may warrant further investigation are shown in Appendix 6.

6.3 Employees must feel free to report their concerns without fear of intimidation. The Council has a Whistleblowing Policy to reassure individuals that it is safe and acceptable to raise any concern about malpractice at an early stage in the certainty that it will be treated and investigated with the utmost confidentiality. The policy also provides assurances that there will be protection from reprisals if the concern has been raised in good faith. However, it should be emphasised that abusing this process by raising unfounded, malicious allegations will be treated as a serious disciplinary matter. The policy applies to all individuals who work for the Council; whether full-time or part-time, employed through an agency or as a volunteer.

- Whistleblowing Policy and Procedures

<http://intranet.smbc.loc/personnel/policies-and-procedures/conduct-in-the-workplace/whistleblowing-policy.aspx>

External Referrals

6.4 The public or any parties which the Council deals with can raise concerns by submitting details of the concern via the Council's Whistleblowing Referral process.

6.5 Housing Benefit and Council Tax are amongst the main areas for fraud in the Council. Referral for potential Council Tax fraud should be reported to the Council's Revenues and Benefit Service through the on-line portal on the Sefton website or through the Council Tax fraud hot line 0151 934 4312; by post to Sefton Council P.O. BOX 21 Bootle Merseyside L20 3US. Details are included on the Council's website: -

<https://www.sefton.gov.uk/advice-benefits/benefit-and-Council-tax-fraud.aspx>

6.6 As of 1 October 2015, responsibility for the investigation of Housing Benefit fraud transferred to the Department for Work and Pensions. To report someone you think is committing benefit fraud contact the National Benefit Fraud Hotline 0800 854 440 or on line <https://www.gov.uk/report-benefit-fraud>

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- 6.7 The Council has procedures for administering complaints which are directed via the relevant route according to the nature of the complaint. This includes specific complaints against members, social care, schools and consultations. Further information is available on the Council's website.

<https://www.sefton.gov.uk/your-council/consultations,-complaints-feedback/compliments,-comments-and-complaints.aspx>

- 6.8 Complaints may also be submitted to the Local Government and Social Care Ombudsman. For more information visit <https://www.lgo.org.uk/make-a-complaint>

Member Complaints

- 6.9 Complaints made against members should be made using the "Complaint Form – Code of Conduct for Members" on the Council's website in the "Consultations, complaints and feedback" section.

<https://forms.sefton.gov.uk/codeofconduct/>

- 6.10 If a member is approached or advised of a concern regarding fraud, bribery or corruption, the member should follow the outlined in section 6.1 Internal Reporting.

Data Matching/Sharing

- 6.11 The Government's Cabinet Office is responsible for carrying out data matching exercises. Data matching involves comparing computer records held by one body against other computer records held by the same or another body to see how far they match. This is usually personal information. Computerised data matching allows potentially fraudulent claims and payments to be identified.

- 6.12 The Council provides data to the Government's Cabinet Office for matching to other data sources as part of the National Fraud Initiative (NFI).

- 6.13 The NFI is an exercise that matches electronic data within and between public and private sector bodies to prevent and detect fraud. This may identify anomalies which may be indicators of fraud or error e.g. Council Tax or Payments to Care Homes.

- 6.14 The use of data by the Cabinet Office in a data matching exercise is carried out with statutory authority under Part 6 of the Local Audit and Accountability Act 2014 (Schedule 9). It does not require the consent of the individuals concerned under the Data Protection Act 1998.

- 6.15 Data matching by the Cabinet Office is subject to the National Audit Office - Code of Audit

Practice.

- 6.16 Periodically, information is also obtained from credit reference agencies to provide additional information which assists in the detection of fraud e.g. Council Tax.
- 6.17 Where a match is found it may indicate that there is an inconsistency which requires further investigation. No assumption can be made as to whether there is fraud, error or other explanation until an investigation is carried out.

Other fraud prevention and detection work

- 6.18 The Council may also use information provided to prevent and detect fraud in any of our systems and may supply information to credit reference agencies for such purposes. Information held or received may also be used to verify information given in application forms

7. Investigation

- 7.1 The Council will conduct investigations as appropriate in accordance with the law and internal policy requirements.
- 7.2 Any incidents involving employees will be dealt with in accordance with the Employee Disciplinary Procedures and Guidelines: -

<http://intranet.smbc.loc/personnel/policies-and-procedures/conduct-in-the-workplace/disciplinary-procedures-and-guidelines.aspx>
- 7.3 Reports of incidents involving elected members will be dealt with in accordance with the Member Complaints Procedures.
- 7.4 The Council seeks to ensure that there is consistent treatment of any matters referred and that all investigations are carried out thoroughly.
- 7.5 If there is a suspicion of criminal activity, the investigators may contact the police and seek advice regardless of whether it involves an employee, member or individual external to the Council. Internal investigation will progress alongside any criminal investigations conducted by the police.
- 7.6 Options for redress may include recovery of monies and/or assets through various means available to Council and where a fraud has been committed by contractor, termination of the contract.

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8. Training and Awareness

- 8.1 The Council recognises that the continuing success of its Anti-Fraud, Bribery and Corruption Policy and its general credibility will depend largely on the effectiveness of programmed training, communication and responsiveness of officers throughout the organisation.
- 8.2 Communication of this Policy will be included in induction training, both for elected Members and new employees of the Council.
- 8.3 Awareness will be raised by publishing this Policy on the Council's intranet and its website.
- 8.4 Sefton Council staff have also been requested to take extreme care in terms of their online activity, particularly where they receive suspicious or unsolicited emails.

Appendix 1

Fraud, Bribery and Corruption Definitions

Term	Definition
<p>Fraud</p>	<p>The intentional distortion of financial statements or other records which are carried out to conceal the misappropriation of assets or otherwise for gain.</p> <p>The UK Fraud Act 2006 identifies 3 categories of fraud:</p> <ul style="list-style-type: none"> • False Representation • Failure to Disclose Information • Abuse of Position
<p>False representation</p>	<p>A person dishonestly makes a false representation to make a gain for themselves (or others) or to cause loss to another person. A representation is false if it is untrue or misleading and the person making it knows that it is, or might be, untrue or misleading.</p> <p>Example: Where an individual falsely claims to be the only adult living in the property in order to be eligible for a Council Tax Single Person Discount.</p>
<p>Failure to Disclose Information</p>	<p>A person fails to disclose to another person, information which they are under a legal duty to disclose in order to make a gain for themselves (or others) or to cause loss to another person.</p> <p>Example: Where an individual fails to disclose all relevant financial interests in order to qualify for a benefit/reduction.</p>
<p>Abuse of Position</p>	<p>A person occupies a position in which they are expected to safeguard, or not act against, the</p>

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	<p>financial interests of another person and then dishonestly abuses that position in order to make a gain for themselves (or others) or to cause loss to another person.</p> <p>Example: Where a staff member procures goods and services through the Council's accounts for their own benefit.</p>
<p>Bribery</p>	<p>An inducement or reward offered, promised or provided to gain personal, commercial, regulatory or contractual advantage.</p> <p>The UK Bribery Act 2010 defines bribery in four categories:</p> <ul style="list-style-type: none"> • Making a Bribe • Accepting a Bribe • Bribery of Foreign Public Officials • Failure to Prevent a Bribe <p>Example: Where a staff member involved in the award of a contract receives a personal payment from a supplier/contractor for the award of the contract.</p> <p>Employees convicted under the UK Bribery Act 2010 can face a maximum penalty of ten years imprisonment and/or a large fine.</p>
<p>Making a Bribe</p>	<p>Financial or other advantage "to another individual in exchange for "improperly" performing a "relevant function or activity".</p>
<p>Accepting a Bribe</p>	<p>Requesting, accepting or agreeing to accept "financial or other advantage", in exchange for improperly performing such a function or activity.</p>
<p>Bribery of Foreign Public Officials</p>	<p>A person will be guilty of this offence if they promise, offer or give a financial or other advantage to a foreign public official, either directly or through a third party, where such an advantage is not legitimately due.</p>

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<p>Failure to Prevent a Bribe</p>	<p>Failure by a commercial organisation, to prevent a bribe being paid for or on its behalf. It will be a defence if the organisation has “adequate procedures” in place to prevent bribery.</p>
<p>Corruption</p>	<p>The abuse of entrusted power, for personal, private or political gain can be committed in a number of ways including through bribery.</p> <p>For example; where an employee in a position of power uses their authority to make a decision which benefits them or an associate e.g. planning application approval despite legitimate objections.</p>

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Appendix 2

Nolan Committee – 7 Principles of Public Life

Selflessness

Holders of public office take decisions solely in terms of the public interest. They should not do so in order to gain financial or other material benefits for themselves, their family, or their friends.

Integrity

Holders of public office should not place themselves under any financial or other obligation to outside individuals or organisations that might influence them in their performance of their official duties.

Objectivity

In carrying out public business, including making public appointments, awarding contracts, or recommending individuals for rewards and benefits, holders of public office should make choices on merit.

Accountability

Holders of public office are accountable for their decisions and actions to the public and must submit themselves to whatever scrutiny is appropriate to their office.

Openness

Holders of public office should be as open as possible about all the decisions and actions that they take. They should give reasons for their decisions and restrict information only when the wider public interest clearly demands.

Honesty

Holders of public office have a duty to declare any private interests relating to their public duties to take steps to resolve any conflicts arising in a way that protects the public interest.

Leadership

Holders of public office should promote and support these principles by leadership and example.

Appendix 3

Key Roles and Responsibilities for Minimising the Risk of Fraud, Bribery and Corruption.

<p>Chief Executive Officer</p>	<p>Ultimately accountable for the effectiveness of the Council’s arrangements for countering fraud and corruption.</p>
<p>Councillors</p>	<p>To comply with the Members Code of Conduct and related Council policies and procedures, to be aware of the possibility of fraud and corruption and theft, and to report any genuine concerns accordingly.</p>
<p>Audit and Governance Committee</p>	<p>The role of the Audit and Governance Committee includes consideration of the Council’s internal control systems, risk management and corporate governance issues. The committee is also responsible for monitoring the implementation and effectiveness of the Council’s policies on whistle-blowing, fraud, bribery, corruption, money laundering and the Council’s complaints process and review as necessary.</p>
<p>Section 151 Officer</p>	<p>The Council has appointed an officer with the statutory responsibility under Section 151 of the Local Government Act 1972 “to ensure the proper arrangements of the Council’s financial affairs”. To ensure that the Council has adopted an appropriate anti-fraud strategy, there is an effective internal control environment in place and there is an adequately resourced and effective internal audit service to deliver “counter fraud” work.</p>
<p>Monitoring Officer</p>	<p>The Council has appointed an officer with the statutory responsibilities under Section 5 of the Local Government and Housing Act 1989. The Monitoring Officer’s duties include</p>

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	<p>ensuring that the Council acts within the law, promotion of high standards of conduct amongst members, conducting investigations where required and maintenance and operation of the Confidential Reporting (“Whistleblowing”) Policy</p>
<p>Chief Internal Auditor</p>	<p>The Head of Risk and Audit Services in their role of Chief Internal Auditor is responsible for giving an objective and evidence based opinion on all aspects of governance, risk management and internal control. This includes controls relating to the prevention and detection of fraud and corruption.</p>
<p>Risk and Audit Services</p>	<p>Section 5 of the Accounts and Audit Regulations 2015 states “a relevant authority must undertake an effective internal audit to evaluate the effectiveness of its risk management, control and governance processes, taking into account public sector internal auditing standards or guidance”. To this end the Council’s Risk and Audit Services independently examines, evaluates and reports on the adequacy and effectiveness of these processes. The Council’s Risk and Audit Services is also responsible for developing and implementing the Anti-Fraud, Bribery and Corruption Strategy and Policy and monitoring the investigation of any reported issues and ensures that all suspected or reported fraud is dealt with promptly in accordance with the strategy and policy and that action is identified to improve controls and reduce the risk or reoccurrence.</p>
<p>Other Teams</p>	<p>Within the Council there are a number of teams who have a duty to prevent, detect and report instances of fraud e.g. the Revenues and Benefit Service.</p>

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<p>Strategic Directors, Heads of Service and Service Managers</p>	<p>It is the responsibility of all Council managers to ensure that the Council's resources are properly applied on the activities intended. This includes responsibility for the prevention and detection of fraud, bribery and corruption. To promote staff awareness and ensure that all suspected or reported irregularities are immediately referred to the Council's Risk and Audit Services. To ensure that there are mechanisms in place within their service areas to assess the risk of fraud, theft, corruption and bribery and to reduce these risks by implementing strong internal controls.</p>
<p>External Audit</p>	<p>Statutory duty to ensure that the Council has adequate arrangements in place in relation to the prevention and detection of fraud, corruption and theft.</p>
<p>Council employees</p>	<p>To comply with Council policies and procedures, to be aware of the possibility of fraud, corruption and theft and to report any genuine concerns to their managers, Risk and Audit Services or via the fraud reporting or whistle blowing procedures.</p>
<p>Public, Partners, Suppliers, Contractors and Consultants etc.</p>	<p>To be aware of the possibility of fraud against the Council and report any genuine concerns or suspicions via the on-line reporting procedures.</p>

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Appendix 4

The Council's Rules, Policies, Procedures and Codes of Conduct

The Council's main rules and procedures aimed at preventing fraud, bribery and corruption are as follows:

- a) Financial Procedure Rules (set out in the Constitution)
- b) Contract Procedure Rules (set out in the Constitution)
- c) Code of Conduct for Members (set out in the Constitution)
- d) Conduct in the Workplace procedures <http://intranet.smbc.loc/personnel/policies-and-procedures/conduct-in-the-workplace.aspx>
- e) Code of Conduct for Members and Officers Dealing with Planning Matters (set out in the Constitution)
- f) Responsibility for Functions (set out in the Constitution)
- g) Recruitment and Selection Procedures <http://intranet.smbc.loc/personnel/policies-and-procedures/recruitment-and-selection.aspx>
- h) Confidential Reporting ("Whistleblowing") Policy <http://intranet.smbc.loc/personnel/policies-and-procedures/conduct-in-the-workplace/whistleblowing-policy.aspx>
- i) ICT Acceptable Use Policy <http://intranet.smbc.loc/personnel/policies-and-procedures/conduct-in-the-workplace/ict-acceptable-use-policy.aspx>

Appendix 5

Types of Fraud – some examples

<p>Council Tax Fraud</p>	<p>Claiming single person discount when there is another adult living in the household. For example, their partner.</p> <p>Having discounts and exemptions in place where there is no entitlement. For example, a student household where there are other residents who are not students.</p>
<p>Business Rate Fraud</p>	<p>Failing to notify us of a change in circumstances. For example, occupying or vacating a property.</p> <p>Falsely claiming an exemption or relief from paying business rates. For example, claiming Small Business Rate Relief where there are multiple businesses located in other Local Authority areas.</p>
<p>Council Tax Reduction Fraud</p>	<p>Failing to declare a change in circumstances. For example, starting work or an increase in wages earned so that the amount of Council Tax reduction is higher than it should be.</p> <p>Where people do not tell us about all their income, savings, capital or another property they own.</p>
<p>Housing Benefit Fraud</p>	<p>False claims by homeowners - this is where the owner of a property falsely claims housing benefit, stating they do not own the property and they are paying rent for the property, inventing a fictitious landlord and using false rent books and tenancy agreements.</p> <p>Deliberately failing to report a change in their personal circumstances. For example, people who are receiving housing benefit on the basis that they are entitled to Job Seeker's Allowance/Income Support, but who are in fact working (working and claiming)</p>

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<p>Adult Social Care Fraud</p>	<p>Direct payments are not being used to pay for the care of the vulnerable adult.</p> <p>The service user has died, but no one informs the Council and so payments continue.</p> <p>Care workers claiming money for time they have not worked or spending the allocated budget inappropriately.</p>
<p>Blue Badge Fraud</p>	<p>Using a badge that does not belong to you or has expired or the badge holder has died and no one has told the Council.</p>
<p>Expenses Fraud</p>	<p>Involving reimbursement of claims for fictitious expenses. For example, expenses for travel that did not happen or for personal expenses claimed to be for business.</p>
<p>Procurement Fraud</p>	<p>Price fixing between suppliers to secure business or submitting false, duplicated or inflated invoices.</p> <p>Failing to declare an interest in one of the businesses bidding.</p> <p>Making false payments or overpayments to businesses.</p>
<p>Planning Fraud</p>	<p>Providing dishonest information on a planning application. For example, inaccurately describing a proposed development.</p>
<p>Accounting Fraud</p>	<p>The intentional manipulation of the financial statements. For example, overstating assets or not recording liabilities.</p>
<p>Grant Funding Fraud</p>	<p>An attempt by recipients to deceive the grant paying body about the purpose of the money awarded. For example, not spending the monies on the purpose for which it was intended.</p>
<p>Payroll Fraud</p>	<p>Unauthorised changes to a payroll system. For example, the creation of a ghost employee or amendments such as changes to salary payments or allowances.</p>

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<p>Employee Fraud</p>	<p>Theft of assets</p> <p>Processing false claims from accomplices.</p> <p>Conducting personal work while being paid by the Council</p>
<p>Cyber Crime</p>	<p>Frauds committed using networks and computers. For example, hacking or phishing.</p> <p>Intentional release of sensitive information or data into the public domain. This may be for the purposes of sabotage or to sell to another party.</p> <p>The most serious consequences for employees involved in cybercrime would arise under the Computer Misuse Act 1980</p>

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Appendix 6

Risk Factors

The following are types of risk factors that may either alone or cumulatively with other factors suggest the possibility of fraud, which may warrant further investigation.

Unusual Employee Behaviour	Sudden and unexplained change in lifestyle/living beyond visible means. Personal problems, including financial problems, alluded to but not shared.
Financial Irregularities	Unusual or unauthorised changes to systems/ procedures. Reconciliations that don't balance.
Bad procurement practice	Officers having too much freedom in choosing a preferred supplier. Undisclosed relationship with a company placing bids.
Inadequate Supervision	Employees working late for no obvious reason.
Disorganisation	Missing/amended documentation. Poor work practices, including bending rules, or using 'short cuts'.
Poor corporate culture	Ignoring the fraud indicators. 'Head in the sand'. 'We've never had any problems in the past'.
Poor controls	Lax attitude to controls. Conflicts of Interest not monitored.

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Report to:	Cabinet	Date of Meeting:	5 December 2019
Subject:	Revenue and Capital Budget Update - Treasury Management Position to October 2019		
Report of:	Head of Corporate Resources	Wards Affected:	All Wards
Portfolio:	Cabinet Member - Regulatory, Compliance and Corporate Services		
Is this a Key Decision:	No	Included in Forward Plan:	Yes
Exempt / Confidential Report:	No		

Summary:

This report provides Members with a review of the Treasury Management activities undertaken to 31st October 2019. This document is the second report of the ongoing quarterly monitoring provided to Audit & Governance Committee and the mid-year report to Cabinet and Council, whose role it is to carry out scrutiny of treasury management policies and practices.

Recommendation(s):

Members are requested to note the Treasury Management update to 31st October 2019, to review the effects of decisions taken in pursuit of the Treasury Management Strategy and to consider the implications of changes resulting from regulatory, economic and market factors affecting the Council's treasury management activities.

Reasons for the Recommendation(s):

To ensure that Members are fully appraised of the treasury activity undertaken to 31st October 2019 and to meet the reporting requirements set out in Sefton's Treasury Management Practices and those recommended by the CIPFA code.

Alternative Options Considered and Rejected: (including any Risk Implications)

N/A

What will it cost and how will it be financed?

(A) Revenue Costs

The financial position on the external investment budget to the end of October indicates a surplus to the end of the period. The forecast to the end of the financial year also shows that investment income will exceed the level set in the budget.

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(B) Capital Costs

None.

Implications of the Proposals:

Resource Implications (Financial, IT, Staffing and Assets): External Interest is forecast to exceed the target for the year.
Legal Implications: The Council has a statutory duty to review its Treasury Management activities from time to time during the financial year.
Equality Implications: None.

Contribution to the Council's Core Purpose:

Protect the most vulnerable: n/a
Facilitate confident and resilient communities: n/a
Commission, broker and provide core services: n/a
Place – leadership and influencer: Support strategic planning and promote innovative, affordable and sustainable capital investment projects through application of the CIPFA Prudential Code.
Drivers of change and reform: The Treasury Management function ensures that cash flow is adequately planned and cash is available when needed by the Council for improvements to the borough through its service provision and the Capital Programme.
Facilitate sustainable economic prosperity: Pursuit of optimum performance on investments activities and minimising the cost of borrowing and the effective management of the associated risk continues to contribute to a balanced budget for the Council.
Greater income for social investment: n/a
Cleaner Greener: n/a

What consultations have taken place on the proposals and when?

(A) Internal Consultations

The Head of Corporate Resources (FD5848/19) and Chief Legal and Democratic Officer (LD4082/19) have been consulted and any comments have been incorporated into the report.

(B) External Consultations N/A

Implementation Date for the Decision

With immediate effect.

Contact Officer:	Graham Hussey
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Appendices:

There are no appendices to this report

Background Papers:

There are no background papers available for inspection.

1. Background to the Report

- 1.1. As recommended under CIPFA's revised 2017 Code of Practice on Treasury Management in Public Services, the Council's Treasury Management Policy and Strategy document for 2019/20 (approved by Council on 28th February 2019) included a requirement for regular updates to be provided on the investment activity of the Authority. This report is the second of such reports for the year and presents relevant Treasury Management information for the period ending 31st October 2019.
- 1.2. The report includes information on the investments held / entered into during the period and the interest rates obtained (with a comparison of performance against a standard benchmark figure). In addition, the report highlights whether there has been any variance from the Treasury Management Policy and Strategy and the Council's approved Prudential Indicators (the operational boundaries within which the Council aims to work).

2. Investments Held

- 2.1. Investments held at the 31/10/2019 comprise the following:

Institution	Deposit £m	Rate %	Maturity	Rating
Money Market Funds:				
Aberdeen	2.44	0.68	n/a	AAA
Aviva	2.62	0.72	n/a	AAA
BNP Paribas	2.59	0.71	n/a	AAA
Goldman Sachs	0.77	0.67	n/a	AAA
Invesco	2.62	0.72	n/a	AAA
Federated Investors	2.10	0.73	n/a	AAA
Insight	2.10	0.72	n/a	AAA
Total	15.24			

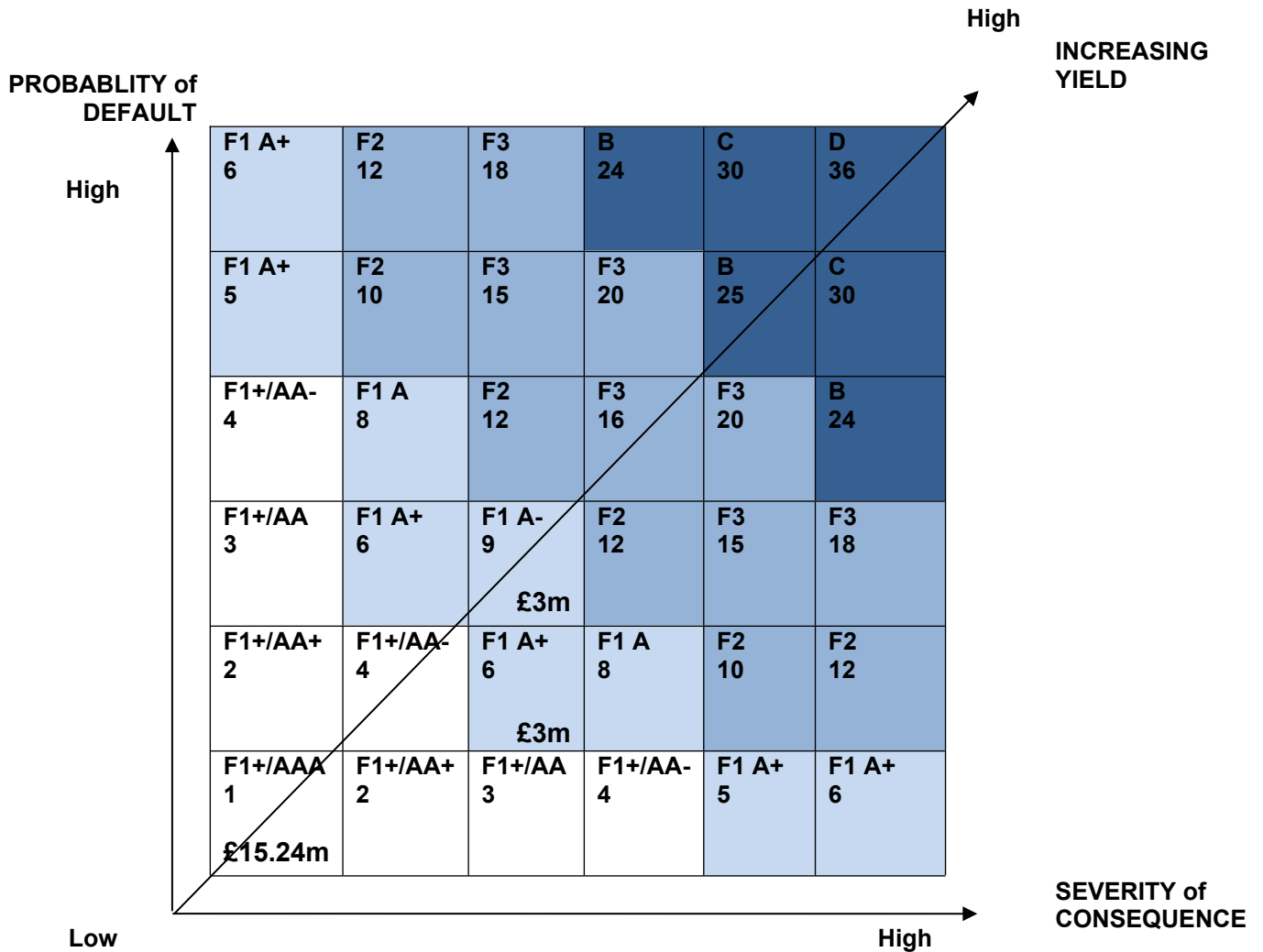
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Institution	Deposit £m	Rate %	Maturity	Rating
Fixed Term Deposits:				
Lloyds	3.00	1.05	10/02/2020	A+
Coventry Building Society	3.00	0.92	11/11/2019	A-
Total	6.00			
Property Fund:				
CCLA	5.00	4.24	n/a	n/a
Total	5.00			
TOTAL INVESTMENTS	26.24			

- 2.2. All of the investments made since April 2019 have been with organisations on the current counterparty list. The maximum level of investment permitted in the Treasury Management Strategy in any one institution, or banking group, is currently £25m. Whilst the maximum should be retained, in case economic conditions change, a day to day operational maximum of 10% of the total portfolio is currently being imposed. This will spread the risk of investments for the Council, but will have a small detrimental impact on the returns the Council will receive in the future. The Council has remained within that boundary during the year. At present, it is not expected that there will be any need to review this limit.
- 2.3. The Council will only invest in institutions that hold a minimum Fitch rating of A- for banking institutions, or AAA for money market funds. The ratings applied to investment grade institutions, and the much riskier speculative grade institutions, as defined by Fitch, have been placed into a risk matrix (paragraph 2.6).
- 2.4. An investment has been made with the Church, Charities and Local Authority Investment Fund (CCLA) in June 2014. CCLA invest in commercial property which is rented out to enterprises as retail units, warehousing, and offices. The majority of properties owned are in the south of the country where the market is currently more buoyant than the north. The Council has in effect bought a share of the property portfolio, and returns paid are in the region of 4%. This is a long-term investment with the potential for capital growth of the investment as property prices potentially increase.
- 2.5. The Net Asset Value of the Property Fund has increased from 303.64p per unit to 303.84p per unit over a 12-month period to September 2019, an increase of 0.1% in the value of the Council's investment.

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2.6. The matrix below shows how the Council has set its risk appetite by being risk averse and putting security and liquidity before yield:



SEFTON RISK TOLERANCE

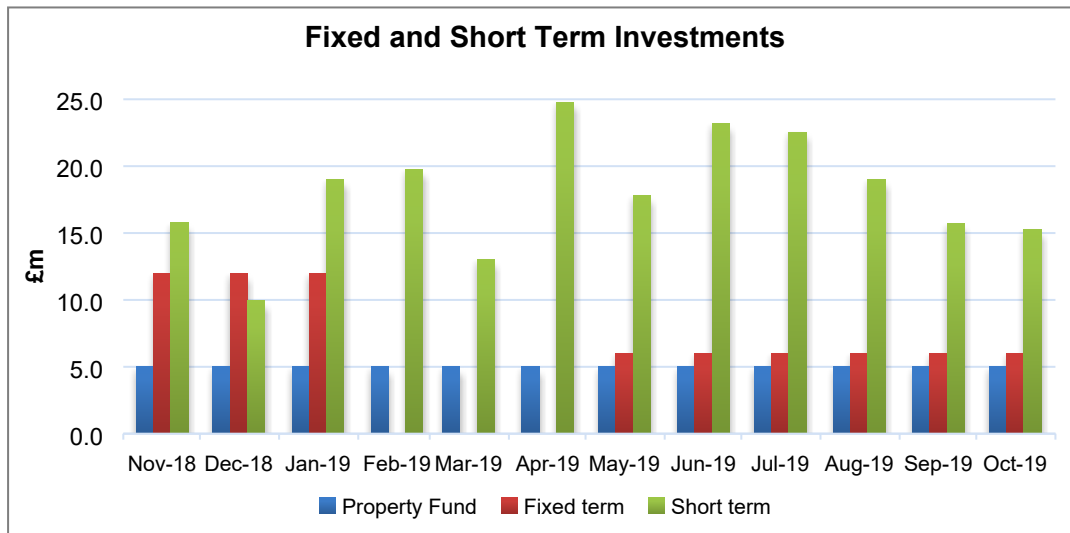
LOW	1 - 4
LOW – MEDIUM	5 - 9
MEDIUM	10 - 20
HIGH	21 - 36

INVESTED

Investment Grade	£15.24m
Investment Grade	£6.00m
Investment Grade	Nil
Speculative Grade	Nil

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- 2.7. The ratio of overnight deposits (short term) to fixed term investments is shown below:



- 2.8. No new fixed term investments have been made since the last quarterly report. One fixed term investment of £3m with Coventry building society is due to mature within the next quarter. Officers from the Treasury Management Team will review the opportunities for reinvesting this amount to take advantage of any favourable rates on offer from approved counterparties.

3. Interest Earned

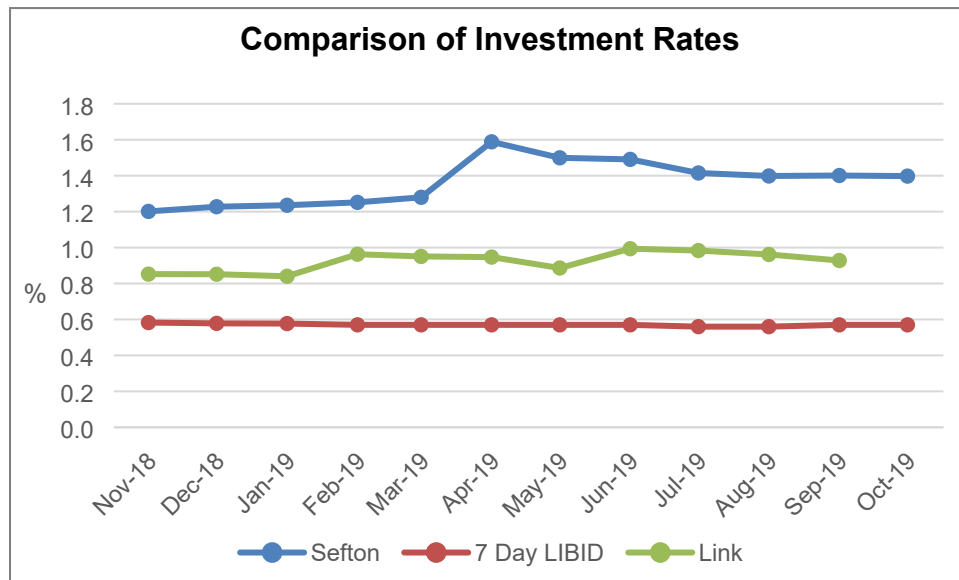
- 3.1. The actual performance of investments against the profiled budget to the end of October 2019 and the forecast performance of investments against total budget at year end is shown below:

	Profiled Budget £m	Actual £m	Variance £m
Oct-19	0.221	0.242	0.021

	Total Budget £m	Forecast Out-turn £m	Variance £m
2019/20	0.415	0.424	0.009

- 3.2. The budgeted investment return for the financial year 2019/20 was set at £0.415m on 1st April 2019. The forecast out-turn shows a minor over-achievement of this target by the end of the financial year. The Council places the majority of its investments with highly liquid Money Market Funds and the yield from these funds has remained relatively unchanged over the first quarter. It is not envisaged that any significant deviation from the budgeted level of income will occur for the remainder of the financial year.

- 3.3. The Council has achieved an average rate of return on its investments that has out-performed the 7 day LIBID and the model portfolio provided by Link:



NB: Link's October position not available at the time of writing.

4. Interest Rate Forecast

- 4.1. Link Asset Services, our Treasury Advisors, have supplied the interest rate forecast and commentary below:

Link Asset Services Interest Rate View										
	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Mar-21	Jun-21	Sep-21	Dec-21	Mar-22
Bank Rate View	0.75	0.75	0.75	0.75	1.00	1.00	1.00	1.00	1.00	1.25
3 Month LIBID	0.70	0.70	0.70	0.80	0.90	1.00	1.00	1.00	1.10	1.20
6 Month LIBID	0.80	0.80	0.80	0.90	1.00	1.10	1.10	1.20	1.30	1.40
12 Month LIBID	1.00	1.00	1.00	1.10	1.20	1.30	1.30	1.40	1.50	1.60
5yr PWLB Rate	2.30	2.50	2.60	2.70	2.70	2.80	2.90	3.00	3.00	3.10
10yr PWLB Rate	2.60	2.80	2.90	3.00	3.00	3.10	3.20	3.30	3.30	3.40
25yr PWLB Rate	3.30	3.40	3.50	3.60	3.70	3.70	3.80	3.90	4.00	4.00
50yr PWLB Rate	3.20	3.30	3.40	3.50	3.60	3.60	3.70	3.80	3.90	3.90

It has been little surprise that the Monetary Policy Committee (MPC) has left the Bank Rate unchanged at 0.75% so far in 2019 due to the ongoing uncertainty over Brexit. In its meeting on 1 August, the MPC became more dovish as it was more concerned about the outlook for both the global and domestic economies. That's shown in the policy statement, based on an assumption that there is an agreed deal on Brexit, where the suggestion that rates would need to rise at a "gradual pace and to a limited extent" is now also conditional on "some recovery in global growth". Brexit uncertainty has had a dampening effect on UK GDP growth in 2019, especially around mid-year. If there were a no deal Brexit, then it is likely that there will be a cut or cuts in Bank Rate to help support economic growth. The September MPC meeting sounded even more concern about world growth and the effect that prolonged Brexit uncertainty is likely to have on growth.

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5. Compliance with Treasury and Prudential Limits

- 5.1. During the quarter ending 31st October 2019, the Council has operated within the treasury and prudential indicators set out in the Council's Treasury Management Strategy Statement and in compliance with the Council's Treasury Management Practices.
- 5.2. The key treasury indicators compared to the actuals as at 31st October 2019 are shown below:

External Debt:	2019/20 £m
Authorised limit for external debt	205.000
Operational boundary for external debt	195.000
Actual external debt 31.10.19	152.832

Maturity structure of fixed rate borrowing:	Upper Limit %	Lower Limit %	Actual %
Under 12 months	35	0	2
12 months to 24 months	40	0	1
24 months to 5 years	40	0	28
5 years to 10 years	40	0	12
10 years to 15 years	40	0	21
15 years +	90	25	35

Upper limit for principal sums invested for longer than 365 days:	Limit %	Actual %
Principal sums invested	40	24

6. Public Works Loan Board (PWLB) Rate Rise

- 6.1. Members will be aware that the Public Works Loan Board (PWLB) offer a borrowing facility for all local authorities. The PWLB offer this borrowing facility at a fixed rate above the Government's cost of borrowing and this has historically been the most efficient manner of borrowing for councils.
- 6.2. On 9th October 2019, the Government increased this margin by 1% in a response to the substantial increase in PWLB loans taken out by local authorities caused by historically low interest rate levels. At the same time to reflect this demand, the cap on such lending by the PWLB has been increased from £85bn to £95bn.
- 6.3. This change was made with no prior notice and will increase the cost of future borrowing that councils may undertake if the PWLB is chosen.
- 6.4. Members are advised that this change will impact upon future borrowing activity but for Sefton this will have no impact upon the Council's current debt portfolio as all loans held are at fixed rates. The revised borrowing rates will be included in future Treasury Management reports and will be a feature in assessing the cost of future schemes viability and affordability.

7. Treasury Consultant Tender Exercise

- 7.1. Members will be aware that local authorities are required under the Prudential Code to receive appropriate Treasury Management advice in order to inform effective and informed decision making in what is recognised as a complex area of council business.
- 7.2. The Council has procured this advice for some time and has ensured that decisions made by members and officers are supported by specialist expertise to reduce the risk faced by the council.
- 7.3. The current contract is due to come to an end on 31st March 2020, therefore a procurement process will now commence. Due to the size of the contract, under the Council's contract procedure rules this process will be undertaken with the final decision on contract award being made by the Head of Corporate Resources. This will be undertaken in consultation with the Cabinet Member for Regulatory Compliance and Corporate Services.
- 7.4. This process will take the form of a restricted Request for Quotation exercise with evaluation being on the basis of the Most Economically Advantageous Tender. The price/quality split of this evaluation will be 30:70 respectively and it is anticipated that the contract award will take place at the end of December 2019 with a view to commencement from 1st April 2020.

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Report to:	Cabinet	Date of Meeting:	5 December 2019
Subject:	Revenue and Capital Budget Update 2019/20		
Report of:	Head of Corporate Resources	Wards Affected:	All Wards
Portfolio:	Cabinet Member - Regulatory, Compliance and Corporate Services		
Is this a Key Decision:	Yes	Included in Forward Plan:	Yes
Exempt / Confidential Report:	No		

Summary:

To inform **Cabinet** of:

1. The current forecast revenue outturn position for the Council for 2019/20;
2. The current forecast on Council Tax and Business Rates collection for 2019/20;
3. The monitoring position of the Council's capital programme to the end of October 2019:
 - The forecast expenditure to year end;
 - Variations against the approved budgets and an explanation of those variations for consideration by Members;
 - Updates to spending profiles and proposed amendments to capital budgets necessary to ensure the efficient delivery of capital projects are also presented for approval.

Recommendations:

Cabinet is recommended to:

Revenue Budget

- 1) Note the current forecast revenue outturn position for 2019/20 and the current position relating to delivery of savings included in the 2019/20 revenue budget;
- 2) Consider the mitigating measures being used to ensure a balanced forecast outturn position, in paragraph 2.2, excluding a forecast deficit on Housing Benefits which will be considered at the end of the financial year if it materialises;
- 3) Approve the implementation of the mitigating actions identified in paragraph 2.10 to ensure a balanced forecast outturn position will be achieved;
- 4) Acknowledge the outcome of the review of earmarked reserves and the transfers to new reserves to fund the schemes outlined in section 6.5.

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Capital Programme

- 5) Review updates to spending profiles across financial years (paragraph 5.1.1);
- 6) Review the new schemes added to the Capital Programme under delegated authority for 2019/20 (paragraph 5.1.3);
- 7) Note the latest capital expenditure position as at 31 October 2019 to date of £8.702m (paragraph 5.2.2) with the latest full year forecast being £25.214m (paragraph 5.3.1);
- 8) Note explanations of variances to project budgets (paragraph 5.3.2); and,
- 9) Acknowledge that capital resources will be managed by the Head of Corporate Resources to ensure the capital programme remains fully funded and that capital funding arrangements secure the maximum financial benefit to the Council (section 5.5).

Reasons for the Recommendation(s):

To ensure Cabinet are informed of the forecast outturn position for the 2019/2020 Revenue Budget as at the end of October 2019, including delivery of agreed savings, and to provide an updated forecast of the outturn position with regard to the collection of Council Tax and Business Rates.

To keep members informed of the progress of the Capital Programme against the profiled budget for 2019/20 and agreed allocations for future years.

To progress any changes that are required in order to maintain a relevant and accurate budget profile necessary for effective monitoring of the Capital Programme.

To approve any updates to funding resources so that they can be applied to capital schemes in the delivery of the Council's overall capital strategy.

In March 2017 Council approved a three-year budget plan to March 2020. The final year of this plan was revised in February 2019 as part of the process of setting the 2019/20 budget. The Council is in the final year of the budget plan and remains confident its strategic approach to budget planning alongside good financial management and extensive community engagement means that the plan continues to develop on solid foundations; it remains flexible and will secure the future sustainability to 2020 and beyond. However, in year demand for social care services is currently resulting in the costs for these services significantly exceeding the budget. If further budget pressures are identified between now and the end of the year additional remedial action will be required to bring the overall budget into balance.

Alternative Options Considered and Rejected: (including any Risk Implications)

N/A

What will it cost and how will it be financed?

(A) Revenue Costs

The report indicates that for 2019/20 there is currently a forecast deficit of £3.379m. Mitigating measures have been identified in order to meet this deficit (excluding a forecast overspend on Housing Benefits which will be considered at outturn if this materialises) and are detailed within the report.

(B) Capital Costs

The Council's capital budget in 2019/20 is £24.654m. As at the end of October 2019, expenditure of £8.702m has been incurred and a full year outturn of £25.214m is currently forecast.

Implications of the Proposals:

The following implications of this proposal have been considered and where there are specific implications, these are set out as follows:

Resource Implications (Financial, IT, Staffing and Assets):
There is currently a budget shortfall of £3.379m forecast for 2019/20 and as previously reported, mitigating actions have been identified in order to address the majority of this (with the exception of a forecast overspend on Housing Benefits which will be considered at outturn if the position doesn't improve). Further mitigating actions are now proposed to meet the remainder of the deficit and provide some resilience should the position worsen in the remainder of the year. However, it should be noted that significant pressure and risk remains in four key business areas, namely Adults and Children's Social Care, Education Excellence and Locality Services. These budgets may experience further demand pressure between now and the end of the year and further mitigations and remedial actions will be required in such an eventuality, if the existing measures aren't sufficient.
Legal Implications:
None
Equality Implications:
None

Contribution to the Council's Core Purpose:

Effective Financial Management and the development and delivery of sustainable annual budgets support each theme of the Councils Core Purpose.

<u>Protect the most vulnerable:</u>
See comment above
<u>Facilitate confident and resilient communities:</u>
See comment above

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<u>Commission, broker and provide core services:</u> See comment above
<u>Place – leadership and influencer:</u> See comment above
<u>Drivers of change and reform:</u> See comment above
<u>Facilitate sustainable economic prosperity:</u> See comment above
<u>Greater income for social investment:</u> See comment above
<u>Cleaner Greener:</u> See comment above

What consultations have taken place on the proposals and when?

(A) Internal Consultations

The Head of Corporate Resources is the author of the report (FD 5865/19)

The Chief Legal and Democratic Officer has been consulted and has no comments on the report (LD 4099/19).

(B) External Consultations

N/A

Implementation Date for the Decision

Following the expiry of the “call-in” period for Minutes of the Cabinet Meeting

Contact Officers: **Stephan Van Arendsen**
Tel: **0151 934 4082**
Email: Stephan.VanArendsen@sefton.gov.uk

Appendices:

APPENDIX A – Capital Programme 2019/20 to 2021/22

Background Papers:

There are no background papers for inspection

1. Introduction

- 1.1 In March 2017, Council approved a three-year budget plan to March 2020. The final year of this plan was revised in February 2019 as part of the process of the Council setting the 2019/20 budget. This report updates the forecast revenue outturn position for 2019/20, including the delivery of savings included in the 2019/20 budget.
- 1.2 The report also outlines the current position regarding key income streams for the Authority, namely Council Tax and Business Rates. Variations against expected receipts in these two areas will also affect the Council's financial position in future years.
- 1.3 The capital section of the report informs members of the latest estimate of capital expenditure for 2019/20 and updates forecast expenditure for 2020/21, 2021/22 and future years. The capital budget to date is presented in section 5.1. Sections 5.2 and 5.3, and section 5.6 confirms that there are adequate levels of resources available to finance the capital programme.

2. Summary of the Forecast Outturn Position as at the end of October 2019

- 1.0 Members are provided with updates of the Council's forecast financial position each month during the financial year. Significant pressures have been identified in several service areas, particularly Children's Social Care, Locality Services and Home to School Transport. The latest forecast of service expenditure indicates an overspend of £3.379m, this represents a worsening of the overall position by £0.420m on the previous months and is driven primarily by additional pressure in Children Social Care. The table below highlights the variations:

	Budget	Forecast Outturn	Variance	Previously Reported Position	Movement since last month
	£m	£m	£m	£m	£m
<u>Services</u>					
Strategic Management	3.187	3.144	-0.043	-0.043	0.000
Strategic Support Unit	2.709	2.709	0.000	0.000	0.000
Adult Social Care	96.765	96.765	0.000	0.000	0.000
Children's Social Care	33.340	34.952	1.612	1.298	0.314
Communities	19.518	19.707	0.189	0.139	0.050
Corporate Resources	4.858	4.770	-0.088	-0.100	0.012
Economic Growth & Housing	6.045	6.044	-0.001	-0.036	0.035
Education Excellence	9.859	10.053	0.194	0.182	0.012
Health & Wellbeing	18.060	17.958	-0.102	-0.100	-0.002
Highways & Public Protection	11.133	11.133	0.000	0.000	0.000
Locality Services	13.809	13.809	0.000	0.000	0.000
Total Service Net Expenditure	219.283	221.044	1.761	1.340	0.421

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Provision relating to 2018/19 Service Pressures	0.000	0.000	0.000	0.000	0.000
Budget Pressure Fund	1.000	1.000	0.000	0.000	0.000
Public Sector Reform Savings not allocated to services (see para 2.3)	(0.950)	0.000	0.950	0.950	0.000
Council Wide Budgets	6.629	7.297	0.668	0.669	-0.001
Levies	34.156	34.156	0.000	0.000	0.000
General Government Grants	(40.979)	(40.979)	0.000	0.000	0.000
Total Net Expenditure	219.139	222.518			
Forecast Year-End Deficit			3.379	2.959	0.420

1.1 The key forecast variations in the outturn position, including any significant variations from the September position, are as follows: -

- **Children's Social Care (£1.612m net overspend)** – The Placement and Packages budget overspent by £5.612m in 2018/19. The equivalent forecast overspend in 2019/20 is currently £6.787m due to the increase in Looked After Children since the end of 2018/19, from 525 to 549, and the full year impact of new cases from 2018/19. However, an allocation of £4.900m from the *Provision relating to 2018/19 Service Pressures* has reduced the forecast overspend to £1.887m. This is an increase of £0.389m compared to September due to a net increase of four placements occurring in the month.

There are net underspends across other areas of the service totalling £0.275m.

The cost of Placements and Packages is the largest risk to the Council's budget position and it is expected that the position will change. The Council is looking at developing a range of options to address the inherent demand and costs of Looked After Children whilst supporting our most vulnerable residents.

- **Communities – (£0.189m net overspend)** – There has been an increase in the number of Children with Disabilities being supported by the service which has increased the cost of care packages by £0.152m and direct payments by £0.116m. There are net underspends across other areas of the service totalling £0.079m.
- **Education Excellence (£0.194m overspend)** - Home to School transport external provision has a projected overspend of £2.053m. This budget overspent by £1.817m in 2018/19 but is forecast to overspend by a further £0.236m due to the full year effect of the increased costs of new external transport contract, an allocation of £1.800m from the *Provision relating to 2018/19 Service Pressures* has reduced the forecast overspend to £0.253m. In addition, there are net underspends across other areas of the service totalling £0.059m.
- **Highways and Public Protection (£0.094m overspend before mitigating actions)** – There is a shortfall on car parking income (£0.082m) due to poorer weather in the first quarter of the year having an impact on car park usage

compared to 2018/19. The approved saving from negotiating extensions to highways maintenance contracts has not realised the amount anticipated (£0.399m shortfall). This has been mitigated by re-aligning Highway Maintenance budgets for 2019/20. The service will manage vacancies, the Highway Maintenance programme and Highway Management Programme, as required, to mitigate the forecast overspend and ensure the forecast outturn is within the service budget.

- **Locality Services (£0.290m overspend before mitigating actions)** – The service pressures experienced in 2018/19 have continued into 2019/20.
 - Security Service (£0.234m overspend) – The forecast deficit is a reflection of an under recovery of income to support the cost base. The forecast deficit has improved since 2018/19 (from £0.486m overspend) due to additional internal works being undertaken by the service. Despite this improvement in income, the certainty of future income is not assured although efforts are being made to secure new contracts.
 - Green Sefton (£0.073m overspend)- The service was expected to achieve savings of £0.330m in 2019/20. Plans to increase income within the Golf courses will not be achieved in the current year as improvements to the courses to encourage customers are not expected until 2020/21.
 - These overspends have been reduced by a net underspend of £0.017m elsewhere within the service.

Mitigating actions have been identified which will bring the forecast outturn within the service budget. These include generating additional income through increased use of assistive technology and external security services as well as temporarily reducing expenditure on supplies and services.

- **Public Sector Reform Savings not allocated to services (£0.950m overspend)** – see paragraph 2.3 below.
- **Council Wide Budgets (£0.668m)** – the increase in pay budgets due to pay awards and pension increases, after allowing for fees and charges increases for traded services, is £0.403m greater than the provision built into the 2019/20 budget. In addition, Housing Benefits is forecast to overspend by £0.248m due to reductions in subsidy relating to certain types of expenditure. However, this budget is difficult to forecast given the complexities of the subsidy claim and as such there is extreme volatility in this budget with the final position not being able to be predicted until year end.

Savings Delivery

- 1.2 The 2019/20 Budget included £9.803m of savings from Public Sector Reform (PSR) projects. Current forecasts are that £8.853m of savings will be deliverable in the year (90%). An analysis of the overall savings for 2019/20 are shown in the summary below:

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	Total Saving 2019/20	Forecast - Achieved In 2019/20	Forecast – Not Achieved 2019/20
	£m	£m	£m
PSR1 - Acute Wrap Around	0.230	0.000	0.230
PSR2 – Locality Teams	4.408	4.408	0.000
PSR4 - All Age Pathway	0.089	0.089	0.000
PSR6 - Commercialisation	0.405	0.405	0.000
PSR8 – Asset Maximisation	0.512	0.512	0.000
PSR9 – ICT & Digital Inclusion	3.439	3.439	0.000
PSR10 - Commissioning	0.720	0.000	0.720
Total PSR Projects	9.803	8.853	0.950

- 1.3 The shortfall on the achievement of savings shown in the table is included in the forecast outturn position shown in paragraph 2.1.
- 1.4 In addition, service budget options of £2.269m were approved for 2019/20. These have been built into service budgets and any shortfall in achievement of these savings is included in the forecast outturn position for each service.

Measures to close the residual gap in 2019/20

- 1.5 The forecast budget deficit as at October 2019 is **£3.379m**. This reflects the risks that were inherent in the Council's financial position, particularly around demand for Children's Social Care and other demand led services. Major Services Reviews have commenced for Adult Social Care, Children's Social Care, Education Excellence and Locality Services with a view to reduce this budget pressure where possible.
- 1.6 The budget for 2019/20 includes a Budget Pressures Fund of £1.000m. Council gave delegated authority to the Chief Executive and the Head of Corporate Resources, in conjunction with the Leader of the Council, to allocate this Fund. Cabinet, at their meeting on 7th November 2019, have noted the allocation of the £1.000m to support the budget pressure identified and contribute to balancing the forecast outturn position.
- 1.7 The net forecast outturn position for 2019/20 is therefore:

	£m
Forecast Year-End Deficit (Paragraph 2.1)	3.379
Business Rates Reserve increase (previously noted by Cabinet on 5 September 2019)	-1.750
Budget Pressures Fund	-1.000
Forecast Year-End Deficit	0.629

- 1.8 As mentioned in paragraph 2.2, the forecast outturn position includes an overspend of £0.248m relating to Housing Benefits. This budget is difficult to forecast given the complexities of the Subsidy claim. The position will be monitored during the remainder of the year with any overspend at the end of the year considered as part of the Council's overall outturn position.
- 1.9 The above table shows a deficit forecast outturn position (excluding the Housing Benefits forecast) of **£0.381m**. As previously reported, there are risks still inherent in this position, particularly relating to Looked After Children, meaning the position may worsen further during the year. Looked After Children numbers have increased by an average of 4 per month this financial year and added £0.850m to the forecast since June. If this trend continues for the remainder of the financial year approximately £0.500m will be added to the 2019/20 forecast, translating into a full year pressure of £1.000m for 2020/21.

As a deficit is now forecast, further mitigating actions will need to be implemented.

- It is proposed to not fill current vacant posts or posts as they become vacant (excluding essential posts in Children's Social Care); and,
- A freeze on all but essential expenditure between now and the end of the financial year.

It is estimated that these measures will achieve approximately £0.700m, excluding the impact of not filling posts as they become vacant. This will meet the current deficit position and provide some resilience for any worsening of the position in the coming months. The position will be kept under review and, if required, other appropriate measures will be proposed to ensure a balanced forecast outturn position will be achieved.

- 1.10 An assessment will need to be made on the potential impact on the budget for 2020/21 and whether pressure this year is one-off or likely to be recurrent. The Business Rates Reserve usage (£1.750m) is a one-off item, whereas the Budget Pressures Fund (£1.000m) will be retained in 2020/2021. The report on the Medium Term Financial Plan 2021/22 to 2022/23, considered at Cabinet on 7 November 2019, assumed that £1.850m would be needed in 2020/21 to fund the ongoing pressures from the 2019/20 budget.

2 Council Tax Income – Update

- 3.1 Council Tax income is shared between the billing authority (Sefton Council) and the three major precepting authorities (the Fire and Rescue Authority, the Police and Crime Commissioner and the Combined Authority – Mayoral Precept) pro-rata to their demand on the Collection Fund. The Council's Budget included a Council Tax Requirement of £133.099m for 2019/20 (including Parish Precepts), which represents 84.1% of the net Council Tax income of £158.306m.
- 3.2 The forecast outturn for the Council at the end of October 2019 is a deficit of +£0.027m. This variation is primarily due to: -

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- The surplus on the fund at the end of 2018/19 being lower than estimated (+£0.151m);
 - Gross Council Tax Charges in 2019/20 being higher than estimated (-£0.292m);
 - Exemptions and Discounts (including a forecasting adjustment) being higher than estimated (+£0.168m).
- 3.3 Due to Collection Fund regulations, the Council Tax deficit will not be transferred to the General Fund in 2019/20 but will be carried forward to be recovered in future years.
- 3.4 A forecast surplus of £1.160m was declared on the 15 January 2019 of which Sefton's share is £0.996m (85.8%). This is the amount that will be distributed from the Collection Fund in 2019/20. Any additional surplus or deficit will be distributed in 2020/21.

4 Business Rates Income – Update

- 4.1 Since 1 April 2017, Business Rates income has been shared between the Council (99%) and the Fire and Rescue Authority (1%). The Council's Budget included retained Business Rates income of £64.739m for 2019/20, which represents 99% of the net Business Rates income of £65.393m. Business Rates income has historically been very volatile making it difficult to forecast accurately.
- 4.2 The forecast outturn for the Council at the end of October 2019 is a surplus of -£0.823m on Business Rates income. This is due to:
- The surplus on the fund at the end of 2018/19 being higher than estimated (-£0.092m);
 - Increase in the gross charge on rateable properties (-£0.479m)
 - Other reliefs (including a forecasting adjustment) being lower than estimated in 2019/20 (-£0.252m).
- 4.3 Due to Collection Fund regulations, the Business Rates surplus will not be transferred to the General Fund in 2019/20 but will be carried forward to be distributed in future years. However, £0.263m of the surplus forecast in paragraph 4.2 will be required to offset the shortfall in Section 31 grants due to certain reliefs being lower than estimated in 2019/20.
- 4.4 A forecast surplus of £1.768m was declared in January 2019. Sefton's share of this is -£1.750m which is made up of an amount brought forward from 2017/18 (-£2.169m) and the impact of variations in 2018/19 (+£0.419m). This is the amount that will be distributed from the Collection Fund in 2019/20 and any additional surplus or deficit will be distributed in 2020/21.

5 Capital Programme 2019/20 – 2021/22 & Future Years

5.1 Capital Budget

1.1.1. The Capital Budget and profile of expenditure for the three years 2019/20 to 2021/22 is:

2019/20	£24.654m
2020/21	£10.911m
2021/22	£0.730m

1.1.2. Amendments to the 2019/20 capital budget have been made in October due to re-phasing of schemes between 2019/20 and future years. The changes are reflected in the table above and explained below:

- Adult Social Care Core DFG programme has been prudently realigned to future years (£0.376m) to reflect the Occupational Therapist capacity prior to new staff being employed and the profile of spend in the year to date. The Interim Director of Adult Social Care expects performance to continue to improve in the coming months now that additional capacity is in place and delivery is expected to increase into next year.
- Adult Social Care Wider programme has been realigned to future years (£0.209m) to reflect later phased delivery of schemes. The number of assessments and demand for new equipment is expected to increase over the coming months and into next year as the programme progresses now that new Occupational Therapists have been employed.
- Schools programme re-phased to 2020/21 for delivery of rewiring schemes at Lydiate Primary, Woodlands Primary, and completion of Phase 2 of the rewiring scheme at Redgate Primary (£0.323m). These schemes are profiled to take place in 2020/21 but additional funding is now required and funds have been reallocated from the 2019/20 general maintenance balance.
- Highways Strategic Planning budgets profiled to from 2019/20 to 2020/21 (£0.220m) to align with capacity to deliver and timing of projects.
- CERMS budget re-phased from 2020/21 to 2019/20 for coastal surveys and mapping work (£0.261m). The programme has been accelerated and there are several surveys that can be carried out early, but this will be weather dependent and will be kept under review.
- Parks scheme re-phased from 2020/21 to 2019/20 to allow earlier delivery of the project (£0.017m)
- Tree planting budget re-phased from future years to 2019/20 to support the establishment of the current planting programme (£0.023m).

1.1.3. The following new Section 106 funded scheme has been added to the programme in October:

- Improvement Works at Marion Gardens (£0.067m).

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1.2. Budget Monitoring Position to October 2019

1.2.1. The current position of expenditure against the budget profile to the end of October 2019 is shown in the table below. It should be noted that budgets are profiled over the financial year and most expenditure is incurred in the final three quarters of the financial year, July 2019 to March 2020.

1.2.2. As would be expected Education Excellence carries out most of its capital works during key school's holiday periods such as the summer recess, whilst Highways and Public Protection completes most of its programmed works during quarters 2 and 3. The Adult Social Care expenditure excluding core Disabled Facilities Grant (DFG) expenditure is also profiled to quarters 3 and 4.

Service Area	Budget to Oct-19	Actual Expenditure to Oct-19	Variance to Oct-19
	£m	£m	£m
Adult Social Care	1.467	1.400	-0.067
Communities	0.075	0.082	0.007
Corporate Resources	0.248	0.204	-0.044
Economic Growth & Housing	0.054	0.057	0.003
Education Excellence	1.776	1.763	-0.013
Highways & Public Protection	4.902	4.496	-0.404
Locality Services	0.683	0.700	0.017
Total Programme	9.205	8.702	-0.503

1.2.3. Analysis of significant spend variations over (+) / under (-) budget profile:

Adult Social Care

Scheme	Variation	Reason	Action Plan
Primary Care Integration	-£39,500	The system is now live and functional. The final account has yet to be settled with the supplier.	The invoice will be paid in November.

Corporate Resources

Scheme	Variation	Reason	Action Plan
Bootle Town Hall - Fire Door Statutory Compliance	-£22,124	Delays due to the contractor not completing work as required. The contractor has now been discharged.	A listed building specialist has been identified to continue the work.

Highways & Public Protection

Scheme	Variation	Reason	Action Plan
Healthy Lifestyles	£55,388	Work on the Kirkby to Maghull cycle route has been brought forward to coincide with M58 works.	None required. Completing this work ahead of schedule is the most efficient option.
Highway Maintenance	-£400,404	This is a combination of invoicing delays and some works now being scheduled to Feb/Mar.	The outstanding invoices will be settled asap and the remaining budget reprofiled to later in the financial year.
Street Lighting	-£95,220	Work has been completed but there are invoicing delays.	The outstanding invoices will be settled asap.

1.2.4. In the September report a number of schemes that reported variances to budget contained action plans to address the variance. Progress on these is as follows:

Education Excellence

Scheme	Variation	Action Plan	Progress to Date
Healthy Pupils Fund	-39,358	The schools will work to locate contractors to complete the required works before the end of the financial year.	Orders have now been placed for several outstanding projects with quotations expected for the rest.

Highways & Public Protection

Scheme	Variation	Action Plan	Progress to Date
M58 J1 Improvements	-£80,524	Works on site and proceeding as planned but the cost schedule needs to be reviewed.	Review of cost schedule has now been completed.
Highways Maintenance	-£111,836	Outstanding balances from the previous financial year to be cleared.	Outstanding balance has now been cleared

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Locality Services

Scheme	Variation	Action Plan	Progress to Date
CERMS	£107,608	Work is progressing on these projects as planned but invoices have been paid earlier than anticipated. The budget profile will be updated to reflect the timing of these payments.	Budget profile has been reviewed and amended to allow for the timing of payments.
Crosby Flood and Coastal Scheme	£30,665	Additional staffing costs have been incurred by the scheme. Outline business case to be reviewed in light of these costs.	Outline business case is still under review.

1.3. Capital Programme Forecast Outturn 2019/20

1.3.1. The current forecast of expenditure against the budget profile to the end of 2019/20 and the profile of budgets for future years is shown in the table below:

Service Area	Full Year Budget 2019/20	Forecast Out-turn	Variance to Budget	Full Year Budget 2020/21	Full Year Budget 2021/22
	£m	£m	£m	£m	£m
Adult Social Care	3.633	3.517	-0.116	0.000	0.000
Communities	0.336	0.330	-0.006	0.314	0.000
Corporate Resources	1.179	1.179	0.000	0.212	0.000
Economic Growth & Housing	0.338	0.338	0.000	0.127	0.000
Education Excellence	3.196	3.190	-0.006	8.883	0.191
Highways & Public Protection	13.047	13.735	0.688	0.375	0.000
Locality Services	2.925	2.925	0.000	1.000	0.539
Total Programme	24.654	25.214	0.560	10.911	0.730

A full list of the capital programme by capital scheme is at **appendix A**.

1.3.2. Analysis of significant spend variations over budget profile in 2019/20:

Highways & Public Protection

Scheme	Variation	Reason	Action Plan
M58 Junction 1 Improvements	£688,540	Delays to the project due to longer than anticipated time to secure the land. Contractual payments had to be made to the contractor in the interim. Additional redesign costs have also been incurred. The total forecast overspend is £930k over 2019/20 and 2020/21.	A formal request has been submitted to the Combined Authority Project Management Office requesting additional funding of £500k. The remaining shortfall of £430k to the projected overspend of £930k will require a review of the transport programme to identify resources that can be redirected to the M58 scheme.

1.4. European Regional Development Funding

1.4.1. In January 2019, the Council was informed that via a bid by the Combined Authority to the Ministry of Housing, Communities and Local Government (MCHLG), £1.803m was secured from the European Regional Development Fund (ERDF) for the calendar years 2019/20/21 for improvements to cycle routes in Southport and Crosby. The spend profile is subject to approval of the MCHLG, with discussions ongoing. An indicative allocation of £0.825m was included within the 2019/20 Transportation Capital Programme.

1.4.2. It is now anticipated that due to delays in concluding agreement on the spend profile, the proposed scheme will not be on site until February 2020 at the earliest with completion scheduled for May 2020. A separate report will be presented to Cabinet Member on the progress of the Highways Capital Programme and will identify any requirement to profile budgets for these combined projects to future years.

1.5. Programme Funding

1.5.1. The table below shows a how the capital programme will be funding in 2019/20:

Source	£m
Grants	21.457
Contributions (incl. Section 106)	1.384
Capital Receipts	0.271
Prudential Borrowing	1.542
Total Programme Funding	24.654

1.5.2. The programme is reviewed on an ongoing basis to confirm the capital resources required to finance capital expenditure are in place, the future years programme

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is fully funded and the level of prudential borrowing remains affordable subject to the issue raised in paragraph 5.3.2.

- 1.5.3. The Head of Corporate Resources will continue to manage the financing of the programme to ensure the final capital funding arrangements secure the maximum financial benefit to the Council.

6 Review of Earmarked Reserves

- 6.1. Cabinet on 7 November 2019 approved that officers undertake a full review of earmarked reserves. The purpose of the review was in part to assess if any reserves or balances were no longer required for their original purpose and could be utilised to offset the impact of any emerging issues and any other strategic financial decisions that will be made over the next three years.
- 6.2. Unlike General Fund balances, Earmarked Reserves are held for a specific purpose. These purposes may be determined by the Council to coincide with its policy objectives, dictated by statute (e.g. Schools Earmarked Reserves) or relate to revenue grants and contributions that haven't been fully applied by the end of the financial year.
- 6.3. In accordance with the Council's Financial Procedure Rules, approval limits for supplementary revenue estimates which are to be funded from earmarked reserves are as follows:

Amount	Approval
Up to and including £250,000	Section 151 Officer
In excess of £250,000 up to and including £500,000	Section 151 Officer in consultation with the Chief Executive
In excess of £500,000 up to and including £1,000,000	Cabinet
Over £1,000,000	Council with recommendation from Cabinet

- 6.4. If a reserve is no longer required for the originally intended purpose it is released back into the General Fund or transferred into a new or existing earmarked reserve in accordance the Council's Financial Procedure Rules above.
- 6.5. The review of earmarked reserves has identified **£1.483m** of reserves that are no longer required for the originally intended purpose. It is proposed that the total be transferred into new earmarked reserves to fund the following items of expenditure:

Clean Air Zone

Cabinet on 7 November approved a supplementary revenue estimate of **£0.530m** funded from earmarked reserves to support the development of an outline business case for a Sefton Clean Air Zone.

Children's Social Care – Additional Resources

Due to pressures within the service it is proposed that additional staffing resources be brought into the service along with some temporary external support. The costs in 2019/20 are anticipated to be **£0.500m** and will be funded from released earmarked reserves. This funding has been approved by the Chief Executive and Head of Corporate Resources (s151 officer). Ongoing staffing costs will be considered as part of the budget report for 2020/21.

Local Government Association (LGA) – Graduate Training Programme

The Authority has agreed to support the LGA Graduate Training Programme which will see graduates placed within Services to gain experience and develop the skills to become future leaders within a local government setting. The estimated cost of this Programme is **£0.140m** to be funded from released earmarked reserves. This funding has been approved by the Head of Corporate Resources (s151 officer).

Litherland Sports Park – Improvements to Facilities

Litherland Sports Park is an important part of the Council's playing pitch strategy and at present, due to its high usage, needs some major investment. A scheme has been developed to resurface and upgrade the pitch, as well as upgrade the existing lighting to LED. The estimated cost of this scheme is **£0.250m** to be funded from released earmarked reserves. This funding has been approved by the Head of Corporate Resources (s151 officer).

- 6.6. After the above allocations have been transferred to new earmarked reserves, the balance (£0.063m) will be released into the General Fund in the year to offset budget pressures.

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APPENDIX A – Capital Programme 2019/20 to 2021/22

Capital Project	Budget		
	2019/20 £	2020/21 £	2021/22 £
Adult Social Care			
Adult Social Care IT Infrastructure	44,020	-	-
South Hub	11,257	-	-
Primary Care Integration	39,500	-	-
Core DFG Programme	1,824,000	-	-
Wider Social Care Programme	1,714,500	-	-
Communities			
Atkinson Studio Stage	11,929	-	-
Dunes All Weather Pitches - Invest to Save	13,083	-	-
Crosby Lakeside Adventure Centre Water Sports	75,157	-	-
Formby Library Improvements	-	6,620	-
Libraries - Centres of Excellence	80,000	265,237	-
Bootle Library	-	42,372	-
S106 - Molyneux Ward - Rainbow Park Improvement Works	26,211	-	-
S106 - Litherland Ward - Caged Tipper	44,640	-	-
S106 - Linacre Ward - Mobile CCTV	18,000	-	-
S106 - St Oswalds - Marian Gardens Redevelopment	67,137	-	-
Corporate Resources			
Corporate Maintenance	113,022	-	-
STCC Essential Maintenance	219,718	-	-
St John Stone Site – Infrastructure Works	623,210	-	-
Magdalen House Alterations	61,587	83,392	-
Meadows Community Base	3,645	2,683	-
Aintree Community Base	5,815	1,968	-
NAC Community Base	2,511	18,499	-
Southport Town Hall Community Base	26,477	5,373	-
Family Wellbeing Centres	122,816	100,000	-
Economic Growth & Housing			
Marian Square, Netherton CCTV	-	40,405	-
REECH Project	37,162	-	-
Southport Commerce Park - 3rd Phase Development	13,173	-	-
Housing Investment (HMRI)	34,800	56,980	-
Southport Pier Project	252,528	29,675	-
Education Excellence			
Healthy Pupils Fund	178,000	-	-

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	2019/20 £	2020/21 £	2021/22 £
Schools Programme	2,505,000	3,533,985	190,569
Planned Maintenance	361,203	4,294,000	-
Special Educational Needs & Disabilities	151,850	1,054,650	-
Highways and Public Protection			
Accessibility	265,000	-	-
Completing Schemes/Retentions	32,250	-	-
Healthy Lifestyles	1,590,000	-	-
Road Safety	120,000	-	-
A565 Route Management and Parking	710,000	-	-
Strategic Planning	303,822	220,168	-
Traffic Management and Parking	2,417,500	-	-
Highway Maintenance	2,039,446	-	-
Bridges & Structures	243,110	-	-
Drainage	225,000	-	-
Street Lighting Maintenance	300,000	-	-
UTC Maintenance	100,000	-	-
Major Transport Schemes	4,700,589	154,836	-
Locality Services			
Thornton Garden of Rest Improvements	3,692	-	-
Burials & Cremation Insourcing - Vehicles & Equipment	-	200,000	-
Formby Strategic Flood Risk Management Programme	-	44,141	-
Merseyside Groundwater Study	5,000	26,508	-
Four Acres Multi Agency Flood Options	3,352	-	-
CERMS	919,759	149,407	-
Natural Flood Risk Management	10,000	-	-
The Pool & Nile Watercourses	58,602	-	-
Crosby Flood & Coastal Scheme	358,947	306,190	500,000
Seaforth & Litherland Strategic Flood Risk	-	30,000	-
Hall Road & Alt Training Bank - Rock Armour	50,000	-	-
Ainsdale & Birkdale Land Drainage Scheme	30,000	-	-
Surface Water Management Plan	170,000	-	-
Parks Schemes	108,213	204,375	-
Tree Planting Programme	77,185	39,174	38,600
Vehicle Replacement Programme	1,130,614	-	-
TOTAL PROGRAMME	24,654,032	10,910,638	729,169

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