

CABINET

**Tuesday, 16th July, 2013
at 5.00 pm**

Council Chamber - Civic Centre

This meeting is open to the public

Members

Councillor Letts, Leader of the Council (Leader)
Councillor Barnes-Andrews, Cabinet Member for Resources
Councillor Jeffery, Cabinet Member for Change
Councillor Bogle, Cabinet Member for Children's Services
Councillor Kaur, Cabinet Member for Communities
Councillor Tucker, Cabinet Member for Economic Development and Leisure
Councillor Rayment, Cabinet Member for Environment and Transport
Councillor Shields, Cabinet Member for Health and Adult Social Care
Councillor Payne, Cabinet Member for Housing and Sustainability

(QUORUM – 3)

Contacts

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BACKGROUND AND RELEVANT INFORMATION

The Role of the Executive

The Cabinet and individual Cabinet Members make executive decisions relating to services provided by the Council, except for those matters which are reserved for decision by the full Council and planning and licensing matters which are dealt with by specialist regulatory panels.

Executive Functions

The specific functions for which the Cabinet and individual Cabinet Members are responsible are contained in Part 3 of the Council's Constitution. Copies of the Constitution are available on request or from the City Council website, www.southampton.gov.uk

The Forward Plan

The Forward Plan is published on a monthly basis and provides details of all the key executive decisions to be made in the four month period following its publication. The Forward Plan is available on request or on the Southampton City Council website, www.southampton.gov.uk

Key Decisions

A Key Decision is an Executive Decision that is likely to have a significant

- financial impact (£500,000 or more)
- impact on two or more wards
- impact on an identifiable community

Decisions to be discussed or taken that are key

Implementation of Decisions

Any Executive Decision may be "called-in" as part of the Council's Overview and Scrutiny function for review and scrutiny. The relevant Overview and Scrutiny Panel may ask the Executive to reconsider a decision, but does not have the power to change the decision themselves.

Southampton City Council's Seven Priorities

- More jobs for local people
- More local people who are well educated and skilled
- A better and safer place in which to live and invest
- Better protection for children and young people
- Support for the most vulnerable people and families
- Reducing health inequalities
- Reshaping the Council for the future

Procedure / Public Representations

Reports for decision by the Cabinet (Part A of the agenda) or by individual Cabinet Members (Part B of the agenda). Interested members of the public may, with the consent of the Cabinet Chair or the individual Cabinet Member as appropriate, make representations thereon.

Smoking policy – The Council operates a no-smoking policy in all civic buildings.

Mobile Telephones – Please turn off your mobile telephone whilst in the meeting.

Fire Procedure – In the event of a fire or other emergency, a continuous alarm will sound and you will be advised, by officers of the Council, of what action to take.

Access – Access is available for disabled people. Please contact the Cabinet Administrator who will help to make any necessary arrangements.

Municipal Year Dates (Tuesdays)

| 2013 | 2014 |
|-------------|-------------|
| 21 May | 21 January |
| 18 June | 18 February |
| 16 July | 18 March |
| 20 August | 15 April |
| 15 October | |
| 19 November | |
| 17 December | |
| | |
| | |

CONDUCT OF MEETING

TERMS OF REFERENCE

The terms of reference of the Cabinet, and its Executive Members, are set out in Part 3 of the Council's Constitution.

RULES OF PROCEDURE

The meeting is governed by the Executive Procedure Rules as set out in Part 4 of the Council's Constitution.

DISCLOSURE OF INTERESTS

Members are required to disclose, in accordance with the Members' Code of Conduct, **both** the existence **and** nature of any "Disclosable Personal Interest" or "Other Interest" they may have in relation to matters for consideration on this Agenda.

DISCLOSABLE PERSONAL INTERESTS

A Member must regard himself or herself as having a Disclosable Pecuniary Interest in any matter that they or their spouse, partner, a person they are living with as husband or wife, or a person with whom they are living as if they were a civil partner in relation to:

(i) Any employment, office, trade, profession or vocation carried on for profit or gain.

(ii) Sponsorship:

Any payment or provision of any other financial benefit (other than from Southampton City Council) made or provided within the relevant period in respect of any expense incurred by you in carrying out duties as a member, or towards your election expenses. This includes any payment or financial benefit from a trade union within the meaning of the Trade Union and Labour Relations (Consolidation) Act 1992.

(iii) Any contract which is made between you / your spouse etc (or a body in which the you / your spouse etc has a beneficial interest) and Southampton City Council under which goods or services are to be provided or works are to be executed, and which has not been fully discharged.

(iv) Any beneficial interest in land which is within the area of Southampton.

(v) Any license (held alone or jointly with others) to occupy land in the area of Southampton for a month or longer.

(vi) Any tenancy where (to your knowledge) the landlord is Southampton City Council and the tenant is a body in which you / your spouse etc has a beneficial interests.

(vii) Any beneficial interest in securities of a body where that body (to your knowledge) has a place of business or land in the area of Southampton, and either:

a) the total nominal value for the securities exceeds £25,000 or one hundredth of the total issued share capital of that body, or

b) if the share capital of that body is of more than one class, the total nominal value of the shares of any one class in which you / your spouse etc has a beneficial interest that exceeds one hundredth of the total issued share capital of that class.

BUSINESS TO BE DISCUSSED

Only those items listed on the attached agenda may be considered at this meeting.

QUORUM

The minimum number of appointed Members required to be in attendance to hold the meeting is 3.

Other Interests

A Member must regard himself or herself as having a, 'Other Interest' in any membership of, or occupation of a position of general control or management in:

Any body to which they have been appointed or nominated by Southampton City Council

Any public authority or body exercising functions of a public nature

Any body directed to charitable purposes

Any body whose principal purpose includes the influence of public opinion or policy

Principles of Decision Making

All decisions of the Council will be made in accordance with the following principles:-

- proportionality (i.e. the action must be proportionate to the desired outcome);
- due consultation and the taking of professional advice from officers;
- respect for human rights;
- a presumption in favour of openness, accountability and transparency;
- setting out what options have been considered;
- setting out reasons for the decision; and
- clarity of aims and desired outcomes.

In exercising discretion, the decision maker must:

- understand the law that regulates the decision making power and gives effect to it. The decision-maker must direct itself properly in law;
- take into account all relevant matters (those matters which the law requires the authority as a matter of legal obligation to take into account);
- leave out of account irrelevant considerations;
- act for a proper purpose, exercising its powers for the public good;
- not reach a decision which no authority acting reasonably could reach, (also known as the "rationality" or "taking leave of your senses" principle);
- comply with the rule that local government finance is to be conducted on an annual basis. Save to the extent authorised by Parliament, 'live now, pay later' and forward funding are unlawful; and
- act with procedural propriety in accordance with the rules of fairness.

AGENDA

Agendas and papers are now available via the Council's Website

1 APOLOGIES

To receive any apologies.

2 DISCLOSURE OF PERSONAL AND PECUNIARY INTERESTS

In accordance with the Localism Act 2011, and the Council's Code of Conduct, Members to disclose any personal or pecuniary interests in any matter included on the agenda for this meeting.

NOTE: Members are reminded that, where applicable, they must complete the appropriate form recording details of any such interests and hand it to the Democratic Support Officer.

EXECUTIVE BUSINESS

3 STATEMENT FROM THE LEADER

4 RECORD OF THE PREVIOUS DECISION MAKING

Record of the decision making held on 18th June 2013 attached.

5 MATTERS REFERRED BY THE COUNCIL OR BY THE OVERVIEW AND SCRUTINY MANAGEMENT COMMITTEE FOR RECONSIDERATION (IF ANY)

There are no matters referred for reconsideration.

6 REPORTS FROM OVERVIEW AND SCRUTINY COMMITTEES (IF ANY)

There are no items for consideration

7 EXECUTIVE APPOINTMENTS

To deal with any executive appointments, as required.

ITEMS FOR DECISION BY CABINET

8 EVENING PARKING CHARGES

Report of the Cabinet Member for Environment and Transport seeking to establish a policy to allow evening parking charges to be introduced, attached.

9 CHARGING FOR RESIDENTS FIRST PARKING PERMITS

Report of the Cabinet Member for Environment and Transport seeking to implement new charges for the issue of residents first parking permits, attached.

10 EARLY YEARS EXPANSION PROGRAMME

Report of the Cabinet Member for Children's Services providing an update on progress on the development of the proposals for the expansion of the early year's sector, attached.

11 SOUTHAMPTON CITY COUNCIL PLAN 2013-2016

Report of the Leader of the Council, seeking approval of Southampton City Council's Plan for 2012-2016, attached.

12 REDUCING ENERGY CONSUMPTION AND CARBON EMISSIONS IN THE CITY'S STREET LIGHTING SERVICE.

Report of the Leader of the Council, seeking approval to implement changes to lighting levels in the City which will reduce energy consumption and reduce carbon emissions, attached.

13 COMMUNITY INFRASTRUCTURE LEVY AND PLANNING OBLIGATIONS SUPPLEMENTARY PLANNING DOCUMENT ADOPTION

Report of the Leader of the Council, seeking Cabinet approval for the Planning Obligations Supplementary Planning Document and updates to the Community Infrastructure Levy Charging Schedule, attached.

14 NORTH OF CENTRAL STATION - FUNDING APPROVALS

Report of the Cabinet Member for Environment and Transport, seeking approval to add confirmed 2014/15 Local Transport Plan funding to the Environment and Transport Capital Programme and approve for expenditure in 2013/14 to deliver Phase 1 of the North of Central Station, attached.

15 UPDATE ON THE PEOPLE SERVICES TRANSFORMATION WORK

Report of the Cabinet Member for Communities and Change regarding the transformation to the People's Directorate, attached.

16 *OAKLANDS SWIMMING POOL

Report of the Leader of the Council in association with the Cabinet Members for Resources and Economic Development and Leisure Services on the future management arrangements for the pool, attached.

17 *SRB2 REGENERATION PROGRAMME SUCCESSION STRATEGY

Report of the Leader detailing the SRB2 Regeneration Programme Succession Strategy, attached.

ITEMS FOR DECISION BY CABINET MEMBER

18 SPECIAL EDUCATION NEEDS STRATEGY

Report of the Interim Head of Education seeking approval for the Cabinet Member to set a deficit budget for those schools who have requested to set one, attached.

19 * IMPLEMENTATION OF THE SOUTHAMPTON CITY COUNCIL ATTENDANCE POLICY

Report of the Head of Service, Prevention and Inclusion seeking agreement to put in place a city wide Attendance Policy to set out arrangements to deliver a step change in absence rates in schools in the City, attached.

Monday, 8 July 2013

Head of Legal, HR and Democratic Services

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Agenda Item 4

SOUTHAMPTON CITY COUNCIL EXECUTIVE DECISION MAKING

RECORD OF THE DECISION MAKING HELD ON 18 JUNE 2013

Present:

| | | |
|---------------------------|---|---|
| Councillor Letts | - | Leader of the Council |
| Councillor Bogle | - | Cabinet Member for Children's Services |
| Councillor Rayment | - | Cabinet Member for Change and Communities |
| Councillor Tucker | - | Cabinet Member for Economic Development and Leisure |
| Councillor Thorpe | - | Cabinet Member for Environment and Transport |
| Councillor Payne | - | Cabinet Member for Housing and Sustainability |
| Councillor Barnes-Andrews | - | Cabinet Member for Resources |

Apologies: Councillor Shields

1. REPORTS FROM OVERVIEW AND SCRUTINY COMMITTEES (IF ANY)

Cabinet noted the report of the Chair of the Health an Overview Scrutiny Panel.

2. EXECUTIVE APPOINTMENTS

On consideration of the report of the Cabinet:

- (i) approved the executive appointments for the 2013/14 Municipal Year as set out in the attached revised Register
- (ii) noted all appointments be for one year save where the terms of reference and or constitution of the body or organisation concerned specify the duration of an appointment or where the decision on any nomination by the City Council to their membership is reserved to the body or organisation concerned to determine the appointment or continuation of appointments, in light of any changes in City Council Administration.

3. COMMUNITY ASSET TRANSFER STRATEGY

DECISION MADE: (Ref: CAB 13/14 9980)

On consideration of the report of the Cabinet Member for Change and Communities and having received representations from local residents with a specific interest in local charities and community organisations and Members of the Council, Cabinet agreed the following modified decision:

- (i) To approve the Community Asset Transfer Strategy attached at Appendix 1.
- (ii) To delegate authority to the Communities and Improvement Manager, to progress applications for community asset transfers so that they can be presented for Cabinet consideration.

- (iii) To delegate authority to the Head of Communities, Change and Partnerships, following consultation with the Cabinet Members for Communities and Change, Resources and Children's Services to approve minor amendments to the Community Asset Transfer Strategy in the light of changing Council priorities and resources.
- (iv) To delegate authority to the Director of Environment and Economy, following consultation with the Cabinet Members for Communities and Change, Resources and Children's Services to do anything necessary to give effect to the recommendations contained in this report.
- (v) To agree that in the first phase, no youth and play buildings will be included in the Community Asset Transfer process and to delegate authority to the Interim Director of Environment and Economy to review this after implementation of the first phase, following consultation with the Cabinet Member for Communities and Change and the Cabinet Member for Children's Services.

4. RESPONSE TO OVERVIEW AND SCRUTINY MANAGEMENT COMMITTEE WELFARE REFORMS INQUIRY

DECISION MADE: (Ref CAB 13/14 10621)

On consideration of the report of the Cabinet Member for Change and Communities, Cabinet agreed the following:

- (i) To approve, in principle, subject to resources, all recommendations from the Scrutiny Panel A Welfare Reforms Inquiry for implementation, as set out in Appendix 1.
- (ii) To note that the Scrutiny Panel's recommendations 1 and 2, relating to Local Council Tax Reduction Scheme, were agreed by Council on the 16th January 2013. Recommendations 3 and 4, relating to Social Fund/Local Welfare Provision were agreed by Council on the 13th February 2013.
- (iii) To delegate authority to the Head of Communities, Change and Partnerships and the Head of Finance and IT, following consultation with the Cabinet Member for Change and Communities and the Cabinet Member for Resources, to agree allocation of Local Welfare Provision funding for 2013/14 and 2014/15.
- (iv) To allocate £128,800 from the General Fund Revenue Budget contingency of £458,500 in order to provide the additional resources as set out in Appendix 2, which it is forecast will enable the implementation of the recommendations from the Scrutiny Panel A Welfare Reforms Inquiry detailed in Appendix 1 in full.
- (v) To agree the establishment of a city-wide, Welfare Reforms Monitoring Group, chaired by the Cabinet Member for Change and Communities.

5. CITY CENTRE ON STREET RESIDENT ONLY PERMITS

DECISION MADE: (Ref: CAB 13/14 10407)

On consideration of the report of the Cabinet Member for Environment and Transport, Cabinet agreed the following:

- (i) To amend section 4(a) of the Strategic Level Parking Policy (previously approved by Cabinet on the 17 March 2008) to allow the provision of on street resident permit parking within the City Centre, subject to meeting the tests outlined in Appendix 1;
- (ii) To amend the Parking permits for Residential Developments Policy (previously approved by Cabinet on the 16 October 2006) to allow occupiers of City Centre developments approved since 2001, entitlement to on street resident permit schemes. This policy amendment is to be incorporated into section 4(a) of the Strategic Level Parking Policy, as outlined in Appendix 1. The existing policy is retained for Resident Only Parking Schemes outside the City Centre; and
- (iii) To delegate to the Head of Transport, Highways and Parking, in consultation with the Cabinet Member for Environment and Transport, to determine detailed proposals, including permits costs, and advertise Traffic Regulation Orders for City Centre on street resident permit schemes, in accordance with the revised policy outlined in Appendix 1, and taking account of the public consultation summarised in Appendix 3.

6. SOUTHAMPTON FAIRNESS COMMISSION

DECISION MADE: (Ref: CAB 13/14 10648)

On consideration of the report of the Leader of the Council, Cabinet agreed the following:

- (i) To endorse the proposal to establish a Southampton Fairness Commission.
- (ii) To agree the underlying principles and draft Terms of Reference.
- (iii) To delegate authority to the Director for Environment and Economy, following consultation with the Leader of the Council to determine the final Terms of Reference and membership of the Commission.
- (iv) To delegate authority to the Head of Strategic HR, to undertake work on the introduction of the Living Wage for the Council, following consultation with the Leader, Cabinet Member for Resources, Head of Finance and IT, and formal consultation and negotiation with the unions.

7. *COMMUNITY ALARM / TELECARE MONITORING PROVISION FOR NON SCC CUSTOMERS

DECISION MADE: (Ref: CAB 13/14 10434)

On consideration of the report of the Cabinet Member for Housing and Sustainability, Cabinet agreed the following:

- (i) To approve a time limited extension to the existing service with Portsmouth City Council for the provision of telecare alarm monitoring services, for the

maximum period May 2013 to March 2015 and on the terms set out in the contract.

- (ii) To delegate authority to the Head of Legal, HR and Democratic Services to do anything necessary to give effect to this decision.

8. CONVERSION OF THE CITY'S THREE PFI SCHOOLS TO ACADEMY STATUS
DECISION MADE (Ref: CAB 13/14 10650)

On consideration of the Report of the CYP Strategic Commissioning, Education and Inclusion Manager, the Cabinet Member for Children's Services agreed to note and accept the risks associated with the conversion of Cantell, Redbridge and Woodlands (the three PFI schools) to academy status.

9. PRIMARY SCHOOL DEVELOPMENT - DECISION ON IMPLEMENTATION
DECISION MADE (Ref: CAB 13/14 10651)

On consideration of the report of the CYP Strategic Commissioning, Education and Inclusion Manager and having received representations from the Head Teacher of Oakwood Primary School, the Cabinet Member for Children's Services made the following decision:

- (i) To consider the outcome of statutory consultation and approve the implementation of published proposals to:

- Discontinue Bitterne Park Infant and extend the age range of Bitterne Park Junior, to establish a primary school from the 1st September 2013.
- Discontinue Tanners Brook Junior and extend the age range of Tanners Brook Infant, to establish a primary school from the 1st September 2013.
- Discontinue Oakwood Infant and extend the age range of Oakwood Junior, to establish a primary school from the 1st January 2014.

Discontinue Heathfield Junior and extend the age range of Valentine Infant, to establish a primary school from the 1st January 2014.

- (ii) To consider the outcome of statutory consultation and approve a modification to the published proposals to:

- Discontinue St Monica Junior and extend the age range of St Monica Infant, to establish a primary school from the 1 January 2014*

The modification will have the effect of changing the implementation date from 1st January 2014 as originally published above to an implementation date of 1 April 2014 as requested by the Governing Body of each school.

The modified proposal is to:

Discontinue St Monica Junior and extend the age range of St Monica Infant, to establish a primary school from the 1st April 2014*

- (iii) Subject to complying with Financial and Contractual Procedure Rules, to delegate authority to the Director of Children's Services and Learning, following consultation

with the Cabinet Member for Children's Services, to do anything necessary to give effect to the recommendations in this report.

10. *LEASE RESTRUCTURE - 54 ABOVE BAR SOUTHAMPTON
DECISION MADE: (Ref: CAB 13/14 10622)

On consideration of the report of the Cabinet Member for Resources, Cabinet agreed to agree to the restructure of the lease of 54 Above Bar for a term expiring in 2125 in return for a capital receipt as detailed in the confidential appendix.

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Agenda Item 8

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|-------------------------------------|--|---|---------------------------|
| DECISION-MAKER: | CABINET | | |
| SUBJECT: | EVENING PARKING CHARGES | | |
| DATE OF DECISION: | 16 JULY 2013 | | |
| REPORT OF: | CABINET MEMBER FOR ENVIRONMENT AND TRANSPORT | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | Frank Baxter Head of Transport, Parking & Highways | Tel: 023 8083 2079 |
| | E-mail: | frank.baxter@southampton.gov.uk | |
| Director | Name: | John Tunney | Tel: 023 8083 4428 |
| | E-mail: | john.tunney@southampton.gov.uk | |
| STATEMENT OF CONFIDENTIALITY | | | |
| Not applicable | | | |

BRIEF SUMMARY

To consider the report of the Cabinet Member for Environment and Transport seeking to establish a policy to allow evening parking charges to be introduced and to advertise the appropriate Traffic Regulation Orders (TROs) to deliver the scheme.

RECOMMENDATIONS:

- (i) To amend the Strategic Level Parking Policy (previously approved by Cabinet on the 17 March 2008) to allow the establishment of the principle of charging for evening parking charges.
- (ii) To delegate to the Head of Transport, Highways and Parking, in consultation with the Cabinet Member for Environment and Transport, to determine detailed proposals, including costs, permit schemes and advertise Traffic Regulation Orders for evening charges, in accordance with the new policy.
- (iii) To note that the Traffic Regulation Order (TRO) for evening charges will propose the following:
 - A flat rate charge of £2 to apply in the on street city centre pay & display zone from 6pm until 8pm after which time it will be free;
 - Multi storey car parks already charging in the evenings will see no change;
 - Evening car park charges to be introduced in city centre surface car parks at a flat rate of £2 from 6pm to midnight;
 - That the overnight annual car park season ticket charges are reduced from £250 to £150 and that this offer apply to all car parks in the city centre boundary as defined by the map in appendix 4;
 - That the maximum period of stay in the Red Zone during chargeable hours is increased to 2 hours.

REASONS FOR REPORT RECOMMENDATIONS

1. Recommendation (i) seeks to confirm a new policy that allows evening parking charges to be implemented. This is in order to achieve the following outcomes:
 - Ensure that the parking service covers its costs of operation;
 - To at least maintain and improve the quality of service offered to our customers albeit at a cost;
 - Encourage the use of sustainable modes of transport in accordance with the Local Transport Plan;
 - Reduce the level of carbon emissions from transport.
2. Recommendation (ii) is required to allow a Traffic Regulation Order (TRO) to be advertised and determined. This is a legal process which requires the details of the evening parking charges scheme to be advertised for a period of time. It also serves as public consultation on the proposals and gives the public a further opportunity to object to the scheme or suggest minor amendments.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

3. The option of not implementing evening parking charges was considered and rejected on the basis that it does not meet the objectives above. The provision of parking facilities in the evening incurs significant maintenance and operation costs. Under current financial pressures, if the Council were unable to implement this proposal alternative efficiency and savings proposals would be required. This would include reducing the quality of the parking offer in Southampton.
4. Existing free parking provision is a disincentive to use other more sustainable modes of transport. It also distorts the relative affordability of the evening public transport offer compared to car use.

DETAIL (Including consultation carried out)

5. Evening parking charges are required to allow the Council to cover its costs in operating an evening parking service and to promote sustainable modes of transport. This report seeks to implement evening parking charges in Southampton city centre. It also summarises the results of a consultation undertaken to help design a scheme that has minimal negative impacts on residents and businesses but still achieves the desired objectives.
6. The evening economy places specific demands on managing car parking. The Council provides a number of parking related services to support the evening economy and local residents. They include:
 - CCTV monitoring;
 - Enforcement;
 - Cleansing and maintenance of car parks;
 - Lighting;
 - Maintaining the roads, parking restrictions and signs;

The Council choose to do this to a good quality and in most of our car parks we have achieved a Park Mark accreditation for safety.

- 7 Affordability of parking is a key issue. Too high and the wider economy could suffer. Too low and the service fails to achieve the quality standards expected of a modern city. In designing a scheme which implements evening parking charges finding the right balance is critical. This was also a key theme coming out from the consultation. Therefore, in proposing appropriate charges we have considered what other similar size cities have done and the experiences they have had. Many cities now charge in the evenings for car parking. This includes our nearest neighbours of Bournemouth and Portsmouth. Both have implemented evening charges of £2 or greater.

CONSULTATION

8. In order to understand key issues evening charges might raise with businesses, residents and visitors we have undertaken a consultation on this proposal including a number of options. A detailed summary of collective/association responders can be found in Appendix 3. This report pulls out the key issues.
9. The consultation was publicised through street notices and in the Daily Echo. Responses were collated through the consultation page on the city web in the form of questionnaire (see Appendix 1). It was divided into three parts. There were 487 responses to the questionnaire on the city web, including paper questionnaires received and input on behalf of the respondents.

Part A City Centre Pay & Display Zone – evening parking charges

10. The aim of Part A of the questionnaire was to establish preferences over the period and tariff type that could apply to on-street and off-street evening charges in the pay & display zone in the city centre. Of the 337 preferences 92% were in favour of Option 3 which was to extend parking charges till 8pm only. From consideration of the comments these preferences were subject to qualification:
- 73% of respondents to the overall questionnaire were opposed to evening parking charges in principle;
 - The primary concern was over the cost of parking and affordability;
 - 7% of respondents highlighted concerns over the impact for residents and their visitors;
 - 6% of respondents highlighted concerns over the impact of community services (e.g. charities, faith centres and societies);
 - 28% of respondents highlighted concerns over the impact on the economy of the city centre (e.g. business and leisure facilities).

Part B Evening and Overnight Charges for Parking Permits

11. The aim of Part B of the questionnaire was to see whether there would be public support for reducing the charge for permits to park overnight in the car parks from £250 to £150. Of the 445 preferences made 65% were in favour of reducing the charge. From considering the associated comments:
- A minority of these (85 respondents) highlighted opposition to any reduction on the basis of the revenue loss and/or adding to the need for the introduction of evening charges.

Part C Red Zone Time Limits (the heart of the City Centre - see Appendix 4)

12. The aim of Part C of the questionnaire was to see whether there would be public support for extending the maximum parking period to two hours. Of the 451 preferences, 85% were in favour of this extension. From considering the associated comments:
- 25 respondents highlighted opposition to the increase on the basis of the shortage of parking or a 1 hour stay being sufficient

General information about respondents

- 13.
- Of the 427 respondents providing postcode information (68% were in Southampton and 38% were outside Southampton)
 - From the comment boxes, the percentage of people opposed to evening charges in principle or as presented, was 69% of respondents entering Southampton postcodes and 78% for other postcodes.
14. There has also been support from public transport operators. Bluestar Uni-Link buses have responded to the consultation by saying they “*would be happy to support this proposal with special discounted fares in conjunction with any planned introduction of these parking charges on a commercial basis to help show people there is a good and frequent and long standing commercial evening bus service already*”
15. The results of the consultation and the TRO to follow will inform the design of the evening parking charges scheme. Whilst the report recommendation delegates the details of the scheme to be determined by the Head of Transport, Highways and Parking, in consultation with the Cabinet Member for Environment and Transport it is expected that the scheme to be advertised in a TRO will include the following:
- That charges will apply to 8pm only on street and until midnight in car parks;
 - The charge will only be £2 to reflect concerns about the affordability of parking and to the introduction of a flat fee of £2 will make the system easier to understand and enable people to not clock-watch whilst enjoying the evening economy;
 - The charge will be a flat rate. This is to reflect the different demands of the night time economy when compared to the daytime e.g. the need to dwell longer to enjoy the city centres leisure offer rather than feel pressured to return back to a vehicle at a certain time.
16. In addition, a number of associated measures are proposed to address some of the concerns raised about the evening economy and affordability. These include:
- For residents and visitors the cost of an overnight parking season ticket for all city centre car parks will be reduced from £250 to £150.;
 - A NEW all day and weekend residents season ticket offer for designated city centre car parks will be developed;
 - A limited number of parking permits/vouchers will be made available to charities and voluntary organisation for them to distribute amongst their members. A system will be set up to administer the process;

- We will work with public transport operators to provide a new and enhanced evening bus ticket offer;
- Concern about extending the red zone permitted length of stay to 2 hours will be addressed as part of a review of existing parking zone boundaries to be conducted next year.

RESOURCE IMPLICATIONS

Capital/Revenue

17. The one-off implementation costs are expected to be £30,000. There are unlikely to be other significant operating costs, as the cost of enforcement is already included within existing approved revenue budgets.
18. The General Fund revenue budget, approved by Council in February 2013, included income from evening parking charges of £300,000 in 2013/14 and then £500,000 per annum in a full year. As this is a new parking policy it is difficult to gauge the public response. However, it is currently estimated that the additional income from the proposal set out in this report will be £200,000 in a full year. The implementation date is expected to be the start of October 2013, giving a net income projection, after one-off costs, of £70,000 in 2013/14.
19. Compared to the approved Environment & Transport Portfolio revenue budget there will be an estimated shortfall of £230,000 in 2013/14 and £300,000 in future years. This will be monitored and reported to Cabinet during the course of the current financial year and will be considered as part of the overall financial position for 2013/14. Any ongoing revenue pressure will be addressed as part of the development of the 2014/15 budget.
20. At present, it is not anticipated that any additional costs will be incurred as a result of the associated measures set out in paragraph 16. For example, no additional funding has been identified to encourage public transport operators to provide a new and enhanced evening bus ticket offer. The financial effect of the extension of the red zone from one hour to two hours has yet to be determined but will need to be considered as part of the wider boundary review to be conducted next year. As part of these proposals, the Polygon resident parking scheme may need to be extended from an end time of 1800 to 2000 to be consistent with these proposals.

Property/Other

None

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

21. The Road Traffic Regulation Act 1984 permits the introduction of the parking charges as set out in this report in accordance with a statutory consultation procedure set down in the Act and associated secondary legislation

Other Legal Implications:

- 22. In preparing and determining the proposals set out in this report the Council is required to have regard to the provisions of Equalities legislation, the Human Rights Act 1988 and s.17 Crime and Disorder Act 1998 (the duty to have regard to the need to remove or reduce crime and disorder in the area). Parking is not in and of itself a property right. Any change to on street parking arrangements does not therefore constitute an undue interference with the property rights protected by the Human Rights Act 1998.
- 23. However it is recognised that the availability of parking can have an indirect impact on property rights. The proposals in this report, and any interference with any individuals expectations in relation to parking or how that may affect their properties, are considered necessary in order to meet the wider needs of the community in relation to managing parking and vehicle congestion and environmental impacts of such, promoting sustainable transport methods, balancing the needs of visitors to the area with that of residents and to improve road safety. It is considered that the proposals set out in this report are proportionate having regard to the wider needs of the city centre

POLICY FRAMEWORK IMPLICATIONS

- 24. None

KEY DECISION? Yes/No

| | |
|------------------------------------|------------------|
| WARDS/COMMUNITIES AFFECTED: | Bargate / Bevois |
|------------------------------------|------------------|

SUPPORTING DOCUMENTATION

Appendices

| | |
|----|---|
| 1. | Content of Evening Charges consultation questionnaire |
| 2. | Analysis of Responses to the Evening Charges consultation questionnaire |
| 3. | Summary of collective responses received |
| 4. | Plan of City Centre Parking Area |

Documents In Members' Rooms

| | |
|----|------|
| 1. | None |
|----|------|

Equality Impact Assessment

| | |
|--|-----|
| Does the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out. | Yes |
|--|-----|

Other Background Documents

Equality Impact Assessment and Other Background documents available for inspection at the Council offices or by requesting a copy from the author of this report

Title of Background Paper(s) Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

| | | |
|----|------|--|
| 1. | None | |
|----|------|--|

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Southampton City Centre Parking Policy Review

City Centre Pay & Display Zone –Evening Parking Charges

Introduction

The council currently operates a number of car parking facilities within Southampton city centre. These include off-street car parks, together with on-street pay and display controlled parking zones (CPZ).

The purpose of this consultation is to gauge residents' thoughts on extending parking charges and restrictions into the evening in all city centre on and off-street parking spaces, and single yellow line restrictions.

The council is considering implementing these changes to parking charges because they were part of the council's budget saving proposals agreed earlier this year. The changes could potentially generate additional income for the council, a good proportion of which would be used to fund vital council services which are under significant pressure. In recent years there has been an increasing demand for city centre parking as a result of the rapid growth in city centre population. Making these changes is not unusual as many neighbouring Councils have been charging for evening parking for some years including Portsmouth, Basingstoke and Deane, Bournemouth, and Brighton and Hove.

Parking between the hours of 18:00 and 08:00 until now has been free in most of the on and off-street parking places owned by the council. Privately operated car parks within the city centre have different charging policies - some charge for part of the evening, while others charge for parking 24 hours a day.

As part of this proposal to extend charges, the following multi-storey car parks would be affected: Eastgate, Marlands, Grosvenor Square, Bedford Place and West Park. All these car parks are Pay on Foot, with the exception of West Park which is Pay & Display.

How does this consultation relate to the consultation on pay and display shared resident bays?

This is a separate consultation about evening parking charges for on-street parking spaces within the city centre parking zone. However, we are running another consultation in conjunction with this one, on proposals to reallocate some existing on-street pay and display parking spaces to people living in the city centre, as 'shared residents' parking spaces'. Current policy does not permit the provision of on-street resident-only parking permits within the city centre.

What areas would be affected by the introduction of evening on-street parking charges?

The scheme would operate within the existing city centre pay and display zone. This is split into four different charging zones, illustrated on the appended plan. In general, the 'Red Zone' is the most used parking area, primarily serving the main retail areas in the city centre. Full details of how the pay and display zone currently operates can be found [here](#).

What are we proposing to do?

Different types of evening charges operate in different areas. There are three options which could operate in Southampton. These are set out below:

Option 1 – Extend existing daytime parking tariffs until 22:30 in all pay and display zones and off-street car parks. Multi-storey car parks would continue to charge until midnight with the exception of West Park where charges apply until 22.00.

From our experience this option will be easy to understand. However, it might mean people who want to use the on-street parking for extended periods of time in the evening, or residents wishing to park on street overnight, may be disadvantaged by maximum stay parking limits on the on-street pay and display bays. A vehicle would need to be moved at the end of the paid for period as “feeding the meter” is not permitted.

Option 2 – Extend charges in all off-street car parks until 22:30, and until 20:00 in all on-street pay and display bays. Multi-storey car parks would continue to charge until midnight with the exception of West Park where charges apply until 22.00

If charges ceased at 20:00 in on-street pay and display bays, customers parking in the city early evening may be able to park their vehicle on-street rather than in a car park. The period they could do this for could be one or two hours, depending on the maximum time limit of the pay and display bay or zone they wish to park in. One hour maximum limits currently apply in the “Red Zone”.

Option 3 - Extend existing daytime parking tariffs until 20:00 in all pay and display zones and off-street car parks with the exception of West Park MSCP which would stay to 22.00

A flat fee would operate between 18:00 – Midnight in Pay on Foot operated Multi-storey car parks which are Bedford Place, Eastgate, Grosvenor Square and Marlands.

This would have the same effect as option 1 but would have an earlier finish time, but would also offer customers a choice of paying a flat fee in Pay on Foot operated Multi Storey Car Parks.

‘Red Zone’ time limits - Views are sought on increasing the maximum parking time in the ‘Red Zone’ (see Appendix A) from one hour to two hours.

This proposal would enable customers to park in on-street bays and car parks for up to two hours within the ‘Red Zone’, making their visits to shops, restaurants, bars and other attractions more leisurely as the need to return to vehicles after just one hour of parking is avoided.

What about evening and overnight car park charges?

Currently, overnight car parking permits are available in all our city centre car parks. These cost £250 a year. This consultation proposes to reduce this fee from £250 to £150. This would work out at 41p per night for an annual permit, but would continue to be available only to those who live within the city centre parking area outlined in Appendix A.

What about Sunday charges?

Currently parking charges on Sundays do not apply until 12 noon in off-street car parks and 1300 on-street. This will remain unchanged.

What happens next?

Responses to the consultation will be analysed to assess which option is preferred by the public. Depending on the outcome of the consultation and how these proposed changes are met by the public, any necessary policy changes would be raised at a council cabinet meeting. The Cabinet would then need to approve these changes. Following cabinet approval, Traffic Regulation Orders would need to be advertised - residents and businesses would have the opportunity to comment on or object to these. The feedback would be considered by Cabinet before any final decision on implementing evening parking changes is made.

Which of the Three Options do you prefer?

Question 1 – Option 1

Do you prefer the proposal to extend existing daytime tariffs until 22:30 in all pay and display zones and off-street car parks, and for multi-storey car parks to charge until midnight?

Question 2 – Option 2

Do you prefer the proposal to charge for parking in off-street car parks until 22:30, but only until 20:00 for on-street pay and display bays?

Question 3 – Option 3

Do you prefer the proposal to charge for parking On and Off Street until 20:00 with the exception of West Park Multi-Storey Car Park and a single, flat fee operating between 18:00 and midnight in Pay on Foot operated Multi Storey Car Parks.

Question 4 – ‘Red Zone’ time limits

Do you agree that the maximum permitted parking time in the ‘Red Zone’ should be extended from one hour to two hours?

Question 5 – Evening & Overnight Charges

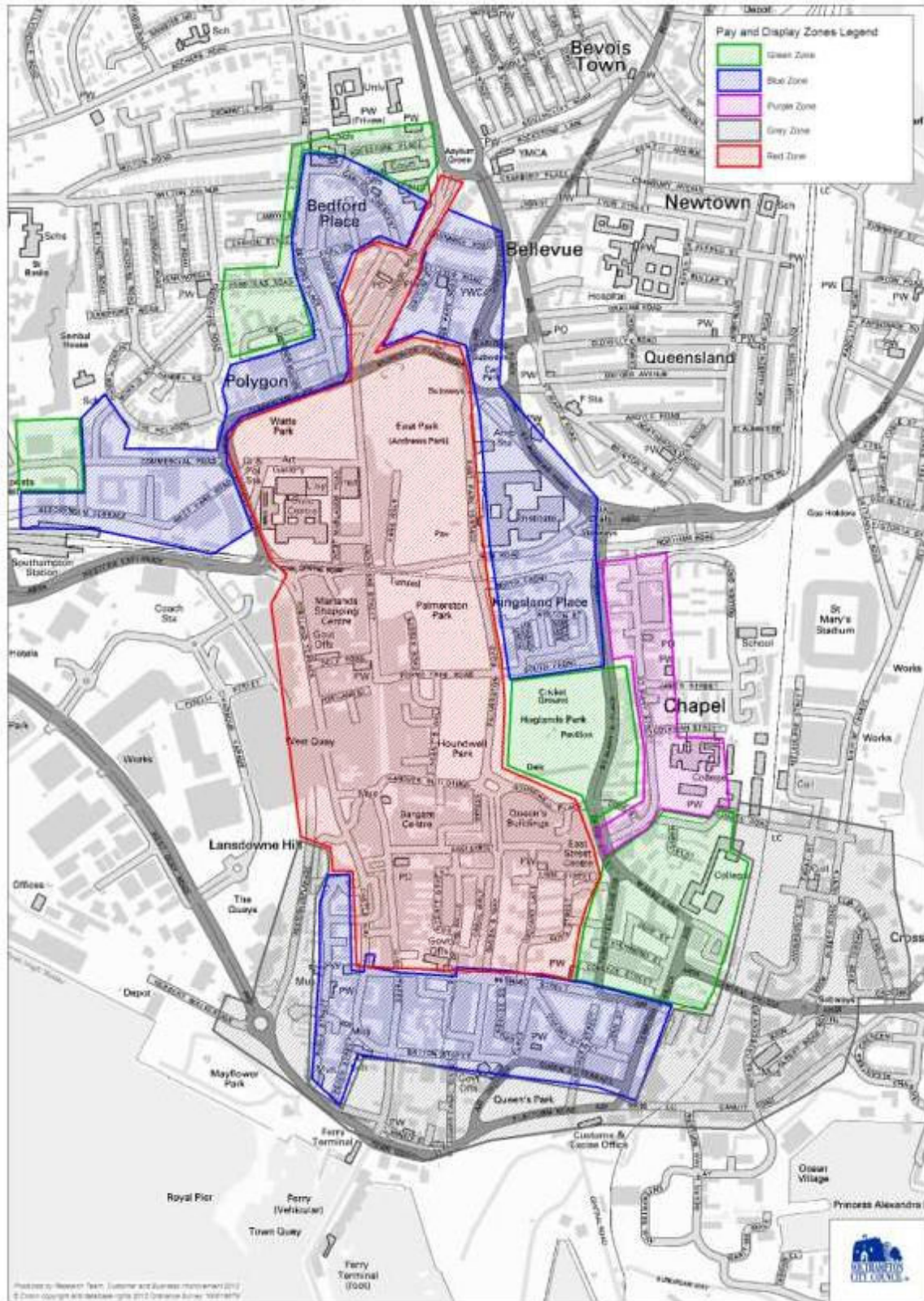
Do you agree that annual overnight off-street car parking permits should reduce from £250 to £150.

Question 6 – Do you have any other comments?

Are there any other comments you would like to make relating to this consultation?

Appendix A City Centre Parking Zone

Pay and Display parking zones in the city centre



Appendix B City Centre On- Street Parking Zones

Red Zone

Back Of The Walls
Bell Street
Bernard Street
Brunswick Place
Canal Walk
Castle Way
Castle Way Service Road
College Place
Commercial Road
East Street
East Street Service Road
Eastgate Street
High Street
Houndwell Place
Lime Street
London Road
Palmerston Road
Park Walk
Portland Street
Queensway
Regent Street
Salisbury Street
Spa Road
St Georges Street
Sussex Road
Sussex Road Service Road
The Strand
Winchester Street

Blue Zone

Back of the Walls
Bedford Place
Bellevue Road
Bernard Street
Blechynden Terrace
Briton Street
Brunswick Square
Bugle Street
Carlton Crescent
Carlton Place
Castle Square

Grey Zone

Albert Road South
Andersons Road
Anglesea Terrace
Bridge Terrace
Canute Road
Chapel Road
Endle Street
Herbert Walker Av
Paget Street
Platform Road
Royal Crescent Rd
St Marys Place
Town Quay
West Quay Service Rd
West Quay Spur Road
Western Esplanade

Green Zone

Chapel Road
College Street
Commercial S Road
Duke Street
Henstead Road
Marsh Lane
Richmond Street
Rockstone Place
Terminus Terrace 434
Threefield Lane
Wilton Avenue

Castle Way
Commercial Road
Cossack Green
French Street
Grosvenor Square
High Street
John Street
Kings Park Road
Latimer Street
Latimer Street
Lower Banister Street
Morris Road
North Front
Orchard Place
Ordnance Road
Oxford Street
Queensway
South Front
Southampton Street
St Andrews Road
St Michaels Street
Terminus Terrace
Upper Banister Street
Upper Bugle Street
Winton Street
Wyndham Court Service Road

| Evening Parking Charges Consultation Analysis of Survey Responses | Responses | % of All Responses | % of Responses to Question |
|--|-----------|--------------------|----------------------------|
| Number of Survey Responses | 487 | 100% | |
| Part A - City Centre Pay & Display Zone - Evening Parking Charges | | | |
| Question 1: Please indicate which option you prefer for evening charges - total responses | 337 | 69% | 100% |
| Preferences Option 1 (extend day-time tariffs until 22:30 in car parks and on street P&D bays, charge until midnight in multi-storey car parks (except West Park)) | 11 | 2% | 3% |
| Preferences Option 2 (charge for parkin gin car parks until 22:30, charge until 20:00 in on street P&D bays, charge until midnight in multi-storey car parks (except West Park)) | 17 | 3% | 5% |
| Preferences Option 3 (charge for parking On and Off Street until 20:00, charge a flat fee between 18:00 and midnight in multi-storey ar parks (except West Park)). A flat fee would operate between 18:00- Midnight in Pay on Foot operated Multi-storey car parks which are Bedford Place, Eastgate, Grosvenor Square and Marlands | 309 | 63% | 92% |
| COMMENT's BOX1 City Centre Pay & Display Zone - Evening Parking Charges | | | |
| Generally opposed to principle of extending chargings into the evening | 357 | 73% | |
| Reasons (where given) for opposition to evening parking charges include mention of their impact on residents or their visitors | 33 | 7% | |
| Reasons (where given) for opposition to evening parking charges include mention of their impact on community services (e.g. charities, faith centres, societies) | 28 | 6% | |
| Reasons (where given) for opposition to evening parking charges include mention of their impact on community services (e.g. businesses/leisure facilities) | 135 | 28% | |
| Part B - Evening & Overnight Charges for parking permits - currently overnight car parking permits are available in all our city centre car parks. These cost £250 a year. This consultation proposes to reduce this fee from £250 to £150. This would work out 41p per night for an annual permit, but would continue to be available only to those who live in the city centre. | | | |
| Question 2: Evening & Overnight Charges for parking permits (do you agree that overnight off-street car parking permits should be reduced from £250 to £150?) | 445 | 91% | 100% |
| Yes | 291 | 60% | 65% |
| No | 154 | 32% | 35% |
| COMMENT's BOX2 If you answered no please explain why | | | |
| Reasons (where given) for opposition to reducing Overnight permit charge reduction include mention of revenue loss and / or consequent need for Evening charging | 85 | 17% | 19% |
| Part C - Red Zone time limits - views are sought on increasing the maximum parking time in the Red Zone from one hour to two hours | | | |
| Question 3: Red Zone time limits (do you agree that the maximum permitted parking time in the Red Zone should be extended from one hour to two hours?) | 451 | 93% | 100% |
| Yes | 383 | 79% | 85% |
| No | 68 | 14% | 15% |
| COMMENT's BOX3 If you answered no please explain why | | | |
| Reasons (where given) for opposition to increase in maximum stay in Red Zone include mention of shortage of parking or 1 hour stay being sufficient | 25 | 5% | 6% |
| GENERAL RESPONDENT INFORMATION | | | |
| Respondents providing Postcode | 427 | 88% | 100% |
| Southampton Postcode | 264 | 54% | 62% |
| Outside of Southampton Postcode | 163 | 33% | 38% |
| Southampton Postcode opposed to increases | 205 | 42% | 78% |
| Outside of Southampton Postcode opposed to increases | 113 | 23% | 69% |
| Commented on being affected as a business or self-employed or an employee working or based in the city centre | 21 | 4% | |
| Commented on being affected as a business or self-employed worked or based in the city centre | 6 | 1% | |
| Commented on being affected as an employee working in the city centre in the evening | 15 | 3% | |

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Agenda Item 8

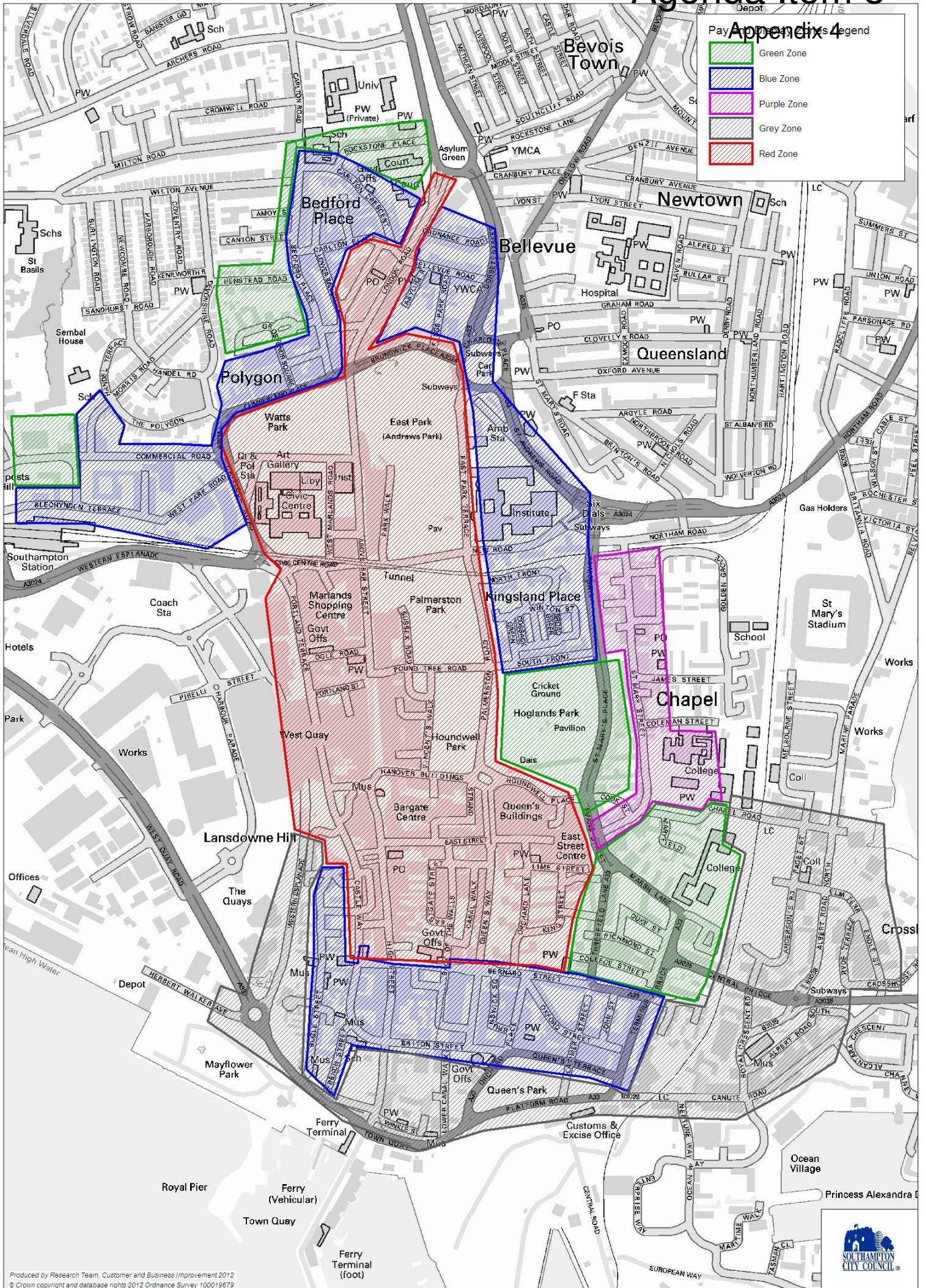
Appendix 3

Summary of Association Responses to Evening Charges Consultation

- 1) Parish Priest of the City Centre Catholic Parish, St Edmund's and St Joseph (with petition of 289 signatures)
- 2) Southampton Masonic Hall Company
- 3) Southampton Old Bowling Green
- 4) New Community Church, Central Hall, St Mary Street
- 5) City of Southampton Society
- 6) Southern Counties Railway Society
- 7) The Catenian Association
- 8) Blue Star Uni-Link buses
- 9) Carlton Crescent Residents Association
- 10) Old Town Resident's Association
- 11) Mayflower Theatre
- 12) Culture Southampton
- 13) Chamber of Commerce (with petition of 20 signatures)
- 14) Southampton & District Philatelic Society

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Appendix 4



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Agenda Item 9

| | | | |
|-------------------------------------|--|---------------------------------------|-------------------------------|
| DECISION-MAKER: | CABINET | | |
| SUBJECT: | CHARGING FOR RESIDENTS FIRST PARKING PERMITS | | |
| DATE OF DECISION: | 16 JULY 2013 | | |
| REPORT OF: | CABINET MEMBER FOR ENVIRONMENT AND TRANSPORT | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | David King | Tel: 023 834632 |
| | E-mail: | david.king@southampton.gov.uk | |
| Director | Name: | John Tunney | Tel: 023 834428 |
| | E-mail: | John.tunney@southampton.gov.uk | |
| STATEMENT OF CONFIDENTIALITY | | | |
| None | | | |

BRIEF SUMMARY

This report seeks approval to amend existing discretionary residents' parking schemes to introduce a charge for the issuing of first residents' parking permits (a charge already exists for second and subsequent permits). The introduction of a charge may only be made following changes to the existing Traffic Regulations Orders for Resident's Parking Schemes in the City and following a statutory representations period. This proposal was included within the Council's budget proposals agreed earlier this year, which was subject to detailed public consultation at that time. A number of limited exemptions from the first permit charge are set out in the body of the report.

RECOMMENDATIONS:

- (i) To approve in principle the introduction of a charge of £30 for the issue of a first resident's parking permit (for new applicants to the scheme) for all residents' parking schemes in Southampton that are outside of the City Centre, where a charge for a first permit does not already apply, save those listed in recommendation (iii) below.
- (ii) To approve in principle a charge of £15 for the issue of a 3 month temporary parking permit (for new applicants to the scheme) for all residents' parking schemes in that are outside of the City Centre Southampton save those listed in recommendation (iii) below.
- (iii) To exclude the dwellings encompassed by the Northam, Bitterne Manor, and Itchen Residents' Parking Schemes from the charging proposals.
- (iv) To delegate authority to the Director of Environment and Economy to advertise the relevant Traffic Regulation Orders (TRO's) and consider and determine any representations received to those proposals in accordance with the Council's procedures for determining Traffic Regulation Orders.

REASONS FOR REPORT RECOMMENDATIONS

1. Currently the Council does not impose a charge for a first resident's permit. The Council has historically subsidised this element of all residents' parking schemes in recognition of the perceived limitations on parking freedoms that schemes may have in residential areas. This takes account of the need to achieve a balance between parking demands for resident's, commuters and visitors. Providing this subsidised facility results in a financial pressure on Council resources that if not addressed going forward, will have a negative impact on the Council's ability to adequately enforce parking controls for the social and environmental benefit of the City.
2. As part of the Council's budget setting process for 2013/2014, the Council has proposed to introduce a charge for first permits in order to contribute to the overall funding of parking management within the City and to help fund the introduction and administration of residents' parking schemes generally.
3. It is proposed that no charge is introduced for dwellings covered by the Northam, Bitterne Manor and Itchen Residents' Parking Schemes. These parking schemes were introduced solely to promote and enable the management of parking in the vicinity of St Mary's Stadium. The cost of the scheme is covered by an obligation on the football club.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

4. Not to introducing a charge for first permits. This has been rejected because the Council no longer has the resource to subsidise the management of residents' parking schemes or introduce new ones. Failure to cover costs would also potentially result in the need to reduce the level of service offered to residents.
5. Increasing or reducing the recommended charge has been considered. However, the charges have been set following the principles:
 - that those who benefit from the scheme should pay at least a proportion of the costs of running the schemes, rather than be subsidised by use of funding which could be delivering other services to the wider public as a whole
 - which covers some (approx 50%) of the Council's costs in providing the schemes (a higher proportion of costs could be covered over time but would need to be seen in light of a review of charging structure for permit holders of second, additional and visitor permits)
 - that they are set at a level comparable to the current charge for second permits
 - for temporary permits, only the cost of administering the issue of the permit has been included. It does not include any fixed costs, such as signs, lines and scheme maintenance. It is therefore set at £15 per permit.

DETAIL (Including consultation carried out)

6. No charge is currently made for the first resident's parking permit except in zones 3 Centenary Quay, 17 Rockstone Place, 18 Golden Grove and 20 Kingsland. If Cabinet approval is granted to advertise a TRO, proposals will be advertised in accordance with statutory requirements and a statutory

period of 21 days allowed for submission of comments and representations. Following consideration of any objections the Director of Environment and Economy would be authorised to determine whether or not to proceed with the introduction of the change in accordance with the Council's established procedures for determining TROs. If approved, it is proposed to introduce the charge on 1st October 2013.

- 7 Permit parking schemes are introduced at the request of communities to address the problems arising from long-stay non-resident parking. These schemes therefore help to promote sustainable travel by reducing the available unrestricted parking in the locality of major attractions. An example of this has been the growth in the Uni-Link bus service to 4 million passengers per year since 1998, this has been assisted by four permit parking zones around the University of Southampton. Parking policy for residential areas will continue to focus on ensuring that residents do not experience problems resulting from commuter parking, or from parking generated by major attractors (such as hospitals, education establishments, leisure venues, etc).
- 8 The current annual cost breakdown of administering the issue of permits and managing residential parking schemes is estimated under and includes:-
- Scheme Management – Traffic Regulation Orders and permit enquiries: £30,000.
 - Signs, lines and scheme maintenance: £60,000
 - Legal costs: £10,000
 - Administering permit applications and issuing permits: £135,000
 - Web management and IT systems support: £25,000
- Total annual cost of administering and managing the schemes is: £260,000
- 9 The Council recognises the importance of parking to residents and the benefits the parking schemes bring. This proposal seeks to address the current imbalance between the cost of running this service and income generated, and seeks to move to the position to where it is self funding.

RESOURCE IMPLICATIONS

Capital/Revenue

- 10 The proposal is to introduce a charge of £30 for first parking permits. This charge is set at a level that will assist in covering both the variable cost of administering the issue of first permits and the fixed costs incurred in managing the schemes. A charge of £15 is proposed for a 3 month temporary parking permit, which will cover only the variable cost of issue.
- 11 Implementing the change will incur a one off cost of around £10,000, which will come from existing budgets. If approved, it is proposed to introduce the charge on the 1st October 2013, with a currently estimated income of around £70,000 in 2013/2014. For a full year, a recurring income of £130,000 has been assumed. This amounts to half the current annual cost of providing the service.

Property/Other

- 12 None

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

- 13 Residents' Parking Schemes are implemented and managed in accordance with the Traffic Regulation Orders made under the Road Traffic Regulations Act 1984 as amended and supplemented by secondary legislation and statutory guidance.

Other Legal Implications:

- 14 In introducing these proposals the Council has had regard to its statutory duties under the Equalities Act 2010. An Equalities Impact Assessment has been undertaken on this proposal. No significant issues were identified which would prevent the introduction of the charging proposals.

POLICY FRAMEWORK IMPLICATIONS

- 15 The implementation of charges is compatible with the Local Transport Plan which seeks to put in place effective processes and schemes to manage the supply of limited car parking availability, ensure a good quality of life for City residents and encourage alternative forms of transport.

KEY DECISION? Yes

| | |
|------------------------------------|-----|
| WARDS/COMMUNITIES AFFECTED: | All |
|------------------------------------|-----|

SUPPORTING DOCUMENTATION

Appendices

| | |
|----|------|
| 1. | None |
|----|------|

Documents In Members' Rooms

| | |
|----|------|
| 1. | None |
|----|------|

Equality Impact Assessment

| | |
|--|-----|
| Do the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out. | Yes |
|--|-----|

Other Background Documents

Equality Impact Assessment and Other Background documents available for inspection at:

| Title of Background Paper(s) | Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable) |
|------------------------------|--|
| 1. | Equalities impact assessment |
| | Available from the author upon request |

| | | | |
|-------------------------------------|--|--|---------------------------|
| DECISION-MAKER: | CABINET | | |
| SUBJECT: | EARLY YEARS EXPANSION PROGRAMME | | |
| DATE OF DECISION: | 16 JULY 2013 | | |
| REPORT OF: | CABINET MEMBER FOR CHILDREN'S SERVICES | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | Oliver Gill | Tel: 023 8091 7594 |
| | E-mail: | oliver.gill@southampton.gov.uk | |
| Director | Name: | Alison Elliott | Tel: 023 8083 2602 |
| | E-mail: | alison.elliott@southampton.gov.uk | |
| STATEMENT OF CONFIDENTIALITY | | | |
| Not applicable. | | | |

BRIEF SUMMARY

This report provides an update on progress regarding the development of the proposals for the expansion of the early years sector, as originally set out in the Cabinet Report of 19 March 2013. The report also provides formalised details of the works proposed to realise each of the expansions within this programme, as well as seeking approval to spend against these schemes.

RECOMMENDATIONS:

- (i) To approve, in accordance with Financial Procedure Rules, capital expenditure of £1,361,000; phased £67,000 in 2013/14 and £1,294,000 in 2014/15, from the Children's Services Capital Programme; and
- (ii) Subject to compliance with Contract and Finance Procedure Rules, to delegate authority to the Director of People to do anything necessary to procure and deliver the capital projects set out in Appendix 1 of this report.

REASONS FOR REPORT RECOMMENDATIONS

1. The Childcare Act 2006 and subsequent statutory guidance have made it a requirement for local authorities to ensure that there are sufficient free Early Years places to meet the requirements of working parents of 3 and 4-year-olds in their area. The Government has also recently amended this legal requirement, with the effect of extending it to cover places for disadvantaged 2-year-olds, from September 2013 onwards.
2. The annual Early Years sufficiency analysis indicates that there are currently enough places to provide for 3 and 4-year-olds within the City. However, the capacity within the system is currently being placed under pressure by the increase in birth rate over the last four years. As such, it is anticipated that, in order to meet its statutory duties, the Council will have to expand provision in line with the increased numbers expected as a consequence of the extension of the free places offer to disadvantaged 2-year-olds.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

3. At present, 85.5% of places for 2, 3 and 4-year-olds in Southampton are provided within the Private, Voluntary and Independent (PVI) sectors. The proposals contained within this report focus largely on the expansion of existing provision, which (of necessity) equates to the investment of capital grant in expanding places in the PVI sector. Discussions with providers in this sector have indicated that, whilst some have small amounts of capital available to contribute to expansions, the level of expansion required for the Council to meet its statutory duties will necessitate significant input from the local authority, both in the form of financial assistance and also in terms of project management.
4. Assuming that the Council is to meet its duty to provide places, it does have an alternative option to market facilitation, in the form of directly providing the Early Years places itself. However, the cost of creating the infrastructure and recruiting the staff to manage this number of places would be substantially greater than supporting existing providers to expand/develop new provision. As such, this option has been rejected.

DETAIL (Including consultation carried out)

5. As stated above, the Government has recently amended the legal requirement in respect of the provision of free Early Years places, with the effect of extending this offer to disadvantaged 2-year-olds. The roll out of this extended offer is in two phases:
 - From September 2013, local authorities will be required to provide places for the 20% most disadvantaged 2-year-olds nationally. This equates to approximately 900 children in Southampton.
 - From September 2014, local authorities will be required to provide places for the 40% most disadvantaged 2-year-olds nationally. This equates to approximately 800 children in Southampton.
6. As the Early Years system is close to capacity (and bearing in mind the existing requirement to provide free places for all 3 and 4-year-olds) it is projected that the entirety of this extended provision will have to be met through expansion of the Early Years estate. As the statutory duty to provide places rests with the Council, it is its responsibility to ensure that the capacity of the system is sufficient to meet demand and the Government has part-funded SCC to this end.
7. As stated above, an options appraisal has been undertaken and concluded that the most cost effective means of increasing the capacity of the estate is to expand existing provision and facilitate the market to create new provision, rather than create new local authority run provision.
8. In light of the above, a detailed needs assessment was undertaken to establish precisely in which areas of the City additional places are required. The results of this assessment were used to engage existing local and national providers in an exercise to ascertain options for expansion. A key part of the planning process was the inclusion of the development of the programme as a standing agenda item at the *Early Years Lead Practitioners' Meeting* over the course of the last year. Attendance at these meetings is

compulsory for all providers in receipt of nursery education funding and, as a consequence, this forum provided a key means of engaging the market in expansion opportunities.

9. The above engagement resulted in the production of a high-level capital programme, containing 41 projects and delivering an additional 1,700 places, which was approved for further development at the Cabinet meeting of 19th March 2013. Following this approval, significant feasibility work has been undertaken to establish the viability and financial implications of each of the projects for which investment is required to enable expansion (those expansions not requiring investment have proceeded as such). This work has involved a surveyor visiting the 14 sites in question, with the purpose of developing detailed proposals for each site, together with a projected cost. The outcomes of each of these feasibility studies are summarised in *Appendix 1*.
10. The programme of works identified in *Appendix 1* is now ready to proceed to detailed design and delivery. As such, this paper seeks approval to spend on these projects, with a view to having the entire programme of work complete by September 2014.

RESOURCE IMPLICATIONS

Capital/Revenue

11. It is projected that £1,886,000 worth of funding will be required to fund expansions over 14 projects as detailed in *Appendix 1*. In March 2013, Cabinet approved the addition of £1,361,000 to the Children's Services Capital Programme to fund this programme.
12. It is proposed that the remaining £525,000 of funding will come from the Early Years block of the Dedicated Schools Grant. Under DfE regulations, the funding has to be allocated to the appropriate providers directly in order for them to pay for the expansions.
13. The 2013/14 Dedicated Schools Grant includes the following funding allocations:
 - Statutory Place Funding – £2,061,000
 - Trajectory Building Allocation – £809,000
14. The Schools Forum, as the decision making body for the trajectory funding element, has agreed that up to £525,000 of this can be used to help fund the expansion of two year old places with the reminder used to support a development team that will sit alongside the existing Early Years Team.

Property/Other

15. There are no direct property implications for SCC to consider. Given the demand for places, Property Services will ensure that any vacant properties that have the potential to be redeveloped for Early Years provision are brought to the attention of the project team.

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

16. S.1 of the Localism Act 2011 provides a general power of competence to do anything that an individual may do at law providing that no other statutory restrictions exist that prohibit the action proposed. This includes power to assist Early Year providers (including financially or through provisions of goods, services or works) in undertaking Capital Improvement works for which central government grants were received, where such assistance would contribute to the Council's functions as a Local Education Authority and the corresponding duties to secure sufficient and appropriate Early Years places under the Childcare Act 2006.

Other Legal Implications:

17. None

POLICY FRAMEWORK IMPLICATIONS

18. This paper's proposed investment in Early Years places will contribute to the outcomes of the Children and Young People's Plan and the Health and Wellbeing Strategy by improving and extending the provision available across the City. The proposals will also contribute to the aims of the Economic Development Strategy, by providing the free childcare to a greater number of parents, which should facilitate their being able to take up employment.

KEY DECISION? Yes

| | |
|------------------------------------|-----|
| WARDS/COMMUNITIES AFFECTED: | All |
|------------------------------------|-----|

SUPPORTING DOCUMENTATION

Appendices

| | |
|----|---|
| 1. | Capital Programme for the Expansion of the Early Years Estate |
|----|---|

Documents In Members' Rooms

| | |
|----|------|
| 1. | None |
|----|------|

Equality Impact Assessment

| | |
|--|----|
| Do the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out. | No |
|--|----|

Other Background Documents

Equality Impact Assessment and Other Background documents available for inspection at:

| Title of Background Paper(s) | Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable) |
|------------------------------|--|
| 1. None | |

EARLY YEARS CAPITAL REPORT TO CABINET - 16th July 2013

Capital Programme for the Expansion of the Early Years Estate

PHASE 2 Priority Developments September 2013 – December 2014

| Children's Centre Area Name of Provider Type of Premises | Proposed Opening | Number of new places created (1 X15 hrs) | Brief Project Description | 2013-2014 | 2014-2015 | Total Capital Project cost |
|--|------------------|---|---|-----------|-----------|----------------------------|
| Lordshill/Shirley Warren/Coxford Shirley Warren Primary School The Warren Centre | September 2013 | 30 | Contribution towards furniture and play equipment to expand maintained nursery provision | £18,000 | £0 | £18,000 |
| Central Awaiting outcome of 'Provider Selection Process' Newtown Adventure Playground | September 2013 | 42 | Contribution towards external landscaping and secure outside play area | £20,000 | £0 | £20,000 |
| Freemantle/South Shirley Freemantle Maintained Nursery Freemantle Academy | March 2014 | 32 | Contribution towards furniture and play equipment to expand maintained nursery provision | £27,000 | £0 | £27,000 |
| Portswood/Bevois/St Denys Bevois Town Community Pre School St Barnabas Church Hall | January 2014 | 26 | Expansion of existing Community Pre-school into neighbouring church hall. Capital works include; Creating secure outside play area, fencing and paving. New non slip flooring in playroom Heat covers on radiators, outside storage, furniture and Play equipment | £39,000 | £0 | £39,000 |
| Lordshill/Shirley Warren/Coxford Sinclair Maintained Nursery Sinclair Primary School | September 2014 | 30 | Contribution towards the building of a new classroom through alterations to existing layout and by providing a covered roof area to external corridor. | £0 | £50,000 | £50,000 |
| Weston Weston Shore Community Pre School Weston Shore Infant School | September 2014 | 32 | Expansion of pre-school into adjacent classroom works include: Secure outside fencing to play area, Canopy Kitchen Window replacement | £26,000 | £50,000 | £76,000 |

Appendix 01

Agenda Item 10

| Children's Centre Area Name of Provider Type of Premises | Proposed Opening | Number of new places created (1 X15 hrs) | Brief Project Description | 2013-2014 | 2014-2015 | Total Capital Project cost |
|---|-------------------------|---|---|------------------|------------------|-----------------------------------|
| WESTON SHORE INFANT SCHOOL Cont.... | | | WESTON SHORE INFANT SCHOOL Cont.... Open up internal doorway between playroom and community room Low level sink Relocate kitchenette area Relocate radiators Storage Play resources | | | |
| Millbrook/Redbridge/Maybush Sticky Fingers Community Pre-school Mansel Park Pavilion (MP3) | January 2014 | 32 | Works include: Secure fencing to outside boundary play area Tarmac and soft landscaping Outside Storage and Play equipment | £44,000 | £40,000 | £84,000 |
| Swaythling/Hampton Park Mansbridge Community Pre school Mansbridge Primary School | September 2014 | 24 | Building extension to existing classroom, single storey, flat roof construction to double capacity of early years provision. | £15,000 | £115,000 | £130,000 |
| Woolston/Peartree/Merryoak Manor Road Community Pre-school Community Hall | March 2014 | 40 | Works include: Secure fencing to outside play area with gated access for grounds maintenance, New paved area, canopy and outside storage. New non slip flooring to play room Kitchenette and internal storage Furniture and play equipment | £78,000 | £54,000 | £132,000 |
| Millbrook/Redbridge/Maybush Oasis Pre-school Green Lane Youth Centre | September 2013 | 48 | Works include: Secure fencing to outside play area with gated access for grounds maintenance Paved area and outside storage New non slip flooring in play rooms Kitchenette area and internal re-decoration Playroom window replacement, new toilets, furniture and Play resources | £100,000 | £56,000 | £156,000 |

| Children's Centre Area Name of Provider Type of Premises | Proposed Opening | Number of new places created (1 X15 hrs) | Brief Project Description | 2013-2014 | 2014-2015 | Total Capital Project cost |
|---|-------------------------|---|--|------------------|-------------------|-----------------------------------|
| Weston YMCA Day Nursery Weston Park Primary School | September 2014 | 80 | Works include: Secure fencing to outside play area with gated access for grounds maintenance New paving to extend fire escape route Replacement floor coverings, New fully accessible entrance doors, window blinds Toilet refurbishment, low level sink and fire alarm alterations. | £50,000 | £100,000 | £150,000 |
| Thornhill Subject to 'Provider Selection Process' Thornhill Youth Centre | September 2014 | 48 | Works include: Secure fencing to outside play area with gated access for grounds maintenance Tarmac area and outside Storage Replace floor covering in main playroom Alterations to kitchen area and internal re-decoration. Canopy and soft landscaping. Create new external doorway to outside play area and adapt outside security lighting. Furniture and Play resources | £39,000 | £130,000 | £169,000 |
| North Shirley Rainbow Pre-school The Ashby Centre | March 2014 | 40 | Small single storey, pitched roof, brick built extension off of the main hall to include the provision of six new toilets and equipped kitchen area. Furniture and Play resources. Alterations to main hall area and outside play areas to enable Ofsted registration. | £68,000 | £130,000 | £198,000 |
| Central St Johns Maintained Nursery St Johns Primary School | September 2014 | 32 | This project will expand the nursery building at St Johns Primary School by building a new classroom directly off of the existing nursery. The project will also provide a new secure outside play area. | £41,000 | £400,000 | £441,000 |
| Total Capital Expenditure – Target September 2014 | | 536 | | £565,000 | £1,125,000 | £1,690,000 |

| Children's Centre Area Name of Provider Type of Premises | Proposed Opening | Number of new places created (1 X15 hrs) | Brief Project Description | 2013-2014 | 2014-2015 | Total Capital Project cost |
|---|-------------------------|---|----------------------------------|------------------|-------------------|-----------------------------------|
| Contingencies at 10% | | | | | £169,000 | £169,000 |
| Feasibility studies | | | | £27,000 | | £27,000 |
| Total Funding Required for Early Years Capital Programme | | | | £592,000 | £1,294,000 | £1,886,000 |

Key:



DSG funding delegated to provider

Agenda Item 11

| | | | |
|-------------------------------------|--|---------------------------------|--------------------|
| DECISION-MAKER: | CABINET COUNCIL | | |
| SUBJECT: | COUNCIL PLAN 2013- 2016 | | |
| DATE OF DECISION: | 16 th JULY 2013 17 th JULY 2013 | | |
| REPORT OF: | LEADER OF THE COUNCIL | | |
| AUTHOR: | Name: | Suki Sitaram | Tel: 023 8083 2060 |
| | E-mail: | Suki.sitaram@southampton.gov.uk | |
| STATEMENT OF CONFIDENTIALITY | | | |
| None. | | | |

BRIEF SUMMARY

The Council Plan forms part of the council's Policy Framework and must therefore be approved by Council. It is a cross cutting document which covers all areas of the council's activities. The plan reflects the leadership role of the Executive in delivering the council's policy objectives, value for money and service improvement for the benefit of residents and businesses in the city. It is set in the context of opportunities and challenges faced by the council which influence priorities for the next 3 years. The council's strategic planning and policy framework is being reviewed in light of the Council Plan so that they relate to the delivery of the priorities in this Plan and can be streamlined.

The Council Plan 2013-16 has been drafted as an easy to read, simple document so that it can be more accessible to and understood by all staff and stakeholders. It reflects the council's priorities and identifies a short list of measures that the council will use to measure success. It seeks to highlight the key improvements and developments the council is aiming to achieve in the next 3 years and therefore does not detail all the council's "business as usual" activities. In developing this plan, the Cabinet has worked with the Council's Management Team to consider known national policy and budgetary changes which will have a significant impact on the city. The council remains committed to delivering its planned short and medium term aspirations and key projects. However, progress over the next few years will be partially dependent on the availability of funding from external sources.

RECOMMENDATIONS:

Cabinet

- (i) To note the recommendations made by the Overview and Scrutiny Management Committee, as reported verbally at the meeting, which, if approved by Council, will be reflected in the final version of the plan
- (ii) To recommend the draft Council Plan 2013-16, including the council priorities as detailed in Appendix 1, to Council for approval.

Council

- (i) To note the recommendations made by the Overview and Scrutiny Management Committee and Cabinet, to be reported verbally at the meeting, and which, if approved, will be reflected in the final version of the Council Plan
- (ii) To approve the draft Council Plan 2013-16, including the council priorities as detailed in Appendix 1
- (iii) To delegate authority to the Chief Executive, following consultation with the Leader of the Council, to finalise the Council Plan 2013-16, including incorporating any changes made at the meeting and to make any in year changes and to refresh relevant sections of the plan in 2014 and 2015 so that it aligns with any new budgetary or policy developments which will impact on the council's activities during 2013-2016.

REASONS FOR REPORT RECOMMENDATIONS

1. The Council Plan is a key element in the council's policy framework and as such there is a requirement that the council publishes this document. The plan sets the direction and priorities of the council for 2013-2016 to ensure the council has an integrated and planned approach from which policies and spending decisions will be made. However, further amendments will be required as a result of the council's budgetary planning for the next 3 years and emerging national policy changes. Delegated authority is therefore being sought to enable the plan to be amended to reflect any future changes.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

2. Not to produce a Council Plan - this has been rejected because the plan sets the direction and priorities of the council and is the key overarching document for directorates to plan future service delivery and stakeholders to link to as appropriate.
To have an alternative plan / priorities – this has been rejected because the priorities identified in this plan best suit the challenges and issues facing the council and our customers.

DETAIL (INCLUDING CONSULTATION CARRIED OUT)

3. Whilst recognising the period of change the council is going through, its core purpose and commitment remains the delivery of excellent services to its customers and to lead economic development in the city.
4. The draft Council Plan 2013 – 2016 identifies the council's priorities and is based on the 2013/14 budget, approved by Council in February 2013. The budget was formulated following extensive consultation with local residents and stakeholders. The draft Council Plan incorporates key service improvements and commitments identified by directorates.
5. The Overview and Scrutiny Management Committee (OSMC) is due to consider the draft Council Plan 2013-16 on 11 July 2013 with the Leader and the Chief Executive. Their recommendations will be reported verbally at the Cabinet and Council meetings.

6. The final Council Plan 2013-16 will be published on the council's website, following consideration of the feedback from OSMC, Cabinet and Council.
7. The draft Council Plan 2013-16, attached as Appendix 1, outlines the council's vision, priorities, and what the council wants to achieve by 2016 to deliver effective, quality and efficient services to customers and lead on economic development.
8. The council's vision is One Council, working for a sustainable Southampton – Economically, Socially and Environmentally. The council's top priorities, as identified in the draft Council Plan are:
 - Promoting Southampton and attracting investment
 - Raising ambitions and improving outcomes for children and young people
 - Improving health and keeping people safe
 - Helping individuals and communities to work together and help themselves
 - Encouraging new house building and improving existing homes
 - Making the city more attractive and sustainable
 - Developing an engaged, skilled and motivated workforce
 - Implementing better ways of working to manage reduced budgets and increased demand
9. The Council Plan reflects the need for the council to meet its financial challenges while still maintaining its focus on delivering quality services to customers. Hence, the plan emphasises the delivery of the transformation programme to achieve the required level of savings and ensure the capacity of the organisation to achieve this.
10. The draft Council Plan also identifies that the council has to modernise and therefore, will need to be reshaped over the next 3 years. The council has to become a more business like organisation, driving out unnecessary costs and ensuring that the council is maximising investment to support the delivery of services and economic growth.
11. The draft Council Plan is a much shorter Plan than in previous years, with the aim of it being a more reader friendly version that is more accessible to and understood by a wide range of people. It has been designed to be printed and used as an A3 poster or fold-out document and will be easily viewed online.
12. The top priorities represent improvement that the Council as a whole will focus and progress on. These priorities for improvement will be reported to Cabinet on a quarterly basis. Each directorate will also focus on a list of priorities for improvement with the aim of narrowing our focus on the essential performance indicators within each directorate. The same approach will be taken at a service level, with the aim of focusing on the most important areas for improving performance.
13. The Cabinet is committed to equalities, anti-poverty and fairness and the priorities reflect many of the challenges relating to tackling inequalities that the council and its partners face and the proposed actions for the council over the next 3 years. These include actions to address health inequalities, helping people to address the impact of the welfare reforms and reducing the gap in educational attainment. Integrating equalities in this way helps the council to

mainstream compliance with equalities legislation and therefore, it is proposed that the council's Equality Action Plan will detail only those actions that are not included in the Council Plan. The council will continue to mainstream equality issues into its day-to-day business, for example, by using Equality and Safety Impact Assessments to inform decision making.

14. The areas requiring continued improvement reflect some of the challenges:
 - Achieving marked improvement in school attendance ranking, as for the 2011/12 school year Southampton ranked 147th out of 152 local authorities for total school absence
 - Improving educational performance for some groups of children and young people, particularly those eligible for free school meals
 - Improving children's safeguarding services
 - Reducing health inequalities across the city
 - Modernising adult social care services, helping people become more self reliant and reducing delayed transfers of care
 - Increasing business growth and business start ups in Southampton
 - Increasing recycling rates and transforming waste services
 - Ensuring the council has the capacity to achieve the required level of change
 - Reducing council costs by 30% at a time of increasing demand for some council services
 - Working with our partners to improve our relative performance in overall crime
15. The current Council Plan (2011-14) was approved in July 2011 and highlights of the progress against agreed targets detailed in that plan are attached at Appendix 2.
16. The final version of the Council Plan will be published on the Council's website.

FINANCIAL/RESOURCE IMPLICATIONS

Capital

17. There are no additional capital implications for 2013/14 arising from the proposals outlined in this report.

Revenue

18. There are no additional revenue implications for 2013/14 arising from the approval of the report's recommendations. The measures contained within the plan will be met from the resources allocated to portfolios through the 2013/14 budget setting process and future approved budgets.

Property

19. None as a consequence of the recommendations contained within this report.

Other

20. None.

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

21. The statutory powers for producing this plan can be found in the Local Government & Housing Act 1989, Local Government Acts 1972, 1999 and 2000 and s.1 Localism Act 2011. The council has a statutory duty to secure best value. The production of the Council Plan demonstrates that the council has an integrated and planned approach to this requirement.

Other Legal Implications:

22. In preparing the plan the council has had regard to its duties under the Equalities Act 2010, the Human Rights Act 1998 and s.17 of the Crime and Disorder Act 1998.

POLICY FRAMEWORK IMPLICATIONS

23. The annual Council Plan forms part of the council's Policy Framework, as set out in Article 4 of the Council's Constitution. The Executive is, for almost all functions, responsible for implementing the policies and spending the budget in accordance with the Policy Framework and budget. Each of the proposed actions in this plan will be subject to the council's normal decision making processes, including detailed legal and financial assessments as necessary.
24. In developing this plan, consideration has been given to known national policy and budgetary changes which will have a significant impact on the city. Progress over the next few years will be partially dependent on the availability of funding from external sources or the identification of new income sources. As it is not possible to guarantee the outcomes in some cases, the Council Plan is subject to in year variation. It is therefore proposed to delegate authority to the Chief Executive, following consultation with the Leader of the Council, to finalise the Council Plan, including incorporating any changes made at the meeting and to make any in year changes and to refresh relevant sections of the Plan in 2014 and 2015 so that it aligns with any new budgetary or policy developments which will impact on the council's activities during 2013- 2016.
25. Any in year amendments will be highlighted through the council's performance monitoring arrangements, which includes the presentation of information highlighting key variances to the Overview and Scrutiny Management Committee.

SUPPORTING DOCUMENTATION

Appendices

| | |
|---|--|
| 1 | Draft Council Plan 2013 - 2016 |
| 2 | Council Plan 2011 - 14 – Progress highlights |

Documents In Members' Rooms

| | |
|--|------|
| | None |
|--|------|

Background Documents

Title of Background Paper(s)

Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

| | | |
|------------------------------------|-------|-----|
| | None. | |
| KEY DECISION | | Yes |
| WARDS/COMMUNITIES AFFECTED: | | All |

One council, working for a sustainable Southampton

- Economically, socially and environmentally

! Our priorities



Economic

- Promoting Southampton and attracting investment.
- Raising ambitions and improving outcomes for children and young people.



Social

- Improving health and keeping people safe.
- Helping individuals and communities to work together and help themselves.



Environmental

- Encouraging new house building and improving existing homes.
- Making the city more attractive and sustainable.



One council

- Developing an engaged, skilled and motivated workforce.
- Implementing better ways of working to manage reduced budgets and increased demand.

✎ How we will work

We will listen, learn and improve

We will spend money wisely

We will put residents and customers at the heart of what we do, reflecting the city's diversity

We will be an employer of choice

We will work with others to make a difference

We will strive to get it right, first time, every time

⚔ Our challenges

- Addressing the effects of the continued recession and while we want growth, few people are able to invest.
- Helping more local people to improve their skills and get a local job.
- Improving school attendance.
- Improving educational attainment for those children who do not do as well as others.

- Effective support to safeguarding of vulnerable children, young people and adults.
- Working with our partners to improve our relative performance in overall crime.
- Reducing health inequalities across the city.
- Reducing the numbers of vulnerable children, young people and adults.
- Reducing the impact of the Welfare Reforms on people who live in poverty or on a low income.

- Reducing reliance on and demand for intensive council support.
- Meeting housing needs.
- Improving waste and recycling services.
- Ensuring the council has the capacity to achieve the required level of change.
- Reducing council costs by 30% at a time of increasing demand for some council services.

✋ Our opportunities

- Working regionally to improve local outcomes e.g. City Deal, community budgets.
- Attracting external funding, particularly to improve the city's infrastructure.
- Regenerating the council's housing estates.
- Significant investment planned across the waterfront and the city centre.
- Integration with Health to manage demand and share risks and costs.

- Encouraging and maximising opportunities for economic growth and inward investment.
- Increasing new business start ups.
- Benefiting from local business rate retention.
- Supporting citizens to become more self reliant.
- Harnessing initiatives that increase community powers e.g. Community Asset Transfer, personalised budgets.

- Transforming the organisation through the council's Change Programme
- Responsibility for Public Health.
- Harnessing the potential of partnerships

| Our priorities | By 2016 we want to | Key actions in 2013/14 | Success measures for 2014 |
|----------------|--------------------|------------------------|---------------------------|
|----------------|--------------------|------------------------|---------------------------|



Economic

Promoting Southampton and attracting investment

| | | |
|--|--|---|
| <p>Increase opportunities in the city for business start ups.</p> <p>Increase take up of skills development and job opportunities by local people.</p> | <p>Maximise economic growth and jobs through initiatives including City Deal, Section 106 agreements and Community Infrastructure Levy.</p> <p>Develop opportunities to improve literacy and digital skills across the city's libraries.</p> | <p>Increase the employment rate (68.3% December 2012).</p> <p>Increase the net gain of businesses in the city (70 in 2011 based on 750 start-ups and 680 closed).</p> <p>550 people supported / completed skills courses.</p> |
| <p>Increase inward investment in the city.</p> | <p>Raise the profile of Southampton as a place to invest in by promoting the city's success and unique selling points including implementation of the City Centre Master Plan.</p> | <p>Manage 100 new inward investment projects on behalf of the Solent LEP (Subject to the Solent LEP Board decision).</p> <p>Maintain % satisfied with Southampton as a place to live (81% 2010).</p> |
| <p>Develop partnerships and an investment programme to support growth in the green economy.</p> | <p>Support growth in the green economy including securing ECO (Energy Company Obligation) funding.</p> | <p>Develop a Strategic Energy Action Plan to secure ECO funding and jobs.</p> |

Raising ambitions and outcomes for young people

| | | |
|---|--|---|
| <p>Reduce school absence rates in line with the South East Average.</p> | <p>Reduce the gap in educational attainment for pupils eligible for free school meals (FSM) and those who are not through:</p> <ul style="list-style-type: none"> investing in our support for school improvement working with schools to support the ways they are working together to do this. | <p>Reduce the gap for pupils eligible for FSM attaining Level 4+ in English and Mathematics at Key Stage 2 (2012 City average: 77% / FSM: 62%).</p> <p>Reduce the gap for pupils eligible for FSM attaining 5+ A* to C grades at GCSE inc. English and Mathematics (2012 City average: 54.4% / FSM: 32.4%).</p> |
| <p>Reduce the gap in educational attainment between the Southampton average and the South East average.</p> | <p>Develop the Southampton Apprenticeship Action Plan.</p> <p>Launch the Southampton Apprenticeship Campaign.</p> | <p>Reduce people aged 16-18 (academic age) who are not in Employment, Education or Training (NEET) from 6.3% to 6%. (384 young people).</p> <p>Increase the number of apprenticeship starts - all ages from 2,000 to 2,150.</p> |



Social

Improving health and keeping people safe

| | | |
|--|---|---|
| <p>Improve safeguarding of vulnerable children, young people and adults.</p> | <p>Redesign the way we deliver and commission services for children, young people and adults.</p> | <p>Increase the timeliness of initial child protection work for vulnerable children from 75% to 85%.</p> <p>Increase care leavers who are in suitable accommodation from (63% 2012/13).</p> <p>Reduction in the number of first time entrants to the Youth Justice System aged 10-17 from 968 to 871 and reoffending rates from 48% to 43%.</p> |
| <p>Deliver sustained improvements for families through our Families Matter programme.</p> | <p>Implement the Families Matters model to work with 593 families with complex support needs.</p> | <p>30% (178) of families worked with through the Families Matter programme have been turned around.</p> |
| <p>Improve people's health and reduce health inequalities between the different areas of the city.</p> | <p>Support people to make better lifestyle choices to help reduce health inequalities.</p> | <p>16% of the eligible population are offered health checks.</p> <p>Increase adult participation in sport from 24.7% to 25.7%.</p> |

Helping individuals and communities to work together and to help themselves

| | | |
|---|---|---|
| <p>Mitigate the impact of the welfare reforms through increasing welfare information, training and support.</p> | <p>Implement the Welfare Reforms Action Plan.</p> | <p>Maintain levels of statutory duty homelessness acceptance (197 2012/13).</p> <p>Maintain reasonable levels of council tax (in year) collection rates (96.2% 2012/13).</p> |
| <p>Increase opportunities for self reliance and community resilience.</p> | <p>Welfare Reforms Monitoring Group to establish baseline data to measure the impact of the welfare reforms and make recommendations to enhance the sustainable local welfare provision.</p> <p>Implement the 1st phase of the Community Asset Transfer Strategy.</p> | <p>Number of community assets transferred.</p> <p>Increase take up of social care clients receiving self directed support (direct payments and individual budgets) from 6.5% (2012/13).</p> |



Environmental

Encouraging new house building and improving existing homes

| | | |
|--|--|--|
| <p>Improve council estates by making significant progress in our estates regeneration programme and increasing the number affordable of homes.</p> | <p>Deliver the milestones of the estate regeneration programme for Meggeson Avenue (Phase 2) and Hinkler Parade.</p> | <p>Deliver 330 affordable homes.</p> <p>Bring 100 empty properties back into use.</p> <p>Deliver 42 new homes through the estate regeneration programme.</p> |
| <p>Improve the quality of housing in the city.</p> | <p>Improve private sector housing standards.</p> <p>Continue ongoing 5 year investment programme to improve the council's housing stock, with a key focus on energy efficiency and remodelling supported housing blocks.</p> | <p>Ensure all private landlords of houses in multiple occupation (HMOs) in the Bargate are licensed.</p> <p>Complete key milestones for 2013/14 in the Council Housing Investment Programme.</p> |

Making the city more attractive and sustainable

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|--|--|---|
| <p>Achieve a modal shift in transport from the private car to other methods.</p> | <p>To encourage a change in travel habits to more sustainable modes by delivering the capital programme and the "My Journey" campaign.</p> | <p>Reduce people entering the city centre in a light vehicle during the morning peak (7.30-9.30am) from 58.6% to 57%.</p> |
| <p>Transform waste services and improve recycling levels.</p> | <p>Introduce a glass collection service.</p> <p>Reduce recycling contamination levels.</p> | <p>Increase recycling rate from 25.42% to 27%.</p> <p>Reduce net cost of waste and recycling service from £124 to £112 per household.</p> |
| <p>Provide an expanded cultural offer for the city.</p> | <p>Finalise development proposals for the Southampton New Arts Complex.</p> <p>Start fit out work for the new Woolston Library.</p> | <p>Start work on site for SNAC.</p> |



One council

Developing an engaged, skilled and motivated workforce

| | | |
|--|---|---|
| <p>Develop a skilled and motivated workforce to include improving programme and project management and IT literacy within the council.</p> | <p>Develop and implement a Workforce Strategy and Engagement Plan.</p> <p>Develop an IT training programme.</p> <p>Establish a council-wide pool of project management expertise.</p> | <p>% people who go through the STEP programme who are redeployed.</p> <p>Reduce the number of days lost to sickness absence per full time equivalent (excluding schools) from 11.1 to 8.25 days</p> |
|--|---|---|

Implementing better ways of working to manage reduced budgets and increasing demand

| | | |
|--|--|---|
| <p>Redesign the points where customers access information and services to encourage use of more efficient channels such as the web.</p> | <p>Work with services (especially the People Directorate) to redesign processes to move appropriate actions earlier in the customer's contact with the council, whether that be the web, the contact centre or face to face.</p> | <p>Reduce end to end service delivery times.</p> <p>Increase use of the web portal to access information and services.</p> |
| <p>Deliver an agreed programme of transformation through the change programme to make a significant contribution to the council's savings gap of £60m.</p> | <p>Work with partners to implement joint and integrated commissioning for the People Directorate.</p> <p>Develop a Medium Term Financial Action Plan.</p> <p>Achieve milestones to reduce council buildings used for staff.</p> | <p>Achieve savings as a result of integrated commissioning.</p> <p>Reduction in the number of delayed transfers of care.</p> <p>Agreed level of savings achieved.</p> |

Council Plan Progress Highlights in 2012/13

| We said | We did |
|--|---|
| We want to attract more jobs for local people | <ul style="list-style-type: none"> • Launched the Southampton City Centre Master Plan • Created 11 new Employment and Skills Plans (ESP) S106 programmes which will lead to the creation of 140 new supported jobs for unemployed residents and 102 new/safeguarded apprenticeships • Led the multi agency task force to provide skills training, advice and guidance to Ford employees to maximise their choices and job opportunities on the closure of the Swaythling Plant. |
| More local people who are well educated and skilled | <ul style="list-style-type: none"> • More young people achieving well at Key Stage 2 and 4 (GSCE): A*- C grade GCSEs, including English and Maths (increased from 51.7% in 2011/12 to 54.4% in 2012/13) • More young people staying on in education post 16 and taking up applied/vocational learning opportunities – from 88.3% in 2011/12 to 89.3% in 2012/13 • More children and young people attended school regularly – absence rates reduced from 6.4% in 2011/12 to 5.9% in 2012/13 |
| A better and safer place in which to live and invest | <ul style="list-style-type: none"> • Launched an integrated web presence for inward investment to Southampton, Hampshire and the Isle of Wight • Received 97 inward investment enquiries on behalf of the Solent LEP • Increased visitor numbers at Sea City Museum and progressed work on Centenary Quay, Woolston • Secured £17.8million investment for the project 'A Better Connected South Hampshire' as part of the Transport for Southampton, Hampshire and Isle of Wight partnership • Delivered a capital programme of £14m investment in Southampton's roads, pavements, transport, and the street scene environment • 456 new homes completed, 196 affordable homes delivered and improved 1,643 private homes |
| Better protection for children and young people | <ul style="list-style-type: none"> • Increased the number of approved Southampton Foster Care Placements from 386 to 453 • Commissioned detailed work on the challenges faced by the council in safeguarding vulnerable children to develop an Implementation Plan for improvement in outcomes. |
| Support for the most vulnerable people and families | <ul style="list-style-type: none"> • More people helped to live at home for longer (people receiving domiciliary care increased from 2,730 2011/12 to 2,887 2012/13; reduced those in residential care from 627 2011/12 to 586 in 2012/13) • Increased the safety of the highest risk victims of domestic violence evidenced through a reduction of repeat incidents of domestic violence incidents returning to MARAC in 12 months from 20.13% in 2011/12 to 19.5% in 2012/13 • Identified the first wave of families with complex, multiple |

| We said | We did |
|--|---|
| | <p>problems to be supported through the Families Matter project and established a multi agency model to support families with complex needs</p> <ul style="list-style-type: none"> • Led the city's preparation on informing and supporting residents in understanding and dealing with the impacts of the welfare reforms, including the publication of Moneytree for raising awareness |
| Reducing health inequalities | <ul style="list-style-type: none"> • 1,547 people stopping smoking through 4 week smoking quitters • Increased the proportion of people participating in sport and physical activity from 23.10% to 24.7% • Increased cycling amongst schools targeted through the My Journey project from 1.1% to 3.6% |
| Deliver high quality, low cost services that meet customer needs | <ul style="list-style-type: none"> • Achieved budget savings of £13.7m to reduce the council's funding gap • Established a new People Directorate to improve outcomes, transform services and reduce costs. • Implemented the chargeable garden waste scheme • Approved the Houses in Multiple Occupation Licensing project |

Agenda Item 12

| | | | |
|-------------------------------|---|---|--|
| DECISION-MAKER: | CABINET | | |
| SUBJECT: | REDUCING ENERGY CONSUMPTION AND CARBON EMISSIONS IN THE CITY'S STREETLIGHTING SERVICE | | |
| DATE OF DECISION: | 16 JULY 2013 | | |
| REPORT OF: | CABINET MEMBER FOR COMMUNITIES | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | John Harvey Mike Adams | Tel: 023 8083 3927 014 8977 1790 |
| | E-mail: | <u>john.harvey@southampton.gov.uk</u> <u>mike.adams@southampton.gov.uk</u> | |
| Director | Name: | John Tunney | Tel: 023 8091 7713 |
| | E-mail: | <u>john.tunney@southampton.gov.uk</u> | |

STATEMENT OF CONFIDENTIALITY

None

BRIEF SUMMARY

This report considers the opportunity to reduce energy consumption and carbon emissions in the City's Street Lighting Service, by dimming streetlights during periods of the night.

RECOMMENDATIONS:

- (i) That lighting levels in residential areas following the installation of new lighting units are reduced by:
 - 25% between dusk and midnight
 - 50% between midnight and 5am
 - 25% between 5am and dawn;
- (ii) That lighting levels on main Primary and Secondary traffic routes, following the installation of new lighting units, be reduced by 25% between midnight and 5am; and
- (iii) To note that some exceptions to this policy for operational reasons may be necessary from time to time and these will be recorded by the street lighting service.

REASONS FOR REPORT RECOMMENDATIONS

1. The Council has adopted a carbon reduction policy that has set a CO₂ reduction target of 40% by 2020.
2. The potential energy consumption (kWh) and carbon emission (CO₂) savings realised by dimming street lights are quite considerable.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

3. The Council, using its PFI partner SSE, is more than halfway through the renewal of all the City's streetlights. This Core Investment is currently two months ahead of programme.
4. The new street lighting units can be controlled and dimmed by a Central Management Systems (CMS). This system is completely flexible and can allow individual street lights to be turned off or dimmed to any percentage remotely within seconds. Therefore, there are now unlimited alternative options available.
5. The proposals are in line with best energy practice and are based on experiences from other councils.

DETAIL (Including consultation carried out)

Policy

6. The original objectives of the PFI were agreed by Cabinet on 19th January 2009:
 - improved /appropriate lighting levels;
 - improved road safety;
 - crime reduction;
 - maximise energy efficiency;
 - improved maintenance standards;
 - improved structural and electrical integrity of the lighting network.

Replacement Programme

7. The Street Lighting PFI will replace approximately 28,000 lighting units across Southampton in the five year core investment period. The replacement programme is on schedule to be completed in 2015.
8. Over 13,000 units have already been replaced in the following Wards: Peartree, Bevois, Freemantle, Redbridge, Bitterne Park, Swaythling, Portswood, Shirley, Millbrook, and Coxford.
9. The output of the new 'white' lights far exceeds the illumination levels previously afforded by the orange/amber 'sodium' lighting.

Lighting Policy

10. The current dimming policy adopted by the City Council and contained as part of the PFI contract, allows for 25% dimming between the hours of midnight and 5am in residential roads. This has been automatically applied as the new "white light" units have been installed.
11. The dimming regime has been applied to all street lighting in residential roads except those with evidenced Section 17 Crime and Disorder Act or Road Safety implications. For example: dimming does not take place in the Main City Centre Zone, City Parks, Suburban Shopping Precincts and Car Parks etc.

Lighting Demonstrations

12. A demonstration of the capabilities of the CMS was presented to the Deputy Leader, the Cabinet Member for Environment and Transport, and other Key Stakeholders; the Police, City Safety Team, and City Crime Prevention Officer, on the evening of 20th February 2013.
13. The trial showed no discernable change to the perception of the reduced “white light” levels when compared to the previous ‘orange/amber’ sodium light. Good advanced visibility and facial recognition of pedestrians under the reduced illumination was retained.
14. The trial noted the optimum lighting levels that could be achieved during the different times of the night in both residential and main roads, whilst retaining a safe night time environment for the travelling public and reducing energy consumption and carbon emissions.
15. A further three lighting demonstrations have been held during June 2013. These have been well attended by Members and representatives of community groups, including Neighbourhood Watch Groups.
16. At all the demonstrations, the benefits of the proposed system were clearly shown and there were no objections to the proposed lighting levels using the white light units.
17. The dimming of street lighting on main traffic routes will require risk assessments to be carried out depending on the pedestrian and traffic flows, road speed and accident data. Once completed, there is no reason why, during the quieter period of the night when traffic flows have dropped significantly, the lighting level for these roads should not be reduced.
16. Assurances were provided to the Police and Community Safety that the CMS would allow lighting levels to be amended in areas for operational reasons and a protocol is being developed to facilitate this. The flexibility of the system will enable lighting levels to be increased in any areas as necessary.

Energy consumption reduction

17. At the commencement of the PFI contract in April 2010, energy consumption for street lighting across the City was 10.7m kWh for the financial year 2010/11, with carbon emissions of 6,000 metric tonnes.
18. There are savings in energy achieved by SSE under that contract, due to the replacement of old inefficient lights and also additional energy savings accruing from the dimming proposal.

Residential Areas

19. By the end of the Core Investment Period in 2015, the contractual energy reductions within the PFI contract and the residential lighting level changes recommended in this report are forecast to reduce annual energy consumption from 10.7m kWh to 8m kWh (saving approximately 3m kWh each year (- 27%) and carbon emissions will reduce from 6,000 to 4,300 metric tonnes (saving approximately 1,700 metric tonnes of CO₂ (- 28%).

Main Traffic Routes

20. By the end of the Core Investment Period in 2015, the traffic routes lighting level changes recommended in this report are forecast to reduce annual energy consumption by an additional 363 kWh/year and a further 196 metric tonnes of CO₂ (-3%).

RESOURCE IMPLICATIONS

Capital/Revenue

21. There will be no capital expenditure within the Environment and Transport Portfolio Capital Programme to effect these changes. Any alterations to the CMS are covered under the approved PFI Contract payments and the Council receives revenue grant of £2.0m per annum to assist with these payments.
22. The Council is responsible for the purchase of electricity and the payment of the monthly consumption for street lights and negotiates this with an Energy Supplier on an annual basis. Under the PFI Contract the Service Provider, Scottish and Southern Energy (SSE) are responsible for the volume of energy consumed and deductions are applied should the volume increase above the agreed base load.
23. Based on the current contract rate of 8.7 pence (gross of Climate Change Levy and Feed In Tariff 9.5 pence) per kWh at the start of the PFI Contract in April 2010, the load was 10.7m kWh at a cost of £1,019,000.
24. The contractual energy reductions within the PFI contract and the proposed dimming policy for **residential roads** will reduce energy consumption down to 8m kWh, which equates to a saving of £250,000 per annum for the remainder of the contract after completion of the Core Investment Period in March 2015.
25. The contractual energy reductions within the PFI contract and the proposed dimming policy for **main traffic routes** will further reduce energy consumption by 363,400 kWh per year equating to an additional saving of £34,000 per year
26. Therefore, the total saving is anticipated to be £284,000 per year which is a 28% saving as compared to the original 2010/11 annual energy cost of £1,019,000. The elements within this total saving are set out below:

| | £ |
|-------------------------------|----------------|
| Contractual Energy Reductions | 172,000 |
| Dimming – Residential roads | 78,000 |
| Dimming – Main Traffic Routes | 34,000 |
| Total | 284,000 |

27. However, it is necessary to bear in mind that energy costs are subject to fluctuations in the wholesale energy market and these savings will be impacted as energy costs increase.
28. The earlier that the dimming strategy can be implemented, the earlier that the CO₂, Carbon and energy savings can start to be realised. Until the Core Investment Period is completed in March 2015, these savings will be proportional to the number of the new lighting units in operation. The dimming changes could be implemented within a month of this report being approved. The savings would then start to be realised two to three months after this.

Property/Other

29. None

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

30. The Council, as Local Highway Authority has the powers to reduce the street lighting output within the streets that it is responsible for.

31. The Council has a duty to consider S17 of The Crime and Disorder Act in all decisions that it makes. This Act requires Local Authorities to consider the impact of any decision on the level of crime and disorder. Care has been taken to ensure that these proposals will not compromise community safety.

Other Legal Implications:

32. None

POLICY FRAMEWORK IMPLICATIONS

33. Proposals to reduce energy usage are fully inline with Council policy.

34. The proposals will not disadvantage any members of the community. The proposed lighting levels will ensure that everyone can still use the highway at night. An Equality Impact Assessment has been completed.

KEY DECISION? Yes

| | |
|------------------------------------|-----|
| WARDS/COMMUNITIES AFFECTED: | All |
|------------------------------------|-----|

SUPPORTING DOCUMENTATION

Appendices

| | |
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| 1. | None. |
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Documents In Members' Rooms

| | |
|----|------|
| 1. | None |
|----|------|

Equality Impact Assessment

| | |
|--|-----|
| Do the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out. | Yes |
|--|-----|

Other Background Documents

Equality Impact Assessment and Other Background documents available for inspection at:

Title of Background Paper(s) Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

| | | |
|----|------|--|
| 1. | None | |
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Agenda Item 13

| | | | |
|-------------------------------|---|--------------------------------|---------------------------|
| DECISION-MAKER: | CABINET COUNCIL | | |
| SUBJECT: | COMMUNITY INFRASTRUCTURE LEVY AND PLANNING OBLIGATIONS SUPPLEMENTARY PLANNING DOCUMENT ADOPTION | | |
| DATE OF DECISION: | 16 JULY 2013 17 JULY 2013 | | |
| REPORT OF: | THE LEADER OF THE COUNCIL | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | Jo Moore | Tel: 023 8091 2603 |
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| Director | Name: | John Tunney | Tel: 023 8091 2603 |
| | E-mail: | john.tunney@southampton.gov.uk | |

STATEMENT OF CONFIDENTIALITY

None

BRIEF SUMMARY

The Community Infrastructure Levy (CIL) Regulations (as amended) came into force in April 2010 and introduced a new mechanism by which local authorities can seek developer contributions to assist in funding the infrastructure needed to support new development. The rate of CIL to be applied to new development is set out within the proposed Charging Schedule (as set out in Appendix 1).

The Charging Schedule has been informed by two public consultation exercises, a viability assessment, infrastructure needs assessment and has been scrutinised at an independent examination hearing in public (please refer to the Examiner's Report in Appendix 2). In response to the Examiners Report, the Charging Schedule has been amended accordingly from its draft form reducing the residential charge rate from £90 sq m to £70 sq m. The Charging Schedule would be supported by the Developer Contributions Supplementary Planning Document (attached as Appendix 3) to secure further contributions towards affordable housing and address the site specific impacts of new development and also an Instalments Policy (as set out in Appendix 4) which would assist with developers' cash flow in paying the CIL.

RECOMMENDATIONS:

CABINET:

- (i) To recommend the Community Infrastructure Levy Charging Schedule, the statement of Statutory Compliance (contained within the Charging Schedule) and the Community Infrastructure Levy Instalments Policy (Appendices 1 and 4) to Council for approval;

- (ii) To approve the Developer Contributions Supplementary Planning Document (Appendix 3) and to delegate authority to the Head of Planning Transport and Sustainability to approve the necessary amendments to Appendix A: Commuted Sums Tables contained therein; and
- (iii) To delegate authority to the Head of Planning Transport and Sustainability to establish the procedure, following consultation with the Leader of the Council, for how neighbourhood funding from the Community Infrastructure Levy will be allocated.

COUNCIL:

- (i) To approve the Community Infrastructure Levy Charging Schedule as set out at Appendix 1 to take effect from 1st September 2013;
- (ii) To approve the statement of Statutory Compliance as set out within the Community Infrastructure Levy Charging Schedule at Appendix 1;
- (iii) To approve the Community Infrastructure Levy Instalments Policy at Appendix 4 to take effect from 1st September 2013; and
- (iv) To delegate authority to the Head of Planning Transport and Sustainability to establish the procedure, following consultation with the Leader of the Council, for how funding bids for the Community Infrastructure Levy will be made to the Capital Board and to approve and publish the Council's Regulation 123 list.

REASONS FOR REPORT RECOMMENDATIONS

1. The 2004 Barker Review of Housing Supply noted that the lack of timely delivery of infrastructure is a key barrier to the delivery of development. The key purpose of the Community Infrastructure Levy Regulations (2010) is to raise additional revenue for such infrastructure. The Southampton Local Development Framework Core Strategy Development Plan Document (2010) sets out the growth plans for Southampton up to 2026. An assessment of the infrastructure needed to support this growth, undertaken as part of this study, highlights a significant gap between the known available sources of funding for infrastructure and its total cost. In such circumstances, the CIL Regulations make it clear that it is appropriate to introduce the CIL to ensure that new development contributes towards the infrastructure needed to support it.
2. Financial contributions would be generated by CIL liable development at a rate set out within the Charging Schedule. The Council carried out the requisite public consultation in respect to the Draft Charging Schedule which was informed and supported by viability evidence. There was a considered response to the initial proposals from various parts of the development industry. These responses were carefully considered and taken into account in the final version of the Draft Charging Schedule. In March 2013, the Draft Charging Schedule was heard before an independent examination which was held in public. The examination Inspector published his report in April 2013 which concluded that, subject to one modification in respect to reducing the rate of CIL applied to residential development, the Charging Schedule is

capable of providing an appropriate basis for collecting the Community Infrastructure Levy in Southampton and that retail and residential development will remain economically viable across most of the City. The Charging Schedule has been revised in line with the modification set out within the examination report. The charge rate is proposed for residential uses but not for commercial uses with the exception of retail uses.

3. To assist with developer cash flow and economic viability, Regulation 69(b) of The Community Infrastructure Levy (Amendment) Regulations (2011) allows CIL to be paid in instalments. The Instalments Policy sets out the level of the CIL charge, the number of instalments available for that charge and the timing of instalments for that charge.
4. The Developers Contributions Supplementary Planning Document (SPD) sets out the Council's policy for securing developer contributions for new developments and should be considered alongside the Charging Schedule. Whilst some development may only be CIL liable, other development will be CIL liable and also have to make other contributions (through a Section 106 agreement) towards, for example, affordable housing and site specific transport and access requirements. The purpose of the SPD is: to explain policies and procedures for securing developer contributions; the relationship between CIL and developer contributions; and to provide evidence and guidance about the types of contributions that will be sought in regards to this. Since CIL will provide developer contributions towards strategic infrastructure, the planning obligations sought through the section 106 process need to be scaled back to ensure there is no duplication between the two mechanisms. The new SPD addresses this.
5. Under Regulation 123 of The Community Infrastructure Levy Regulations (2010) the Council will publish a list of infrastructure projects of types of infrastructure that it intends will be, or may be, wholly or partly funded by CIL. The Capital Board will make a decision on the infrastructure projects and types of infrastructure that will appear on this list.
6. The Capital Board will co-ordinate and determine requests for CIL funding from across the Council. Where appropriate, the Head of Planning, Transport and Sustainability will advise the Board on how these requests align with the City's Infrastructure Needs Assessment and Regulation 123 list. A more detailed process for the allocation of CIL on an annual basis will be developed, in close consultation with the Leader of the Council and the Cabinet Member for Resources. This will provide a clear and accountable way of managing the CIL allocation process.
7. The Community Infrastructure Levy (Amendment) Regulations 2013 make provision for the Council to utilise 15% of the revenue generated from CIL on neighbourhood funding, to help communities accommodate the impact of new development in their areas. The Council will retain the Levy receipts but should engage with the communities where development has taken place and agree with them how best to spend the neighbourhood funding. We are required to clearly and transparently set out our approach to engaging with neighbourhoods. This approach will be developed by the Head of Planning Transport and Sustainability in close consultation with the Leader of the Council and the Cabinet Member for Resources.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

Option 1 – Do not approve the Charging Schedule

8. This option is not recommended as the Council's ability to provide strategic infrastructure to support growth would be significantly compromised. After 2014, the Council would lose the ability to pool contributions from more than five schemes towards infrastructure. Planning contributions would be therefore be restricted to addressing site specific issues rather than towards strategic infrastructure. Furthermore, the Council has previously committed to seeking contributions through CIL and subsequently public consultation on the Draft Charging Schedule and its examination in public were undertaken.

DETAIL (Including consultation carried out)

9. The Southampton Core Strategy (2010) commits to building 16,300 new homes, 300,000 square metres of employment space (currently subject to revision) and 130,000 square metres of retail space before 2026. This level of growth will clearly require significant support from a range of infrastructure and services, including measures to enable development to respond to future challenges such as flood risk. Funding for such infrastructure can be generated from CIL. These targets are currently going through a Partial Review, the new homes target remains the same but the employment space and retail space targets have been reduced to 110,000 square metres and 100,000 square metres respectively.
10. An Infrastructure Study and Delivery Plan were prepared in response to the Community Infrastructure Regulations (2010) (as amended). The Infrastructure Study has a detailed evidence base which includes a Demographics Analysis, an Infrastructure Needs Assessment and a Viability Appraisal. The Demographics Analysis provides further detail regarding the likely growth of the City over the plan period and underpins many of the assumptions in the Needs Assessment. The Needs Assessment highlights a gap in funding between the total cost of infrastructure needed and the anticipated funding for this. It therefore concludes that the following types of infrastructure should be beneficiaries of CIL with the total estimated costs associated with providing this infrastructure also listed:
 - Strategic Transport (£431.1 million);
 - Strategic Open Space and Biodiversity (£42.9 million);
 - Strategic Flood Risk (£87.8 million);
 - Education (£24.3 million);
 - Sports, Recreational and Community Facilities (£17.0 million);
 - Health (£4.3 million) and;
 - Museums and Libraries (£3.9 million).
11. Strategic transport, strategic flood risk, open space and education represent the greatest infrastructure costs. The CIL Regulations require the Levy to be used for infrastructure needed to support new development but planning regulations provide a broad definition of infrastructure and so enable Local Authorities flexibility in deciding how to use the Levy. The Council is not rigidly

tied to committing the Levy each year towards the infrastructure identified in the Needs Assessment. Once CIL is adopted, Local Authorities are required to publish annual reports detailing the amounts collected and how and where the Levy is used.

12. The Levy would be a flat rate charge for all new floorspace created in developments of over 100 square metres. The Levy will also apply to the construction of all new dwellings, irrespective of size. The Regulations set out that affordable housing would be exempt from the charge, as would development by charities for charitable purposes. The Council may also make exceptional relief from CIL available for developments with abnormal site specific infrastructure costs, subject to the tests set out in the relevant tests being met, as set out in the CIL Regulations. Other than through this provision, CIL is not negotiable (unlike S106 Contributions).
13. For developers, CIL is clear and unambiguous in terms of what contribution will be required. For the Council, CIL provides flexibility in how the charge will be spent across the City. There is no requirement to link each CIL receipt directly to an individual development, enabling funds to be used strategically to target priority areas for infrastructure required to accommodate new development anywhere in the City. A Viability Appraisal was carried out as part of the Infrastructure Study and provides key evidence in determining the level of CIL that should be charged. The key conclusions of the Viability Appraisal were that for residential development, a charge would be viable. However, commercial uses, with the exception of retail, could not support CIL payments in the current economic climate.
14. The Examination Report concludes that the rates for retail and residential development across the City as set out within the Draft Charging Schedule are based on reasonable assumptions about current local development values and likely costs, with both retail and residential development remaining viable across most of the City. The report recommends that the residential rate is modified from £90 per sq m to £70. The Report also considers that the Council has tried to be realistic in terms of achieving a reasonable income to help address an acknowledged gap in infrastructure funding, whilst ensuring that development remains viable in the City.
15. The Examiner's Report also clarifies that developments of new student accommodation provided by commercial operators will be charged the same as other residential development within the City. The Examiner required a change to the Charging Schedule to clarify this and the Schedule has been amended accordingly.
16. The Levy will be kept under review to ensure that it is updated if market conditions change and to ensure that it remains relevant to the funding gap. The Regulations also give discretion to the authority to decide if they want to cease charging the Levy. The Levy can be terminated at any time provided that the authority formally resolves to cease charging.

17. These proposed Charge Rates (per sq m) are to be applied to the increase in gross internal floorspace of any new building or extension, if it has at least 100 sq m of gross internal floorspace or involves the creation of a dwelling (even when that is below 100 sq m):

| | |
|--|-----|
| Retail (Classes A1 – A5) | £43 |
| Hotels (Class C1) | £0 |
| Residential institutions (Class C2) | £0 |
| Residential development (C3, C4 and Sui Generis Houses in Multiple Occupation) | £70 |
| Community Uses (Class D1) | £0 |
| Business (B1, B2, B8 and other commercial uses not specified above) | £0 |

18. For comparison, other local authorities within the surrounding area that have adopted the CIL are currently charging the following (per sq m):

Fareham – effective since 1st May 2013

| | |
|---|------|
| Residential falling within Class C3 (a) & (c) and C4 | £105 |
| Carehomes falling within Class C3 (b) and C2 | £60 |
| Hotels falling within Class C1 | £35 |
| Comparison retail in the centre | £0 |
| All other retail | £120 |
| Standing charge (applies to all other development not separately defined) | £0 |

Portsmouth – effective since 1st April 2012

| | |
|--|------|
| All development unless otherwise stated | £105 |
| Classes A1 – A5 in centre retail any size and small (<280 sq m) and out of centre retail | £53 |
| B1 (a), B1, B2, B8 Office and Instruction | £0 |
| Hotels Class C1 | £53 |
| Residential Institutions Class C2 | £53 |
| Community uses Class D1 | £0 |

Havant – effective from 1st August 2013

| | |
|----------------|--|
| Residential | Emsworth and Hayling Island £100 Rest of Borough £80 |
| Hotel | £0 |
| Industrial | £0 |
| Offices | £0 |
| Retail | Town Centre £0 Out of Centre > 280 sq m £80 Out of Centre < 280 sq m £40 |
| Community uses | £0 |

Poole – effective since 2nd January 2013

| | |
|--------------------------------|------|
| Residential dwellings – Zone A | £150 |
| Residential dwellings – Zone B | £100 |
| Residential dwellings – Zone C | £75 |
| All other development | £0 |

19. The CIL Regulations also make provision to introduce an Instalments Policy. This will have a positive impact on developers' cash flow and will help to ensure that development within the City remains viable. It is recommended that the Instalments Policy is approved and applied to all CIL liable development from 1st September 2013.
20. Once the Charging Schedule is adopted, it will no longer be possible to use the Section 106 agreement process to pool contributions from more than five developments. As such, a Developer Contributions Supplementary Planning Document has been produced which would secure the negotiable elements that cannot be addressed by the Levy. This would include affordable housing and the resolution of site specific issues, such as the provision of highway improvements to serve the development and make it acceptable in planning terms. The Council would continue to take matters of site specific viability into account as part of this process.
21. It is recommended that the Developer Contributions Supplementary Planning Document is adopted. This provides clarity on the expected interaction between the CIL and S106 legal agreements for site specific infrastructure, to avoid possible double counting of financial contributions.
22. The CIL Regulations (2010) require the Council to publish a list (known as the Regulation 123 List) of infrastructure projects and types of infrastructure that it intends will be, or may be, wholly or partly funded by CIL. The Capital Board will determine the infrastructure projects and types of infrastructure that will appear on the list. It is recommended that authority is delegated to the Head of Planning Transport and Sustainability to establish the procedure for this, in close consultation with the Leader of the Council and the Cabinet Member for Resources. It is intended that the 123 list would be regularly reviewed, to ensure that it reflects the up-to-date infrastructure needs of the City.

23. As noted in paragraph 7, the Community Infrastructure Levy (Amendment) Regulations 2013 make provision for the Council to utilise 15% of the revenue generated from CIL on neighbourhood funding, to help communities accommodate the impact of new development in their areas. We are required to clearly and transparently set out our approach to engaging with neighbourhoods. This approach will be developed by the Head of Planning Transport and Sustainability in close consultation with the Leader of the Council and the Cabinet Member for Resources.

RESOURCE IMPLICATIONS

Capital/Revenue

24. The Council is able to use up to 5% of the CIL receipts to cover the costs of monitoring, administering and updating the Levy. The resources required to monitor and manage CIL will be borne by existing budgets and staffing (including a post which has been specifically set up for this purpose). Additional monitoring and administrative work will also be carried out from within existing resources. A savings proposal was approved by Council in July 2012 which was based on the anticipated additional income from infrastructure charge administration fees. As a consequence income of £50,000 in 2013/14 and £90,000 in subsequent years is now included in Environment and Transport Portfolio's base revenue budget. The Council report noted that the yield from CIL is uncertain and will depend on market recovery. The income will therefore need to be closely monitored following implementation of the process.
25. Further decision making reports will be brought forward detailing proposals for the use of the CIL generated each year.

Property/Other

26. There are no implications that arise for the Corporate Property Strategy.

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

27. The Community Infrastructure Levy Regulations 2010 (as amended) are applicable as detailed in the main body of the report.

Other Legal Implications:

28. In making the proposals set out in this report the Council MUST have regard to the provisions of the Equality Act 2010 (including carrying out integrated impact assessments as appropriate), the duty under s.17 of the Crime & Disorder Act 1998 to carry out its functions having regard to the need to reduce or eliminate crime & disorder and the provisions of the Human Rights Act 1998, in particular Article 8 (right to respect for private & family life) and Article 1 of the First Protocol (the protection of property). Any interference with the rights protected under the Act must be necessary and proportionate in the interests of a democratic society. The Council is satisfied that the proposals in the report comply with the statutory requirements set out above.

POLICY FRAMEWORK IMPLICATIONS

29. The proposed recommendations support the policies of the Council's current Local Development Framework.

KEY DECISION? Yes

| | |
|-----------------------------|-----|
| WARDS/COMMUNITIES AFFECTED: | ALL |
|-----------------------------|-----|

SUPPORTING DOCUMENTATION

Appendices

| | |
|----|--|
| 1. | Community Infrastructure Levy Charging Schedule and Implementation Guide |
| 2. | Examination Report |
| 3. | Developer Contributions Supplementary Planning Document |
| 4. | Instalments Policy |
| 5. | Integrated Impact Assessment |

Documents In Members' Rooms

| | |
|----|-------|
| 1. | None. |
|----|-------|

Equality Impact Assessment

| | |
|--|----|
| Do the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out. | No |
|--|----|

Other Background Documents

Equality Impact Assessment and Other Background documents available for inspection at:

Title of Background Paper(s)

Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

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Community Infrastructure Levy Charging Schedule Development Plan Document

April 2013

Contacts for this document

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The Charging Authority

The Charging Authority is Southampton City Council.

Date of Approval

This Charging Schedule was approved by the Council on (DATE TO BE AGREED AT CABINET/COUNCIL) 2013.

Date of Effect

This Charging Schedule will become effective on (DATE TO BE AGREED AT CABINET/COUNCIL) 2013.

The CIL Rate

CIL is charged on gross internal floorspace of any new building or an extension to an existing building in Southampton City administrative area if it has at least 100m² of gross internal floorspace or involves the creation of a dwelling even when that is below 100m².

Table 1 Charge Rates

| Use Class | Maximum CIL (psm) |
|---|-------------------|
| Retail (A1-A5) | £43 |
| Hotels (C1) | £0 |
| Residential Institutions (C2) ¹ | £0 |
| Residential (C3, C4 and Sui Generis Houses in Multiple Occupation) ² | £70 |
| Community Uses (D1) | £0 |
| Business (B1, B2, B8 and other commercial uses not specified above) | £0 |

¹ This applies to student accommodation which includes individual bedrooms with shared communal facilities and where residents do not live as a single-family.

² This includes self-contained student flats and cluster flats

However, buildings into which people do not normally go, or go only intermittently for the purposes of inspecting or maintaining fixed plant or machinery are not liable to pay³.

Affordable housing and buildings owned by charities and used for charitable purposes are exempt from the charge⁴.

CIL will be charged for the net additional floorspace, that is, after the area of demolished buildings has been deducted.

The rates shown in Table 1 will apply uniformly to all land uses across the whole geographic extent of the City.

The rate will be updated annually for inflation in accordance with the Royal Institute of Chartered Surveyors "All In Tender Price Index".

Statutory Compliance

This draft Charging Schedule has been approved and published in accordance with the Community Infrastructure Levy Regulations 2010 and Part 11 of the Planning Act 2008.

In setting the rates, the Council has struck an appropriate balance between:

- the desirability of funding from CIL in whole or part the estimated total cost of infrastructure required to support the development of its area, taking into account other actual and expected sources of funding; and
- the potential effects (taken as a whole) of the imposition of CIL on the economic viability of development across its area.

³ Regulation 6(2) of the Community Infrastructure Levy Regulations 2010

⁴ Regulations 43 and 49 of the Community Infrastructure Levy Regulations 2010

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The Planning
Inspectorate

Report to Southampton City Council

by Nigel Payne BSc (Hons), Dip TP, MRTPI, MCI

an Examiner appointed by the Council

Date: 16 April 2013

PLANNING ACT 2008 (AS AMENDED)

SECTION 212(2)

REPORT ON THE EXAMINATION OF THE DRAFT SOUTHAMPTON COMMUNITY INFRASTRUCTURE LEVY CHARGING SCHEDULE

Charging Schedule submitted for examination on 4 February 2013

Examination hearings held on 11 and 12 March 2013

File Ref: PINS/D1780/429/7

Non Technical Summary

This report concludes that with one major and one minor modification the Southampton Community Infrastructure Levy Charging Schedule is capable of providing an appropriate basis for the collection of the levy in the city.

The Council has sufficient evidence to support the schedule and show that the retail levy is set at a level that will not put the overall development of the area at risk. However, the evidence also shows that the rate proposed for new residential development, including new student housing, is too high and would pose a significant threat to the viability of housing schemes in the city and thus to the delivery of the adopted Core Strategy. Accordingly, it needs to be reduced.

Two modifications, one major and one minor, are needed to meet the statutory requirements. These are listed in Appendix A and can be summarised as follows:

- Reduce the residential charging rate from £90 psm to £70 psm.
- Clarify the applicability of the residential charging rate to the different types of new student housing.

The specified modifications recommended in this report are based on matters discussed during the public hearing sessions and do not materially alter the basis of the Council's overall approach or the appropriate balance achieved.

Introduction

1. This report contains my assessment of the Southampton Community Infrastructure Levy (CIL) Charging Schedule in terms of Section 212 of the Planning Act 2008. It considers whether the schedule is compliant in legal terms and whether it is economically viable as well as reasonable, realistic and consistent with national guidance (Charge Setting and Charging Schedule Procedures – DCLG – March 2010 and Community Infrastructure Levy – Guidance – DCLG - Dec 2012).
2. To comply with the relevant legislation the local charging authority has to submit what it considers to be a charging schedule which sets an appropriate balance between helping to fund necessary new infrastructure and the potential effects on the economic viability of development across the city. The basis for the examination, on which hearings sessions were held on 11 and 12 March 2013, is the submitted schedule of 4 February 2013, which is effectively the same as that published for public consultation on 12 September 2012.
3. The Council proposes two charging rates across the city, one of £43 per square metre (psm) for all retail uses (A1 – A5 classes) and one of £90 psm for residential (C3, C4 uses and sui generis houses in multiple occupation). All other uses, including hotels (C1), residential institutions (C2) and all business development (B classes) would be nil rated.

4. Two footnotes to the schedule confirm that first the nil rating for residential institutions (C2) will apply to new student accommodation that includes individual bedrooms with shared facilities and where residents do not live as a single family. The second says that other types of student housing including self contained or cluster flats could be subject to the residential charging rate.

Infrastructure planning evidence

5. The Southampton Core Strategy (CS) was adopted in January 2010 and sets out the main elements of growth that will need to be supported by further infrastructure in the city. The accompanying Infrastructure Delivery Plan has been updated to October 2011. At current prices the Council estimates the total infrastructure funding required to deliver the CS over the plan period at approximately £528 million (m), of which only about £256m, or just less than half, has been identified to date, thereby leaving a significant gap for the CIL to help fill.
6. CIL receipts are presently expected to raise approximately £32.7m between 2013 and 2026, or about £2.5m per year, towards filling that gap, alongside other sources. This is only slightly more than the city's average annual S106 legal agreement receipts of £2.4m over the last few years. In the light of the information provided, the proposed charge would therefore make only a modest contribution towards filling the likely funding gap. However, the figures clearly demonstrate the need to introduce the CIL.

Economic viability evidence

7. The Council commissioned a CIL Viability Assessment, dated April 2010, which was updated in April 2012 (EV 1), based on January 2012 figures. The assessment essentially uses a residual valuation approach, using reasonable standard assumptions for a range of factors such as local building costs (including Code for Sustainable Homes Level 4 requirements), developer profit levels and professional fees. The model incorporates relevant and up to date local data on existing land values; likely sale prices based on a range of sites across the area and anticipated housing densities, as well as the full impacts of the Council's relevant planning policies, including for affordable housing, set out in the adopted CS. It has also been compared to some examples of recently delivered schemes in the city and, in general terms, found to be fit for purpose in that respect too.
8. The local industrial, office and storage/warehouse markets are depressed at present and all the available evidence demonstrates that the imposition of the CIL on new business and related development (B class uses) across the city would not be economically viable or appropriate currently. The same is true for hotels (C1), residential institutions (C2) and community uses (D1). The Council's judgement in this respect is universally endorsed by consultees and there is nothing to justify a different conclusion at present.
9. The draft Charging Schedule is also supported by suitable detailed evidence of identified community infrastructure needs, including the Council's draft Regulation 123 list. On this basis, the evidence which has been used to inform the rates proposed is largely robust, proportionate and appropriate.

Main Issues

10. In addition to the above and taking into account all the evidence, the representations and the discussions at the examination hearings, I have identified two main issues upon which the viability of the CIL charging schedule depends.

Issue 1 - Retail Rate

(a) Is the local levy rate for new retail floorspace justified by appropriate available evidence, having regard to national guidance, local economic context and infrastructure needs, including in relation to the Council's adopted Core Strategy, the City Centre Action Plan and regeneration ?

(b) Overall, does it strike an appropriate balance between helping to fund the new infrastructure required and the potential effect on the economic viability of new retail floorspace and related/mixed use development across the city ?

11. Although limited in scope and extent, the Council's evidence clearly demonstrates that the proposed CIL rate of £43 per square metre (psm) for new build retail floorspace would be currently viable across the city at both the supermarket and neighbourhood convenience store scale. Moreover, in a relatively small and compact city, there are insufficient economic viability, geographical or any other important differences between the various parts of Southampton that might, individually or collectively, help to justify a need for separate retail charging zones.
12. Under the national CIL Regulations the application of differential rates for the different forms of retail use, such as convenience and comparison shopping, and/or distinction by size of unit/floorspace, could only be justified by rigorously tested evidence related to viability. No such local evidence exists. The fact that, once established, A2 – A5 uses can benefit from permitted development rights to change to A1 reinforces the conclusion that there is no justification for any exemptions from the CIL rate that would apply across the city, at present.
13. In the city centre the CS envisages a post 2016 major expansion of retail floorspace, together with new dwellings and offices. It is common ground that mixed use redevelopment schemes already permitted but not yet started may well need to be reconsidered and/or reconfigured in the light of the ongoing national economic difficulties, not least in the retail sector, to remain viable in the current market. Nevertheless, once adopted, the implications of the CIL on the overall viability of such schemes can be taken into account at the outset of any such redesign process. This would include in respect of all other infrastructure requirements and expectations, arising from the Council's (draft) Regulation 123 list and revised Planning Obligations SPD (draft June 2012) in relation to any S106 legal agreements necessary.
14. The national CIL Regulations do not permit rates in general or for any particular schemes to be "negotiated" on a "one off", or site specific basis, in relation to individual proposals, no matter how large or important. Nor is a separate city centre charging zone appropriate in a very largely built up and

homogeneous urban area, particularly in the absence of any obvious or logical boundary definition or clear viability evidence to justify such a division, as distinct from policy considerations.

15. In such circumstances, and bearing in mind the viability evidence relating to new retail development in the city, nor is there any reason to resist or delay the imposition of the CIL, either in the city centre as a whole or on any particular site or sites. This includes those that have been specifically identified as essential (VIPs - Very Important Projects) to the delivery of the Council's overall strategy for the city. The application of a zero CIL rate to these sites would not only lead to an inappropriate and unreasonable "cross subsidy" effect on suburban sites but also a significant reduction in likely CIL income that would materially alter the balance drawn by the Council.
16. In the absence of any specific evidence to the contrary, it is clear from further analysis of the Council's figures that the proposed CIL rate for new retail development would constitute a limited and manageable proportion, of less than 5%, of total build costs, and less than 2% of GDV, for a new convenience store of 300 sq. m. For larger retail stores the relevant percentages would be materially lower, thus ensuring that a suitable viability margin, or "cushion", would be maintained for such projects when the CIL is introduced. Thus, the relatively modest retail rate of £43 psm would not, of itself, create a serious risk to the delivery of the new shopping provision envisaged in the CS and/or in the city centre in particular, and it is justified and endorsed accordingly.

Issue 2 - Residential Rate

(a) Is the local levy rate for residential development in the city justified by appropriate available evidence, having regard to national guidance, local economic context and infrastructure needs, including in relation to the Council's adopted Core Strategy ?

(b) Is the local levy rate for residential development in the city reasonable and realistic in relation to an appropriate balance between helping to fund new infrastructure and the potential effects on economic viability, and/or should there be different rates for different parts of the city, and if so, why and where ?

17. The residential market in the city remains challenging for private developers and there is ample evidence of schemes being permitted with significantly less affordable housing (or even none) than would normally be expected under policy CS15 of the CS for viability reasons. But, importantly, average new housing completions in the city over the first few years of the plan period to 2026 are still meeting the overall requirements of the CS, despite the difficult economic circumstances, as evidenced in the latest Annual Monitoring Reports.
18. Furthermore, in total, new affordable housing delivery across the city also continues to meet CS targets, despite a significant proportion of new housing continuing to come forward on smaller/windfall sites. Equally, there will always be some, usually previously developed, sites where abnormal costs, such as for remediation, ground conditions and/or servicing, require flexibility to be applied if they are to be delivered, as recognised in policy CS15.

19. Accordingly, the suggestion that the CIL should be delayed to await a potential return to earlier/more favourable market conditions is unnecessary and unrealistic. This is particularly so bearing in mind the funding gap identified and the long lead in times needed to bring forward some elements of the new infrastructure required and which the CIL will help to fund.
20. For new housing, the various assumptions used in the Council's generic testing of different development scenarios have been criticised by some representors in a number of specific respects and also in terms of the overall cumulative effect of the single CIL rate for housing to be applied across the city. However, the Council's Viability Studies (EV 1) have taken account of all the relevant policies of the adopted CS, as required by national guidance, including the provision of 35/20% affordable housing, as appropriate, under policy CS15.
21. Moreover, the Council's studies do not make any allowance for the fact that on previously developed land any existing floorspace on site (in lawful use) will be exempt from the CIL, thus assisting viability in many instances in a city with few, if any, greenfield sites. In these circumstances, and allowing that the rate will be known at the outset of a project, in principle, the adoption of a CIL for new housing should not normally risk such schemes becoming economically unviable, even in the present difficult market conditions.
22. By definition, the CIL cannot make allowance for abnormal, site specific, costs on individual projects. The rates have to be based on a generic analysis of a variety of size and type of schemes across the area, taking into account average local build costs, not the individual circumstances of particular sites. The fact that a few specific schemes that are already marginal may become unviable in certain locations should not have a significant impact on the delivery of new housing across the city to meet the requirements of the CS.
23. Respondents have also criticised the profit level assumed by the Council as too low, particularly in the present difficult market conditions that include bank lending restrictions. Obviously, such levels vary with each scheme, including as the market changes over time. Nevertheless, using an average figure of 20% on total build costs across the city is not unreasonable or unrealistic in generic analyses, as distinct from the detailed costing of a fully designed project for a particular developer on a specific site.
24. Particularly in relation to large housing sites there is also a concern that an insufficient allowance has been made for likely site specific infrastructure contributions. These could include for roads and public transport, with recent local examples referred to of higher contributions being required. However, these arrangements are not directly comparable with the intended future operation of the CIL, once adopted, and the Council's accompanying revised SPD on Planning Obligations (BG 1), which will be used as the basis for new legal agreements for site specific infrastructure.
25. Coincidentally, the Council's figures indicate that, for those housing schemes providing affordable housing at least, the use of the CIL rates and the new SPD will lead to broadly equivalent total contributions as under the present S106 legal agreements system that it would replace. Of course, there may well be limited increases for some and slight reductions for others, depending

on the exact nature of each scheme, but not, overall, a significant risk to the economic viability of new build development compared to the present position, providing that the rate itself is set an appropriate level.

26. From the available evidence it is also clear that a realistic recent level for the average sales values for new housing in the district has been taken as an input to the viability testing undertaken. The figures used have also been checked against actual current asking prices in the city and found to be generally consistent in CIL terms. The fact that certain recent schemes may not have proved viable had the CIL rates been in place at the time is an inevitable consequence of its imposition, in that the margins of viability will be affected. However, once established, the CIL will be taken into account early in the development process, including in relation to land and building values, with new project viability having to be considered accordingly by landowners, developers, lenders and their advisors.
27. The evidence shows that there are material differences in the current viability of new residential development across the city, but not of such scale or variance, in themselves, as to create a significant risk to the overall delivery of new housing in particular parts of the city. In general, the Council responded appropriately to specific additional viability evidence, provided in response to the preliminary draft charging schedule, by reducing the rate for new housing in the later submission draft to better reflect current sales values and overall viability, as well as the national economic situation.
28. The CIL must be based solely on the economic viability of development across the city. There is no necessity or requirement to co-ordinate rates with those being introduced or contemplated by adjoining Councils as the "duty to co-operate", applicable to Local Plans, does not apply to the CIL. For the same reason, it would be inappropriate to make any exception or exemption from the CIL rates for any particular part of the city, including the city centre, for planning or other policy reasons, despite the need for regeneration in places.
29. In a small compact city like Southampton the evidence is not sufficiently distinctive to justify any separate charging zones, which would be difficult to define in any event, particularly as ward boundaries do not provide a satisfactory answer locally. The use of a single consistent rate also has the advantages of clarity for all concerned and ease of implementation.
30. Importantly, the Council has also made it clear that the economic viability of any scheme, that is otherwise acceptable in all other respects, would be assessed for all other possible non CIL contributions on an overall basis. This would mean taking into account the fixed CIL liability first and then, if necessary, where the overall viability is in genuine doubt, any further infrastructure needs in a flexible and negotiated process. The Council can demonstrate a recent track record in this regard and the absence of objections from the major national residential developers supports this conclusion.
31. The Council's evidence has included the additional build costs associated with the Code for Sustainable Homes (CSH) Level 4 and policy CS 20 relating to sustainable design, construction and energy measures. Whilst the final introduction date and full implementation details of higher CSH Levels remains uncertain, if and when it occurs residential build costs are likely to increase to

a material degree. However, given the present general lack of demand for new build construction, it might be reasonably assumed that any such building price rises would be tempered through competitive tendering. This would be so even if basic raw materials become somewhat more expensive too, as predicted by some respondents.

32. Furthermore, previous experience suggests that additional unit costs are likely to be mitigated as construction expertise develops and relevant technologies improve. Nevertheless, the viability margins need to be sufficient to absorb the percentage increase without serious difficulty and this factor reinforces my conclusion on the need for a larger viability margin or "cushion", in accord with advice in the Harman Report - "Viability Testing Local Plans" (June 2012).
33. The Council's evidence shows that the initially proposed rate was, essentially, the maximum possible and that this has subsequently been reduced by around 20% to address the concerns expressed by respondents in the consultation period and the continuing national economic difficulties, as well as more up to date information. It also indicates that the effect of the CIL rate, as now proposed, is likely to amount to about 7% of total build costs or 4 to 7% (average 5.5%) of gross development value (GDV) for typical new housing schemes at present. At this level, I consider that the relevant evidence, including from representors, shows that the rate proposed is still too high and would therefore pose a significant threat to the viability of new housing development in the city and therefore the delivery of the CS and its objectives.
34. In the light of all of the above, the viability margin or "cushion", as referred to in the Harman Report, needs to be increased to about 30%, including to reflect the impact of the CSH and policy CS20, if the imposition of the CIL rates is not to lead to a serious risk of non delivery of enough new housing schemes to matter over the next 5 years or so at least. This should also reduce any effect of the CIL introduction on the continuing supply of windfall sites throughout the city, particularly those smaller schemes where affordable housing requirements do not apply, as it forms a material element of overall new housing delivery in current market conditions.
35. I therefore conclude on the second main issue that the local levy rate for new housing as justified by the available evidence should be modified by a reduction from £90 psm to £70 psm in order to strike a more realistic and appropriate balance between helping to fund new infrastructure and the effect on the economic viability of residential development across the city (**EM 1**).
36. There is firm evidence of significant levels of new student housing provision, such as in the form of "studio led" schemes, remaining viable and continuing to come forward in the city during the recent economic recession. Current local demand is bolstered by the presence of the two universities and other local educational establishments. Student accommodation built and operated directly by universities and similar education establishments, including schools, may be entirely exempt from the CIL if they have charitable status. It would be subject to the nil rate for residential institutions (C2) if in the form of "halls of residence", or similar.
37. The current evidence (including the late clarification provided by the Council at my request and on which representors were invited to comment further) is

clear that, on average and in most cases, new student housing provided by commercial operators is generally capable of absorbing the (modified) CIL rate proposed and remaining economically viable. This is partly, at least, because it does not normally make a contribution to affordable housing and often provides less car parking and open space in accord with relevant CS policies. Although some such schemes may well pay more under the CIL than the Council's current S106 legal agreement based system of contributions, which it would replace, others may pay less. Overall, the changes will not be significant comparatively and thus not in general economic viability terms.

38. Similarly, the CIL is not based on any direct link between the impact of a particular scheme on services or facilities and mitigation contributions, but rather the overall needs of the wider area and, crucially, the ability to pay in viability terms. Therefore, arguments that the impact of new student housing on requirements for new infrastructure are different to other types of residential development are not directly relevant to the consideration of a reasonable and realistic rate of the CIL to be applied. Nor is it to be compared with rates applied or to be applied in other areas, but based only on viability in the locality concerned.
39. Consequently, there is no clear evidence to justify a blanket exemption, or even a significant reduction, from the CIL rate for new student accommodation that falls outside use class C2 (residential institutions) in the city on viability grounds at present. The fact that the Council seeks to generally encourage such provision, in suitable locations, to reduce pressure on the existing stock in established residential areas is a policy matter that cannot properly be taken into account in relation to the viability considerations alone on which the CIL rates must be based.
40. I therefore conclude that applying the local residential levy rate, as modified, to new student housing that does not fall within use class C2 as a residential institution is justified by the available evidence and helps to strike an appropriate balance between funding necessary new infrastructure and the effect on the economic viability of these forms of development across the city. However, the wording of the schedule needs to be modified (**EM 2**) to confirm how it will apply, in practice.

Overall Conclusions

41. The Council's decisions to set single overall rates for retail and residential across the city are based on generally reasonable assumptions about current local development values and likely costs. The evidence suggests that retail and residential development will remain viable across most of the area if the charges, as modified, are applied. Only if development sales values are at the lowest end of the predicted spectrum would development in some parts of the city be at risk.
42. In setting the two CIL charging rates the Council has had regard to detailed evidence on infrastructure planning and the economic viability evidence of the development market in Southampton, albeit a reduction is required in relation to new housing. The Council has tried to be realistic in terms of achieving a reasonable income to help address an acknowledged gap in infrastructure funding, while ensuring that a range of development remains viable in the city.

43. Matters of implementation and governance, as referred to by various respondents, whilst not strictly within the remit of this examination, nevertheless have an impact on the smooth introduction and efficient administration of the CIL. By way of reassurance, the Council points out that their proposed phased payments policy should have a positive effect on cash flow and thus overall economic viability, especially for larger projects.
44. In addition, the Council's emerging revised Supplementary Planning Document (SPD) on Planning Obligations (BG 1) (June 2012) should improve clarity for interested parties on the expected interaction between the CIL and S106 legal agreements for site specific infrastructure, where the latter would still be necessary, to avoid any possible "double counting" of financial contributions.
45. In accord with the national CIL Regulations "exceptional circumstances" are intended to be exactly that and therefore I fully endorse the Council's stance that it would be inappropriate and unhelpful to try to define those very rare circumstances in advance in some sort of policy statement alongside the introduction of the CIL. This is also consistent with the position adopted by the Mayor of London and other Councils elsewhere in the country.
46. Nevertheless, it is relevant to note here that the Council has acknowledged publicly that there may be a case for such treatment in respect of both the Royal Pier Waterfront and the Watermark West Quay projects in the city centre, in the event that alternative schemes to those already permitted come forward after the introduction of the CIL.
47. However, also recognising the period of public notice necessary prior to the first introduction of the CIL, any such schemes would have to be prepared and negotiated in full knowledge of the implementation date in any event. Consequently, the direct effects of the CIL can also be taken into account in relation to the various elements of such mixed use schemes and any other infrastructure contributions sought on site in negotiations.
48. Overall, therefore, it is reasonable to conclude that, in general terms and with the modifications recommended, the Council will have found an appropriate balance in imposing the CIL. Subject to the modifications, it will make a material contribution to funding new infrastructure across the city without a serious risk to the economic viability of new built development locally.
49. As discussed at the examination hearings, the Council intends to review the CIL rates if and when there is any significant change in the local economic circumstances, but in any event it may well be appropriate to do so after it has been in place for no longer than 3 years.

| LEGAL REQUIREMENTS | |
|--|---|
| National Policy/Guidance | The Charging Schedule, as modified, complies with national policy/guidance. |
| 2008 Planning Act and 2010 Regulations (as amended 2011) | The Charging Schedule, as modified, complies with the Act and the Regulations, including in respect of the statutory processes and public |

| | |
|--|--|
| | consultation, consistency with the adopted Core Strategy and the Infrastructure Delivery Plan and is supported by an adequate financial appraisal. |
|--|--|

50. I conclude that subject to the modifications set out in Appendix A the Southampton Community Infrastructure Levy Charging Schedule satisfies the requirements of Section 212 of the 2008 Act and meets the criteria for viability in the 2010 (as amended 2011) and 2012 Regulations. I therefore recommend that the modified Charging Schedule be approved.

Nigel Payne

Examiner

This report is accompanied by:

Appendix A (attached) – Modifications that the Examiner specifies so that the Charging Schedule may be approved.

Appendix A – Modifications that the Examiner specifies so that the Charging Schedule may be approved.

| Examiner Mod. No. | Rate/Figure/Column | Modification |
|-------------------|---|---|
| EM 1 | Residential (C3, C4 and Sui Generis Houses in Multiple Occupation) | Reduce from £90 psm to £70 psm. |
| EM2 | Residential (C3, C4 and Sui Generis Houses in Multiple Occupation) – Footnote 2 | Replace “This could include self – contained student flats or cluster flats” with “This includes self – contained student flats and cluster flats”. |

Southampton Local Development Framework

Developer Contributions Supplementary Planning Document

April 2013

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1 Introduction

This Supplementary Planning Document (SPD) sets out Southampton City Council's policy for securing developer contributions from new developments that require planning permission. This SPD is supplementary to the Adopted Southampton Core Strategy, particularly Policy CS-25 and should be considered alongside the Community Infrastructure Levy Charging Schedule or any successor documents.

The City Council expects all eligible types and sizes of new development in Southampton to contribute to site related and broader infrastructure through a combination of the following mechanisms including:

- Planning conditions (development and project specific)
- Planning obligations e.g. Section 106 Agreements (development and project specific)
- Community Infrastructure Levy (City wide)

The necessity for site related developer contributions, secured through planning conditions and section 106 Agreements, is assessed against the needs of each site and project.

The Community Infrastructure Levy (CIL) is charged on most new development, based on an approved CIL Charging Schedule.

Planning Conditions and Obligations

The City Council negotiates financial or other contributions for site related infrastructure improvements that may be required to mitigate any adverse impacts of new development and thereby enable planning permission to be granted.

New development is managed by applying conditions to planning permissions or through a negotiated planning obligation, also known as a Section 106 Agreement, which is prepared and concluded as part of the planning application process.

Planning conditions and obligations are a tried and tested mechanism to require individual developments to provide or pay for the provision of development specific infrastructure requirements. They are flexible and have historically delivered a wide range of site and community infrastructure benefits, including the transfer of land for community use.

The Community Infrastructure Levy

The City Council is entitled, under the Community Infrastructure Levy Regulations (2010), to charge a Community Infrastructure Levy (CIL) on new developments within the City. The CIL applies to most new developments and charges are based on the size and type of the new development. The basis for the CIL charge for each development type is detailed in the City Council's Community Infrastructure Levy Charging Schedule or successor documents.

The CIL will generate funding to deliver a range of City-wide and local infrastructure projects that support residential and economic growth, provide certainty for future development, and benefit local communities.

It allows the City Council to work with infrastructure providers and communities to set priorities for what the funds should be spent on, and provides a predictable funding stream so that the delivery of infrastructure projects can be planned more effectively.

The CIL is designed to give developers and investors greater confidence to invest because there will be more certainty 'up front' about how much money they will be expected to contribute towards community infrastructure. Equally, the community will be better able to understand how new development is contributing towards prioritised infrastructure projects across the City.

Local communities which accept new development in their areas can be allocated a proportion of the collected CIL funds to help support their own local infrastructure projects.

2 The Purpose of the SPD

Southampton is a focus for housing and economic growth in Hampshire. The purpose of the Developer Contributions SPD is to:

- Explain the City Council's policies and procedures for securing developer contributions through planning obligations.
- Explain the relationship between the required developer contributions and the Community Infrastructure Levy in a fair and transparent way.
- Provide evidence and guidance to developers and landowners about the types of contributions that will be sought and the basis for charges.

This will ensure that new development is supported by locally and democratically prioritised community infrastructure.

Planning Legislation

The Community Infrastructure Levy Regulations 2010 which provide the detail on the implementation of CIL were published in April, 2010. The Department for Communities and Local Government (DCLG) outlined new statutory restrictions on planning obligations in line with the CIL regulations that:

- The tests for planning obligations outlined in the Community Infrastructure Regulations are a statutory basis for developments which are capable of being charged CIL.
- Ensure the local use of CIL and planning obligations do not overlap.
- Limit pooled contributions towards infrastructure which may be funded by CIL.

Planning Policy Context

Planning reforms have been enacted through the National Planning Policy Framework (2012) and the Localism Act (2012).

The Localism Act also sets out "a duty to co-operate" in relation to the planning of sustainable development which has been taken forward under the National Planning Policy Framework.

The National Planning Policy Framework (NPPF) states that the purpose of the planning system is to contribute to the achievement of sustainable development including the economic role attached to the delivery of infrastructure. Planning policies should recognise and seek to address

potential barriers to investment, including any lack of infrastructure especially in priority areas. Local authorities are required to work with neighbouring authorities and transport providers to develop strategies for the provision of viable infrastructure necessary to support sustainable development, including large scale facilities such as rail freight interchanges, roadside facilities for motorists or transport investment necessary to support strategies for the growth of ports, airports or other major generators of travel demand in their areas. The NPPF also covers a range of potential policy conflicts concerning applications related to telecommunications and the relationship between competing priorities such as the protection of an existing townscape or heritage asset. The NPPF also elaborates on the duty to co-operate placed on local authorities citing the joint infrastructure and investment plans as an example of how this might be applied in practice.

On the matter of planning obligations, the NPPF also underlines the need to ensure that the scale of obligations and policy burdens does not undermine the viability of development. Planning obligations should only be used where it is not possible to address unacceptable impacts through a planning condition and should only be sought where they meet all of the three tests as set out below:

- necessary to make the development acceptable in planning terms;
- directly related to the development; and
- fairly and reasonably related in scale and kind to the development.

Where obligations are being sought or revised, local planning authorities should take account of changes in market conditions over time and, wherever appropriate, be sufficiently flexible to prevent planned development being stalled. Planning conditions should only be imposed where they are necessary, relevant to planning and to the development to be permitted, enforceable, precise and reasonable in all other respects.

The planning policy context for planning related developer contributions in Southampton City Council is established through the Local Development Framework (LDF) and other related documents and evidence.

The adopted Southampton Core Strategy (2010) is part of the development plan for Southampton for the period from 2009 to 2026. It sets out the City Council's vision for the sustainable development of the City, including a policy framework for addressing the infrastructure requirements necessary to meet the planned growth of the city to 2026.

Core Strategy Policy CS-25 sets out the contributions that may be required for infrastructure and will be applied to all housing and commercial developments across the administrative area of Southampton.

Evidence Base

Southampton is a focus for economic and residential growth and the adopted Core Strategy identifies the key directions of growth.

The main local evidence base that justifies developer contributions and CIL in particular, is the Southampton Infrastructure Development Plan (2010). The IDP is a study that supports the adopted Core Strategy 2009. It details the physical, social and green infrastructure needs arising from the planned growth of Southampton to 2026 and the potential funding sources, including developer contributions that could viably be obtained to help meet this need. The IDP is supported by a detailed viability assessment and demographic projects.

The Infrastructure Delivery Plan will be reviewed regularly in consultation with stakeholders and partners. The phasing of development (housing trajectory) will be updated on a similar basis. Additional information on funding resources from other organisations has been added to the model and the CIL levy refined to keep it in line with current economic conditions.

In determining infrastructure needs at this stage, the Council and partners have had to translate dwelling growth figures into population generation based on demographic projections taking into account reasoned assumptions concerning household size.

3 The Planning Contributions Framework

Planning conditions and obligations have, to date, been the standard planning process mechanisms for ensuring that development proposals are acceptable and can be granted planning permission. Following the legislative and policy changes outlined earlier in this SPD, the mechanisms used to ensure appropriate funding to meet the needs of a planning application have changed to include the Community Infrastructure Levy as well as the aforementioned planning conditions and obligations (S106 Agreements).

The Community Infrastructure Levy (CIL)

The CIL will generate funding to deliver a range of city-wide and local infrastructure projects that support residential and economic growth, provide certainty for future development and benefit local communities. Infrastructure needs identified as part of the CIL Regulation 123 list will not be duplicated in any S106 Agreement, in line with the CIL Regulations.

Planning Conditions

Planning conditions are requirements made by the Local Planning Authority for actions that are needed in order to make a development acceptable in planning terms. They cannot be used to secure financial contributions but can be used to ensure that certain elements related to the development proposal, and which may benefit the wider community, are carried out. In Southampton such conditions are likely to cover, amongst other things, the requirement to:

- undertake archaeological investigations;
- implement necessary local site-related improvements; and
- undertake appropriate flood risk solutions.

Planning Obligations

Planning obligations, also known as Section 106 Agreements, are legal agreements between Local Planning Authorities and developers/landowners, usually negotiated in the context of planning applications. Their purpose is to make unacceptable development acceptable in planning terms. The National Planning Policy Framework permits planning obligations to be used in the following ways:

- Prescribe the nature of a development e.g. by requiring a proportion of affordable housing within a development

- Secure a contribution from a developer to compensate for loss or damage created by a development e.g. loss of open space.
- Mitigate the impact of a development impact, e.g. through increased public transport provision.

The introduction of the Community Infrastructure Levy has restricted the use of planning obligations so that they must meet the three new statutory tests outlined above, they cannot be used to double charge developers for infrastructure, and, save for a maximum of five separate planning obligations, they cannot be used in the form of a pooled tariff system¹. Affordable housing and other site and development specific measures that cannot be funded from the CIL are able to be funded through planning obligations.

The CIL will also apply to these developments to enable contributions to City wide and local community infrastructure.

Planning obligations can be secured through:

- In-kind and financial contributions. These could include, for example, the provision of land, facilities, or funds that enable the delivery of development related infrastructure and community needs.
- One-off payments, phased payments, and commuted payments. These could include, for example, funds provided to be invested to enable land and facilities to be maintained to agreed specifications over a period of time.
- Pooled contributions, for example, towards the cost of a large strategic project that could include improvements to existing strategic roads, to be delivered at a later date, subject to the limiting of pooling contributions towards infrastructure introduced through the CIL Regulations 2010.

Planning obligations may be:

- Unconditional or subject to conditions.
- Positive, requiring the developer to do something specific.
- Negative, restricting the developer from doing something.
- Related to specific financial payments based on a formula and often referred to as a commuted sum.

Planning obligations are tied to the land and are linked to specific planning permissions. They are registered as a land charge and will form part of the planning register, which is available for public inspection. They are

¹ After 2014 (currently subject to a proposed review to extend until 2015 under DCLG 'Consultation on Community Infrastructure Levy Further Reforms' April 2013)

enforceable against the original developer and anyone who subsequently acquires an interest in the land.

Timing of implementation is an important factor, especially in the following circumstances:

- If a planning obligation specifies a timescale within which the developer is required to undertake certain actions.
- If the planning permission refers to the phasing of development, the planning obligation may be linked to this phasing arrangement.
- If the planning obligation provides for a commuted sum to be paid to the Local Planning Authority the money must be spent within a specified period.
- If money raised through a planning obligation is not spent within the agreed period, the developer could be reimbursed with the outstanding amount, together with any interest accrued.

The Interaction between Planning Obligations and CIL

Following the adoption of the Charging Schedule, CIL will become the main source of funding available through development management decisions for the majority of sites.

The provision of affordable housing currently lies outside of the remit of CIL and will continue to be secured, in the main, through Section 106 Agreements as well as some exception sites. Section 106 Agreements and planning conditions will also continue to be used for local infrastructure requirements on development sites, such as site specific highway improvements, local provision of public open space, connection to utility services (as required by legislation), habitat protection, access footpaths and roads, and archaeology. The principle is that all eligible developments must pay towards CIL as well as any site specific requirement to be secured through Section 106 Agreements. Further details on the levy charge can be found in the Community Infrastructure Levy Charging Schedule, or successor documents, and should be read in conjunction with this document.

Large scale major developments usually also necessitate the provision of their own development specific infrastructure, which are dealt with more suitably through a Section 106 agreement, in addition to the CIL charge. It is important that the CIL Charging Schedule differentiates between these infrastructure projects to ensure no double counting takes place between calculating the city wide CIL rate for funding of infrastructure projects and determining Section 106 Agreements for funding other development site specific infrastructure projects.

It is advisable for each large scale major development to come forward in its entirety at outline application stage in order for the scheme as a whole to be considered. Outline applications will need to agree phases of

development in order for each phase to be considered as a separate development and enable CIL to be levied per agreed phase.

Status of the Developer Contributions SPD

The SPD forms part of the Southampton Local Development Framework and is a material consideration when assessing planning applications within the City. It links with the adopted Southampton LDF Core Strategy and its associated Development Plan Documents and Supplementary Planning Documents.

Other elements of the Southampton City Council Local Development Framework, including the evidence base that underpins it, can be found at <http://www.southampton.gov.uk/s-environment/policy/developmentframework/>.

4 The City Council's Approach to Planning Obligations

As Local Planning Authority, Southampton City Council has a fundamental legal role and responsibility in implementing the Developer Contributions process. In particular, the process needs to ensure that a balance is maintained between development-related and competing community infrastructure needs of the City.

It is the City Council's role to lead Planning Obligation (S106) negotiations, to notify developers of their CIL liabilities, and to ensure that funds provided by developers are spent as planned in conjunction with the agreed requirements of other authorities and implementation agencies.

Consultation, Negotiation and Notification

The City Council's Planning Service leads the Developer Contributions process, with input from a range of other City Council service areas and other public bodies. Whilst the guidance provided in this Developer Contributions SPD aims to be as clear as possible, developers will benefit from seeking early negotiations with Planning Services officers to agree planning obligations and understand their CIL liabilities prior to submitting planning applications.

Negotiations will include consultation with other City Council service areas where appropriate (e.g. where open space or affordable housing is to be provided) and others. The benefits of this approach include:

- It ensures that developers are aware of the scale of likely contributions required for a proposed development at the earliest opportunity.
- It assists in determining project viability.
- It provides greater clarity and certainty to the process.
- It minimises the timescales involved in determining affected planning applications.

Developer Contributions Process

Prior to submitting a Draft Heads of Terms with a planning application, developers will need to consider a range of factors that influence contributions.

i) Procedural Steps

| Steps | Planning Obligations | Community Infrastructure Levy |
|--|---|---|
| 1 | As part of the Pre-Application process, if entered into, the City Council will identify for the developer the likely Planning Obligations Heads of Terms within the Pre-Application Report. | The developer provides the appropriate floorspace details with the application, where available. An Assumption of Liability Notice should be completed and included with the paperwork. |
| 2 | After the planning application is validated and the draft Heads of Terms are identified the City Council's Legal Services team are instructed to prepare a draft Section 106 Agreement if the Local Planning Authority is minded to approve the application. At this stage the City Council's Legal Team will require an undertaking for legal fees and proof of ownership title before the initial draft of the Section 106 Agreement can be produced. | Once full details of the planning proposal are known, the City Council will determine the levy based on the adopted charges. |
| 3 | On production of the initial draft Section 106 Agreement this will be circulated to the developer, normally via their acting solicitor for comment and review. Once the developer and the City Council have agreed the draft Section 106 Agreement, the S106 Agreement has been signed and sealed and planning permission has been granted, details will be registered by the City Council's Land Charges section. | If planning permission is granted, a Liability Notice will be issued and the levy rate will be registered by the City Council's Land Charges section. |
| 4 | The agreed Planning Obligations and their relevant triggers are monitored through to satisfactory discharge by the Council and the Council's Planning Agreements Officer. | Once verification of commencement date has been received, a Demand Notice/s will be issued to the person/s liable to pay the CIL. |
| NB: the above table is for indicative purposes only. | | |

ii) Legal Information

Developers will need to produce satisfactory proof of title for their particular site and all persons with an interest in the development site including owners, mortgagees, tenants and option holders must be party to the agreement. The Developer will also be expected to pay the Council's legal costs and will need to provide a solicitors undertaking that the Council's legal costs will be paid.

iii) Local Land Charges

Planning obligations have to be registered as local land charges. Applicants will therefore need to produce title to the site and third parties, such as mortgagees, may have to be party to agreements.

iv) Inflation

All Developer Contributions payments will be index linked to a relevant index, which at present is the BCIS Price Adjustment Formulae Indices for all highways related obligations and the Retail Price Index for all other obligations

v) Administration Charges

The Council employs a Planning Agreements Officer whose role it is to co-ordinate the Section 106 Agreement process, acting as the central point of contact for all parties to the Section 106 Agreement. The Developer will be expected to pay a Section 106 Monitoring Charge for the work undertaken by this Officer, based on the number of Heads of Terms within the Section 106 Agreement, which along with the Council's legal fees outlined below, become payable prior to the completion of the Section 106 Agreement.

The administration fee for the Community Infrastructure Levy is incorporated within the Levy itself, so no separate additional fee is payable.

vi) Late Interest Payments

In the event of any delay in making any payment required under a S106 Agreement interest shall be payable on the amount payable at a rate above the base lending rate from time to time in force from the date that the relevant payment falls due to the date of actual payment.

vii) Triggers for Planning Obligations

Planning Obligations are normally triggered on commencement of development i.e. the date on which works to begin the development start, as defined by the carrying out of a material operation (section 56 of the 1990 Town and Country Planning Act), but may be earlier or later e.g. first occupation or for significant major development may be phased through the development process.

viii) S106 Viability

In the event of anticipated viability issues, the developer is advised to contact the Planning Agreements Officer at the Local Planning Authority at an early stage to discuss ways of addressing the requirements for S106 planning obligations and to see if any exemptions can be made.

The Council would at first seek to test the viability by seeking other viability enhancements by various means of cash-flow improvements, for example, deferring contribution payments. If following an investigation of the alternative options, there is still a viability concern then the Council will expect the submission of a Viability Appraisal. The Viability Appraisal is an 'open book' assessment which should include information covering at least the following issues:

- Existing use values
- Proposed use values (sales and rental)
- Demolition and construction costs
- Finance and marketing costs
- Assumed yield
- Site abnormalities
- Development phasing/timetable

If the Council alters the planning obligations sought on viability grounds a clause will be built into the Section 106 Agreement which requires a review of the viability situation unless the development is completed within a defined timeframe.

Please note that due to Freedom of Information requirements and requests, it cannot be guaranteed that the Viability Assessment will remain confidential. Generally, if a viability assessment is submitted in relation to a valid planning application then the Local Planning Authority will treat the submission as a public document. Only in very exceptional circumstances would a Viability Assessment be considered confidential on a valid planning application and the developer would need to explain this at the time of submission and justify why it should be considered confidential. The Council may not accept the arguments and even if it does may be required to release it under a Freedom of Information or other such request. The Council endeavours to keep all pre-application enquiries confidential and so any Viability Assessment submitted in relation to a pre-application enquiry is likely to be treated as confidential but the Council cannot guarantee this and again the applicant is advised to clearly explain if they believe the document is confidential and why, when it is submitted.

ix) Monitoring of Developer Contributions

It is important that the negotiation of planning obligations and subsequent expenditure of any contributions received from developers is carefully

monitored so that the handling of developer contributions is managed in a transparent and accountable way.

The City Council will:

- maintain an ongoing overview of progress with the implementation of site specific and community infrastructure projects. The Planning Services team will provide a focus for liaising between the various City Council Service Areas, partner Authorities and other delivery agencies which are responsible for ensuring particular projects are completed satisfactorily.

x) Public Access to Planning Obligations

Planning Obligations form part of the planning permission. This is a public document and will be placed on the public planning register together with the planning decision notice. This information will usually be made available on the City Council's website.

Furthermore, to continue the transparent process and accountability with regards planning obligations, details of member decisions will continue to be made available via the Council website.

5 Affordable Housing Requirements

Housing is a fundamental need and it is well documented that unsuitable housing conditions or being unable to access affordable housing can affect the quality of life of people. The need to make links between housing and health, social care, community safety, social inclusion, transport, energy efficiency, sustainability, education and employment is fully recognised.

Core Strategy Policy CS-15 sets out the affordable housing in development requirements and CS-25 sets out that contributions for infrastructure may be required and will be applied to all development proposals across the city.

Policy CS-15 Affordable Housing

On housing sites where 15 or more net dwellings are proposed, or which exceed 0.5 hectares in size (irrespective of the number of dwellings), the Council will seek provision, through negotiation, of 35% affordable housing.

On sites where 5 – 14 net dwellings are proposed the Council will seek provision, through negotiation, of 20% affordable housing. The proportion of affordable housing to be provided by a particular site will take into account:-

1. The costs relating to the development; in particular the financial viability of developing the site (using an approved viability model)
2. The need to contribute towards the sub-regional target whereby the total provision of affordable housing is made up of 65% social rented and 35% intermediate affordable housing
3. The proximity of local services and the accessibility of the site to public transport
4. Constraints on the development of the site imposed by other planning objectives
5. The need to achieve a successful housing development in terms of the location and mix of affordable homes. The affordable housing requirement will be applied to the net number of new housing units which are being proposed on site.

The delivery of affordable housing will be provided in accordance with the following hierarchy of provision:-

1. On-site as part of the development and distributed across the development as much as is reasonable and practical to create a sustainable, balanced community.
2. On an alternative site, where provision would result in a more effective use of available resources or would meet an identified housing need, such as providing a better social mix and wider housing choice.
3. Commuted financial payment to be utilised in providing affordable housing on an alternative site.

Planning conditions and /or obligations will be used to ensure that the affordable housing will remain at an affordable price for future eligible households, or for the subsidy to be recycled to alternative affordable housing provision.

The Council's affordable housing policy seeks to ensure the development of good quality affordable housing for local people in housing need, in

balanced and integrated communities. This guidance provides clear advice to landowners, developers and residents about how the Council will deal with the negotiation of affordable housing in Southampton.

The Council's Housing Strategy 2011 'Homes for Growth', identifies plans which will support continued economic growth and prosperity for the city. The right mix of housing is important for a prosperous economy both to meet local needs in the city and to keep wealthier residents in the city; this in turn will have socio- benefits such as improving school performance and contributing to making Southampton a more prosperous, safer, greener, healthier place to live. The vision is for Housing ***to work towards attracting more jobs for local people, securing more investment in the City and delivering high quality, low cost services that meet customer needs.*** The three key priorities are:

- (i) Maximising homes for the city;
- (ii) Improving homes- transforming neighbourhoods and;
- (iii) Extra support for those who need it.

This document works towards the first priority of maximising homes.

The affordability of homes is a major issue in the City with an average house price of about £181,354 (Q1, 2010, DCA). In 2010, the Housing Needs and Housing Market Survey calculated that the minimum single income required to purchase a one bed flat in Southampton was around £29,800 (based on the South of city), however, around 73% of people in the City, however, earned below this figure. There are also around 14,297 people (SCC Annual Monitoring Report, 2009/10) on the Council's Housing Register waiting for affordable homes.

| Tenure | 2010 %* | N ⁰⁵ -implied | 2005 %** |
|--|--------------|--------------------------|--------------|
| Owner occupier - mortgage | 34.2 | 33,632 | 34.3 |
| Owner occupier - outright | 23.0 | 22,586 | 23.0 |
| Housing Association (HA) Shared Ownership | 0.1 | 125 | 0.1 |
| Council rented | 17.4 | 17,122 | 18.1 |
| Private rented | 16.7 | 16,435 | 16.7 |
| Housing Association (HA) rented | 6.8 | 6,730 | 6.0 |
| Tied to employment / Other | 1.5 | 451 | 1.5 |
| Student Accommodation | 0.1 | 80 | 0.1 |
| Temporary Accommodation for the homeless | 0.2 | 162 | 0.2 |
| Total | 100.0 | 97,323 | 100.0 |

Figure 1 Tenure of Existing Households

Source – **Housing Needs and Market Study Update Final Report – October 2010, DCA**

The affordability of homes across the region is accepted as a significant issue and is identified as a priority in the PUSH Affordable Housing Policy Framework. In addition the City's Housing Needs and Housing Market Survey 2010 have identified affordability as a significant issue for the city (see section 5.8). This has resulted in a total annual newly arising affordable housing need of 1,861 units in addition to existing current housing need of 5,088. It has also resulted in a high level of concealed households where adult children still live with their parents.

Within the households on the Council's housing waiting list there is a strong demand (82.7%) for 1 and 2 bed homes. The Housing Needs and Housing Market Assessment found that amongst existing households wishing to move to Registered Provider (RP) properties 17.3% require properties with 3 or more bedrooms and 22.4% require properties with 2 bedrooms.

The Council's planning policy framework adequately addresses the issue of delivering affordable housing and details a developer's contribution in this respect, alongside the other development contributions outlined in this SPD.

In future, affordable housing is expected to reflect more effectively individual needs and changing circumstances. Social Landlords (approximately 20 in the City) will be able to offer a growing proportion of new social housing tenants' new intermediate rental tenancies at

Affordable Rent (AR) levels. AR homes will be made available to tenants at a higher rent than traditional Social Rented housing (SR) up to a maximum of 80% of market rent and allocated in the same way as SR housing is at present. Landlords will have the option to offer AR properties on flexible tenancies tailored to the housing needs of individual households. The government has introduced a series of other measures such as changes to tenure (no longer a requirement to offer lifetime tenancies, flexibility to offer shorter terms with a minimum of two years); greater flexibility for local authorities in their strategic housing role and options to increase mobility for social tenants.

The Localism Act also obliges Local Authorities to produce a Strategic Tenancy Policy (STP). Developers will be expected to have due regard to these documents and their content may be regarded as material considerations in determining a planning application. In determining its STP, the council will take into account the affordability of AR relative to local incomes.

5.1 **Thresholds**

Any residential development providing 5 or more units (net) will be expected to provide affordable housing in compliance with CS-15. Residential development of 5 or more units but less than 15 will be expected to provide 20% affordable units. Sites involving 15 or more houses or involving a development site of over 0.5 ha in size (regardless of the number of units) will be required to make a 35% affordable housing provision.

The Council will not accept the deliberate sub-division of sites to provide individual parcels of development land to avoid the affordable housing threshold. Where a development site has been sub-divided and the affordable housing threshold has been reached cumulatively through the submission of successive applications, affordable housing will be sought on subsequent planning applications.

Institutional residential accommodation such as residential homes for the elderly or schemes for student accommodation would not be expected to provide affordable housing provision. In this instance, the Council would seek to control the tenure of the development within the Section 106 Agreement.

The affordable housing threshold will apply to the total number of housing units which are being proposed on site. This will be based on the net figure taking into account units that may be lost if redevelopment takes place.

5.2 Types of Affordable Housing

The National Planning Policy Framework defines affordable housing as “*social rented, affordable rented and intermediate housing, provided to eligible households whose needs are not met by the market*” where eligibility is determined with regard to local incomes and local house prices. Affordable housing should include provisions to remain at an affordable price for future eligible households or for the subsidy to be recycled for alternative affordable housing provision.

Affordable housing for rent is owned by local authorities and private registered providers (as defined in section 80 of the Housing and Regeneration Act 2008), for which guideline target rents are determined through the national rent regime. It may also be owned by other persons and provided under equivalent rental arrangements to the above, as agreed with the local authority or with the Homes and Communities Agency. Affordable rented housing is let by local authorities or private registered providers of social housing to households who are eligible for social rented housing. Affordable Rent is subject to rent controls that require a rent of no more than 80% of the local market rent (including service charges, where applicable).

The greatest need for affordable housing in the city is for affordable homes for rent. The Council will therefore seek a proportion of affordable housing for rent as a part of all new residential developments with an affordable housing requirement to meet this need. The Council’s preference is for affordable housing for rent to be provided through a Registered Provider (RP) who is a member of the Council’s Affordable Housing Partnership (or successor). This ensures new affordable homes for rent are developed and managed to the Council’s required standards, and are available in perpetuity to people from the Council’s Housing Register at affordable levels.

Intermediate housing is homes for sale and rent provided at a cost above social rent, but below market levels subject to the criteria in the Affordable Housing definition above. These can include shared equity (shared ownership and equity loans), other low cost homes for sale and intermediate rent, but not affordable rented housing.

Homes that do not meet the above definition of affordable housing, such as “low cost market” housing, may not be considered as affordable housing for planning purposes.

Intermediate housing has a role to play in meeting housing need but will usually only be supported as a proportion of the overall affordable housing requirement, where the remaining proportion is Affordable Rented accommodation.

For Low Cost Home Ownership schemes, the council’s preference is for the new homes to be owned and managed by a partner RP.

5.2.1 **Types of housing not considered to meet the requirement**

Low Cost Sale housing is housing provided at sub market sale values but above normal affordable levels. This type of provision will not normally be accepted as affordable housing provision because it would not meet the Council requirement set out in Policy CS-15 for affordable housing.

5.3 **Delivery Preference**

The delivery of affordable housing will be provided in accordance with the following hierarchy of provision:

- 1 On-site as part of the development and distributed across the development as much as is reasonable and practical to create a sustainable, balanced community. The proposed affordable housing should be dispersed amongst the market element of the scheme. The affordable housing should be transferred to an RP on the following basis:

- Serviced Land (to the site boundary) should be transferred to an RP at nil value to enable the RP to build the affordable housing.

OR

Completed affordable housing should be sold to the RP at a price less the value of the serviced land i.e. nil land value and reasonable build costs only.

Where the City Council consider that a better social mix and wider housing choice could be secured via one of the following approaches, the guidance set out below will be applied.

- 2 On an alternative site, where provision would result in a more effective use of available resources or would meet an identified housing need, such as providing a better social mix and wider housing choice. In this regard, two scenarios may apply:

Affordable housing may be provided as part provision 'on-site' (as above) and part provision 'off-site' on an alternative site, to be agreed by the City Council as being a suitable alternative for total on-site provision. The affordable housing should be sold to an RP at nil serviced land value either as a land only deal or the purchase of completed affordable housing units.

OR

Alternatively, total provision 'off-site' on an alternative site may be agreed by the Council as being a suitable alternative for affordable housing provision. In the event that any element of affordable housing is to be provided off-site on an alternative site the affordable housing provision should incorporate the 35% of units off-set from the main development plus the 20% required from the alternative site.

- 3 Commuted financial payment to be utilised in providing affordable housing on an alternative site. The financial contribution will be equal to the cost of providing affordable housing on-site or off-site i.e. the value of the serviced land for the affordable housing units had they been provided on-site.

5.4 Housing Mix and Tenures Balance

The 2010 Housing Needs and Market Study update recommended seeking a tenure mix of 65% social/ Affordable Rent and 35% intermediate tenures. The tenure definitions are provided in table 1 below. The study further recommended the following size mix.

| Tenure/size | 1 bed | 2 bed | 3 bed | 4 bed |
|---------------------------------|-------|-------|-------|-------|
| Social/ Affordable rented | 30% | 30% | 20% | 20% |
| intermediate | 25% | 50% | 25% | 0 |

Table 1: Affordable housing definitions

The exact tenure and size mix will be agreed through negotiation with the council and may vary on a site by site basis depending on need and demand. Usually the size and mix will be representative of the scheme as a whole; however this will be subject to negotiation based on housing need.

There is an ongoing need to meet the affordable housing requirements of people using wheelchairs. The Council will seek, where ever possible to include wheelchair suitable homes (above part M) on sites.

5.5 Design and Layout

Policy CS-15 provides guidance on the Council's expectations concerning the delivery of "Affordable Housing". Criterion 1 states that affordable housing should be secured on site "as part of the development and distributed across the development as much as is reasonable and practical to create a sustainable, balanced community". The Council requires affordable housing to meet Homes and Community Agency

(HCA) standards and be unidentifiable within a development of private housing.

On-site provision evenly distributed throughout the scheme is more likely to result in good design; a better chance of a higher Code for Sustainable Homes rating throughout the scheme; an avoidance of social exclusion and the development of a more balanced community, integrated into the mixed development.

5.6 Public Subsidy

Implementation of affordable housing policy CS-15 of the Core Strategy places no obligation on Southampton City Council to provide subsidy to support the provision of affordable housing. Developers must discuss availability of resources at an early stage with the Council and our partner RP's. In addition the HCA guidance is that all affordable housing secured through the planning process should be provided at nil land value and reasonable build cost. The Council supports this position.

5.7 Perpetuity

The Council wishes to ensure that affordable housing provision remains affordable in perpetuity. This is normally taken to be 125 years.

Initial rents, service charges and any sale prices should be subject to agreement by the city council and be demonstrably affordable throughout.

5.8 Commuted Sums Payments Table

The Commuted Sums Payment Table set out in Appendix A indicates the sums that should be payable per plot, dependent on the type of dwelling that would have been provided within the development. Dwelling sizes are quoted on the basis of Gross Internal Floor Area; these are provided in order to ensure that, for example a 3 bedroom unit does not purport to comprise a 2 bedroom unit, by the specification of for example the bedroom in another form of use, such as a study or breakfast room.

The table is broken down by ward area in accordance with the 16 electoral wards within the City. The commuted sum payment relates to the cost of providing the dwelling plot within the locality of the development and not elsewhere in the City. Otherwise, a situation may evolve where affordable housing is not provided in particular wards, or developers may assume they can always provide a commuted sum based on acquiring a dwelling within the area of the lowest plot value.

The financial contributions table below will be reviewed as required, with reference to an appropriate property index and other market information. The financial contribution should normally be paid upon implementation of the development secured through the section 106 agreement or phased

payment may be negotiated in the case of larger and more complex developments.

5.9 **Who Provides Affordable Housing?**

The Council wishes to ensure that affordable housing provision remains affordable in perpetuity so that initial rents or sale prices should be subject to agreement by the city council and index linked thereafter. In this respect, the development of affordable homes using a Registered Providers (RP) should better serve the needs of the city's residents. Contact details for the Council's partner RPs can be provided by the Council on request.

6 Planning Obligation Requirements

The following sections provide the policy guidance for requiring planning obligations.

They relate to:

- Site Specific Transport Requirements
- On Site Public Open Space
- Employment & Skills
- Historic Environment
- Site Specific Flood Risk
- Public Art
- Sustainability
- Community Safety

In considering the planning obligations requirements for a development, the current capacity of infrastructure will be considered to ensure that obligations are only necessary where present facilities are not able to accommodate the additional need generated by the development.

There may also be obligations which are not covered by the above. The Council can advise on these at the pre-application stage but these could include tree replacement (at a ratio of two replacements for each removed tree), drainage or other aspects of the public realm.

As with Affordable Housing, the Council will not accept the deliberate sub-division of sites to provide individual parcels of development land to avoid the thresholds for planning obligations as outlined below. Where a development site has been sub-divided and the planning obligations thresholds have been reached cumulatively through the submission of successive applications, planning contributions will be sought on subsequent planning applications.

6.1 Site Specific Transport Requirements

Threshold

- **All residential developments involving a net increase of 5 or more dwelling units**
- **Non-residential developments with a net increase of over 200**

sq.m gross floor area

Smaller developments can also trigger the need for site specific transport works, early engagement with the Council can identify these requirements

Core Strategy Reference**Policy CS-18 Transport: Reduce – Manage – Invest**

Most developments require localised contributions that are site specific. These address the immediate impact of a development. One of the main aims of the site specific transport obligation is to promote sustainable and active travel including walking, cycling and public transport. The site specific highway obligations could therefore relate to the following types of infrastructure:

- Footway improvements
- Cycleway improvements
- Access to Public Transport
- Highway improvements
- Travel Plans
- Parking controls

The works would be implemented as part of the development scheme and the Council would normally expect such measures to be put in place either on commencement of development or prior to occupation of the development as appropriate.

The obligation can be secured either through a financial contribution, paid to the Council to carry out the identified works, or through developer provision of the identified works. In cases where the developer is providing infrastructure improvements a licence would be required for the developer to work on the public highway, a Section 278 Agreement may also be required to be entered into and further guidance on this is available by contacting the City Council's Highways Team.

6.2 On-site Open Space

Threshold / Standard

- **All residential developments to provide amenity open space sought on site to a standard of 0.22 hectares per 1,000 population equivalent.**

The exact provision will take account of the nature of the development and the proximity of other open spaces.

Core Strategy References

**Policy CS21 - Protecting and Enhancing Open Space
Policy CS22 – Promoting Biodiversity and Protecting Habitats
Emerging City Centre Action Plan - Policy 11 – Public Open Space
in New Developments (for city centre sites)**

The Core Strategy recognizes the need to retain and improve the quality and accessibility of open spaces, and the need to deliver new space within the city to meet the needs of residents. The Standards to be applied to new developments are derived from the council's Green Space Strategy (adopted 2008). The Green Space Strategy refined national planning policy categories into open spaces that are appropriate, with standards that are relevant to the spaces found in Southampton. This provision will enhance the overall development for residents.

6.3 **Site Specific Flood Risk**

Threshold

New developments within Flood Zone 3 depending on the site specific issues of the case

Core Strategy References

**Policy CS-1 – City Centre Approach
Policy CS-23 – Flood Risk
Policy CS-25 - The Delivery of Infrastructure and Developers
Contributions**

The National Planning Policy Framework states that “local planning authorities should adopt proactive strategies to mitigate and adapt to climate change, taking full account of flood risk, coastal change and water supply and demand considerations”. When determining planning applications, local planning authorities should ensure flood risk is not increased elsewhere and only consider development appropriate in areas at risk of flooding where, informed by a site-specific flood risk assessment. Where development is appropriate in a flood risk area development is appropriately flood resilient and resistant, including safe access and escape routes where required, and that any residual risk can be safely managed, including by emergency planning; and it gives priority to the use of sustainable drainage systems.

Site specific measures can include the use of such as land raising, raised floor levels, restrictions on ground floor uses and flood evacuation plans. On larger sites, sustainable urban drainage techniques can be employed to manage water effectively. It should be noted that SUDS is likely to become a statutory requirement for new development once the relevant sections of the Flood and Water Management Act has been implemented.

Sustainable drainage systems (SUDS) will include:-

- Source control measures including rainwater recycling and drainage.
- Infiltration devices to allow water to soak into the ground, which can include individual soakaways and communal facilities.
- Filter strips and swales.
- Filter drains and porous pavements.
- Basins and ponds to hold excess water after rain and to allow controlled discharge to avoid flooding, where possible in an urban environment.

Where the surface water system is provided solely to serve any particular development, the construction and ongoing maintenance costs should be fully funded by the developer. Where a sustainable urban drainage project contributes to more than one development, maintenance contributions may be sought towards an adopted solution. A Planning Obligation may be appropriate to secure this.

6.4 Public Art

Threshold

- **100 or more residential dwelling units**
10,000 sq.m of commercial floorspace

Local Plan Reference

SDP8 – Urban Form and Public Space

Provision of public art is considered integral to the achievement of the highest quality urban design. Policies CS-12 and CS-13 support improvements to the public realm of the city centre. Policy justification states that: *“public realm must be legible, comfortable and stimulating, with safe streets and public spaces across the city. High quality street furniture and public art should be used to enhance the quality of the urban environment incorporating signs and maps which aid legibility”*.

The Public Art Strategy approved by the City Council is delivered through:

- Using the planning and development control process to negotiate the integration of public art, architecture and urban design in all key developments.
- Using Percent for Art and Section 106 contributions to secure new funds to support the Public Art Strategy.
- Requiring public and private sector developers to appoint an artist as member of the professional master planning or design team.
- Requiring that the principles of Southampton City Council's Art in Public Places policy and Public Art Strategy are reflected in the Local Development Framework, Local Plan Review, Statutory Planning Documents (SPD), Design Guides and Development Briefs produced by the City Council.
- Devising and implementing quality programmes of community participation and education as part of public art commissions.
- Providing a comprehensive public art project management services to developers, City Council officers and community groups.

Public art will be sought on all key developments. Where the provision of public art is to be secured through planning obligation, the Council will work with the developer to ensure the successful integration of commissioned public art works within the development, including associated quality programmes of community participation and education.

6.5 Community Safety Facilities

Thresholds

- **New food, drink and late night entertainment and leisure uses open after 22:00 within the City Centre**
- **Applications to extend opening hours for food, drink and late night entertainment and leisure uses until after 22:00.**

Core Strategy Reference

Policy CS-13 – Fundamentals of Design

Local Plan Reference

SDP10 - Crime and Safety

Policy CLT-14 – City Centre Night Time Zones and Hubs

Policy – CLT-15 – Night Time Uses in Town, District and Local Centres

Planning policy guidance recognizes the role of planning in designing safe environments and crime reduction. Policy CS-13 of the Core Strategy requires the design and layout of new development to address these issues.

Planning Obligations will centre around a Night Time Community Safety Plan which will require the submission for Council approval a plan providing a package of community safety measures identified as necessary in connection with the development or proposed use. Such measures could include signage, lighting, improvements of late night bus services or other transportation measures, CCTV, or any other night time community safety measures. Any development proposals for entertainment venues in the city centre will be expected to contribute to CCTV coverage. Current estimated costs for providing CCTV coverage are included below:

| | City Wide | City Centre |
|--|-----------|-------------|
| Camera and fittings | £11,400 | £14,400 |
| Control room equipment (per camera) | £6,700 | £6,700 |

6.6 Use of S.106 for the delivery of non infrastructure related mitigation

S106 will also be used to ensure the delivery of those core strategy policies unrelated to the provision of infrastructure, specifically:

- Employment and Skills
- Carbon Management
- Waste Management
- Highway Condition Survey
- Travel Planning

6.6.1 Employment and Skills

Threshold

All major planning applications

Core Strategy Reference

Policy CS-24 – Access to Jobs

In appropriate circumstances, and particular in respect of major developments consistent with Policy CS-24, the Council will take account of the following additional matter:

- the aim of the Core Strategy to secure the economic, social and environmental well-being of citizens;
- the concerns and commitments included in the Southampton Partnership's Community Strategy, in particular the need to address

low economic activity rates and low skill levels amongst some City populations.

To address these issues and avoid an unnecessary increase in commuting to employment sites in the City, the Council will assess on a site-by site basis the need for a developer commitment to targeted recruitment and training for City residents which should take the form of an Employment and Skills Plan. This plan should include targets for work experience and training, as well as measures to improve access to jobs for local people. The Employment and Skills Plan relates to both construction and occupation phases of development and could include the following:

- Consultations with the Council on appropriate actions, setting out targets for recruitment of residents experiencing disadvantage, a programme of actions that will achieve these, and verifiable monitoring information that will be provided;
- The provision of recruitment and/or training facilities;
- Training linked to the development site; and
- Other measures to support access to jobs
- Plan Review procedures

Development may contribute positively to the promotion of economic competitiveness and social inclusion, helping people who experience difficulties entering or re-entering the labour market to get a job. The Council will seek to work in partnership with developers to ensure that an acceptable Training and Employment Management Plan is submitted setting out steps they will take to expand the local labour market and the supply of appropriate skills in the local labour market, and how this will be resourced.

6.6.2 Carbon Management and Sustainability Measures

Threshold

Net gain of 5 residential units or 500 sq.m of non-residential floorspace

Core Strategy Reference

**Policy CS-20 – Tackling and Adapting to Climate Change. 1 c)
Contributing to the Carbon Offset Fund**

The Government believes that climate change is the greatest long-term challenge facing the world today. Addressing climate change is therefore the principal concern for sustainable development, and it is widely recognised that there is no one solution. Alleviating the problems of climate change and adapting to the challenges it will bring requires new

development to adopt cross cutting action spanning a broad range of design topics, and at a range of spatial scales. Many of these actions focus on the need to reduce carbon emissions.

Policy CS-20 sets out to support national policies aimed at reducing carbon emissions from new building by establishing a requirement to meet Code for Sustainable Homes standards and BREAM standards by reduce on site emissions to levels commensurate with the government's "Building a Greener Future" policy targets by encouraging improvement in the energy efficiency of new buildings, and support the use of renewable energy technology to enable by setting standards for onsite CO2 reduction. Policy CS-20 states that "from 2012 - once energy efficiency measures and renewable or low-carbon technology opportunities have been maximised, any remaining CO2 emissions can be offset through contributions to a carbon offset fund, which will be invested in offsite renewable energy and energy efficiency projects throughout the city". As such, where carbon neutrality for new developments cannot be achieved on site and secured by planning conditions, the developer will be required to contribute towards a Carbon Offset Fund. The calculation of any contribution will be relative to the design of the development proposed and is set out in the Southampton City Council Carbon Offset Study March 2012.

There would be a charge of £210 per tonne of Carbon Dioxide generated by the development. Although, the maximum amount that a development should contribute will not exceed £3 per sq.m of gross internal floorspace.

Where development proposals include the replacement of existing inefficient buildings, the difference in the amount of carbon emissions generated will not be taken into account in the calculation of the Carbon Offset Fund.

7 Glossary

Adoption

The point at which the final agreed version of a document comes fully into use.

Affordable Housing

Housing available at a significant discount below market levels so as to be affordable to householders who cannot either rent or purchase property that meets their needs on the open market. It can include social-rented housing and intermediate housing. It is defined in Planning Policy Statement 3: 'Housing'.

Annual Monitoring Report (AMR)

Document produced each year to report on progress in producing the Local Development Framework and implementing its policies.

Community Infrastructure

Facilities available for use by the community that could provide for a range of social, economic and environmental infrastructure needs.

Core Strategy

The main document in the Local Development Framework. It is a Development Plan Document containing the overall vision, objectives, strategy and key policies for managing development in Southampton.

Development Plan

The documents which together provide the main point of reference when considering planning proposals as defined in legislation.

Development Plan Documents

A document containing local planning policies or proposals that forms part of the Development Plan, which has been subject to independent examination.

Examination

An independent inquiry into the soundness of a draft Development Plan Document chaired by an Inspector appointed by the Secretary of State, whose recommendations are binding.

Heads of Term

The definition of the proposed terms of a S106 Agreement.

Infrastructure

A collective term used for services such as roads, electricity, sewerage, water, education and health facilities.

Interested Party

An interested party or person is someone who needs to be involved in directly complying with the provisions of a S106 Agreement e.g. all those with a material interest in the land.

Large Scale Major Development

A development comprising of a:

- residential development of 200 or more dwellings or , where the residential units is not given, a site area of 4 hectares or more, or
- any other development where the floor space to be built is 10,000 sq m or more or where the site is 2 hectares or more as per the DCLG Development Control PS 1/2 statistical definition 2007/8.

Local Development Framework (LDF)

The collective term for the group of documents including Local Development Documents, the Local Development Scheme and Annual Monitoring Reports.

Mitigation measures

These are measures requested/ carried out in order to limit the damage by a particular development/ activity.

Open Space and Recreational Land

Open space within settlements includes parks, village greens, play areas, sports pitches, undeveloped plots, semi-natural areas and substantial private gardens. Outside built-up areas this includes parks, sports pitches and allotments.

Planning Obligation

Obligation (either an agreement or unilateral undertaking) under Section 106 of the Town and Country Planning Act 1990 (as amended).

Spatial Planning

Spatial planning goes beyond traditional land use planning. It brings together and integrates policies for the development and use of land with other policies and programmes which influence the nature of places and how they function. This will include policies which can impact on land use, for example, by influencing the demands on or needs for development, but which are not capable of being delivered solely or mainly through the granting of planning permission and may be delivered through other means.

Strategic Road Network

The Trunk Road and Motorway network, which, in England, is managed on behalf of the Secretary of State

Submission

Point at which a draft Development Plan Document (or the draft Statement of Community Involvement) is submitted to the Secretary of State for examination.

Supplementary Planning Documents (SPD)

An SPD provides additional guidance on the interpretation or application of policies and proposals in a Development Plan Document.

Sustainable Development

In broad terms this means development that meets the needs of the present without compromising the ability of future generations to meet their own needs. The Government has set out five guiding principles for sustainable development in its strategy “Securing the future - UK Government strategy for sustainable development”. The five guiding principles, to be achieved simultaneously, are: Living within environmental limits; Ensuring a strong healthy and just society; Achieving a sustainable economy; Promoting good governance; and Using sound science responsibly.

Unilateral Undertaking

Where a planning obligation is required to secure a financial contribution, instead of agreeing obligations through the standard process of negotiation and agreement between the Council and the developer, developers may provide a Unilateral Undertaking. This is a document that contains covenants given by the developer and enforceable by the Council, but with no reciprocal covenants given by the Council. The Council will only rely on such a Unilateral Undertaking to secure a financial contribution if its provisions are acceptable to the Council. The provider of the undertaking will have to submit evidence of legal title to the application site with the undertaking and will be responsible for the Council’s legal costs in checking the suitability and acceptability of the undertaking.

Use Class Order

Planning regulations outlining a schedule of uses to which a given premises or building can be put. Some changes of use require planning permission.

Vitality and Viability

In terms of retailing, vitality is the capacity of a centre to grow or to develop its level of commercial activity. Viability is the capacity of a centre to achieve the commercial success necessary to sustain the existence of the centre.

Appendix A

Commuted Sum Tables

A1 Commuted Sum Payment Tables (1-3)

| WARD | COMMUTED SUMS PAYABLE PER PLOT (£) DWELLING TYPE 2007 | | | | | | | |
|---------------|--|--|--|---|--|--|---|---|
| | FLATS | | | | HOUSES | | | |
| | STUDIO To 450 sq ft (42 sq m) GIFA | 1 BED To 575 sq ft (53 sq m) GIFA | 2 BED To 750 sq ft (70 sq m) GIFA | 3 BED Above 750 sq ft (+70sq m) GIFA | 1 BED To 600 sq ft (56 sq m) GIFA | 2 BED To 800 sq ft (74 sq m) GIFA | 3 BED To 1200 sq ft (111 sqm) GIFA | 4 BED+ Above 1200 Sqft (111sq m) GIFA |
| BARGATE | 35,000 | 46,000 | 57,000 | 85,000 | 52,000 | 71,000 | 92,000 | 120,000 |
| BASSETT | 35,000 | 46,000 | 59,000 | 76,000 | 49,000 | 71,000 | 93,000 | 116,000 |
| BEVOIS | 42,000 | 51,000 | 63,000 | 76,000 | 52,000 | 79,000 | 93,000 | 121,000 |
| BITTERNE | 31,000 | 41,000 | 46,000 | 61,000 | 47,000 | 64,000 | 79,000 | 96,000 |
| BITTERNE PARK | 31,000 | 41,000 | 46,000 | 61,000 | 49,000 | 66,000 | 82,000 | 99,000 |
| COXFORD | 23,000 | 30,000 | 36,000 | 46,000 | 38,000 | 42,000 | 49,000 | 56,000 |

| WARD | COMMUTED SUMS PAYABLE PER PLOT (€) DWELLING TYPE | | | | | | | |
|------------|---|--|--|---|--|--|--|--|
| | | FLATS | | | HOUSES | | | |
| | STUDIO To 450 sq ft (42 sq m) GIFA | 1 BED To 575 sq ft (53 sq m) GIFA | 2 BED To 750 sq ft (70 sq m) GIFA | 3 BED Above 750 sq ft (+70 sq m) GIFA | 1 BED To 600 sq ft (56 sq m) GIFA | 2 BED To 800 sq ft (74 sq m) GIFA | 3 BED To 1200 sq ft (111 sq m) GIFA | 4 BED+ Above 1200sq ft (>111 sq m) GIFA |
| FREEMANTLE | 28,000 | 37,000 | 43,000 | 47,000 | 45,000 | 49,000 | 56,000 | 76,000 |
| HAREFIELD | 25,000 | 34,000 | 40,000 | 44,000 | 46,000 | 49,000 | 56,000 | 62,000 |
| MILLBROOK | 21,000 | 28,000 | 37,000 | 41,000 | 38,000 | 42,000 | 49,000 | 59,000 |
| PEARTREE | 30,000 | 39,000 | 49,000 | 57,000 | 46,000 | 52,000 | 69,000 | 86,000 |
| PORTSWOOD | 27,000 | 36,000 | 46,000 | 57,000 | 46,000 | 52,000 | 69,000 | 86,000 |

| WARD | COMMUTED SUMS PAYABLE PER PLOT (£) DWELLING TYPE | | | | | | | |
|------------|---|---|--|--|---|--|--|--|
| | FLATS | | | | HOUSES | | | |
| | STUDIO To 450 sq ft (42 sq m) GIFA | 1 BED To 575 sq ft (53 sq m) GIFA | 2 BED To 750 sq ft (70 sq m) GIFA | 3 BED Above 750 sq ft (70 sq m) GIFA | 1 BED To 600 sq ft (56 sq m) GIFA | 2 BED To 800 sq ft (74 sq m) GIFA | 3 BED To 1200 sq ft (111 sq m) GIFA | 4 BED+ Above 1200 sq ft (>111sq m) GIFA |
| REDBRIDGE | 21,000 | 27,000 | 37,000 | 41,000 | 42,000 | 46,000 | 50,000 | 60,000 |
| SHIRLEY | 31,000 | 41,000 | 50,000 | 79,000 | 45,000 | 52,000 | 79,000 | 103,000 |
| SHOLING | 27,000 | 36,000 | 46,000 | 54,000 | 45,000 | 52,000 | 66,000 | 72,000 |
| SWAYTHLING | 29,000 | 37,000 | 46,000 | 54,000 | 52,000 | 62,000 | 69,000 | 76,000 |
| WOOLSTON | 28,000 | 37,000 | 46,000 | 54,000 | 42,000 | 52,000 | 62,000 | 83,000 |



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Community Infrastructure Levy Instalments Policy

June 2013

Contacts for this document

Development Management
Planning and Sustainability
Civic Centre
Southampton SO14 7LS

023 8083 2603
planning@southampton.gov.uk



The Instalments Policy

This Policy is made in line with Regulation 69B of The Community Infrastructure Levy (Amendment) Regulations 2011.

Date of Approval

This Instalment Policy was approved by the Council on (DATE TO BE AGREED AT CABINET/COUNCIL) 2013.

Date of Effect

This Policy will become effective on (DATE TO BE AGREED AT CABINET/COUNCIL) 2013.

| Level of CIL Charge | Number and Amount of Instalments | Timing of Instalments |
|----------------------------|---|--|
| Less than £50,000 | 1 Full payment | Full payment within 60 days of commencement |
| £50,000 - £250,000 | 3 Equal instalments | 1 st payment within 60 days of commencement |
| | | 2 nd payment within 6 months of commencement |
| | | 3 rd payment within 9 months of commencement |
| £250,000 or more | 4 Equal instalments | 1 st payment within 60 days of commencement |
| | | 2 nd payment within 6 months of commencement |
| | | 3 rd payment within 9 months of commencement |
| | | 4 th payment within 18 months of commencement |

Once the development has commenced, all CIL payments must be made in accordance with the CIL Instalment Policy. Where a payment is not received in full on or before the day on which it is due, the total CIL liability becomes payable in full immediately in accordance with Regulation 70(8)(a).



Integrated Impact Assessment Stage 1 - Quick Assessment

Appendix 5

| | |
|--|---|
| Name of initiative: | Community Infrastructure Levy Charging Schedule |
| Summary of main aims and expected outcomes: | Adoption of a Charging Schedule to secure developer contributions towards new infrastructure. |
| Assessment completed by: | Jo Moorse |
| Date: | 14.06.13 |

Approval by Level 1 manager

| | |
|-------------------|--|
| Name: | |
| Signature: | |
| Date: | |

Complete this initial assessment sheet using the following symbols:

✓ Where an impact (positive or negative) is likely to occur from implementation of your policy, strategy, project or major service change

? Where further information is required to make the assessment

Where no impact occurs, leave the box blank

| Assessment Category | Positive Impact | Negative Impact | Reason for predicted impact |
|-------------------------------|-----------------|-----------------|--|
| Age | | | |
| Disability | | | |
| Gender Reassignment | | | |
| Pregnancy and Maternity | | | |
| Race | | | |
| Religion or Belief | | | |
| Sex | | | |
| Sexual Orientation | | | |
| Cohesion | | | |
| Community Safety (s17) | | | |
| Health and Well Being | | | |
| Poverty & Deprivation | | | |
| Contribution to local economy | ✓ | | Proposes the collection of developer contributions to benefit the local economy. |
| Green Purchasing | ✓ | | Proposes the collection of developer contributions towards green infrastructure. |
| Pollution & Air Quality | | | |
| Natural Environment | ✓ | | Will assist in the delivery of the city's flood risk management programme |
| Energy & Water Efficiency | | | |
| Waste Reduction | | | |
| Climate Change | | | |

Please email a copy of the completed IIA to integrated.impact.assessment@southampton.gov.uk. You must also save a copy of the IIA as part of your decision documentation.

| | | | |
|-------------------------------------|---|--------------------------------|---------------------------|
| DECISION-MAKER: | CABINET COUNCIL | | |
| SUBJECT: | NORTH OF CENTRAL STATION - FUNDING APPROVALS | | |
| DATE OF DECISION: | 16 JULY 2013 17 JULY 2013 | | |
| REPORT OF: | CABINET MEMBER FOR ENVIRONMENT AND TRANSPORT | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | Steven Wong | Tel: 07917408186 |
| | E-mail: | steve.wong@southampton.gov.uk | |
| Director | Name: | John Tunney | Tel: 023 8091 7713 |
| | E-mail: | john.tunney@southampton.gov.uk | |
| STATEMENT OF CONFIDENTIALITY | | | |
| Not Applicable | | | |

BRIEF SUMMARY

This report seeks to approve capital variations within and additions to, the Environment and Transport Capital Programme and approve expenditure to deliver Phase 1 of the North of Central Station project.

RECOMMENDATIONS:

CABINET

- (i) Subject to the decision of Council to approve the recommendations set out above, to approve the procurement and delivery of the "North of Station Quarter" capital scheme; and
- (ii) To delegate authority to the Director of Environment and Economy to make decisions necessary to procure and deliver the "North of Station Quarter" scheme within the overall approved budget.

COUNCIL

- (i) To approve the creation of the new scheme "North of Station Quarter" with a total budget of £2.288m within the Environment and Transport Capital Programme, by means of the following capital variations and additions;
 - (a) The transfer of £100,000 from the scheme "North of Station Advance Design", funded by Local Transport Plan (LTP) government grant, to the new scheme "North of Station Quarter";
 - (b) The transfer of £425,000 from the scheme "LSTF Southampton Central Station", funded by Local Sustainable Transport Fund (LSTF) government grant, to the new scheme "North of Station Quarter";

- (c) The transfer of £167,000 from the scheme “Civic Centre Place”, funded by Strategic Transport Contributions, to the new scheme “North of Station Quarter”;
- (d) The transfer of £790,000 from the scheme “City Centre Improvements”, funded by Strategic Transport Contributions, to the new scheme “North of Station Quarter”;
- (e) The addition of £720,000 of LTP government grant (2014/15 confirmed allocation) to fund the new scheme, “North of Station Quarter”;
- (f) The addition of £86,000 of Partnership for Urban South Hampshire (PUSH) grant to fund the new scheme “North of Station Quarter”; and
- (ii) To approve, in accordance with Financial Procedure Rules, capital expenditure of £2.288m for the delivery of the new scheme “North of Station Quarter”, phased £1.568m in 2013/14 and £0.720m in 2014/15.

REASONS FOR REPORT RECOMMENDATIONS

- 1 An application for Local Pinch Point funding for the North of the Station project totalling £4.261m (£1.798m in 2013/14 and £2.463m in 2014/15) was unsuccessful. Sufficient funding has been secured through the Local Sustainable Transport Fund and local match funding contributions to deliver Phase 1 of the project. The purpose of this report is to obtain approval to commence Phase 1 of the works by amalgamating a number of existing and future funding streams into a new scheme titled “North of Station Quarter”. This scheme will commence implementation from Autumn 2013.
- 2 Financial Procedure Rules require that funding is added to the capital programme and approval to spend is secured to enable the delivery of projects within the Council’s Capital Programme.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

Delay delivery of Phase 1 until 2014/15

- 3 Phase 1 of the North of Station Project will be ready for implementation in Autumn 2013. Bringing forward delivery will maximise the opportunity to secure other funding for further phases of the project in 2014/15 and beyond. Therefore, the option of delaying the delivery of Phase 1 until 2014/15 has been rejected.

DETAIL (Including consultation carried out)

- 4 The ‘Station Quarter’ consists of the southern and northern areas of the Southampton mainline station and the station itself. As one of the most important gateways into and out of the city, the Station Quarter has been identified in Southampton’s City Centre Master Plan as one of its most strategically important project areas that will encourage growth through private sector investment and produce employment opportunities.

- 5 A series of studies and subsequent policy directives have identified the poor quality of the area around the North of Central Station in terms of interchange (the transfer between modes including journeys to the rapidly growing cruise offer) and attractiveness as a location for business, as critical barriers to employment growth in the city. The inherent complexity of major stations, low levels of success in securing major schemes funding and uncertainty around priorities are the key reasons this problem has not been comprehensively addressed in the past. As a result, it is a poor quality Gateway for a city of Southampton's status.
- 6 Southampton Central Station is the busiest rail station in the Solent area. It now handles six million passenger movements per year, having increased by a third over the past eight years. As the city centre is the largest employment area in the region, this increase comes as little surprise as more and more people arrive into the city through a larger variety of transport modes. The continued growth of station usage will have a direct impact on the immediate area around the station and for this reason it is vital to enhance it so that it attracts further private sector investment.
- 7 The 'North of Central Station' project will continue the success of the recently completed works to the south of the station with partners Network Rail and Southwest Trains, where both publicly maintainable and privately owned land will be enhanced to make this very important gateway and transport interchange a destination in its own right.
Consisting of five main phases the scheme will see a striking upgrade to the station forecourt, vastly improved interchanges between rail, bus, cycle, taxi and pedestrian facilities plus improved public spaces outside Frobisher House, Wyndham Court and along Commercial Road. These public areas will see enhanced greenery, seating and performance / event areas that will be animated through local community events and trade.
- 8 Phase 1 of the project construction will commence in October 2013 and be completed in March / April 2014 (weather dependent).
Phase 1 improvement works will consist of the following:
- Renewal of footway surfaces along the length of Blechynden Terrace Southbrook Road and West Park Road, with high quality materials (granite) being used along the lengths adjacent to the station forecourt.
 - Renewal of road surfaces along the length of Blechynden Terrace, Southbrook Road and West Park Road with a granite 'shared surface' adjacent to the station forecourt and extending out to the junction with Wyndham Place.
 - Introduction of a formalised taxi rank and turning circle to the west of the station forecourt.
 - Pedestrian crossing point where Blechynden Terrace meets West Park Road.
 - Coach bay parking allocation moved to the southern side of West Park Road.
 - Provision of cycle lanes on the northern and southern sides of West Park Road.

Visualisations of the phase 1 work can be seen in:

- Appendix 1 Station North Side Phasing Plan
- Appendix 2 Station North Side Layout Plan
- Appendix 5 Station North Side 3D Sketch Views

It is important to note that the actual station forecourt will *not* be included in the Phase 1 plans. This decision was made upon advice from Network Rail who feel that the project will stand a greater chance of securing funding through their National Station Infrastructure Programme (NSIP). Network Rail is anticipating that a decision on the funding will be made around April 2014.

West Park Road works will be a continuation of the work completed on Blechynden Terrace. It is important to note that the northern side footway will be funded through the new Student Accommodation development works and every effort will be made to co-ordinate the works with this project.

9 At current contract rates, the total cost of the entire North of the Station project will cost just under £10m to complete. Future phases of the scheme stand a good chance of being funded through Section 106, CIL, and any other externally awarded funding allocations like the recently completed City Streets Bid. Once the project has commenced and if the NSIP money is awarded, the scheme's chances of attracting external funding increases as funder providers seek to award schemes that are already underway and have the full support of the Authority.

10 During the construction there is likely to be a number of temporary changes to the local road layout (including relocation of bus stops and taxi ranks etc.) to ensure public and contractor safety. However, we will endeavour to keep disruption to the normal running of the area to a minimum.

Phase 1 will be split into smaller sections to minimise disruption; with most of the work being carried out during normal working hours using temporary two way lights.

Some of the surfacing will be carried out overnight under full road closures and in this instance; diversion routes will be in place.

All efforts to inform the local and wider community will be made through leaflet dropping and utilisation of the SCC E-Alerts.

11 An innovative approach to consultation has been taken for the North of the Station project. A public engagement exercise was undertaken in Nov / Dec 2011 where the project team spoke with about 200 local residents / businesses and visitors to ascertain what they would like to see changed or improved at the north of the station. People were asked to become part of a 'Champions Group' to lead on the project principles and design process. These community centric initial designs and more recently the preliminary designs have been publicly exhibited in the area where there has been a genuine enthusiasm to comment on them and a general feeling of excitement amongst locals for change.

- 12 Improvements to the transport links and the public realm environment will enable building owners to rent an estimated 6,000m² of currently empty space for retail and office use, potentially creating 300 new jobs. The involvement of key employment sites and leaseholders such as: Mapeley Ltd, F&C Reit, Skandia and Bond Pearce, have proven that there is an interest in how the scheme develops in terms of commercial potential. F&C Reit have been at the forefront of this potential – already engaging with the Council’s planning team to modify the frontage of Overline House in order to introduce retail by extending their ground floor premises.
- 13 The extension to the Overline House frontage and associated public realm improvements in the vicinity can be viewed in:
- Appendix 1 Station North Side Phasing Plan
 - Appendix 2 Station North Side Layout Plan
 - Appendix 5 Station North Side 3D Sketch Views
- Note that the plans are still under negotiation and are subject to change.

RESOURCE IMPLICATIONS

Capital/Revenue

- 14 The total cost for the remainder of the full scheme design, as well as Phase 1 of the North of Central Station project *works* is estimated to be £2.288m. This excludes advance design costs of £0.272m, which are recorded and accounted for previously and separately.
- 15 The phasing and funding of the proposed capital scheme is detailed in Appendix 3.
- 16 The capital programme for Environment and Transport Portfolio will be increased by a total of £0.806m. This includes the addition of £0.720m of LTP government grant (2014/15 confirmed allocation) and £0.086m of PUSH grant funding. In addition, transfers totalling £1.482m are recommended from existing provisions within the programme. In order to prioritise these works, it is proposed to make material reductions, totalling £957,000, in two existing approved schemes (City Centre Improvements and Civic Centre Place). All of the variations and additions are detailed in Appendix 4.
- 17 There is an adequate 30% contingency built into the North of Central Station project to ensure that the possibility of overspend on the scheme is minimised. This has generated a contingency of over £0.5m. If more than £0.2m of this contingency is required in 2013/14 it may be necessary to identify a source of temporary financing until the 2014/15 LTP grant allocation is received. The Chief Financial Officer has delegated authority to agree such a variation should it prove necessary.
- 18 There will be no additional maintenance costs as the proposed designs for Phase 1 will only use materials that are within the accepted palette of maintainable materials of the highways partnership contract.

- 19 To facilitate some of the main objectives of the scheme such as enhanced pedestrian and cycling facilities, there will be a net loss of on street parking spaces after Phase 1 of the works are complete. Specific losses during Phase 1 include with associated projections of income loss are as follows:

| Parking Bays | Annual Income Loss |
|-----------------------------------|---------------------------|
| 13 Pay & Display Bays | £15,000 |
| 6 Pay & Display Bays (Short Stay) | £2,500 |

The locations of these lost bays are included in Appendix 6 – Station North Side Parking Impacts (Phase 1).

- 20 The specific reasoning behind the losses:

13 Pay & Display Bays (Southbrook Road)

The rationale is to move the taxi rank from its existing position where there have been carriageway spacing issues for traffic turning into and out of Wyndham Place. Further to this, Community Safety had advised of a number of complaints from Wyndham Court residents about the existing position of the taxi rank and some of the drivers' behaviours. The new position is away from any residential areas

6 Pay & Display Bays Short Stay (West Park Road)

The rationale behind these losses is to accommodate the coach parking bay moving to West Park Road (south side) as there have been carriageway width issues (as noted above) in its existing position at Wyndham Place junction with Blechynden Terrace. Both of these changes open up the area – particularly at the junction of Wyndham Place and Blechynden Terrace which will improve pedestrian permeability and enhance the cycle provision along Blechynden Terrace and West Park Road.

- 21 This loss of income will have an impact on the ring-fenced 'on street car parking account' and reduce the surplus available to fund parking, transport or highway related expenditure going forward. The impact of the Phase 1 development for off street car parking income is considered to be minimal but this could be more of an issue if further phases are pursued at a later date.

- 22 The annual income losses do not take account of drivers using spare capacity in other nearby parking areas (including MSCPs), as an alternative. Parking saturation surveys were undertaken during feasibility stage and it was found that on and off street parking was not fully used at all times during the day / night.

- 23 In order to complete phase 1 of the work, it is proposed (per the recommendations) to transfer £167,000 from the Civic Centre Place Strategic S106 Contributions. The decision to draw on this funding has been made due to the strategic importance of the Station Quarter (as per note 4) and the considerable advances made in the design and consultation of the project. It is recognised that Civic Centre Place will still need to be progressed and it is intended that it will be funded through a combination of CIL, LTP contributions and the City Streets Bid.

Property/Other

- 24 The Phase 1 works do not impact upon any property interests as all the works are contained within the existing public highway.
- 25 The later phases of works will be subject to a number of property transactions and authority for these will be sought at the appropriate time.

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

- 26 The North of the Station project will be delivered in accordance with a variety of Highways and Environmental legislation, including but not limited to the Highways Act 1980, Road traffic Regulation Act 1994 and the Traffic Management Act 2004.
- 27 Works will be undertaken in accordance with Section 75 of the Highways Act 1980 sub section (1) ‘where a Highway maintainable at the public expense comprises both a Footway or footways and a Carriageway, the Highway Authority may vary the relative widths of the Carriageway and of any Footway. The authority may prescribe in relation to either one side of both sides of the street, or at or within a distance if 15 yards from any corner of the street, a line to which the street is to be widened’.

Other Legal Implications:

- 28 The project, including the design and construction of any highway infrastructure changes, will be delivered in accordance with the Equalities Act 2010, having particular regard to the public sector equalities duty and the need to ensure that public space and realm is accessible to all. Regard will also be had to s.17 Crime and Disorder Act 1998 when designing the scheme to ensure that, to the extent possible, opportunities for environmental crime and other forms of crime and disorder will be eliminated or minimised.

POLICY FRAMEWORK IMPLICATIONS

- 29 The City Council is a Local Transport Authority as prescribed in the Transport Act 2000 and the Council’s relevant Policy Framework is the City of Southampton Local Transport Plan (LTP3).
- 30 The North of the Station project is compatible with the objectives of the Community Strategy and Economic Development Strategy.

KEY DECISION? Yes

| | |
|------------------------------------|---------|
| WARDS/COMMUNITIES AFFECTED: | Bargate |
|------------------------------------|---------|

SUPPORTING DOCUMENTATION

Appendices

| | |
|----|---|
| 1. | Station North Side Phasing Plan |
| 2. | Station North Side Layout Plan |
| 3. | Central Station Quarter – Phasing and Funding |
| 4. | Variations and Additions to Environment & Transport Capital Programme |
| 5. | Station North Side 3D Sketch Views |
| 6. | Station North Side Parking Impacts (Phase 1) |

Documents In Members' Rooms

| | |
|----|------|
| 1. | None |
|----|------|

Equality Impact Assessment

| | |
|--|------------------------------------|
| Do the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out. | EIA has been completed for project |
|--|------------------------------------|

Other Background Documents

Equality Impact Assessment and Other Background documents available for inspection at:

Title of Background Paper(s) Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

| | | |
|----|--|---|
| 1. | The City of Southampton Local Transport Plan | http://www.southampton.gov.uk/s-environment/transportplanning/localtransportplan3/ |
| 2. | City Centre Master Plan | http://www.southampton.gov.uk/s-environment/future/ccplans/publicconsult.aspx |

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SIGNIFICANT RESIDUAL RISKS

The following list provides a cross reference between the drawing and the Designer's Health & Safety Risk Assessment and identifies those areas of Significant Residual Risk

| Description of Risk | Risk No. |
|---|----------|
| Working close to live traffic and pedestrians | 1 |
| Excavation near existing stairs | 2 |
| Pavement materials in relation to COSH | 3 |

- Key:**
- Bespoke granite paving
 - Granite setts paving
 - Bespoke granite wall
 - Bespoke granite steps
 - Bespoke granite seating
 - Granite bespoke level paving
 - Bespoke granite slope feature flush to 300mm
 - Bespoke concrete retaining wall
 - Bespoke concrete paving ramp
 - Bespoke concrete amphitheatre steps
 - 40mm rilly resurfacing
 - Blacktop carriageway table and central island
 - Blacktop carriageway ramp
 - Existing footway paving material to be reused
 - Footway surfacing construction
 - Tactile paving
 - Landscaping areas
 - Bespoke lighting feature
 - Lemore Setts Paving
 - Bespoke Lemore paving
 - Lemore paving
 - Existing car park to be reworked
 - Full depth carriageway construction
 - Self binding gravel
 - Brick retaining wall
 - Bespoke basalt kerb canal edge 800mm wide
 - View
 - Existing trees to be retained
 - Existing trees to be removed
 - Cropped hedge

| Rev | By | Check | Approved | Date | Description |
|-----|-----|-------|------------|------|----------------------|
| P0 | REA | CW | [Initials] | | For information only |

Balfour Beatty Living Places

Hokrova
A CONSULTING COMPANY

Southampton Station Quarter

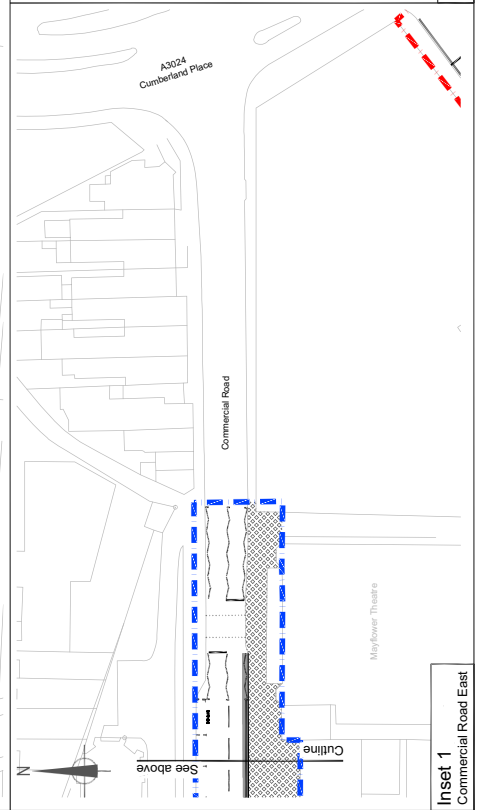
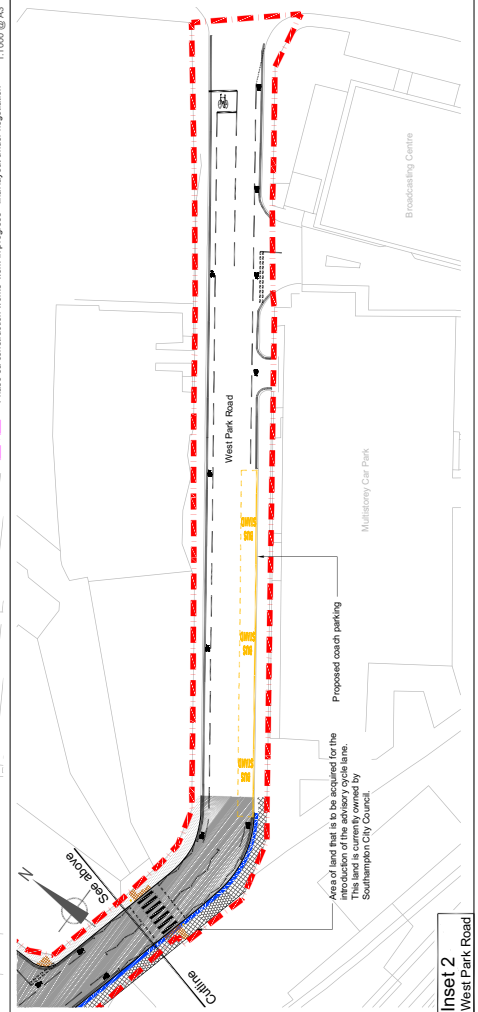
Phasing of Construction Works Including Overline House Phases 1 to 5

Drawn by: REA Date: 24/05/13
Checked by: PIN Date: 24/05/13
Approved by: CW Date: 24/05/13

201015-BE-000-033

Revision: P0

Drawing Scale as shown @ A1



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Agenda Item 14

Appendix 2



SCALE: 1:200 (1" = 20')

SCALE: 1:50 (1" = 5')

METERS

0 5 10 15 20 25 30 35 40

0 5 10 15 20 25 30 35 40

0 5 10 15 20 25 30 35 40

Halcrow Developing solutions

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Agenda Item 14

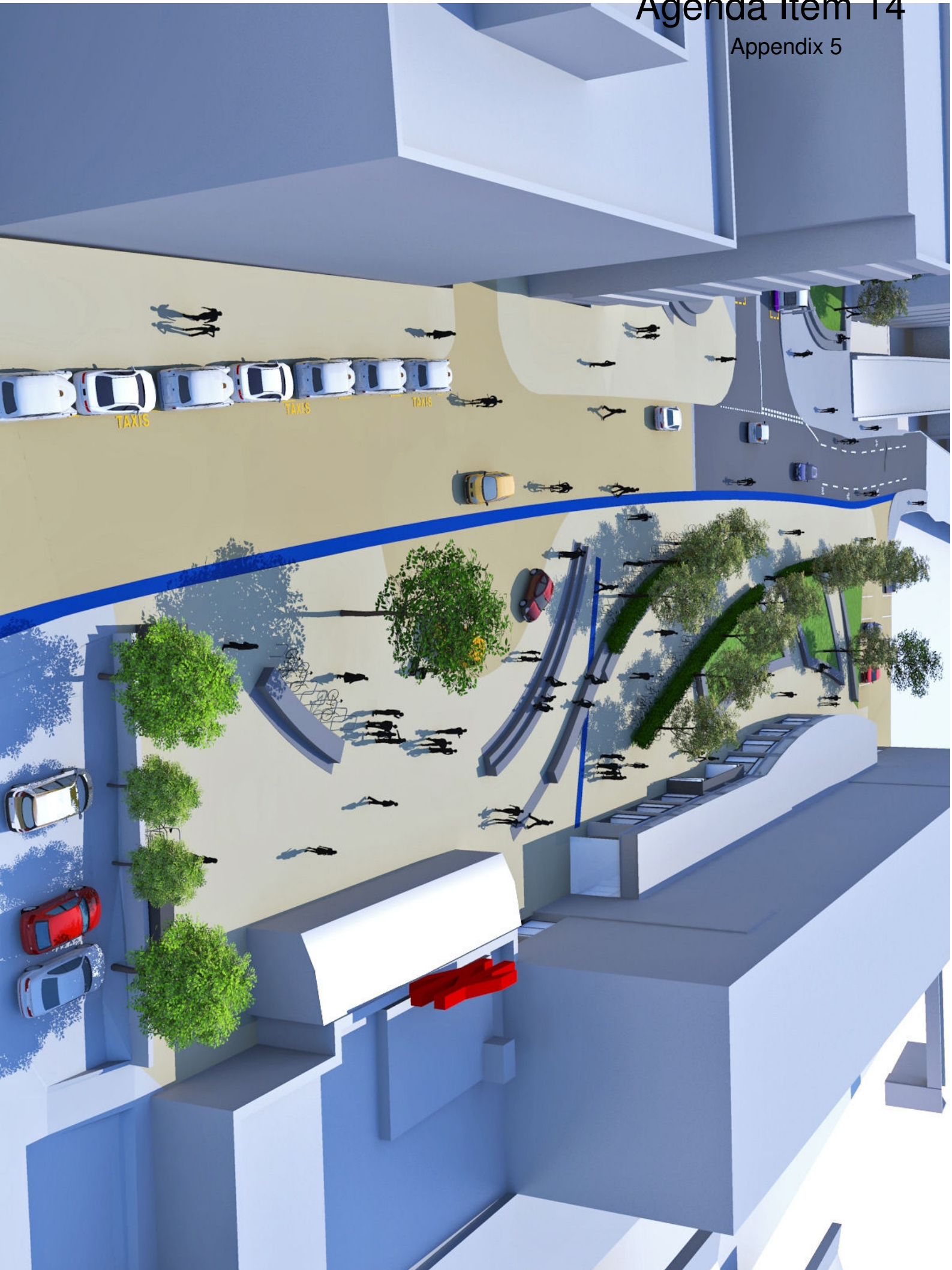
Appendix 3

Central Station Quarter - Phasing and Funding

| FUNDING STREAM | 2013/14 | 2014/15 | TOTAL CAPITAL FUNDING |
|--|----------------|----------------|------------------------------|
| | £000 | £000 | £000 |
| LTP Government Grant (Existing Allocation) | 100 | 0 | 100 |
| LTP Government Grant (Future Allocation) | 0 | 720 | 720 |
| Strategic Transport S. 106 | 957 | 0 | 957 |
| LSTF Government Grant | 425 | 0 | 425 |
| PUSH Grant | 86 | 0 | 86 |
| Total Funding | 1,568 | 720 | 2,288 |

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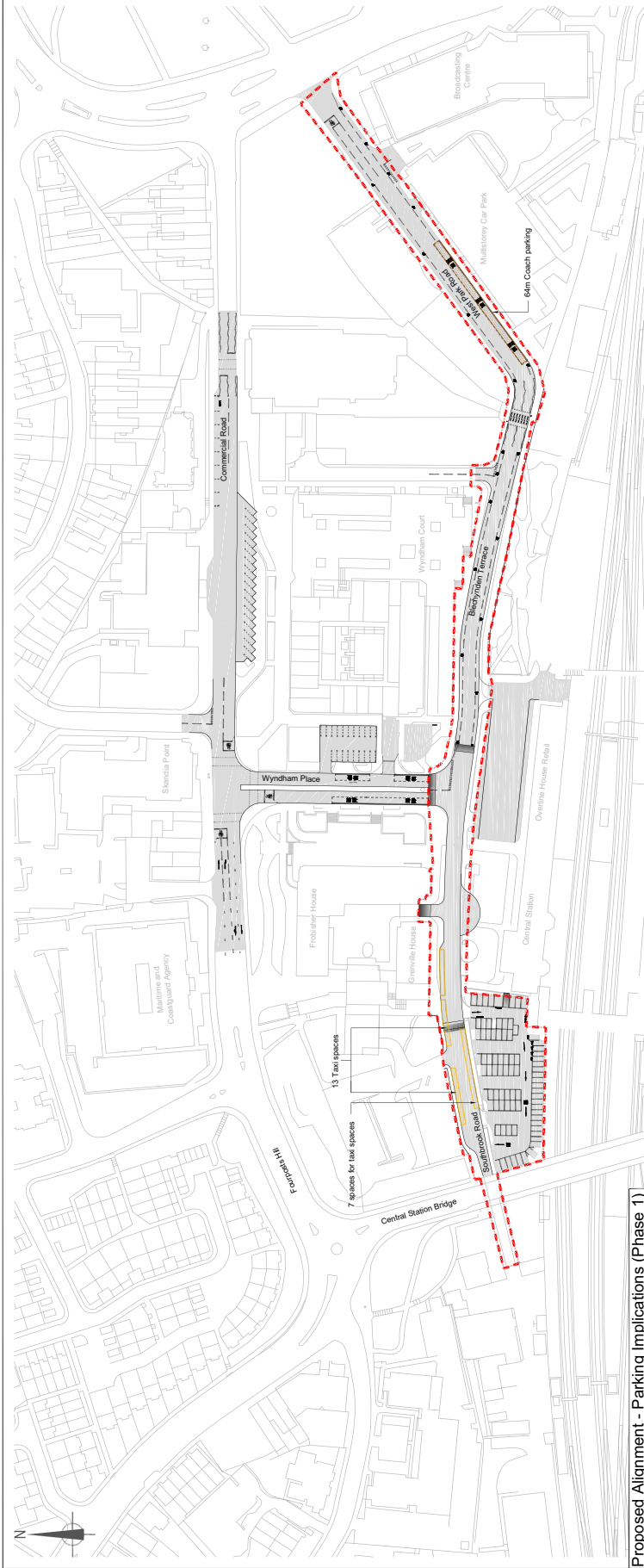
Notes:
1. Print in colour.

Key:
 Play and display short term
 Play and display long term
 Taxi parking
 Council parking
 Phase 1 construction works

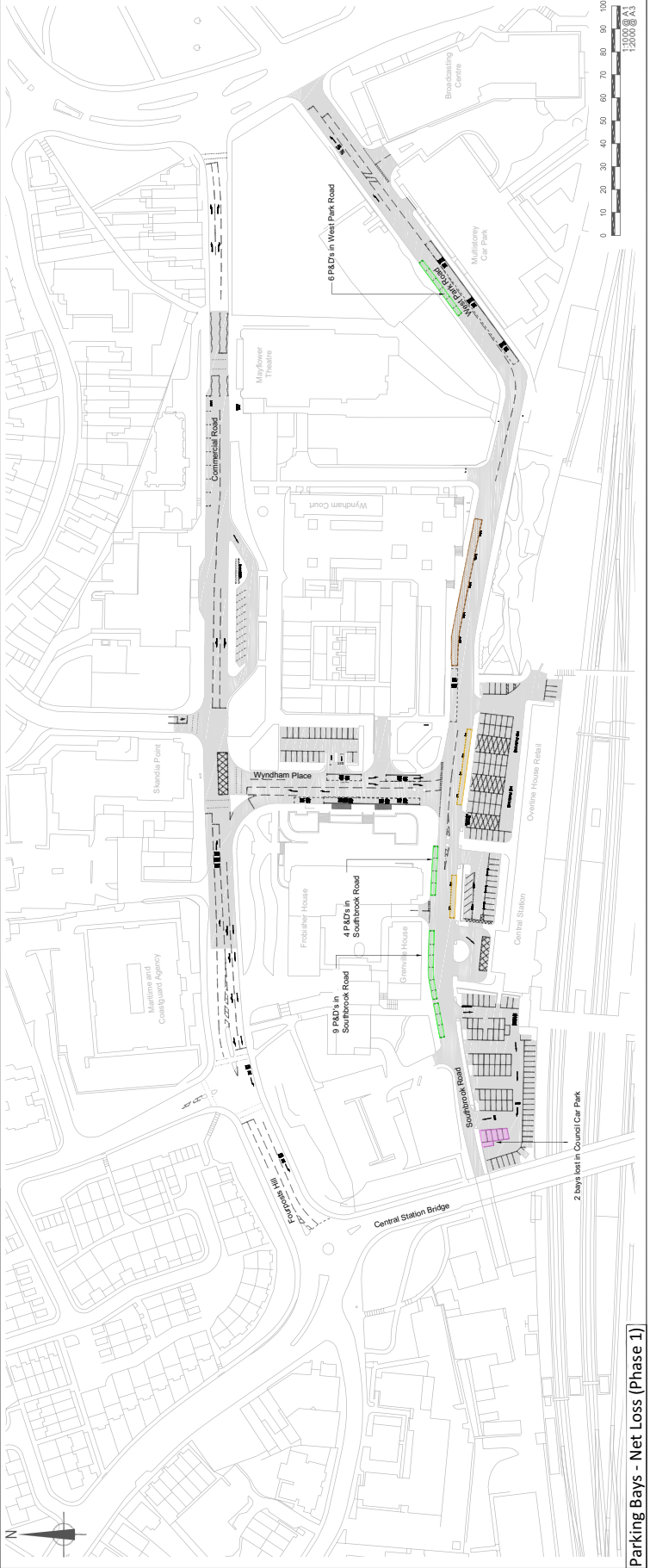
| Southampton City Council | |
|-----------------------------|-----|
| Play and display short term | -16 |
| Taxi parking | +10 |

| Station Forecourt/Car Park | |
|------------------------------|----|
| Parking bays net loss (PH 1) | -2 |

| PO | REA | PHM | CWT | REVISION | DATE | DESCRIPTION |
|----|-----|-----|-----|----------------------|------|-------------|
| | | | | For information only | | |



Proposed Alignment - Parking Implications (Phase 1)



Parking Bays - Net Loss (Phase 1)

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| | | | |
|-------------------------------------|---|--------------------------------------|--------------------|
| DECISION-MAKER: | CABINET | | |
| SUBJECT: | UPDATE ON THE PEOPLE SERVICES TRANSFORMATION WORK | | |
| DATE OF DECISION: | 16 JULY 2013 | | |
| REPORT OF: | CABINET MEMBER FOR COMMUNITIES AND CHANGE | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | Adrian Richardson | Tel: 023 8083 3528 |
| | E-mail: | adrian.richardson@southampton.gov.uk | |
| CHIEF EXECUTIVE | Name: | Dawn Baxendale | Tel: 023 8083 2966 |
| | E-mail: | Dawn.baxendale@southampton.gov.uk | |
| DIRECTOR OF PEOPLE | Name: | Alison Elliott | Tel: 023 8083 2602 |
| | E-mail: | Alison.elliott@southampton.gov.uk | |
| STATEMENT OF CONFIDENTIALITY | | | |
| N/A | | | |

BRIEF SUMMARY

This report provides an update on work undertaken by senior managers and their teams and more recently by the People Directorate to transform services. The initial work was facilitated by external consultants who provided expertise in developing the foundations for integrated and effective People's services. The strategic outcomes from transformation are to deliver better outcomes for residents, better quality of service and significantly reduce costs.

RECOMMENDATIONS:

- (i) To note the work undertaken between December 2012 and April 2013 in advance of establishing the People Directorate in April 2013.
- (ii) To note the arrangements put in place by the People Directorate to drive the implementation over the next 12 – 18 months. This will lead to the transformation of services in the People's Directorate.

REASONS FOR REPORT RECOMMENDATIONS

1. The administration is committed to openness and transparency and recognises that all Members have an interest in the transformation of diverse and important services within the newly formed People's directorate. Therefore, although this report does not recommend any decisions or action, the Leader and Cabinet want to raise awareness of this work to ensure that all Members are briefed. This includes the specific contribution made by external consultants who were commissioned to facilitate this work from December 2012 and April 2013. This report is for information only and any decisions arising from the implementation plans will be made through the Council's agreed decision making processes.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

2. The alternative option would have been to organise a special briefing for Members and through the Members' bulletin. This was rejected as the Leader and Cabinet want a public record of this work which was commissioned and delivered earlier this year.

DETAIL

3. The new administration recognised last year that the Council's challenges included a need to:
 - Work with partners (internal and external) to develop a clear and shared future view which will deliver on city-wide challenges.
 - Make a significant contribution from the transformation of People services towards the financial challenge facing the Council.
 - Modernise some very traditional and very high cost services which seek to protect vulnerable children, young people, adults and families to make them fit for the future and deliver better outcomes.
 - Build the capacity in the Council to address these challenges with recognisable and tangible continuous improvement.
4. In December 2012, following advice from the Chief Executive, the Leader and Cabinet commissioned external consultants to support a core team of eight senior managers to develop a vision, target operating model and options for delivering modernised, transformed and integrated people services. This work was conducted over a three week period, and provided the group with an opportunity to work together to develop a new approach to viewing Council services and how they could change.
5. It was recognised that a point of consensus had been delivered and that it was critical to capitalise on the momentum generated as part of this work. Managers had worked hard to challenge their own ways of working and the Council needed to support them by building on the promise which has been displayed. It was important for the Council to build robust foundations for transforming services and significantly reducing costs in these areas. The challenge was that these services are high cost demand led services and comprise over 65% of the Council's budget.
6. As these services supported the most vulnerable residents in the City, Cabinet were keen to ensure that the transformation work did not in any way impede the progress managers had made. Therefore, external consultants were commissioned to provide additional capacity and expertise to help managers consider how to fundamentally modernise services, making them fit for purpose and fit for the future. The ongoing strategic outcomes from transformation are to deliver better outcomes for residents, better quality of service and significantly reduce costs.
7. In light of the Council's challenging financial constraints, the remit was to agree the vision and a Target Operating Model (TOM) which provided a longer term, strategic approach. It was recognised that the Council has a critical role in:
 - developing capacity in the community and working with other organisations to focus on prevention and manage demand for high cost Council services.

- moving from a focus on “safeguarding only” to working with partners to address the causes of long term support.
 - changing the culture, capability and capacity to act and generate a culture of continuous self-improvement.
8. At the time the new People’s directorate was to be launched in April 2013 and it was agreed that given the Council’s financial pressures, the Council had to seize the opportunity before the arrival of the new Director to shape the future and make sure the Council has substantial savings and service improvements underway. This meant delivering on the following outputs:
- Developing the future design for People Services through designing a detailed operating model for the future – a TOM for service delivery in Southampton. This was to focus more directly on delivering better outcomes for residents through integrated, more efficient and cost effective services, including the following:
 - Commissioning models
 - Delivery models
 - Processes and activities
 - Systems and information
 - Benefits realisation
 - Delivering a series of business cases which once validated, would support the Council to make priority-based decisions about investment and to deliver the savings required within the context of the design above. Identifying areas where transformation activities can be accelerated quickly and benefits can be realized now.
 - Providing access to subject matter experts.
 - Bringing tools and methods to bear, e.g. customer journey mapping, business process re-engineering, strategic and operational commissioning approaches.
 - Maintaining a coherent a link across the programme.
 - Developing an overall draft plan to explain how the operating model could be brought into being. This was to enable the Council to take a longer term view about tangible change in the short and medium term to deliver the savings as well as coherence about how the whole set of services can move forward together.
9. As explained earlier in this report, the Council recognised that it did not have all the necessary experience or capacity to deliver on its own and therefore a management consultancy was commissioned to work over a 3 month period between January and April 2013. This was effectively adoption of an ‘invest to save’ approach to drive the implementation of sustainable solutions. The consultancy provided a team of management consultants to work with officers to:
- Structure, facilitate, guide and direct the delivery of the outputs set out above (culminating in the delivery of the outline business cases and design of the People Directorate). This had to be delivered in the spirit of consensus already developed so that we “make change stick”.

- Challenge current modes of doing things requiring some root and branch analysis to understand where the Council could do things differently, where changes could be introduced, how other people do things and what the options are for Southampton. This required some fundamental service knowledge, as well as some careful stakeholder engagement to help people develop options for the services they manage.
 - Build internal capacity including through skills transfer in some fundamental business change areas. These included the development of draft outline business cases, benefits tracking, performance reporting and performance management, balancing risk with innovation and delivering new models of delivery (locations but also cultures).
 - Provide service managers with support on leadership, methodologies, learning and insight from best practice in order to deliver.
10. The consultancy provided a range of supporting services including:
 - Scoping and planning the review
 - Facilitating of workshops and leadership discussions
 - Reviewing and analysing evidence
 11. Over the 3 month period, seven work streams were developed as priority areas for transformation:
 - a) Children's Services
 - b) Adult Services
 - c) Joint and Integrated Commissioning
 - d) Housing
 - e) Information, Advice and Channel Shift (now called Customer Services)
 - f) Supporting the Front Line (IT and Business Support)
 - g) Organisational Design
 12. It is important to highlight that the Workstream on supporting the front line, especially business support is being led by the Head of Strategic HR as it affects the whole Council
 13. This work was overseen by the Council's Change Programme Board, whose membership during this period was extended to include the Cabinet Members for Children's Services, Adult Services and Housing Services. This Board was chaired by the Cabinet Member for Communities and Change, who at that time was also the lead Member for Health. This Board met fortnightly until the first phase of the work was completed in mid April. The Director of People now chairs the new Implementation Board and will report to the Change Programme Board.
 14. Council Members have been kept informed of progress through briefings by the consultant and lead Cabinet members including informal Cabinet briefings and the members of the administration's policy group. A report was also presented to Overview and Scrutiny Management Committee on the 20 May 2013.

15. Over a relatively short period of time a lot of progress had been made and this has varied in depth and detail, depending on the service area. Some areas were able to make more progress than others. In five cases, the Change Programme Board was able to agree the outline business cases and in the other two (Supporting the Front Line and Organisational Design), further work is being undertaken. The more detailed work embraced developing TOMs, outline business cases, benefits realisation monitoring and financial models along with high level implementation plans. The high level TOM which was defined early in the process is set out in Appendix 1

16. Each draft outline business cases addressed the following key topics:

- Current position and need for change
- Future design
- Target Operating Model (TOM)
- Costs and Benefits
- Implementation Plan
- Dependencies

Summaries of the five outline business cases completed to-date are set out in Appendix 2. Officers are continuing to develop the full business cases and implementation plans under the leadership of the new director. These outline business cases are currently being reviewed by officers under the leadership of the Director of People so that firm implementation plans can be agreed to deliver reshaped services by April 2014. The director has prioritised the redesign of services over any staff reshaping so that significant savings can be identified.

17. The work completed to date indicated that total financial benefits could be up to £16.5M in the medium term and is the beginning of a strategic financial planning journey. More detailed estimates of the required investment and the level and timing of the financial benefits will be developed and validated as part of the preparation of the full business cases. These benefits include cost avoidance and also savings which will contribute directly to addressing the financial pressures the Council faces.

18. In essence the work completed so far has provided:

- A clear and coherent sense of direction
- A coherent target operating model drawing together the initial design work and implementation plans
- An initial services structure for the People Directorate
- A set of robust and validated outline business cases
- Progress with key enablers and specifications for enabling support
- Practical leadership development
- Outline financial model and phased savings proposals
- A robust transformation programme

19. The main benefits of utilising external support were :
 - Creating an appetite for change across the services, led by a senior management team who are seeking ways to integrate services from a customer point of view
 - Providing much needed, objective analysis of how the services can be redesigned and understanding of how this has been done elsewhere with consequent benefits
 - Highlighting the performance vacuum in which many services were being delivered (this ranged from data not being collected, data collected but not being used, inaccurate data to issues with Paris - the social care client database).
 - Shining a light on the urgent need for the Council as a whole to support immediate improvements in Children's safeguarding. This had resulted in the Interim Chief Executive establishing weekly intensive care meetings to ensure progress was made in critical areas,
20. In support of all of this work, the following actions have been taken:
 - Development and launch of an internal intranet micro site for the change programme including the People Service transformation
 - The commencement of the process for data cleansing the PARIS system
 - Identification of funding to backfill posts where managers have to dedicate their time to the transformation work
 - Agreement to have a dedicated programme manager and four project managers to support the ongoing programme
 - Subsequently the business support element of the Supporting the Front line workstream has been widened to incorporate a whole Council approach, led by the Head of Strategic HR
 - Strengthening internal communications support to enable access to regular information for all staff.
21. The external consultants supported the Council to establish the foundation so that the directorate is able to develop long term plans. A considerable amount of work is already in hand including the establishment of an Implementation Board along with project teams and plans.
22. The main focus of the work for the remainder of the 2013/14 will be the preparation of the final business cases and corresponding implementation plans. These will define how and when the services will be transformed and the estimated savings that can be delivered in the short and medium term through radical reshaping of services. It is anticipated that the TOMs will be in place by April 2014. In parallel with this work any 'quick wins' will be implemented ahead of the start of the delivery of the more significant levels of savings from summer of 2014. The Cabinet is committed to ensuring regular updates are will provided on the programme.

RESOURCE IMPLICATIONS

Capital/Revenue

23. One off costs for the employment of external consultants, backfilling for officers engaged in the project as well as any implementation costs have been funded from the Council's Transformation Fund.
24. As final business cases are developed, and implementation plans confirmed, the financial implications will be incorporated into the Council's medium term financial position as part of the ongoing budget planning and development process.

Property/Other

25. None

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

26. N/A

Other Legal Implications:

27. None

POLICY FRAMEWORK IMPLICATIONS

28. None

KEY DECISION? No

| | |
|-----------------------------|-----|
| WARDS/COMMUNITIES AFFECTED: | ALL |
|-----------------------------|-----|

SUPPORTING DOCUMENTATION

Appendices

| | |
|----|---|
| 1. | People Directorate – Target Operating Model (TOM) |
| 2. | Executive Summaries of draft Outline Business Cases for each Workstream |

Documents In Members' Rooms

| | |
|--|------|
| | None |
|--|------|

Equality Impact Assessment

| | |
|--|----|
| Do the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out. | No |
|--|----|

Other Background Documents

Equality Impact Assessment and Other Background documents available for inspection at:

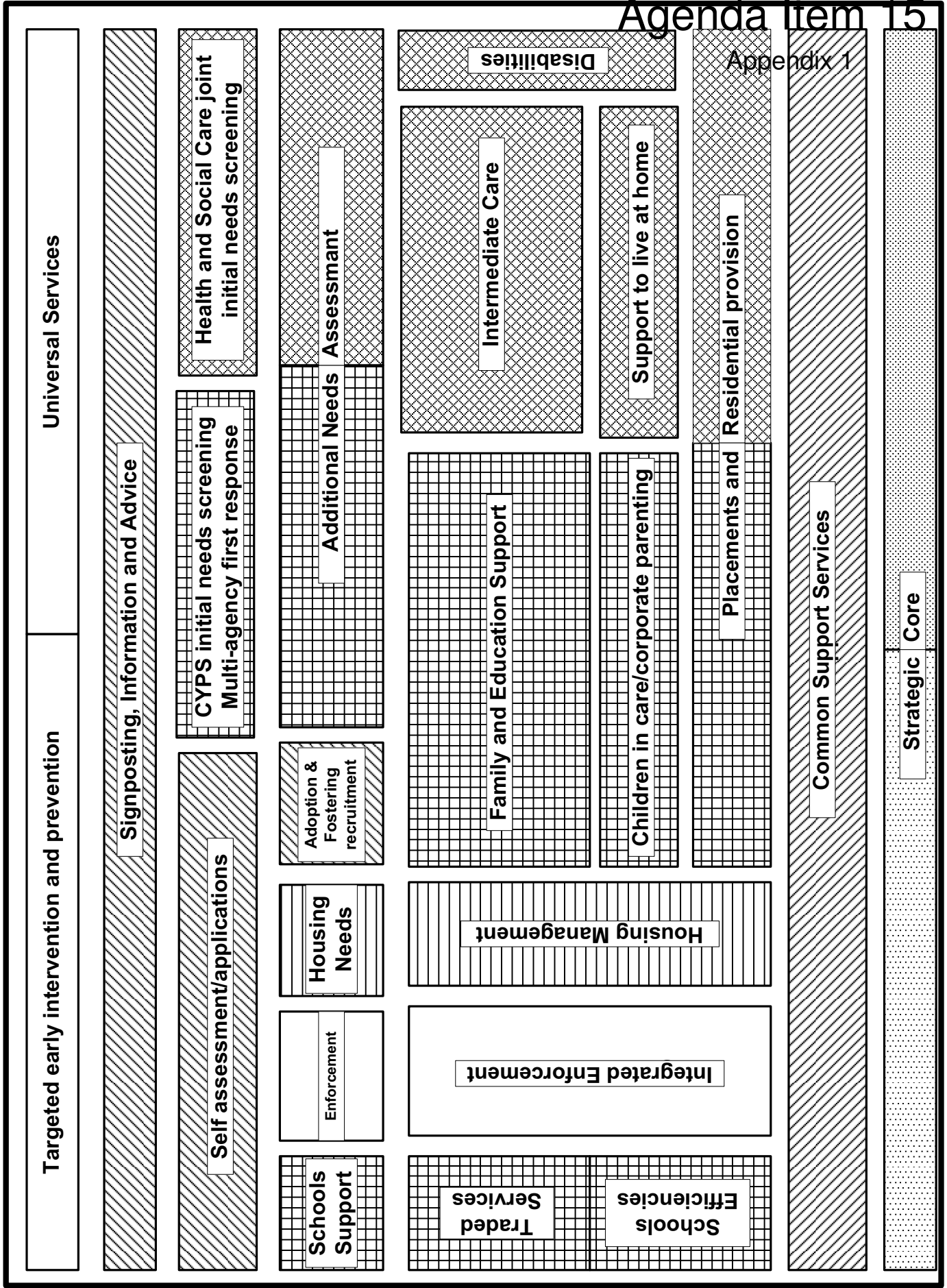
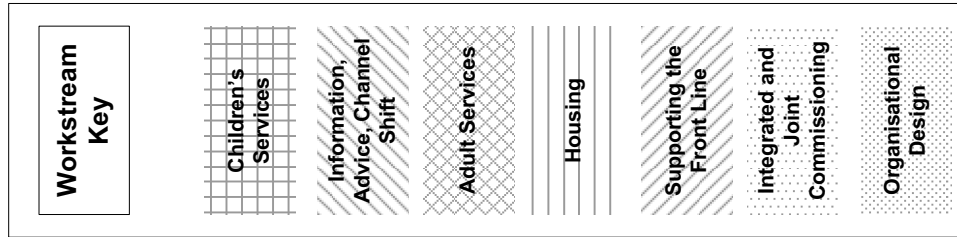
Title of Background Paper(s) Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

| | | |
|----|------|--|
| 1. | None | |
|----|------|--|

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People Directorate – Target Operating Model (with Workstream alignment)

Appendix 1



Appendix 1

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| People's Directorate: Draft Outline Business Case Summary | |
|--|--|
| | |
| Workstream: | <u>Adult Services</u> |
| Current position and the need for change | |
| 1. | The project team considered the current service delivery arrangements and made the following assessments |
| | <ul style="list-style-type: none"> • There are a number of issues with the pathway for adults which need to be addressed • There are strategic and operational reasons which have highlighted to need for change. • Performance data is not viewed as robust within the service and where accurate data is available, performance could be improved relative to comparators • The current staffing budget is £19.2m and most staff are focused on the provision of long term care rather than reablement. • 64% of costs relate to commissioning care with the opportunity to reduce the number of people entering high intensity long term care • The main areas for work are assessment, locality and reablement pathway and reshaping reablement. • Additional areas for consideration include reshaping of residential home reshaping and support planning provision. |
| Future Design and Target Operating Model | |
| 2. | The strategic outcomes from transformation are to deliver better outcomes for residents, better quality of service and significantly reduce costs. The future design will have: <ul style="list-style-type: none"> • All staff have a shared vision which links well to that of the existing programme on Integrated Person Centred Care (IPCC) across health and social care • Application of the principles identified within the IPCC pathway across Adult Services • Application of the principles identified from examples of good practice in reablement and pathway design from other local authorities and national bodies |

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| | <ul style="list-style-type: none">• Implementation of a pathway, informed by good practice and designed with expanded reablement provision to maximise people's independence and reduce longer term care costs <p>Improved outcomes as a result of changes in demand (for high intensity long term care) and practice (reablement for the majority of people).</p> |
| 3. | <p>The future Adult Services model was developed using a Target Operating Model (TOM) framework. The TOM describes, through different layers, how the service will need to be organised and behave in order to carry out its functions and delivery. The elements of the TOM are:</p> <ul style="list-style-type: none">• Identify functional areas and staff resources for the future solution• Use more effective commissioning arrangements to deliver better outcomes• Develop business processes and activities on an evidence based pathway, incorporating best practice with the customer journey centred around reablement.• Design and deliver systems and information with a single view of the service user, mapped throughout the customer journey through the care system with effective information management• Realign financial resources, people and organisational structures r to the new service delivery arrangements.• Match skills and capabilities against each stage of the new customer pathway• Develop culture and behaviours necessary to lead the changes.• Ensure delivery models using both in-house and commissioned services. |
| | Costs and Benefits |
| 4. | <p>The benefits and costs will be considered in four main areas:</p> <ul style="list-style-type: none">• Reduction in the number of children being subject to high cost low volume services• Reduction in the number of people requiring high intensity domiciliary care, residential care or nursing home care following reablement• Savings in areas commissioned through the Joint Commissioning Unit (JCU) |

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| | As a result of the above, it is expected that there will be cumulative reductions in staffing. |
| | Implementation Plan |
| 5. | <p>An action plan is being developed to provide clear guidance on what steps need to be taken to ensure that change is sustainable</p> <ul style="list-style-type: none">• Phase 1 detailed design April to July 2013• Phase 2 construct and implement August 2013 to March 2016 |
| | Dependencies and Assumptions |
| 6. | <p>The business case has the following dependencies:</p> <ul style="list-style-type: none">• More detailed work on the staffing model/ structure• Quality and the market position will be enhanced to support choice and personalisation• Accurate and robust performance management and cost information availability• Cultural changes in relation to 'self serve' opportunities• Council wide understanding of the widespread internal changes alongside clear communication with partners• Understanding of the level of knowledge and expertise required supporting each element of the pathway• Senior management leadership and support for the TOM. |

| People’s Directorate: Draft Outline Business Case Summary | |
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| Workstream: <u>Children’s Services</u> | |
| | Current position and the need for change |
| 1. | <p>The project team considered the current service delivery arrangements and made the following assessments</p> <ul style="list-style-type: none"> • Areas of the service are meeting or exceeding expectations • Some areas are underperforming against statistical neighbours and national averages and we need to work together to improve. • Children’s Social Care continues to overspend despite a growing budget year on year • For financial challenges to be met performance issues need to be addressed • Managers identified the key areas which are believed to be causing surplus escalation and complexity around the de-escalation process. • Resources will need to align to the level of need at each stage of the child’s journey to manage the escalation process better. |
| | Future Design and Target Operating Model |
| 2. | <p>The following design principles were developed to support service managers to:</p> <ul style="list-style-type: none"> • Seek, listen and respond to the ‘children’s voice’. Children and their carers inform service development and delivery • Achieve the correct balance of resources at each level to meet the children’s need at every stage • Create a risk sensible environment for children, families, workers and organisations • Build a more confident, competent and consistent workforce across all areas. • Agree a clear set of common outcomes underpinned by the objectives and |

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| | <p>purpose of each service.</p> <ul style="list-style-type: none">• Implement integrated and collaborative working, efficient and proactive working at the front line• Ensure effective and resourceful supervision for all staff• Enable greater prevention of escalation• Deliver a holistic, whole range of support from children through to adult services. |
| 3. | <p>The future Children's Services model was developed using a Target Operating Model (TOM) framework. The TOM describes, through different layers, how the organisation will need to be organised and behave in order to carry out its functions and deliver services. The elements of the TOM are:</p> <ul style="list-style-type: none">• A functional model setting out how the service teams will fit together• Development of an early intervention hub• Development of children and family centres and hubs• A targeted assessment and intervention team• Multi Agency First Response Team• Development of the intervention and prevention service• Public law outline process to performance• Pathways• Joint disability service• Fostering and adoption recruitment service• Development of a high level process map of future children's services and interactions |
| | Costs and Benefits |
| 4. | <p>The benefits and costs will be considered in four main areas:</p> <ul style="list-style-type: none">• Organisational restructuring |

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| | <ul style="list-style-type: none">• Prevention model• Process efficiencies• Opportunities for joint commissioning |
| | Implementation Plan |
| 5. | <p>An action plan is being developed to provide clear guidance on what steps need to be taken to ensure that change is sustainable</p> <ul style="list-style-type: none">• Phase 1 - Priority areas to April 2013 to January 2014• Phase 2 – Full service June 2013 to March 2014 |
| | Dependencies and Assumptions |
| 6. | <p>The business case has the following dependencies:</p> <ul style="list-style-type: none">• IT providing good quality client information systems for storing child cases• Channel shift enabling a focus on 'value adding tasks'• Enablement of a self service function• Implementation of the justice review recommendations from September 2013• Collaborative leadership between partner management teams and a new information sharing culture. |
| 7. | <p>Assumptions include:</p> <ul style="list-style-type: none">• Appropriate resourcing for the information hub and panels• 50% reduction in contact with the MAFRT in three years• A simple multi agency assessment continuum can be delivered• Family Matters delivers on its identified outcomes• The recruitment and retention strategy is supported to ensure the continuing development of a stable, confident and competent workforce. |

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| People Directorate: Draft Outline Business Case Summary | |
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| Workstream | <u>Housing</u> |
| | Current position and the need for change |
| 1. | <p>The Workstream project team considered the current service delivery arrangements and made the following assessments</p> <ul style="list-style-type: none"> • Many excellent examples of prevention and early intervention counteracted by some areas very resistant and slow to change • Strong stable teams of dedicated staff but often constrained by systems, lack on information sharing, traditional ways of working • Housing with 17,500 homes has a role to play at all levels of need and can target more effectively to meet our gaps as a city • Need to develop clearer roles for spotting, recording and referring issues, tele-care • Increase investment in estate based family based support workers and home plus workers. |
| | Future Design and Target Operating Model |
| 2. | <p>The outcomes of the transformation are to deliver better outcomes for residents, better quality of service and significantly reduce costs. The future design will:</p> <ul style="list-style-type: none"> • Maximise the role of prevention to reduce caseload and expenditure in other service areas. • Transform operations • Optimise the use of the Housing Revenue Account to support wider objectives |
| 3. | <p>The future Housing Services model was developed using a Target Operating Model (TOM) framework. The TOM describes, through different layers, how the organisation will need to be organised and behave in order to carry out its functions and deliver services. The elements of the TOM are:</p> <ul style="list-style-type: none"> • Processes and activities • Systems and information |

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| | <ul style="list-style-type: none">• People and organisational structures• Skills and capabilities• Cultures and behaviours <p>The services will provide assistance in capturing and communicating the adult's and children's pathways.</p> |
| | Costs and Benefits |
| 4. | <p>The benefits and costs will be considered in three main areas:</p> <ul style="list-style-type: none">• Benchmarking with comparator authorities the HRA contribution (17%) to the General Revenue Fund and exploring opportunities for increasing the proportion• Exploring opportunities for the HRA to fund prevention and early intervention initiatives.• Evaluating opportunities for the HRA billing and or data analysis services becoming centres of excellence for planning for the future and supporting commissioning |
| | Implementation Plan |
| 5. | <p>An action plan is being developed to provide clear guidance on what steps need to be taken to ensure that change is sustainable:</p> <ul style="list-style-type: none">• Phase 1 – Implementation April 2013 to March 2014• Phase 2 – Full roll out April 2014 to March 2015 |
| | Dependencies and Assumptions |
| 6. | <p>The business case has the following dependencies:</p> <ul style="list-style-type: none">• IT for singular customer record and systems working in real time.• Children's and Adult's Workstreams realising the full role Housing can play• Work on the potential channel shift in customers' interactions with Housing |

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| | <p>Services</p> <ul style="list-style-type: none">• The potential impact of Equal Pay on employee relations and the ability to deliver transformation. |
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| People Directorate: Draft Outline Business Case Summary | |
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| Workstream: | <u>Information Advice and Channel Shift (now called Customer Services)</u> |
| | Current position and the need for change |
| 1. | <p>The project team considered the current service delivery arrangements and made the following assessments</p> <ul style="list-style-type: none">• Our current customer contact channels do not encourage or enable self service. There are complex processes in place with multiple hand offs and systems with no standard way of working.• Simple activities carried out by qualified professionals• Currently higher cost services are being used by customers in significant numbers• There is a high repeat contact adding to costs• Multiple systems mean there is no single view of the customer• There is a lack of assurance that the council understands the evolving customer needs.• Channel shift provides an opportunity to provide services conveniently, faster and automated where appropriate• Channel shift provides the opportunity for customers to access services 24 hours a day seven days a week and with the innovative use of technology this |

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| | will lead to a lower cost and better quality service. |
| | Future Design and Target Operating Model |
| 2. | <p>The strategic outcomes of the transformation are to deliver better outcomes for residents, better quality of service and significantly reduce costs. The future design will embrace channel shift, demand management and trading services taking into consideration :</p> <ul style="list-style-type: none">• Being designed around customer need• Providing benefits for both the customer and the council• Utilising online as the primary contact channel• Maximising benefits will require re-designing service processes and new ways of working• Enabling customers, residents, professionals and council staff to become self sufficient and self serving• Ensuring the future channel mix is tailored to the individual service areas. |
| 3. | <p>The future Information, Advice and Channel Shift Workstream model was developed along the following lines:</p> <ul style="list-style-type: none">• Customers can contact the council easily through the channel of choice and have confidence and assurance in the information advice and service they receive. They get the right service first time to meet their needs.• The People's Directorate, works as one team, views every customer as important, provides effective customer service, optimises relationships with partners to deliver high quality services and has the customer at the centre of all activities.• Staff are customer focussed, empowered to make a difference to the customer's well being, respect customers as individuals, are collaborative and engaged in shaping the service.• The technology delivers a continuous service, exploits new and emerging opportunities, is secure in protecting the council's assets and reputation and is an enduring solution. |

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| | Costs and Benefits |
| 4. | The benefits and costs will be realised through benefits in the other Workstreams. |
| | Implementation Plan |
| 5. | <p>An action plan is being developed to provide clear guidance on what steps need to be taken to ensure that change is sustainable. The key elements are:</p> <ul style="list-style-type: none"> • Phase 1 – Detailed Design to January 2014 • Phase 2 – Implement new full service June 2013 to March 2014 |
| | Dependencies and Assumptions |
| 6. | <p>The business case has the following dependencies:</p> <ul style="list-style-type: none"> • IT system fit for purpose, secure and provide customers with the assurance they would otherwise seek from the alternative higher cost channels • Customers must get the experience they expect otherwise they will continue to use the alternative higher cost channels • The council must implement the appropriate interventions at the appropriate time to encourage channel shift. |

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| People Directorate : Draft Outline Business Case Summary | |
| Workstream: | <u>Joint and Integrated Commissioning</u> |
| | Current position and the need for change |
| 1. | <p>The project team considered the current service delivery arrangements and made the following assessments:</p> <ul style="list-style-type: none"> • There are differing approaches to commissioning and limited whole system solutions • Duplications and inefficiencies exist and there is limited use of outcome based commissioning to hold providers (including internal) services to account against |

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| | <p>performance standards</p> <ul style="list-style-type: none">• Pooling capabilities and purchasing power across the council and the CCG would enable greater control over quality, cost and provision• The market needs to be improved. |
| | Future Design and Target Operating Model |
| 2. | <p>The future design will cover:</p> <ul style="list-style-type: none">• Outcomes based upon the Health and Wellbeing Strategy• A shared vision for commissioning• Eight commissioning principles focusing on improving quality, value for money and outcomes through working in partnership• National evidence of benefits of joint commissioning• A roadmap designed for the Joint Commissioning Unit, informed by good practice |
| 3. | <p>The future Joint and Integrated Commissioning Workstream model was developed using a Target Operating Model (TOM) framework. The TOM describes, through different layers, how the organisation will need to be organised and behave in order to carry out its functions and deliver services. The elements of the TOM are:</p> <ul style="list-style-type: none">• The JCU will cover eleven functional areas of work from needs assessment and strategy development through to service performance monitoring• The annual commissioning cycle will guide the work of the JCU through which key organisational priorities will be identified and developed.• A strategic framework for the JCU has been developed and this will inform an annual work plan focused around opportunities to improve.• The JCU will not need its own IT system however it will be reliant on other systems for performance information across health and social care.• A clear system-wide governance model for joint and integrated commissioning is already in place• Assessment and development of commissioning competencies in line with World Class Commissioning framework is required• Partnership working, open mindedness and innovation coupled with strong |

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| | leadership are pre-requisites for successful joint commissioning. |
| | Costs and Benefits |
| 4. | The benefits and costs will be considered in four main areas: <ul style="list-style-type: none">• Directly managed staff• Existing commissioning spend• Directly influenceable spend – SCC and CCG• Indirectly influenceable spend –controlled by partners |
| | Implementation Plan |
| 5. | An action plan being developed to provide clear guidance on what steps need to be taken to ensure that change is sustainable: <ul style="list-style-type: none">• Phase 1 - Detailed design April 2013 to July 2013.• Phase 2 - Construct and implement August 2013 to March 2016 |
| | Dependencies and Assumptions |
| 6. | The draft outline business case has the following dependencies: <ul style="list-style-type: none">• More detailed work on the staffing model/structure• Accurate and robust performance management, staffing and cost information to be available to support continuous review and improvement• Culture change in relation to partnership working• Council wide understanding that widespread internal changes are required to make the new TOM successful, along side clear communication to partners• Understanding of the level of knowledge and expertise required within the JCU to support wider changes• Senior management leadership and support for the TOM |
| 7. | Implementation of the business is based upon the following assumptions: <ul style="list-style-type: none">• No cashable savings are expected during the implementation phase• System failures will be addressed• Support will be forthcoming from the other Workstreams to facilitate implementation of the JCU |

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| | <ul style="list-style-type: none">• Support will be provided by Senior Management |
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Agenda Item 16

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| DECISION-MAKER: | CABINET COUNCIL | | | |
| SUBJECT: | *OAKLANDS SWIMMING POOL | | | |
| DATE OF DECISION: | 16 JULY 2013 17 JULY 2013 | | | |
| REPORT OF: | LEADER OF THE COUNCIL | | | |
| <u>CONTACT DETAILS</u> | | | | |
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STATEMENT OF CONFIDENTIALITY

None.

BRIEF SUMMARY

Following the closure of Oaklands swimming pool, there has been significant support for the pool to be reopened. In order to provide a medium term life span for the building a capital investment is required. Work is ongoing with a community group to establish a viable operator, but other options will be explored if this is not a feasible way forward.

RECOMMENDATIONS:

CABINET

- (i) Approve, in accordance with Financial Procedure Rules, capital expenditure of £18,000 in 2013/14 from the Economic Development and Leisure Capital programme for refurbishment works at Oaklands swimming pool to undertake a detailed feasibility study, subject to approval by Council of the addition of the scheme to the Capital Programme on 17 July 2013.
- (ii) That work to progress the feasibility and business plan development is progressed.
- (iii) Delegate authority to the Head of Legal, HR and Democratic Services, after consultation with the Head of Leisure and Culture, to formalise the arrangement to reopen and operate Oaklands Pool by the preferred community group using whichever form of agreement deemed most appropriate in the circumstances.

COUNCIL

- (i) To add, in accordance with Financial Procedure Rules, a sum of £1,258,000 to the Economic Development and Leisure Capital programme for refurbishment works at Oaklands swimming pool. Initially this will be phased £200,000 in 2013/14, £848,000 in 2014/15 and £210,000 in 2015/16, although this may be subject to change on completion of the detailed feasibility study

REASONS FOR REPORT RECOMMENDATIONS

1. To enable the refurbishment of Oaklands pool in order for it to provide a reliable service to residents,

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

2. Not to refurbish the pool – this would not meet community aspirations
3. Open at minimal cost – there would be no guarantee that repairs will last, with the consequent high risk of ongoing business interruption, and subsequent loss of trade and viability for any new service provider.

DETAIL (Including consultation carried out)

4. Oaklands Swimming Pool closed in May 2012, following ongoing leaks in the pool. Subsequently significant local community support for reopening the pool has been voiced.
5. An approach has been received from a local community group to operate the pool. The group includes individuals with some experience in the operation of swimming pools and links to the local community. The initial business plan submitted needs further work to provide the necessary assurances that the operation would be robust and viable in the long term. Officers and consultants will continue to work with the community group to refine the business plan.
6. Working with the community group is the preferred mechanism to delivering the service, and could be achieved by the award of a service concession through a Cabinet report. Should the initial business planning work fail to deliver sufficient reassurances, the opportunity to operate the pool will be widened. The appointment of the community group as an operator, or alternative operator, will be the subject of a separate cabinet report once the business plan and feasibility work has been completed
7. It is proposed to ensure the pool is in good state of repair and fit for purpose for the medium to long term to afford any new operator the best opportunity to deliver a high quality service and a viable operation. Capita has assessed the costs of providing a 15 year life expectancy for the pool and building. Whilst it will not result in a pool that will look wholly new internally, it will be efficient and functional for the period. The works would include a full mechanical and electrical upgrade (especially to the elderly plant room) and roof repair. The provision of shared car park provision with other community uses anticipated on the old school site is also included.

8. Capita has proposed a programme which delivers the building ready for occupation in a period of some 23 months from instruction. This timescale allows for detailed feasibility work in advance of final design and procurement of the works. This detailed feasibility is required to finalise costs and is anticipated to take 3 months, the tender and design works a further 8 months, with works in site estimated at 12 months.
9. The conclusion of the feasibility works will provide greater clarity on capital costs and programme and together with the outcome of the business plan review will enable a detailed decision to be made by Cabinet later this year.

RESOURCE IMPLICATIONS

Capital

10. A detailed feasibility study will be commissioned to finalise the capital cost and phasing of the refurbishment works to enable the re-opening of the pool.
11. It is proposed that funding for the project will be from Council resources. A capital receipt will be generated from the sale of the Oakland's School site and whilst we do not earmark specific receipts to ensure flexible funding of the capital programme, this receipt will contribute to the overall resources available to fund the Capital Programme.

Revenue

12. The ongoing revenue costs associated with maintaining the site are currently being covered within existing property management budgets. However, these costs will continue to create a pressure on these budgets in 2013/14 and future years until the capital works commence and the pool is able to re-open. Approval to add the scheme and then progress work is therefore critical to minimise the impact of these costs during the transition period.

Property/Other

13. Property issues are covered elsewhere in this report

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

14. The Section 1 Localism Act 2011, empowers a Council to do anything that a private individual may do provided that it is not prohibited by any pre or post commencement limitations.

Other Legal Implications:

15. Not applicable.

POLICY FRAMEWORK IMPLICATIONS

16. The proposals are commensurate with the Policy Framework

KEY DECISION? Yes

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| WARDS/COMMUNITIES AFFECTED: | Specifically Coxford, but users of the pool could come from many other parts of the City |
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SUPPORTING DOCUMENTATION

Appendices

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| 1. | None. |
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Documents In Members' Rooms

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| 1. | None |
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Equality Impact Assessment

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| Do the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out. | No |
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Other Background Documents

Equality Impact Assessment and Other Background documents available for inspection at:

Title of Background Paper(s)

Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

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| 1. | None | |
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Agenda Item 17

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| DECISION-MAKER: | CABINET |
| SUBJECT: | SRB2 REGENERATION PROGRAMME SUCCESSION STRATEGY |
| DATE OF DECISION: | 16 JULY 2013 |
| REPORT OF: | LEADER OF THE COUNCIL |

Contact Details

| | | | | |
|-----------------|---------|--|------|---------------|
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STATEMENT OF CONFIDENTIALITY

None

BRIEF SUMMARY

The total investment from the SRB2 regeneration programme was £80 million and included a government grant of £26 million. This was used to improve life in the inner city neighbourhoods of St Mary's, Northam, Newtown/Nicholstown and Bevois Valley. West Itchen Community Trust (WICT) was established at the end of the SRB 2 programme as the Successor Body to oversee the continued regeneration of the area.

A decade after the SRB2 grant-funding ceased it is timely to re-invest legacy resources secured through 'clawback' of the original Government grant and held by the Council (as Accountable Body) in WICT – which Cabinet approved as the SRB2 Successor Body on 14th October 2002. The final decision on re-investment of clawback had originally rested with SEEDA, although this was delegated to the Council in 2008.

This report recommends making a payment to WICT of £386,000 using clawback of the original Government grant. The clawback is proposed to be used to refurbish the Acorn Enterprise Centre in order to provide 29 light industrial units, and to enhance the skills and employability of people in the inner city neighbourhoods originally covered by the SRB2 programme.

RECOMMENDATIONS:

- (i) To award a grant of £386,000 to West Itchen Community Trust for the refurbishment of the Acorn Enterprise Centre in Empress Road subject to:
 - Satisfactory appraisal of the WICT business plan relating to Acorn Enterprise Centre;
 - Confirmation of the type and financial cost of proposed grant funded works by a suitably qualified Property Surveyor; and
 - Confirmation of co-investment/match funding on behalf of WICT and of the works programme.

- (ii) To delegate authority to the Director of Environment and Economic Development following consultation with the Head of Legal, HR and Democratic Services, to enter into a grant agreement with West Itchen Community Trust and to do anything necessary to give effect to the payment of the grant.
- (iii) To protect grant monies through the placement of a Legal Charge for 10 years from the date of issue, on Acorn Enterprise Centre
- (iv) To add, in accordance with Financial Procedure Rules, a sum of £386,000 to the Leader's Capital Programme, for a capital grant towards works at the Acorn Enterprise Centre.
- (v) To approve, in accordance with Financial Procedure Rules, capital expenditure of £386,000 in 2013/14 from the Leader's Capital Programme to award a capital grant.

REASONS FOR REPORT RECOMMENDATIONS

1. Southampton City Council, as the Accountable Body of the SRB2 Regeneration Programme, holds £386,000 of unallocated Government grants which were subject to clawback. The final decision on re-investment of clawback that had originally rested with SEEDA was delegated to the Council in 2008.
2. The reason for this report is to recommend reinvestment of this Government grant in the Successor Body to the SRB2 programme, WICT, to enable it to continue improving the skills and employability of residents in the West Itchen (SRB2) area.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

3. The following options were considered and rejected:
 - a) Using the clawback to reduce the council's financial gap. This was rejected as the Council has a responsibility to continue to address deprivation in the City and a one off grant would not reduce the Council's financial pressures on a year on year basis.
 - b) Following the abolition of SEEDA and the removal of clawback liabilities on the Council the SRB2 Government grant is no longer ring-fenced to meeting former SRB objectives. The option of extending the geographic area of benefit using the clawback was rejected because residents in the former SRB2 regeneration area continue to experience significant levels of deprivation and would benefit from enhanced opportunities that expand the areas commercial base.

DETAIL (Including consultation carried out)

4. The total investment from the SRB2 regeneration programme was £80 million and included a government grant of £26 million. This was used to improve life in the inner city neighbourhoods through:
 - Creating 820 new jobs
 - Directly helping 1,356 residents to get jobs and 909 to obtain qualifications.

- Helping 129 new businesses to start up
 - Creating 25,500m² of new and improved business space
 - Building 467 new homes for rent and 386 new homes for sale.
5. Cabinet approved the establishment of West Itchen Community Trust (WICT) as the Successor Body to the SRB2 programme in October 2002 to oversee the continued regeneration of the area. To enable WICT to develop a sustainable regeneration programme a joint investment of £2 million was made by the government and the Council in WICT's property portfolio. A decade after the SRB2 grant-funding ceased it is timely to re-invest unallocated 'clawback' of the original Government grant held by the Council (as Accountable Body) in WICT.
 6. The final decision on re-investment of clawback funds had originally rested with SEEDA, although this power was delegated to the Council in 2008. By 2012 Southampton City Council, as the Accountable Body for the SRB2 Regeneration Programme, had assembled £524,000 of clawback, of which £386,000 remains unallocated and £138,000 allocated.
 7. The allocated element of the clawback (£138,000) relates to the re-investment of clawback funds originally allocated in February 2000 to regenerate Northam Road. The re-released funds are again targeted at the physical regeneration of retail units in the road, and the establishment of an antiques hub. Estimates of the private sector investment the re-released funds will unlock already exceed £2m, along with an additional £100,000 of Government and third-sector grants.
 8. This report recommends that the Council reaffirms its support to the West Itchen Community Trust for its work in overseeing the continued regeneration of a deprived community, by transferring £386,000 of clawback to it as Successor Body to the SRB2 programme. WICT has to-date proven to offer a stable investment platform whilst:
 - Transforming two empty, dilapidated buildings into two new community centres;
 - Supporting in excess of 100 projects that bring local people together;
 - Investing over £1m into developing its property portfolio by improving existing assets and acquiring new buildings;
 - Securing over £500,000 in grants and investment for other local community projects;
 - Delivering business training to 150 people, creating 50 new businesses and assisting 80 existing businesses; and
 - Advising organisations that manage assets or are considering asset transfer
 9. The recommendations in this report propose to strengthen WICT's sustainability through investment in the refurbishment of its income generating asset base (Acorn Enterprise Centre) and to increase the availability of business start-up units in this deprived community. The clawback is proposed to be used to refurbish the Acorn Enterprise Centre in order to provide an additional 13 light industrial units and to replace the existing 16 dilapidated units with 16 new (29 new units in total) (Floor plans

and proposed 3D images in Appendix 1).. The WICT Business Plan (p29) also identifies a number of additional positive outcomes/actions from the rebuild of the Acorn Enterprise Centre.

10. The Acorn Enterprise Centre is owned by WICT and has proven to be a valuable income generator and growth point for emerging local small businesses. A refurbished facility will enhance small business start-up opportunities within a deprived neighbourhood and increase income (through rental) to WICT.
11. **Consultation**
Leader of the Council
Cabinet Member for Change and Communities
Councillors for Bevois and Bargate Wards
Chief Executive – West Itchen Community Trust
Director Environment and Economy

RESOURCE IMPLICATIONS

Capital/Revenue

12. £524,000 of investment made during the SRB2 Regeneration Programme was subject to clawback and is held by the Accountable Body, Southampton City Council. The Council is no longer liable to repay these funds to SEEDA.
13. In February 2000, Government funding was awarded to develop an antiques centre in Northam Road. This funding was subject to clawback following a lack of progress with the project. In 2012/13 Cabinet re-allocated £138,000 of the clawback to capital improvements to retail units in Northam Road.
14. Any release of clawback will be subject to approval of a business plan from WICT, and the issue of a funding agreement by the Council. The end-use of the clawback will be ring-fenced to the refurbishment of Acorn Enterprise Centre and the funding agreement will detail restrictions on the use of additional income generated for WICT. The clawback will be released in phased arrears once the works are completed and approved by a property surveyor.
15. The clawback amount forms approximately 26% of the £1.45M total cost of refurbishing the Acorn Enterprise Centre. WICT estimates its surplus from lettings in the Acorn Enterprise Centre will increase in the short/medium term by in excess of 100% as a consequence of refurbishment (up to £40,000 per annum). The Funding Agreement will state that all additional surplus generated through the investment of clawback will be ring-fenced to fund additional opportunities that increase the skills and employability of residents in the inner-city area. The outputs/outcomes generated through this additional activity are to be included by WICT in its newsletter, to ensure transparency in the future use of the clawback.

Property/Other

16. None

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

17. The award of this grant is undertaken in accordance with section 1 of the Localism Act 2011. The exercise of this power is subject to any precommencement restrictions or prohibitions contained in the statutory powers used to award individual grants.

Other Legal Implications:

18. It would be a requirement and pre-condition to the payment of any grant by the Council to WICT, that WICT should first enter into a Legal Charge in favour of the Council secured over a 10 year period against WICT's freehold interest in the Acorn Enterprise Centre, Empress Road, Southampton, such charge to be registered at Weymouth Land Registry. It is understood that there is already a first Legal Charge registered against Acorn Enterprise Centre in favour of National Westminster Bank plc; in all probability the Bank's first charge is an "all moneys" charge rather than a charge to secure a fixed sum. Accordingly WICT will be required to negotiate with NatWest (and also any other existing lenders should there be any) for each and every previous lender to enter into a separate Deed of Postponement with the Council, so as to ensure that the amount secured by the Council's Legal Charge would have priority to any further lending against prior charge(s). WICT should also be required to provide to the Council an up to date independent valuation of the Acorn Enterprise Centre, together with accurate information as to the amount currently owing to existing lenders, to enable the Council to be clear that sufficient equity does exist in the property in order adequately to cover the amount of the grant. WICT should also provide to the Council a full report on title to the Acorn Enterprise Centre, to include appropriate searches and on terms which are acceptable to the Council, to include for example verification that any subletting is on satisfactory terms and not such as to jeopardise the security being offered to the Council. Similarly WICT should verify that (a) all lettings and usage of the property shall only be in accordance with the business plan previously provided to the Council and (b) all planning and other requisite approvals for the existing use of the property have been obtained and will at all times be complied with.
19. 'Sufficient safeguards will be contained within the funding agreement with West Itchen Community Trust to ensure that the monies are paid only by stage payments and therefore any risk of non-completion is as reduced as it can reasonably be
20. The Council has considered the legal position in relation to State Aid and is satisfied that the payments do not constitute State Aid in the circumstances

POLICY FRAMEWORK IMPLICATIONS

21. The proposals contained within this report are consistent with and not contrary to the Council's policy framework

KEY DECISION? Yes

| | |
|-----------------------------|--------------------------|
| WARDS/COMMUNITIES AFFECTED: | Bevois and Bargate Wards |
|-----------------------------|--------------------------|

SUPPORTING DOCUMENTATION

Appendices

| | |
|----|--|
| 1. | Acorn Enterprise Centre Redevelopment Business Plan Appendices; A. Map of WICT Area B. Site plans and planning statement C. GLEADS Cost Analysis D. Business Rates Assumptions |
|----|--|

Documents In Members' Rooms

| | |
|----|------|
| 1. | None |
|----|------|

Equality Impact Assessment

| | |
|---|----|
| Do the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out | No |
|---|----|

Other Background Documents

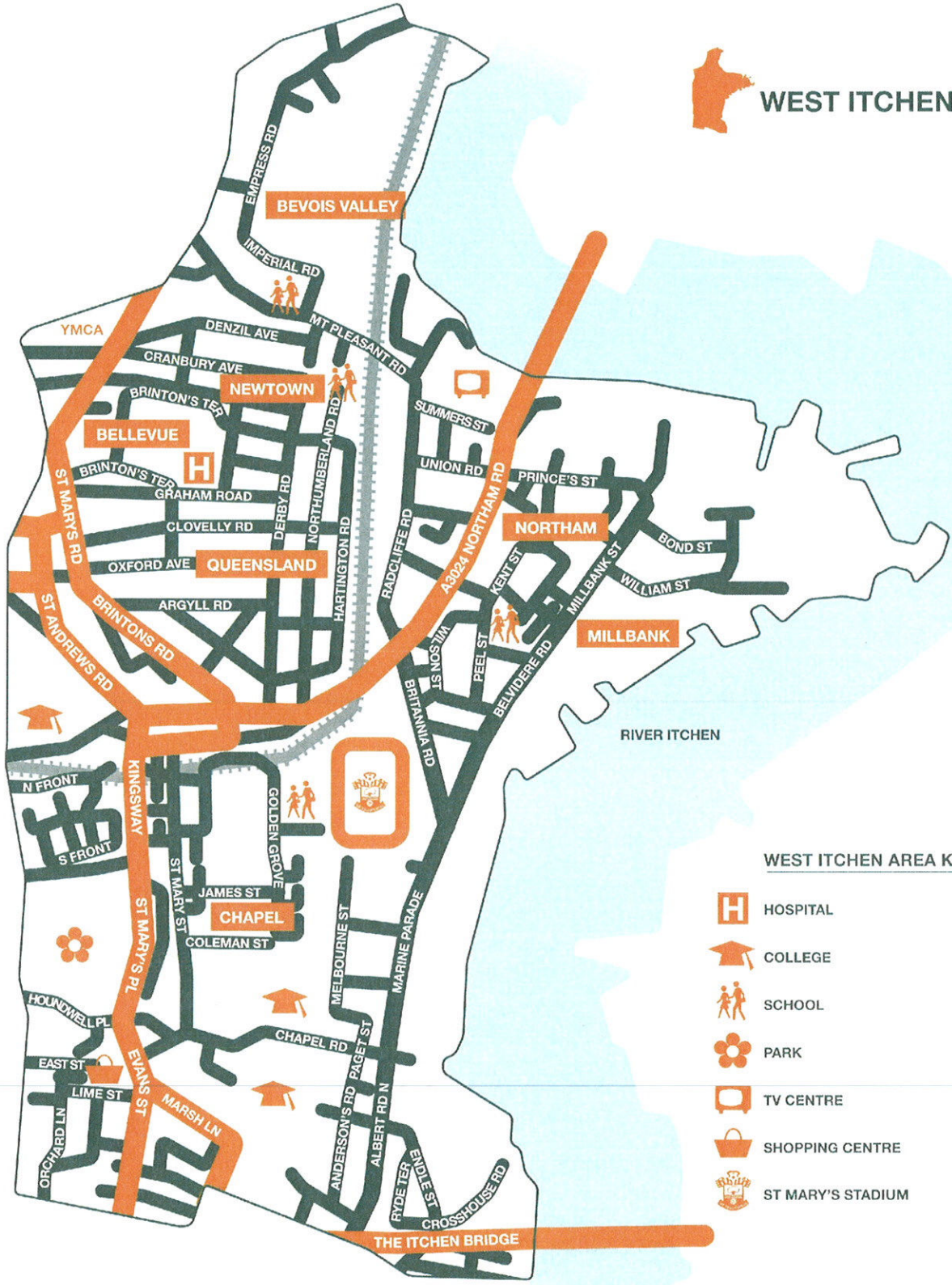
Equality Impact Assessment and Other Background documents available for inspection at: The Regeneration and City Limits Employment Office, East Wing, Ground Floor, Civic Centre

Title of Background Paper(s) Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

| | | |
|----|--|---|
| 1. | Acorn Enterprise Centre Redevelopment Business Plan 2013 - June 2013 (West Itchen Community Trust) | Appendix is confidential, the confidentiality of which is based on category 3 of paragraph 10.4 of the Council's Access to Information Procedure Rules. It is not in the public interest to disclose this because it is considered that publication of this information is likely to prejudice the business and commercial affairs of West Itchen Community Trust by disclosing information that would ordinarily be confidential in this context and if disclosed, would be likely to give competitors an unfair advantage |
|----|--|---|

Agenda Item 17

Appendix 1

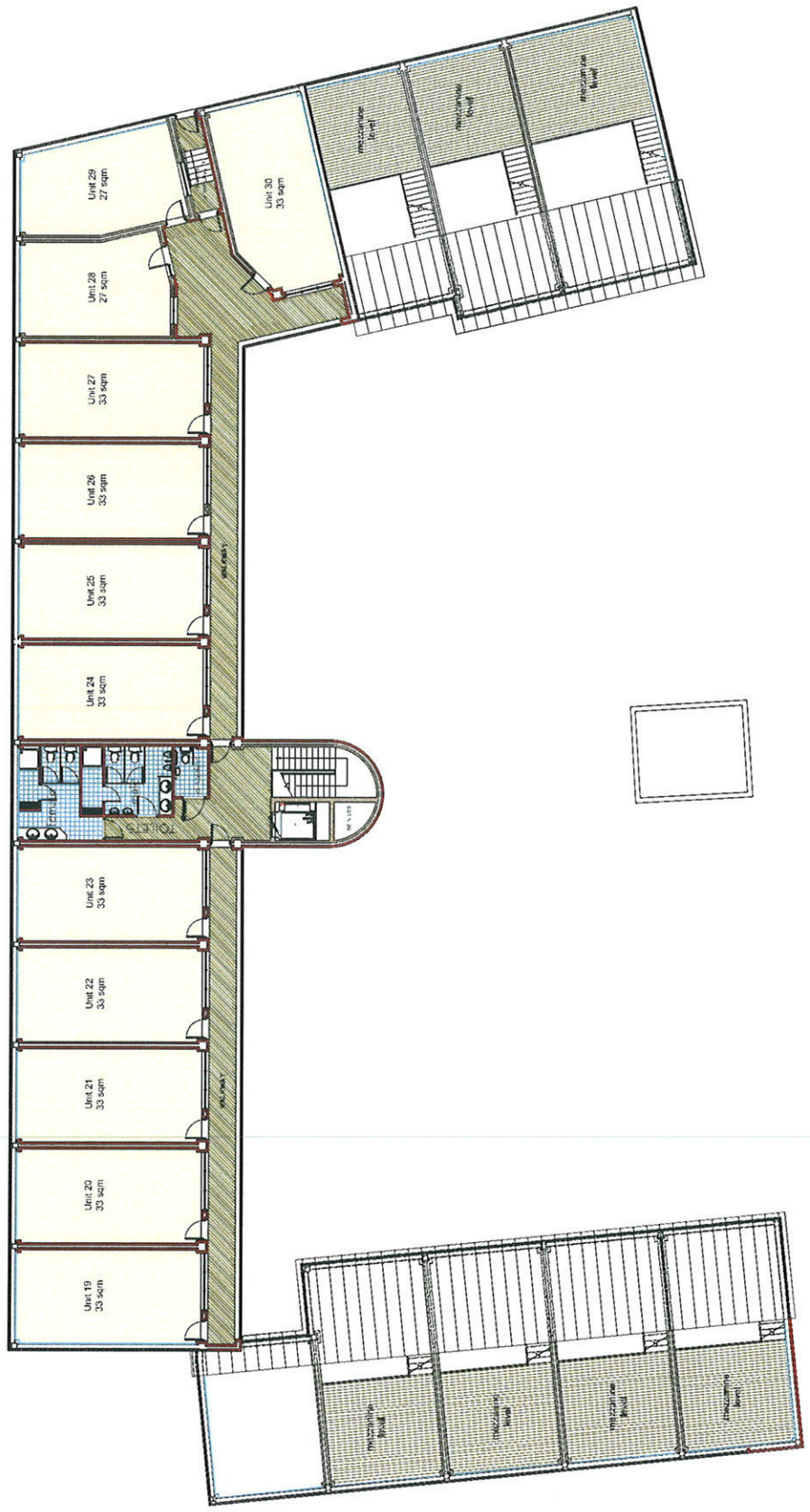


WEST ITCHEN AREA KEY

- HOSPITAL
- COLLEGE
- SCHOOL
- PARK
- TV CENTRE
- SHOPPING CENTRE
- ST MARY'S STADIUM

Acorn Business Park Proposal

NOTES:
 1. THIS DRAWING IS THE PROPERTY OF THE ARCHITECT AND SHOULD NOT BE REPRODUCED OR COPIED IN ANY MANNER WITHOUT THE WRITTEN PERMISSION OF THE ARCHITECT.
 2. THIS DRAWING IS FOR INFORMATION ONLY AND DOES NOT CONSTITUTE A CONTRACT.
 3. THE ARCHITECT IS NOT RESPONSIBLE FOR THE ACCURACY OF ANY INFORMATION PROVIDED BY OTHERS.
 4. THE ARCHITECT IS NOT RESPONSIBLE FOR THE ACCURACY OF ANY INFORMATION PROVIDED BY OTHERS.



C. Plot Location: Unit 30, May 15
 D. Date: 3/06/2013
 A. Drawing No: 100/10013
 Rev. No. Date

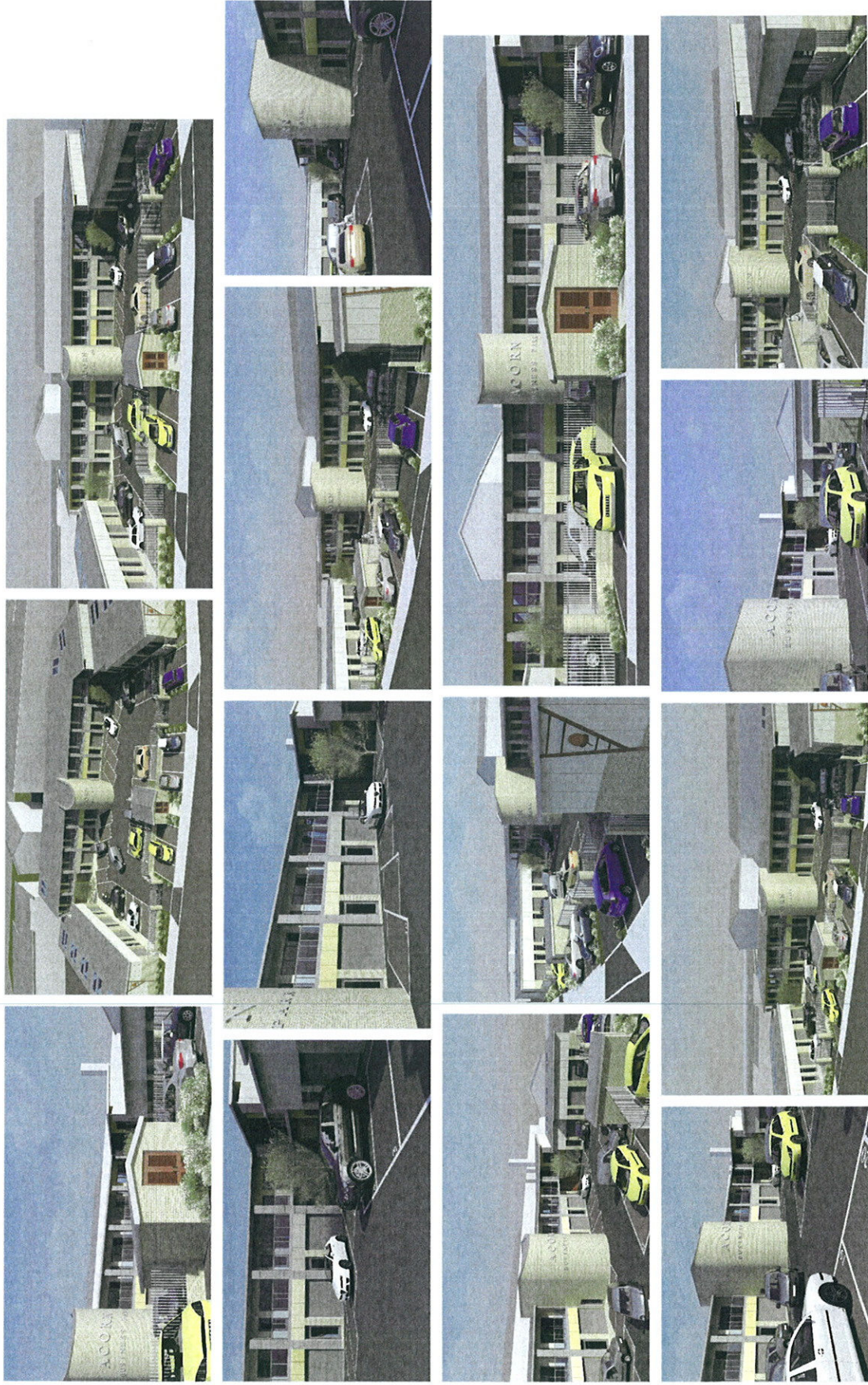
CHRIS EDMOND ASSOCIATES ARCHITECTS INTERIOR DESIGNERS
 1-3 Lyon Street
 Southampton
 Hampshire SO14 0LD
 Tel: 07030 888888
 Fax: 07030 888889
 www.chrisedmondassociates.co.uk

Job Title: Proposed Enterprise Units
 Client: Enterprise Road, Southampton
 Designer: West Itchen Community Trust
 Drawing Title: Planning Application
 Proposed Floor Plan
 First Floor Plan
 Date: 03/06/2013
 Drawn: [Name] Checked: [Name]
 Job No: 10013
 Scale: 1:100


PROPOSED FIRST FLOOR PLAN - SCALE 1:100

Acorn Business Park Proposal

NOTES:
 1. All images are for illustrative purposes only and are not intended to represent any specific site or location.
 2. The images are for illustrative purposes only and are not intended to represent any specific site or location.
 3. The images are for illustrative purposes only and are not intended to represent any specific site or location.
 4. The images are for illustrative purposes only and are not intended to represent any specific site or location.
 5. The images are for illustrative purposes only and are not intended to represent any specific site or location.
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 9. The images are for illustrative purposes only and are not intended to represent any specific site or location.
 10. The images are for illustrative purposes only and are not intended to represent any specific site or location.



1:1 Scale
 Date: 13/01/18

| | |
|--|------------------------------|
|  CHRIS EDMOND ASSOCIATES ARCHITECTS INTERIOR DESIGNERS 1-3 Lyon Street Southampton Hampshire SO1 14 QLD Tel: 023 8022222 Fax: 023 8022222 www.chrisedmondarchitects.co.uk | |
| Job Title | Proposed Enterprise Units |
| Client | Enterprise Road, Southampton |
| Client | West-Itchen Community Trust |
| Drawing Title | Planning Application |
| 3D IMAGES | |
| Preliminary 3D Images | |
| Drawn | CPH |
| Checked | AM |
| Date | 13/01/18 |
| Job No | 31001 |
| Draw No | 136 |
| Rev | A |

31001
Acorn Enterprise Centre

DESIGN and ACCESS STATEMENT

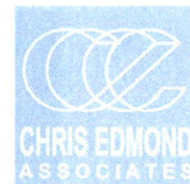
Planning Application for
Proposed Industrial Units B1 (a-c)

at

ACORN ENTERPRISE CENTRE

for

West Itchen Community Trust

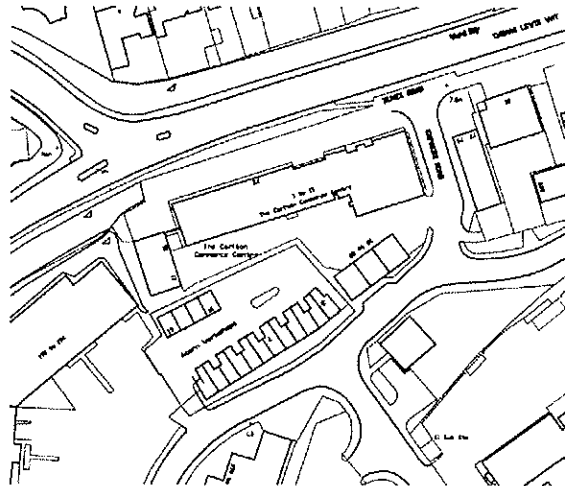


Chris Edmond Associates
1-3 Lyon Street
Southampton
SO18 3QD

Tel:02380 228923

1.0 Introduction

- 1.1 West Itchen Community Trust Ltd are established to further the interests of the local community, including providing employment opportunities.
- 1.2 The Trust presently own and lease existing converted house units for start-up and small business concerns. The properties are not purpose designed and have less than 40% occupancy.
- 1.3 The properties, although built as terraced houses, are in an industrial area and inappropriate in their design. There is a rear purpose built industrial unit which is slightly newer.
- 1.4 The proposed is to demolish these existing properties and build a new Enterprise Park consisting of small industrial units with separate let office areas to the first floor B1(a-c).



Site Location Plan



Aerial View

2.0 The Site

- 2.1 The site consists of a row of former 2 storey block of twelve terraced properties which have been converted for B1 business use. There is a newer single storey Industrial Unit to the rear, which although newer will be redeveloped following decanting of present occupiers.
- 2.2 The properties are not in a good state of repair and are not inviting for occupants or visitors. Their residential form is totally inappropriate to the industrial area.
- 2.3 The site is served from Empress Road, which in turn links to Thomas Lewis Way, and out of the City. The site also adjoins Bevois Valley Road, linking directly to all parts of the city. The site is near to a main railway station and the area is frequented by large and small lorries which service the industrial community.
- 2.4 The site is surrounded by large and medium sized industrial units, mostly steel and panel construction.
- 2.5 There is a large car park at the rear. It is surrounded by retaining walls with surrounding development north of the site a storey higher.



Empress Road Frontage



Entrance to Site from Empress Road



Entrance to Site and End of Terrace



Site looking South to Vehicular Entrance
new Industrial Unit West



Empress Road looking South



Front Entrance to Empress Road



Rear of Site looking North



Rear of Site Looking West



Car Park Looking South



End of Site North Rear

2.6 The site area is 2090m²/ 0.21 hectare with a frontage of 63.5m and a depth of 35m. The site is generally rectangular in form with a side entrance shared with the adjoining commercial premises.

3.0 Proposals

3.1 The primary proposal is to provide leasehold small industrial units 35-60sqm of different sizes and for different uses under classification B2 light industrial.

3.2 The industrial units will have a pedestrian entrance and industrial roller shutter doors with services provided. There will be the facility in some units for a Mezzanine level for storage and/or administration area.

3.3 The first floor to be divided into small office areas served from an open balcony access from the central stairs and lift.

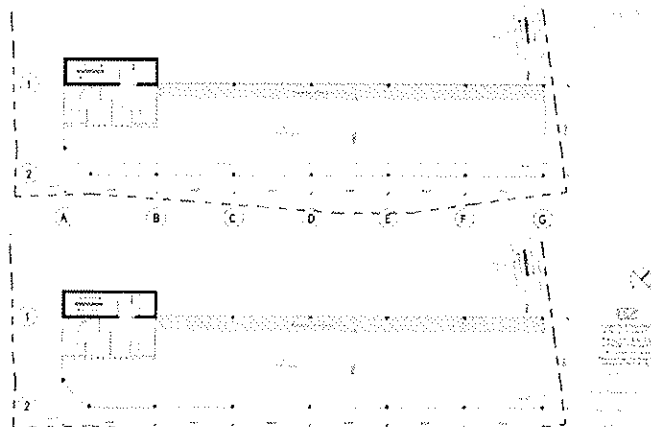
3.4 Toilets and showers are provided at a central point, with the lift giving direct access to all units, both floors. There is an enclosed cycle store.

3.5 The whole site is walled and/or fenced to give security at all times and with electronically secure gates.

3.6 A central bin storage area, with normal and recycle facilities, is provided centrally and away from the units, all close to the Public Highway for collection.

3.7 Several configurations were initially investigated, based around car access and parking.

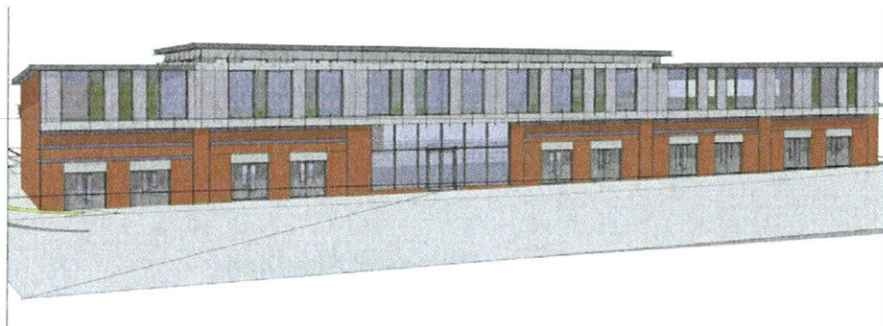
- Site access, as existing, with frontage development, and some rear development.
This was dismissed as industrial units would directly face the street and be dual access by necessity. Car parking would be at the rear.



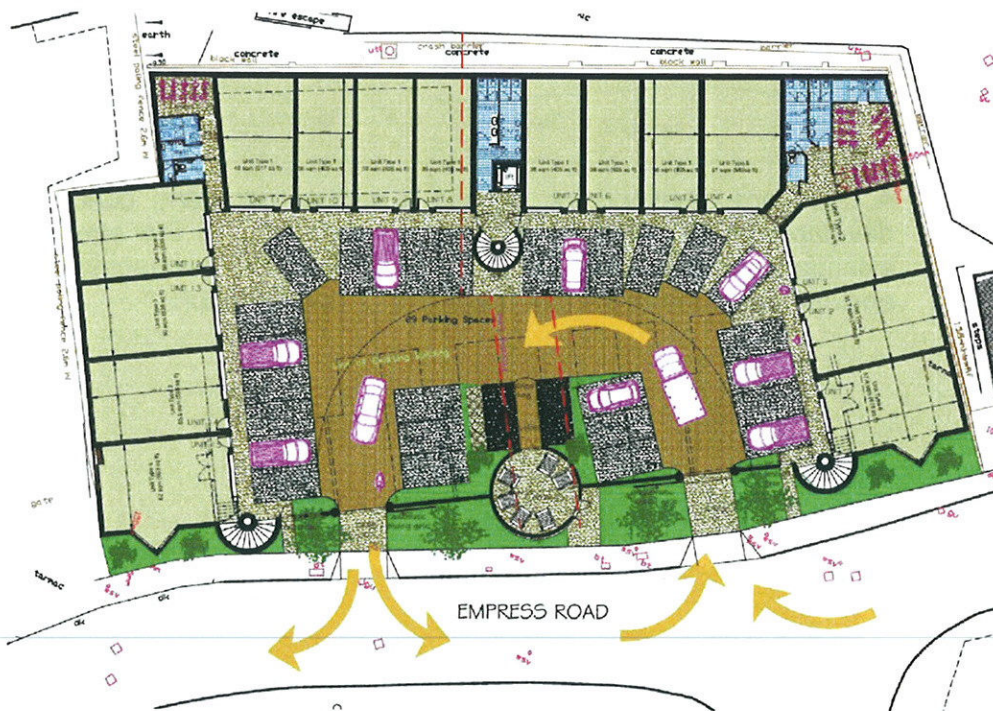
- Back to back development along the middle of the site. This is probably the cheapest form of development but splits the site into two car parking areas and makes central toilets difficult. This scheme was dismissed.



- A courtyard development, around a central car park, concentrating development to the rear of the site, and open to the street. The existing entrance would be blocked off and the development would enclose each end of the site making a 'U' configuration.



- 3.8 A primary consideration is vehicular access and car parking for users of the site.
- A central large access was considered but lost parking space and was opposite an existing entrance on Empress Road. Security would be easier.
 - A circular access and egress one way system was proposed. Each access point could have a secure sliding gate and parking would be easier and produce greater parking numbers.
 - The central part of the site would be used for rubbish collection and removal. The egress would not be located opposite the junction.
- 3.9 The courtyard option was adopted with one way vehicular movement and secure enclosed fencing.



Proposed Site Plan

- 3.10 The centre will have a feature protruding staircase, giving identity to the Enterprise Centre and central toilets.
- 3.11 Proposals include a bike store in the north east corner.
- 3.12 Pedestrian access is via secure gates, one on each side, and telephone entry system. There would be a postal pass period over the access code.
- 3.13 There is an open car park with one space fronting each unit. Visitors car spaces are located outside the secure area on the back edge of the pavement. There is a large supermarket car park near to the site and some on-road parking.

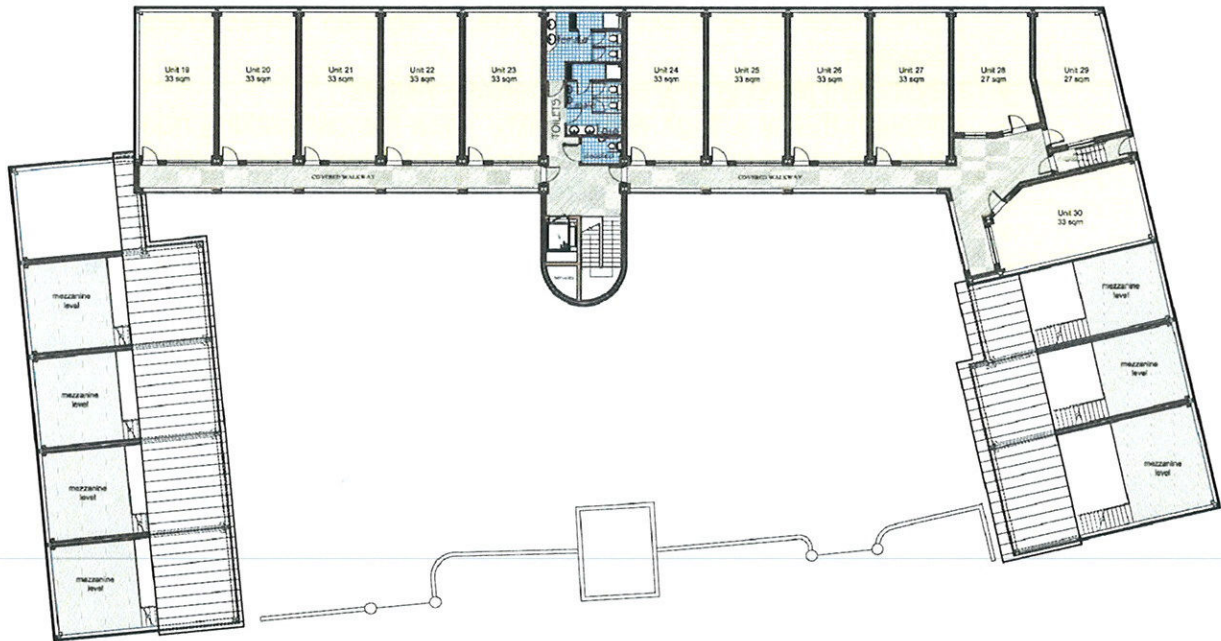
4.0 PRE-APPLICATION RESPONSE

- 4.1 A favorable pre-application response ref: 11/01809/PREAP1, was received on 03 January 2012 following a meeting with the Case Officer on 13 December 2011.
 - The land is safe guarded for B1(b) and (c) under Policy RE1 11 of the Local Plan Review.
 - There is no principle Policy objection to the proposals.
 - The first floor can be supported as B1(a) use only.
 - The design was acceptable in terms of scale and design
 - Consideration to be given for frontage development. This was proved later to be unworkable. The 'U' shaped development was accepted.
 - Insufficient parking proposed especially visitors.
Although this is a 'high accessibility' zone the car parking numbers have increased with visitors parking on the back edge of paving. 1 for 1 car parking preferred. Green Travel Plan required.
 - Sight lines should be considered at the egress point for vehicles.
 - Suggest centralizing toilet facilities and separate large bike store, more efficient use of space.
 - Transport proposals including trip rates
 - Flood Risk Assessment
 - Section 106 Contributions.

Final Proposals



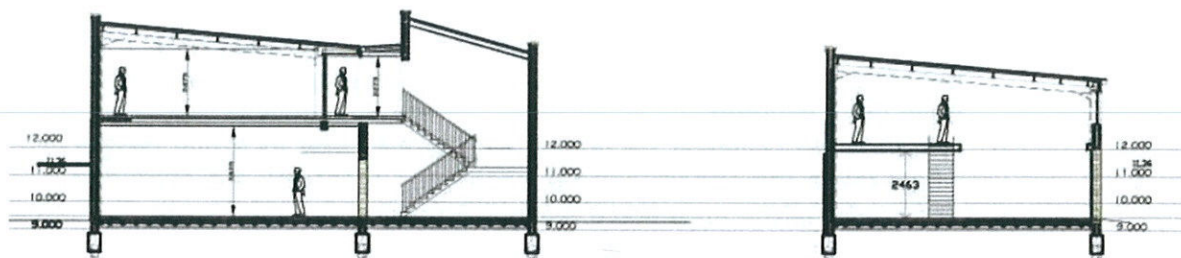
Front Elevation



First Floor Plan



Ground Floor Plan



Sections

4.0 Planning Policy

The Planning Policies referred to are:

- PPS4 Planning for Sustainable Economic Growth
- Southampton City Council Core Strategy Development Plan (Jan 2010)
- City of Southampton Local Plan Review March 2006

4.1 Empress Road Industrial Estate is an area safeguarded for industry and warehousing B1, B2 and B8, as set out in REI 10 of the City of Southampton Local Plan Review.

4.2 Every opportunity needs to be given for providing development which would encourage employment opportunities in compliance with 4.6 for the Core Strategy and Policy EC2.1 of PPS4

PPS4 Policy CE2.1/d

4.3 The policy EC2.1/d *“seeks to make the most efficient and effective use of land, prioritizing previously developed land which is suitable for reuse”*

This is an existing but inappropriate commercial development, which is suitable for replacement with an increased number of units in a modern context.

Policy CE2.1

4.4 *“Change in employment patterns, business size and economic activity”*

all play a part in new light industrial development, modern in design, with flexibility in size of units and leasing arrangements for start-up businesses.

Policy CE10.2

4.5 The proposal complies with the planning of economic development in

- a. The accessibility of the proposal by a choice of means of transport including walking, cycling, public transport and the car, the effect on local traffic levels and congestion (especially to the trunk road network) after public transport and traffic management measures have been secured.*
- b. Whether the proposal secures a high quality and inclusive design which takes the opportunities available for improving the character and quality of the area and the way it functions.*
- c. The impact on economic and physical regeneration in the area including the impact on deprived areas and social inclusion objectives.*
- d. The impact on local employment.*

Policy EC 18 Parking

- 4.6 The proposals meet with local maximum car parking standards, with 1 space per industrial unit and visitor's spaces.

The site is defined as high accessibility and near to local buses in Bevois Valley, railway station at St. Denys and with good links to the City and the M27 motorway.

Core Strategy

- 4.7 CS13 Fundamentals of Design
- The design is a modern industrial units in keeping with other industrial units in the area.
 - The site is well connected to the rest of the City and motorway and therefore sustainable
 - The site has a walled an fenced perimeter, with a secure frontage gate for vehicles and pedestrians. The site is therefore designed to reduce the risk of crime.

4.8 **CS18 Transport**

The site is within a High Accessibility area, with an established access for lorries, directly linking to the M27, by Thomas Lewis Way, and to the rest of the City.

4.9 **CS19 Car and Cycle Parking**

Car parking to maximum standards

B1 – 1 space/ 45sqm

A2 - 1 space/ 20sqm

Secure bicycle parking to local standards

B1 – 1 space per 100m²

A2 - 1 space per 200m² and visitors loops

4.10 **CS20**

An Energy Report is attached to the Detail Planning Application.

4.11 **CS23 Flood Risk**

The site is on the edge of 'High Risk' Flood Zone. A Flood Report will form part of the Detailed Planning Application.

The proposal, and pedestrian access, will be above the predicted flood level with mitigating measures in case of flood.

5.0 Conclusion

- 5.1 This is a fairly straightforward replacement of existing Industrial Units by new purpose built unit within and existing established Industrial and Warehouse area.
- 5.2 The Proposals meet with National and Local Policy.
- 5.3 New Development is flexible in size, to meet current demand for start up business, within a modern Industrial Building design.

31001
Acorn Enterprise Centre

| | Unit Rate | Cost £ | % of Total | £/m ² GIA 1,217 |
|---|---|------------------|---------------|-------------------------------|
| Project Description | The Construction of industrial unit development with office facilities, amenities area, staff welfare and associated external works including the demolition of existing buildings and car parking. | | | |
| Project Location | Empress Road, Southampton | | | |
| Contract Type | Cost Plan Only | | | |
| Gleeds Office | Southampton | | | |
| Gleeds Contact | Neil Rooker | | | |
| 0 | <u>FACILITATING WORKS</u> | 30,000 | 2.68 | 24.65 |
| 1 | <u>SUBSTRUCTURE</u> | 215,425 | 19.27 | 177.01 |
| 2 | <u>SUPERSTRUCTURE</u> | 487,168 | 43.58 | 400.30 |
| 3 | <u>INTERNAL FINISHES</u> | 32,555 | 2.91 | 26.75 |
| 4 | <u>FITTINGS, FURNISHINGS AND EQUIPMENT</u> | 2,300 | 0.21 | 1.89 |
| 5 | <u>SERVICES</u> | 191,735 | 17.15 | 157.55 |
| 8 | <u>EXTERNAL WORKS</u> | 158,710 | 14.20 | 130.41 |
| Total of Building Work | | 1,117,893 | 100.00 | 918.56 |
| | Preliminaries | 11.00% 122,968 | 11.00 | 101.04 |
| BUILDING WORKS (including Preliminaries) | | 1,240,861 | 111.00 | 1,019.61 |
| | Overheads and Profits | 4.00% 49,634 | 4.44 | 40.78 |
| TOTAL BUILDING WORKS ESTIMATE | | 1,290,495 | 115.44 | 1,060.39 |
| | Risk Allowance/Contingency | 1.55% 20,000 | 1.79 | 16.43 |
| COST LIMIT (excluding inflation) | | 1,310,495 | 117.23 | 1,076.82 |
| Total | | 1,310,495 | | |

Theoretical Changes: Acorn Rateable Values

| Existing Unit No | m ² | RV | ERV/m ² | Rates Payable Based on Current Multiplier (assume Small Business @ 0.462p) | Proposed Unit No | m ² | Assumed Rates Payable Based on Av ERV/m ² (£67.58) |
|------------------|----------------|-------------------|--------------------|--|------------------|----------------|---|
| 1 | 56.6 | £3,650 | 64.49 | £1,686 | 1 | 45.00 | £3,041 |
| 2 | 56.6 | £3,650 | 64.49 | £1,686 | 2 | 45.00 | £3,041 |
| 3 | 57.0 | £3,700 | 64.91 | £1,709 | 3 | 45.00 | £3,041 |
| 4 | 56.2 | £3,650 | 64.95 | £1,686 | 4 | 45.00 | £3,041 |
| 5 | 55.9 | £3,600 | 64.40 | £1,663 | 5 | 31.00 | £2,095 |
| 6 | 56.6 | £3,650 | 64.49 | £1,686 | 6 | 33.00 | £2,230 |
| 7 | 55.5 | £3,600 | 64.86 | £1,663 | 7 | 33.00 | £2,230 |
| 8 | 56.2 | £3,650 | 64.95 | £1,686 | 8 | 39.00 | £2,636 |
| 9 | 52.9 | £3,400 | 64.27 | £1,571 | 9 | 39.00 | £2,636 |
| 10 | 56.2 | £3,650 | 64.95 | £1,686 | 10 | 39.00 | £2,636 |
| 11 | 56.2 | £3,650 | 64.95 | £1,686 | 11 | 39.00 | £2,636 |
| 12 | 54.9 | £3,550 | 64.67 | £1,640 | 12 | 39.00 | £2,636 |
| 13 | 32.8 | £3,000 | 91.46 | £1,386 | 13 | 39.00 | £2,636 |
| 14 | 31.8 | £3,050 | 95.91 | £1,409 | 14 | 45.17 | £3,053 |
| 15 | 56.2 | £3,000 | 53.38 | £1,386 | 15 | 33.62 | £2,272 |
| 16 | 28.9 | £3,000 | 103.84 | £1,386 | 16 | 42.20 | £2,852 |
| | 820.5 | £55,450.00 | | £25,618 | 17 | 45.75 | £3,092 |
| | | | | | 18 | 61.00 | £4,123 |
| | | | | | 19 | 33.00 | £2,230 |
| | | | | | 20 | 33.00 | £2,230 |
| | | | | | 21 | 33.00 | £2,230 |
| | | | | | 22 | 33.00 | £2,230 |
| | | | | | 23 | 33.00 | £2,230 |
| | | | | | 24 | 33.00 | £2,230 |
| | | | | | 25 | 33.00 | £2,230 |
| | | | | | 26 | 33.00 | £2,230 |
| | | | | | 27 | 33.00 | £2,230 |
| | | | | | 28 | 27.00 | £1,825 |
| | | | | | 29 | 27.00 | £1,825 |
| | | | | | 30 | 33.00 | £2,230 |
| | | | | | | | £75,877 |

Av ERV/m² £67.58

SUMMARY

Existing Rates Payable £25,618

Proposed Rates Payable £75,877.45

(assumes 100% unit contribution)

Theoretical Monetary Increase

Theoretical % Increase 196%

| | | | |
|-------------------------------|--|---|---------------------------|
| DECISION-MAKER: | CABINET MEMBER FOR CHILDREN'S SERVICES | | |
| SUBJECT: | SPECIAL EDUCATION NEEDS STRATEGY | | |
| DATE OF DECISION: | 16 JULY 2013 | | |
| REPORT OF: | HEAD OF EDUCATION | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | Dr Julia Katherine | Tel: 023 8083 3470 |
| | E-mail: | Julia.katherine@southampton.gov.uk | |
| Director | Name: | Alison Elliott | Tel: 023 8080 2602 |
| | E-mail: | Alison.elliott@southampton.gov.uk | |

| |
|-------------------------------------|
| STATEMENT OF CONFIDENTIALITY |
| None |

BRIEF SUMMARY

The purpose of this paper is to ask Members to adopt a new Special Educational Needs (SEN) Strategy for 2013-2016. There are significant changes to the SEN system nationally as specific in the Children & families Bill 2013 which is currently going through parliament. The reforms are due to come into force in September 2014 so the new strategy will support the local authority to prepare for and meet the new statutory requirements.

The strategy sets out the vision for services, gives details of the national and local context and presents the fifteen strategic objectives to improve services and the support provided to children and young people.

RECOMMENDATIONS:

- (i) To adopt the new SEN Strategy for 2013-2016 attached at Appendix 1.

REASONS FOR REPORT RECOMMENDATIONS

1. From September 2014 there will be new statutory requirements on local authorities around services and support for children and young people with Special educational Needs. The SEN Strategy will support the local authority to plan for meeting all of the requirements.
2. Local needs assessments and service reviews have identified a number of areas for service improvement, many of which overlap with the Government's SEN reforms. The strategy will bring together recommendations from these reviews and provide one single action plan to address them.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

3. It is essential that Local Authorities have an SEN Strategy in place and that services plan for how they will implement the changes outlined in the Children & Families Bill 2013. Alternative options have therefore been considered and rejected as not having an SEN Strategy will make it more difficult to coordinate actions from such a wide range of staff and organisations.

Alternative strategic objectives were considered during the consultation period and have been included in the final strategy.

DETAIL (Including consultation carried out)

4. Around 6,650 (23%) of school pupils in Southampton are identified as having Special Educational Needs, the majority can be supported with extra help within school. Around 670 children and young people (2.8% of all pupils) have a statement of SEN which sets out the support the local authority and schools will provide to support them, there is an absolute duty to provide the support set out in the statement.
5. The government's SEND reforms are focussed on support for those aged 0 up to 25 years of age, particularly around:
 - Developing integrated assessments that result in Education, Health & Care Plans (EHCPs)
 - Trialling the use of Personal Budgets within education, health and social care settings
 - Development of a Local Offer
6. Since September 2011, Southampton City Council and the partner health authority have been trialling these reforms as one of 20 pathfinder areas across the country. There have been significant successes within the pathfinder and Southampton has led the way nationally on many aspects of the work particularly around the development of integrated assessments and co-ordinated Education, Health & Care Plans. The SEN strategy builds upon these successes and supports the local authority to prepare for the new statutory requirements from September 2014 by continuing with the current work and expanding it across the city.
7. Consultation took place on the strategic objectives to be included in the SEN Strategy from December 2012 to February 2013. A consultation document was sent to a wide range of stakeholders including:
 - Managers in Southampton City Council – Children's Services
 - Stakeholders involved in the SEND Pathfinder project
 - Voluntary organisations who work with children and young people
 - Chairs of the primary, secondary and special school head teacher forums
 - Governors of all schools in Southampton
 - Health professionals and managers
8. There were a total of 19 responses to the consultation. These were used to inform the final set of objectives within the strategy.
9. The key themes arising from the consultation were a broad agreement with the proposed strategic objectives, with particular emphasis around the importance of early identification and assessment of SEN, improving transitions between school and college and also strengthening multi-agency working to ensure support is provided holistically. Further consultation feedback is presented within an appendix to the SEN Strategy.

RESOURCE IMPLICATIONS

Capital/Revenue

10. Changes to SEN assessment processes and interventions will be managed within existing resources.
11. Establishment of a secondary Additionally Resourced Provision for Autism within a mainstream school will be financed from the High Needs Budget funded by Dedicated Schools Grant.

Property/Other

12. There are no property implications.

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

13. The Council has a variety of statutory powers and duties in relation to the identification and delivery of educational support for Special Educational Needs and Disability in maintained schools contained within the Education Act 1996, as amended, and the Learning & Skills Act 2000. The new statutory requirements come from the Children & Families Bill 2013 which is expected to come into force in September 2014 subject to receiving Royal Assent.

Other Legal Implications:

14. The proposals in the strategy have been formulated having regard to the Council's statutory duties under the Equalities Act 2010 and the Human Rights Act 1998. Further legal implications in this regard are referenced in the strategy itself.

POLICY FRAMEWORK IMPLICATIONS

15. This proposal is in accordance with the Children and Young People's Plan.
16. This proposal is in accordance with the draft Joint Commissioning Strategy for Disabled Children and Young People currently being developed by Southampton City Council and Southampton City Clinical Commissioning Group

KEY DECISION? Yes

| | |
|-----------------------------|-----|
| WARDS/COMMUNITIES AFFECTED: | All |
|-----------------------------|-----|

SUPPORTING DOCUMENTATION

Appendices

| | |
|----|--------------------------|
| 1. | SEN Strategy 2013-2016 |
| 2. | SEN Strategy Action Plan |

Documents In Members' Rooms

| | |
|----|------|
| 1. | None |
|----|------|

Equality Impact Assessment

| | |
|--|-----|
| Do the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out. | YES |
|--|-----|

Other Background Documents

Equality Impact Assessment and Other Background documents available for inspection at:

Title of Background Paper(s)

Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

| | | |
|----|----------------------------|--|
| 1. | Equality Impact Assessment | |
|----|----------------------------|--|

Special Educational Needs Strategy

Southampton City Council

2013-2016

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1. Vision

The overarching vision of this strategy is for all children and young people in Southampton with Special Education Needs (SEN) to receive high quality educational support that enables them to thrive and prosper as individuals.

We will achieve this through:

- Working together to deliver high quality multi-agency assessments to identify strengths and needs.
- Delivering flexible, personalised support through high quality provision.

2. Strategic Objectives

Through consultation with key stakeholders, the following strategic objectives have been agreed:

1. To ensure there are clear processes in place for the **early assessment and identification of SEN** in order to enable the council to make informed decisions on the most appropriate provision and resource for a child or young person, and for the council to meet statutory duties.
2. To ensure that there is a **flexible continuum of high quality educational provision for children with SEN and disabilities (SEND)**, including support and training for staff in mainstream schools, specialist additionally resourced provision within mainstream schools and specialist provision. The council will aim to build capacity and enhance quality through the development of centres of excellence and good practice.
3. To work with schools to monitor and **improve attendance and attainment** of children and young people with SEN and disabilities in mainstream and special education provision.
4. To improve processes for more **robust SEND place planning** through joint working with the schools' infrastructure team.
5. To **improve transition into school and from primary to secondary school** through better links between Early Years providers and practitioners and schools and services that support school age children.

6. To **improve transition to post-16 and adult services** through multi-agency transition planning across the age range to improve outcomes for children and young people.
7. To continue to be at the **forefront of new and emerging good practice in the field of SEN**, including the implementation of the new integrated assessment and Single Education, Health and Care Planning processes (0 to 25 years) in readiness for the new SEN and disabilities legislation to replace the statementing process from 2014.
8. To **strengthen multi-disciplinary and multi-agency working** in order to ensure that children and young people benefit from the specialist expertise of a wide range of professionals working in collaboration and adhering to inclusive principles.
9. To continue to **develop a multi-agency integrated assessment and support service** in order to make better provision for children and young people with SEN and disabilities.
10. To ensure there are **open and accountable processes for agreeing and allocating resources**, including the use of personal budgets where appropriate, based on a thorough assessment of needs.
11. To develop **service delivery models that empower children and young people**, their families and the professionals who support them, that build capacity and sustainability.
12. To **promote pupil participation in all areas of service delivery**, including through the increased use of Person Centred Planning and embedding the use of Person Centred Planning in the Integrated Assessment and review process.
13. To ensure that an audit is carried out of SEN expertise within children's services and this is used to inform the **provision of planned and evaluated workforce development opportunities**.
14. To work with parents/carers to provide accessible information on the range of resources available in the city across education, health and social care for children and young people with SEN and disabilities. This will be published in the **Local Offer**.
15. To implement the recommendations from the review of SCC services for **children and young people with hearing impairments**.

The delivery of these strategic objectives will be achieved through an Action Plan that will be regularly reviewed and monitored to ensure that there is good progress towards the delivery of these Objectives.

3. National Context

Definition of SEN and Disability

The SEN Code of Practice defines that a child has special educational needs if they have a learning difficulty which calls for special educational provision to be made for them and that:

Children have a learning difficulty if they:

- a) Have a significantly greater difficulty in learning than the majority of children of the same age; or*
- b) Have a disability which prevents or hinders them from making use of educational facilities of a kind generally provided for children of the same age in schools within the area of the local education authority*
- c) Are under compulsory school age and fall within the definition at (a) or (b) above or would do so if special educational provision was not made for them.*

The new SEND reforms will continue to use this definition to define SEN.

The Equality Act 2010 defines that a person (P) has a disability if:

- a) P has a physical or mental impairment, and*
- b) The impairment has a substantial and long-term adverse effect on P's ability to carry out normal day-to-day activities*

There are an estimated 3,000 children and young people with disabilities in Southampton based on the Equality Act definition, however the majority will not need specialist support. It is estimated that around 800 children and young people (aged 0-25 years) have learning difficulties which require a statutory assessment and special educational provision to be made.

Pupils with SEN are currently classified into three distinct levels of provision of need, these are:

- School Action – where extra or different help is given, from that provided as part of the school's usual curriculum
- School Action Plus – where the class teacher and SENCO receive advice from outside specialists (e.g. a specialist teacher, educational psychologist, speech and language therapist or other health professional)
- Statement – a pupil has a statement of SEN when a formal assessment has been made. It is a document which sets out the child's needs and the extra help they should receive to meet these needs.

The SEND reforms propose to replace statements of SEN with a single assessment process and combined Education, Health and Care Plan (EHCP).

The School Action and School Action Plus categories are proposed to be replaced by a single school based SEN category.

The indicative SEN Code of Practice published in March 2013 indicates that there are likely to be four primary areas of Special Educational Need:

1. Communication and interaction;
2. Cognition and learning;
3. Emotional, social and behavioural development;
4. Sensory and/or physical

The governments proposed SEND reforms are set out in the 'Children & Families Bill 2013' which is available on the Department for Education website at:

<http://www.education.gov.uk/aboutdfe/departmentalinformation/childrenandfamiliesbill/a00221161/children-families-bill>

Needs & Trends

The 2012 national analysis of the numbers of children with SEN found that 1.62 million pupils had SEN which is 19.8% of all pupils. Of these children, 226,000 had a statement of SEN, 2.8% of all pupils.

Boys were two and a half times more likely to have statement of SEN at primary schools compared to girls and nearly three times more likely to have statements at secondary school.

Pupils with special educational needs were much more likely to be eligible for free school meals compared with those without SEN.

Of the pupils with statements or at School Action Plus, the most common type of primary need was 'Behaviour, Emotional and Social Difficulties' (21.9% of pupils) followed by 'Moderate Learning Difficulties' (21.7%) and 'Speech, Language and Communication Needs' (18.2%).

Looked after children were approximately three and a half times more likely to have SEN and ten times more likely to have a statement of SEN than all pupils.

From 2008 to 2012, the number of children with statements of SEN did not significantly change, remaining at 2.8% of all pupils every year.

From 2009 to 2012, the number of children with SEN but without a statement (i.e. at School Action or School Action Plus) reduced by 4%.

The increase in the birth rate and continued increase in the complexity of children's needs will add additional pressures to the SEND system.

In 2011, around 60% of children and young people with statements attended mainstream schools and 40% special schools.

4. Local Context

Needs & Trends

In Southampton around 6,650 pupils have been identified as having SEN (22.7% of all pupils); this is above the national average. Of these children, 670 have a statement of SEN (2.3% of all); this is below the national average. The number of children with statements of SEN in Southampton has increased from 581 in 2008 to 670 in 2012, an increase of 15% over the past four years. Around 1,600 children are in the 'School Action Plus' category and 4,400 at 'School Action'

Of the pupils either at School Action Plus or with a statement of SEN, the most common type of primary need is 'Behaviour, Emotional & Social Difficulties' (38% of total), followed by 'Moderate Learning Difficulty' (21%) and 'Speech, Language & Communication Need' (11%).

Around 63% of children who are looked after were classified as having some level of Special Educational Needs with 15% having a statement. These figures are both below the national averages.

In terms of school attainment, 10% of young people with a statement achieved five or more A* to C grades at GCSE level. For those with SEN at School Action and School Action Plus the figure was 59% achieving five or more. For comparison, the Southampton average for all pupils at key stage 4 is 78% achieving the national expectation.

In 2011, 47% of pupils with statements living in Southampton attended special mainstream schools and 53% attended special schools.

SEND Pathfinder

In September 2011, Southampton City Council in partnership with the Primary Care Trust (now Clinical Commissioning Group) were successful in a bid to become a Pathfinder for the proposed reforms to the SEND system. The main elements of pathfinding have been around:

- Establishing an integrated 0- 25 years assessment and interventions service – The Children and Young People's Development Service (CYPDS)
- Developing integrated assessments that result in Education, Health & Care Plans (EHCPs)
- Trialling the use of Personal Budgets within education, health and social care settings
- Development of a Local Offer

Southampton has provided key feedback and learning to the Department of Education in developing more detail around the SEND reforms and in March 2013 was notified that Southampton will be a 'Pathfinder Champion' the purpose of which is to support non-pathfinders in preparation for the reforms becoming law in September 2014.

5. Summary of Consultation

The consultation process around the strategic objectives needed within this strategy began in November 2012 with a discrete period of consultation over recommendations arising from a review of services for children and young people with hearing impairments. This consultation ended in December 2012 and resulted in most of the recommendations being agreed. The full consultation feedback is available in the appendices.

Running from December 2012 to February 2013, consultation over the strategic objectives needed in this strategy resulted in 18 responses from a range of stakeholders. The full consultation feedback is available in the appendices.



6. Action Plan

The initial action plan is attached to this strategy for information. The plan shows each of the strategic objectives and outlines how they will be achieved as well as timescales and who will be involved in achieving the objective. This plan will be regularly reviewed, monitored and evaluated, with amendments made in the light of changes to national and/or local needs or policies.

7. Conclusion

Through the work that Southampton has done as a Pathfinder Champion in the development of the new legislation that will come in for September 2014, the authority is as well placed as it can be to deliver on the new requirements that are set out in this strategy.

8. Appendix

| | |
|--|--|
| <p>Consultation feedback on recommendations arising from review of services for children and young people with hearing impairments.</p> |  <p>Summary of responses to HI review</p> |
| <p>Consultation feedback on strategic objectives for Special Educational Needs Strategy 2013-2016.</p> |  <p>SEN Strategy Consultation - summa</p> |

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Special Educational Needs Strategy

Southampton City Council

2013-2016

Action Plan

This action plan should be read in conjunction with the SEN Strategy 2013-2016 which provides a summary and context behind these strategic objectives.

| No. | Strategic Objective | Actions | Responsible Officer | Timescale |
|-----|--|--|---------------------|-----------|
| 1 | Early identification of SEN and timely intervention | <p>To establish new 0-25 process for multi-agency statutory assessment of SEND in line with requirements of the Children and Families Bill.</p> <p>To establish CYPDS Decision Panel to take over the functions of the SEN Panel.</p> | Julia Katherine | Sept 2013 |
| 2 | Flexible continuum of high quality educational provision for children with SEN | <p>To transfer delivery of Resource Provision for Learning Difficulties within mainstream settings to be delivered by one provider.</p> <p>To establish secondary Additionally Resourced Provision for Autism within a mainstream school.</p> <p>To explore different models of delivery for SEND provision</p> <p>SEN funding for early years places will follow the child and pre-funded SEN places will be removed.</p> | Julia Katherine | Sept 2013 |
| 3 | Improving attendance and attainment | SEND Inspector to monitor and regularly report on attendance and attainment of SEND | Julie Wharton | July 2014 |
| 4 | Robust SEN place planning | To establish regular meetings to forward plan for SEN provision required using existing information on pre-school children within the city. | Julia Katherine | Sept 2014 |
| 5 | Improve transition into school and from primary to secondary school | To prioritise Education, Health Care Plans (EHCPs) for children and young people with statements coming up to transition points in order to better plan for transition. | Julia Katherine | Sept 2014 |
| 6 | Improve transition to post-16 and adult services | To establish a process for assessment and EHCP planning for young people 16-25. | Julia Katherine | Sept 2014 |

| No. | Strategic Objective | Actions | Responsible Officer | Timescale |
|------------|---|--|-----------------------------|------------------|
| 7 | Be at the forefront of new and emerging good practice in the field of SEN | To establish a 0-25 multi-agency service to assess and support children and young people with SEND | Julia Katherine | Sept 2014 |
| 8 | Strengthen multi-disciplinary and multi-agency working | | | |
| 9 | Continue to develop integrated assessment and support services | To establish 0-25 multi-agency service to assess and support children and young people with SEND | Julia Katherine | Sept 2014 |
| 10 | Ensure there are open and accountable processes for agreeing and allocating resources | To establish CYPDS Decision Panel and develop Resource Allocation System for education. | Matt Harrison/Julie Wharton | Sept 2013 |
| 11 | Develop service delivery models that empower children and young people | To establish a focus group of young people to meet with annually to consult with in developments within SEND | Becky Davis/Julia Katherine | Sept 2014 |
| 12 | Promote pupil participation in all areas of service delivery | | | |

| No. | Strategic Objective | Actions | Responsible Officer | Timescale |
|------------|--|---|-------------------------------|------------------|
| 13 | Ensure there are planned and evaluated workforce development opportunities | To conduct needs audit across children's workforce and deliver a programme of workforce development to meet these identified needs. | Chris Talbot/Julia Katherine | Sept 2014 |
| 14 | Develop and publish a Local Offer | Cross reference to the Pathfinder Delivery Plan 2013/04 | Becky Davis | Dec 2013 |
| 15 | Implement recommendations from hearing impairment services review | Cross reference to hearing impairment action plan | Julie Wharton/Julia Katherine | Sept 2013 |

| | | | |
|-------------------------------------|--|---|---------------------------|
| DECISION-MAKER: | CABINET MEMBER FOR CHILDREN'S SERVICES | | |
| SUBJECT: | IMPLEMENTATION OF THE SOUTHAMPTON CITY COUNCIL ATTENDANCE POLICY | | |
| DATE OF DECISION: | 16 JULY 2013 | | |
| REPORT OF: | DIRECTOR OF PEOPLE | | |
| <u>CONTACT DETAILS</u> | | | |
| AUTHOR: | Name: | Dr Julia Katherine | Tel: 023 8083 3470 |
| | E-mail: | Julia.katherine@southampton.gov.uk | |
| Director | Name: | Alison Elliott | Tel: 023 8080 2602 |
| | E-mail: | Alison.elliott@southampton.gov.uk | |
| STATEMENT OF CONFIDENTIALITY | | | |
| None | | | |

BRIEF SUMMARY

Members are asked to reinforce the importance of school attendance through the adoption of a revised Attendance Policy. There is considerable evidence demonstrating the link between attainment and attendance. Even a seemingly small drop in attendance can have a real effect on outcomes.

The policy sets out the principles, roles and responsibilities as everyone strives to maximise school attendance. There has been an improvement of over 2% in attendance since 2007 as a result of the hard work of all involved. However, the picture nationally has also improved and the City is still 0.8% above the National average. This equates to about 38,000 school days of missed education across the City.

RECOMMENDATIONS:

- (i) To approve the revised School Attendance Policy, attached at Appendix 1.

REASONS FOR REPORT RECOMMENDATIONS

1. School attendance is a high priority for both the Council and schools. Whilst attendance has improved, our absence rates are consistently above the national rates and those of our statistical neighbours; although a considerable amount of excellent work has been done. Our aspiration for 2014 is to achieve an attendance rate of 94.9%.
2. Attendance is a critical factor in ensuring improved attainment and future life outcomes. It is central to social inclusion and has a major impact on a child's future life opportunities; equipping them to make good choices as young adults and citizens for themselves and for their communities. It is recognised that attending school regularly can be a protective factor for children; contributing to keeping them safe from harm and reducing their engagement in risky behaviours, anti-social behaviour and juvenile crime.

ALTERNATIVE OPTIONS CONSIDERED AND REJECTED

3. School attendance in Southampton, although improving, remains consistently behind the national rates and those of our statistical neighbours. The alternative to adopting this new City-wide attendance policy would be to continue with current approaches which are likely to result in a failure to achieve our target of 94.9% attendance for 2014.

DETAIL (Including consultation carried out)

4. Whilst further improvement in line with the policy will be the result of a relentless focus on attendance by everyone, there will be activities and changes to support the policy going forward. These are to:
 - Engage with key professional groups right across the Local Authority, the Health Sector, the Police and others to ensure that school attendance is a priority and that families are challenged with consistent messages from all.
 - Deliver an effective communication programme to all residents that promote the benefits of school attendance with parents and community groups.
 - Recommend to schools that they adopt a zero tolerance to absence for term time leave of absence unless there are exceptional circumstances.
 - Working with the Families Matter project where school attendance is one of the issues that affect the particular families.
5. The policy will be supported by guidance documents developed in partnership with schools that support them in their work with families in line with this policy and legal requirements.
6. Reducing absence rates will require the continued good work of parents, schools and local authority officers to address issues affecting attendance; strengthened by the rigorous implementation of new national guidance.
7. It will also require a broader ownership of issues relating to children's attendance; so that whilst the Local Authority will continue in its statutory duty to enforce regular school attendance; the role of families, communities and partner agencies in understanding and giving a consistent message to promote attendance, contributes to cultural change across the City.
8. Consultation has taken place with schools through an Attendance Conference on 6th March and a consultation event on 9th May. Consultation has taken place with partner agencies through the consultation event on 9th May and discussion at the Children and Young People's Trust Board on 22nd May. The events have generated broad support for the principles in this policy.

RESOURCE IMPLICATIONS

Capital/Revenue

9. There is a small resource available for communication of the strategy within the Children's Services portfolio budget. There may be an impact on the capacity of the Education Welfare Service and Legal Services if the policy results in an increase in prosecutions for non-attendance, but it is anticipated that this can be managed within existing resources.
10. There are no capital implications as a result of implementation.

Property/Other

- 11. There are no property implications.

LEGAL IMPLICATIONS

Statutory power to undertake proposals in the report:

- 12. Parents have a duty to secure the education of their children who are over compulsory school age by regular attendance at school by virtue of section 7 of the Education Act 1996. The Council has a duty to ensure sufficient school places are available to meet the needs of its area in accordance with section 13 of the Education Act 1996. The Council’s duties in relation to the enforcement of school attendance are set out in chapter II of the 1996 Act and the Education (Pupil Registration) (England) Regulations 2006. From 1st September 2013, those Regulations will be amended by the Education (Pupil Registration) (England) (Amendment) Regulations 2013 which will limit the power of Headteachers to grant leave of absences during term time to cases of “exceptional circumstances”. The number of days such an exception may be granted for is at the discretion of the Headteacher. Amendments to penalty notice provisions will also be introduced by the Education (Penalty Notices) (England) (Amendment) Regulations 2013 to make the issue of penalty notices and prosecutions quicker.

Other Legal Implications:

- 13. The impact of the policy is not expected to negatively affect any group having protected characteristics under the Act.

POLICY FRAMEWORK IMPLICATIONS

- 14. This proposal is in accordance with the Children and Young People’s Plan. The proposals in this report and the content of the Policy have been determined having regard to the provisions of the Equalities Act 2010.

KEY DECISION Yes

| | |
|------------------------------------|-----|
| WARDS/COMMUNITIES AFFECTED: | All |
|------------------------------------|-----|

SUPPORTING DOCUMENTATION

Appendices

| | |
|----|--|
| 1. | Southampton City Council Attendance Policy |
|----|--|

Documents In Members' Rooms

| | |
|----|------|
| 1. | None |
|----|------|

Equality Impact Assessment

| | |
|--|----|
| Do the implications/subject of the report require an Equality Impact Assessment (EIA) to be carried out. | No |
|--|----|

Other Background Documents

Equality Impact Assessment and Other Background documents available for inspection at:

Title of Background Paper(s)

Relevant Paragraph of the Access to Information Procedure Rules / Schedule 12A allowing document to be Exempt/Confidential (if applicable)

| | | |
|----|------|--|
| 1. | None | |
|----|------|--|



Southampton City Council Attendance Policy

| | |
|-------------------|----------------|
| PUBLICATION DATE: | September 2013 |
| REVIEW DATE: | September 2015 |

Forward:

Despite a considerable amount of excellent work to support children's attendance at school, as a city we are still lagging behind our statistical neighbours, and the national average. Our aspiration for 2014 is to achieve an absence rate of 5.1%.

We need to be building on existing good practice and introduce new measures to help tackle the issues facing Southampton in relation to unacceptable high absence rates.

Promoting positive school attendance is everyone's responsibility and in Southampton, tackling absence will be raised across all agencies and will become a shared responsibility. It is a priority for all council services and partner agencies and needs to become a priority for all communities.

In striving to achieve excellent levels of school attendance across the City it is imperative that Southampton delivers a co-ordinated strategy for attendance that involves schools, partner agencies and colleagues throughout the directorate. Southampton's Attendance Policy seeks to ensure this collaborative partnership is in place.

Attendance is a critical factor in ensuring improved attainment and future life outcomes. It is central to social inclusion and has a major impact on a child's future life opportunities. All children and young people in Southampton should be receiving their full entitlement to education; so that they are equipped to fulfil their potential and make good choices as young adults and citizens for themselves and their communities.

The foundation to ensuring that children, young people and their families within Southampton achieve their full potential, is to create an ethos in which excellent school attendance is developed and nurtured. This will involve a partnership between the young people themselves, families, schools, all colleagues in Children's services and the range of agencies and groups that work within the City to improve outcomes for all children and young people.

Alison Elliott
Director of People

Councillor Sarah Bogle
Cabinet Member

Contents

1. Introduction

2. Summary of recommendations

3. Current position

4. Responsibilities

4.1 Parents and carers

4.2 The Local authority;
1. The Education Welfare Service
2. Prevention Social Workers
3. Family Matters Workers

4.3 Schools

Additional Information Leave of Absence Form - model

Term Time Leave of Absence Granted - flow chart

Term Time Leave of Absence Declined - flow chart.

Local Guidance and procedures on School Attendance

1. Term time leave of absence
2. Strategies for reducing term time leave of absence

National Guidance on School Attendance

1. Pupil Registers and Attendance Codes
2. Absence and Attendance Codes
3. Statutory Guidance on Education Supervision Orders, Parenting Contracts, Parenting Orders, and Penalty Notices

Penalty Notice Process and Code of Conduct.

1. INTRODUCTION

Southampton City Council is committed to improving schools attendance and it is a high priority for both the council and the schools. Whilst attendance has improved, our absence rates are consistently behind the national rates and those of our statistical neighbours; which impacts significantly on the educational outcomes for our children and young people, and the future economic future of our city.

It is important that children and young people are successful at school, leaving with the skills and qualifications that enable them to secure employment, continue with their education or access appropriate training courses. To achieve this ambition we need to maximise their educational and social achievements and enable them to develop self-discipline, organisational skills and preparedness for the work environment.

It is recognised that attending school regularly can be a protective factor for children; contributing to keeping them safe from harm and reducing their engagement in risky behaviours, anti-social behaviour and juvenile crime. It is therefore important to ensure that schools and other settings offer a safe environment, positive relationships, high-quality teaching and learning, and opportunities to develop social and emotional skills.

The primary responsibility for ensuring that children and young people attend school rests with their parents / carers. However promoting attendance and tackling absence is the responsibility of all agencies within the local authority and of schools. It is the role of schools to ensure that, with the support of the Local Authority, they personalise learning and create an environment in which all children and young people want to engage. Schools and the Local Authority need to work together with children and young people, parents and multi-agency partners to ensure that non-attendance is tackled robustly.

Families Matter and School Attendance

Families Matter is a 3-year (2012 to 2015) multi-agency programme that provides targeted support to families with multiple or complex needs who require extra help. In Southampton, Families Matter is delivering the government Troubled Families initiative.

Families Matter will support families who experience at least 2 of 3 factors:

- At least one adult is out of work
- A child in the family is excluded from school or has poor school attendance
- There is youth offending or anti-social behaviour caused by a member of the family

Reducing school absence is a top priority and key outcome for the Families Matter programme. Within the cohort of 384 families currently identified (who meet the eligibility criteria) 78% have at least one persistently absent child (421 children in total). 18% of the 384 families have at least one child who has received 3+ fixed term exclusions in the last calendar year. Persistently absent children within the Families Matter cohort have at least 23,500 sessions of absence between them in a full year. 82 families have a child currently or recently at a pupil referral unit.

2. SUMMARY OF PRIORITIES 2013-15

1. Adopt a zero tolerance of absence for term time leave of absence
2. Raise awareness of school attendance issues, with key partners, especially Health.
3. Deliver a hard hitting communication strategy to all residents that promotes the benefits of school attendance with parents and community groups.
4. Engage with key professional groups, such as Housing, Public Health, the Police and others to ensure that school attendance is a priority and that families are challenged with consistent messages from all.

3. CURRENT POSITION

Table 1 shows Southampton's total absence has reduced by 2.1% to 5.9% in 2012 from its peak in 2007 at 8.1%. Despite this reduction a challenge remains as Southampton are still 0.8% above the National average. This 0.8% gap equates to in excess of 38,000 days of absence above the National average across primary, secondary and special schools.

Table 1.

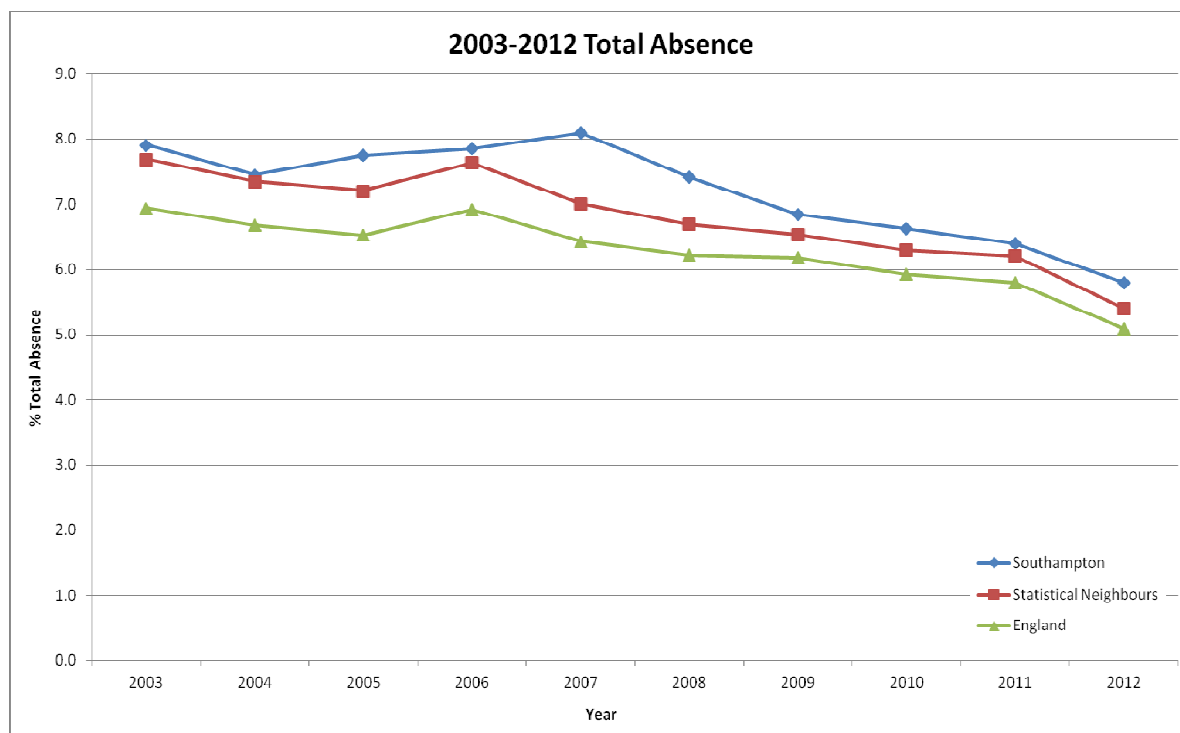
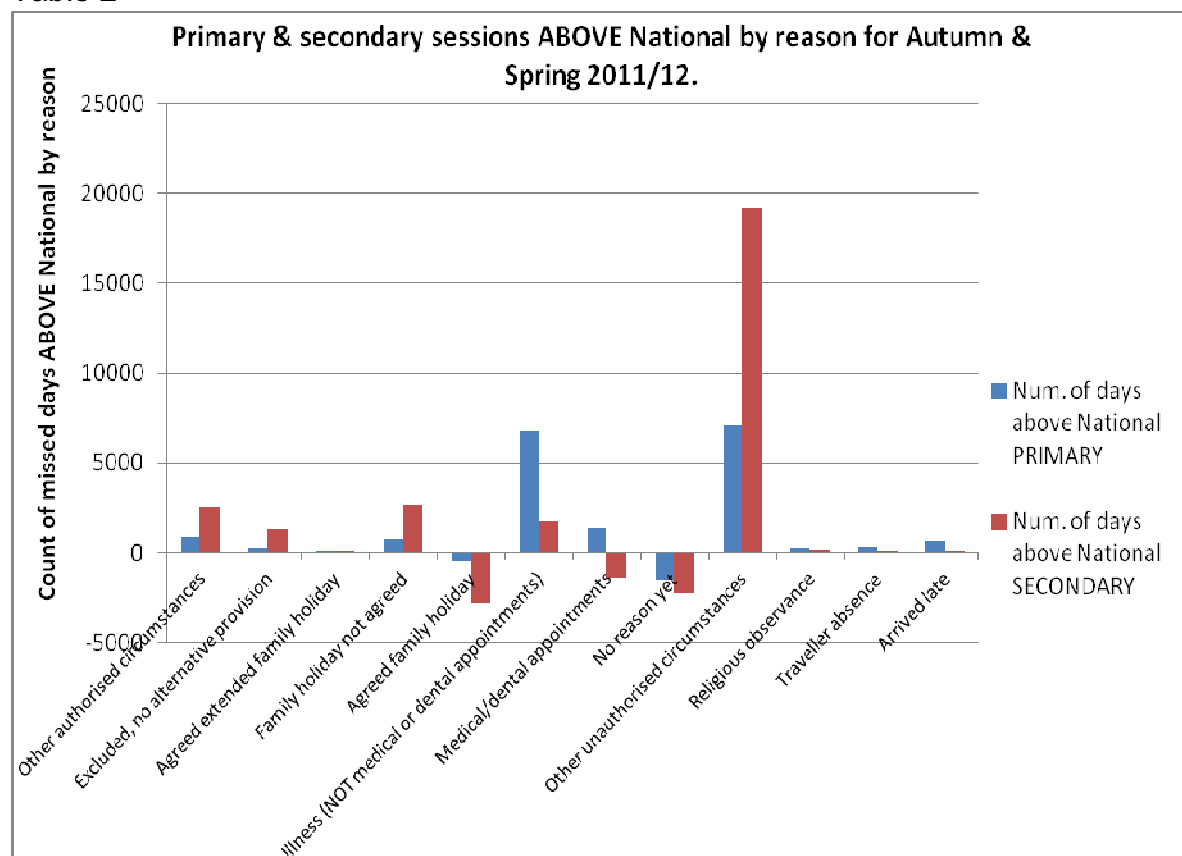


Table 2 shows more detailed analysis of the DfE Autumn and Spring term 2011/12 absence data, identified which absence codes are overrepresented within Southampton when compared to National. It is clear that the number of days missed in primary schools recorded as Illness (not medical or dental appointments) and other unauthorised circumstances represent the greatest challenge. As in primary, days missed coded as other unauthorised circumstances are by far the greatest challenge when considering secondary school absence.

Table 2



4. RESPONSIBILITIES

4.1 Parents and Carers

Parents are responsible in law for ensuring that their children of compulsory school age receive an efficient education suitable to their age, ability, aptitude and any special educational needs that they may have. Most parents fulfil this responsibility by registering their children at a school.

Once on a school roll, **parents must ensure** that:

- Their children arrive at school on time, properly dressed and ready to learn.
- They notify their child's school if he/she is absent. This should be done as soon as possible - preferably on the first day of absence. They should also provide an explanation for the absence. This explanation should be confirmed, preferably in writing, when the child returns to school.
- They do not arrange medical/dental appointments during school hours.
- They understand that leave of absence will not be granted during term time.

To enable their children to make the most of the educational opportunities available to them, it is advisable that **parents should**:

- Instil in their children an appreciation of the importance of attending school regularly.
- Be aware of the attendance policy of their children's school.
- Impress upon their children the need to observe the school's code of conduct.

- Take an active interest in their children's school career, praising and encouraging good work and behaviour and attending parents' evenings and other relevant meetings.
- Work in partnership with their children's school to resolve issues which may lead to non-attendance.

4.2 The Local Authority:

4.2.1 The Education Welfare Service fulfils the statutory duty of the local authority in enforcing regular school attendance. In doing so it enables schools and parents to meet their respective responsibilities.

Each maintained school in Southampton has a link Education Welfare Officer (EWO) who will work in close partnership with the school. Academies may choose to buy this service as part of a service level agreement.

All schools and academies can purchase additional services from the Education Welfare Service over and above their statutory role; including:

- Individual casework with pupils who are experiencing attendance difficulties, including reviews and information updates on actions taken.
- Develop individual action plans between the school and the EW service, to address attendance issues.
- Identify areas of concern and of good practice in relation to attendance matters
- Interventions to address systemic attendance issues and help schools to develop a whole school approach.

Once a referral has been agreed this will form part of the statutory role, and the EWO will undertake casework with pupils and their parents to support their return to full time education or we will follow through with the enforcement if deemed appropriate.

Some key elements of individual case work include conducting home visits to assess the situation and determine what action needs to be taken, arranging meetings between the school, parents and pupils and enabling the pupil and parents to access appropriate support from other services and agencies through the use of an Integrated Assessment of Need.

Another function of the EW service is the provision of safeguarding training for school based personnel.

The Education Welfare Service has the delegated power, in consultation with SSC legal department to take the legal proceedings against families who fail in their duty to ensure regular school attendance and is deemed to be in the best interest of the child and the local authority.

4.3 Schools

Schools are responsible for supporting the attendance of their pupils and for dealing with problems that may lead to absence.

For pupils of compulsory school age, schools are required to differentiate in the registers between absence that is authorised and absence that is unauthorised.

Schools should have a range of strategies to identify pupils who may be at risk of becoming a persistent absentee;

- Work actively to maximise attendance rates, both in relation to individual pupils, vulnerable groups and the school as a whole. This will include the effective analysis of attendance data.
- Support parents in ensuring the regular and punctual attendance of pupils and promptly respond to any issue which may lead to non-attendance.
- Be sensitive to the needs of individual parents and pupils this should be reflected in the way in which attendance issues are addressed. Schools should recognise that some parents have difficulty understanding written communications and many parents will have a reluctant to come into school.
- Offer additional support and scrutiny for children from vulnerable groups such as children Looked After, Travellers, Children with Special Needs are at higher risk of poor attendance.
- Produce school attendance policies, which are agreed and regularly reviewed by their governing bodies; and are consistently applied and clearly communicated to all parents, pupils and staff.
- Maintain a list of pupils with a pattern of persistent absence (PA,) from September 2011 defined as less than 85% attendance and those at risk of becoming PA and ensure that individual plans are in place to remedy this.
- Be compliant with The Education (Pupil Registration)(England) Regulations 2006, regarding the marking of register and the removal of pupils of compulsory school age from the school roll.

Local Guidance on term time leave of absence

1.

Southampton City Council actively discourages leave of absences during term time and encourages all schools adopt this policy.

The school Attendance Policies should state that term time leave of absences is not acceptable.

Parents should be given a clear message at every opportunity, e.g. at parents evening, in newsletters, school brochure and bulletins, about leave of absence during term time This should be maintained as a child moves through from Reception to year 11.

Good practice suggests that parent requesting term time leave of absences should be invited into school to discuss the proposed leave and implications for their child of missing education.

Schools may wish to agree joint policies within their local area to provide consistency. This will ensure parents are aware of consistent practice and ensure that schools are operating on a fair basis.

Appendix xx sets out decision making process where a parent has applied for leave of absence. Southampton City Council is following the Government's recommendations and will not be authorising any leave of absence.

1.1 Procedural flow charts for schools

No parent can demand leave of absence as a right.

Exceptional circumstances will still remain at the discretion of the Head Teachers.

The Local Authority recommends that family holidays should be taken during the 13 weeks of holidays built into the academic year and the following are examples of unacceptable reasons for applying for leave of absence:

- Availability of cheap holidays.
- Availability of desired accommodation.
- Prevailing weather conditions.

Only in '**exceptional circumstances**' may any leave of absence, including extended leave of absence be granted.

It is for Head Teachers to decide on what are exceptional circumstances, however, the LA considers the following examples may be appropriate:

- For armed forces personnel who are prevented from taking leave during school holidays.
- When a family needs to spend time together to support each other during or after a significant trauma.

Each request for term time leave of absence should be considered individually. It is the responsibility of the head teacher and governors to decide whether or not to grant leave of absence in exceptional circumstances.

Appendix 2 is a suggested proforma for parents who wish to apply for leave in term time

Appendix 3 sets out the process to be followed if leave of absence is agreed and the process if the child returns to school on agreed date

Appendix 4 sets out the process if the application is declined

1.2 Extended leave of absence

Regulation 8(1)(f) must apply to any removal from roll:

(f) in the case of a pupil granted leave of absence exceeding ten school days for the purpose of a holiday in accordance with regulation 7(3), that —

(i) the pupil has failed to attend the school within the ten school days immediately following the expiry of the period for which such leave was granted;

(ii) the proprietor does not have reasonable grounds to believe that the pupil is unable to attend the school by reason of sickness or any unavoidable cause; and

(iii) both the proprietor and the local education authority have failed, after reasonable enquiry, to ascertain where the pupil is;

Good communication should exist between schools to ensure consistency when dealing with children from the same family in similar circumstances.

1.3 Failure to provide a return date

Requests for term-time leave of absence where parents are unable to provide a return date should be refused and parents advised that their child will be removed from the school roll on their last date of attendance and they will need to re-apply for a school place if they return to the country.

If schools have concerns about a parental commitment to return to school on a specified date, proof of travel should be requested.

1.4 Failure to attend school when leave of absence has been declined.

Schools should give serious consideration to the issue of a Penalty Notice for Non-Attendance at School. The application for a Penalty Notice is available electronically from Education Welfare Service.

Parents should also be informed of the risk of removal from the school roll if the leave is taken, having been declined by the school in advance.

Note: Schools should decide which of these routes to follow. If a Penalty Notice is requested we would not expect the pupil to be removed from roll.

Guidance on other issues around attendance coding

2 PUNCTUALITY

Schools should take steps to actively encourage excellent levels of punctuality. Lateness should be monitored and followed up.

School policies and brochures should clearly state the time at which each school session begins and finishes, including the time at which registers open and close. DfE guidance state no longer than 30 minutes.

When a pupil arrives late and the register is still open he/she should be marked as 'late' but, statistically, is counted as present for that session.

When a pupil arrives after the register has closed he/she should be marked as 'unauthorised absent' for that session.

When a pupil arrives late having missed registration, his/her presence on site should be noted in a book in the school office for purposes of emergency evacuation, etc.

3 REMOVAL FROM SCHOOL ROLL

The Education (Pupil Registration)(England) Regulations 2006 states that:

3.1 Legislation

A pupil of compulsory school age may only lawfully be removed from roll in compliance with The Education (Pupil Registration)(England) Regulations 2006.

3.2 The "20 School day" rule

The most widely misused regulation is 8(1)(h), more commonly referred to as the "20 school day rule". The full text of this regulation governing removal from roll is:

That he has been continuously absent from the school for a period of not less than 20 school days and —

(i) at no time was his absence during that period authorised

(ii) the proprietor does not have reasonable grounds to believe that the pupil is unable to attend the school by reason of sickness or any unavoidable cause; and

(iii) both the proprietor of the school and the local education authority have failed, after reasonable enquiry, to ascertain where the pupil is;

Therefore, removal from roll without the intervention of an EWO or the Tracking Officer is unlawful and if the location of the pupil is known then he/she cannot be removed from roll.

3.3 Home Education

Parents cannot remove a child from the school roll unless they intend to take responsibility for their child's education and plan to home educate. This would be in

compliance with Regulation 8 (1)(d) of the above regulations.

Once the school received written confirmation from the parent that they intended to home educate the child must be removed from the school roll and the letter passed to the LA.

If the school are aware that the child is subject to Child Protection Planning and/or has a named Social Worker, this professional should also be advised of the child's withdrawal from school.

3.4 School Refusers

There are no lawful grounds for a pupil to be removed from the school roll on the basis that they are a school refuser. Such cases should be referred to the school EWO.

3.5 Deportation

If the school is made aware that a family has been removed from their home because they are to be removed from the UK, they should not be taken off roll until confirmation from the UK Border Agency that they have actually been removed from the country.

It is not uncommon for families to be returned home and then detained again at a later date.

Whilst in an Immigration Removal Centre, the Detention Centre Rules 2001 state that:

Regime and paid activity

17.—(1) All detained persons shall be provided with an opportunity to participate in activities to meet, as far as possible, their recreational and intellectual needs and the relief of boredom.

(2) Wherever reasonably possible the development of skills and of services to the centre and to the community should be encouraged.

(3) Detained persons shall be entitled to undertake paid activities to the extent that the opportunity to do so is provided by the manager.

(4) Detained persons undertaking activities under paragraph (3) shall be paid at rates approved by the Secretary of State, either generally or in relation to particular cases.

(5) Every detained person able to take part in educational activities provided at a detention centre shall be encouraged to do so.

(6) Programmes of educational classes shall be provided at every detention centre.

(7) Arrangements shall be made for each detained person to have the opportunity of taking part in physical education or recreation, which shall consist of both sports and health-related activities.

(8) A library shall be provided in every detention centre, which will meet a range of cultural, ethnic and linguistic needs and, subject to any direction of the Secretary of State in any particular case, every detained person shall be allowed access to it at reasonable times.

In these circumstances, therefore, children may be "B" coded until confirmation has been given that the child has been removed from the UK.

The Tracking Officer or EWO can support schools with such cases.

3.6 Sabbaticals

Head Teachers retain discretion regarding whether to authorise such leave of absence.

The LA, however, would not wish to endorse such periods of extended absence from school for a specific group of children and believe that such children should be removed from the school roll whilst they are living in another country and accessing education provision overseas.

Parents should be advised that they must re-apply for a school place upon their return to the city and if the child cannot re-join their original school, they will be offered a school place at the closest school with places available.

3.7 Dual Registered Pupils

When a pupil is jointly registered at a mainstream school and another education provision, the pupil should not be removed from the register of either the school or the subsidiary establishment without the consent of both providers.

3.8 Fixed Term Exclusion

Pupil remains on the school roll. Absence is authorised as it results from a school decision.

3.9 Permanent Exclusion

If permanent exclusion is confirmed the pupil's name should be removed from the school roll on the school day either:

- On expiry of the time allowed for appeals to be made following a governors hearing, or
- After the appeal committee's confirmation of permanent exclusion, or
- If before that, when the pupil takes up a school place elsewhere

3.10 Custodial Sentences

Regulation 8(1)(i) applies to such cases:

- that he is detained in pursuance of a final order made by a court or of an order of recall made by a court or the Secretary of State, that order being for a period of not less than four months, and the proprietor does not have reasonable grounds to believe that the pupil will return to the school at the end of that period.

4 Traveller Children

A number of different groups are covered by the generic term Traveller: Roma, English and Welsh Gypsies, Irish and Scottish Travellers, Showmen (Fairground people) and Circus people, Bargees (occupational boat dwellers) and New Travellers.

To help ensure continuity of learning for Traveller children, dual registration is allowed. A school cannot remove a Traveller child from the school roll while they are travelling if it is the base school.

If the pupil's family are known to be travelling but it is not known whether the pupil is attending educational provision (at a school or other provider), the absence should be authorised and recorded using code T.

If the pupil is known to be dual registered and present at another school during the session in question, the attendance should be recorded using code D.

If the pupil is known to be absent from other provision for reasons other than traveling (e.g. illness, unexplained absence) the appropriate code should be used.

Children from "traveller" families are subject to the same rules as other children in terms of required to attend school. However, there is a defence available to traveller families if prosecuted for non attendance provided that the child has attended a school for at least 200 sessions in the 12 months ending when legal proceedings are started.

5 Teenage Pregnancy and School aged Parents

Guidance on Coding of Absence for Pregnant Pupils and School Aged Parents.

All pregnant pupils should have a Personal Education Plan, this should be done with the pupil, their parent or carer, a Year/House Head or equivalent. The PEP will detail plans for support in school during pregnancy, expected dates of maternity absence and plans for alternative provision of education during maternity absence. A planned date for returning to school should be included.

The PEP will be reviewed every 6 weeks until the pupil is fully reintegrated to a full timetable.

Maternity Absence;

- A pupil who becomes pregnant is entitled to **no more than** 18 calendar weeks' authorised absence* to cover the time immediately before and after the birth of the child. This absence should be coded **C**

AnteNatal/Scan Appointments*;

- These should be coded **M**

Ante Natal Classes*

- These should be coded **C**

Illness during pregnancy or on return to school

- As long as notified in usual way this can be coded **I**

Absence due to Illness of Baby*

- This should be coded **C**

Alternative Provision

- Where the pupil is receiving education from another source e.g. E-Learning, Home Tuition or a special course targeted at Young Parents, this can be coded as **B**

The **B** code can only be used for those sessions where the young person receives guided learning or has logged on for E-Learning. It cannot be used as a blanket code for whole weeks unless the pupil is engaged for all sessions in a week.

If there is no requirement to be in school for the other sessions during this time the **C** code should be used.

Part Time Timetables

- To ensure longer total attendance at school the use of part-time timetables may be offered later in the pregnancy and as part of a staged reintegration after the birth. Sessions when there is no requirement to attend should be coded C.

Young Fathers

- Where the young father is taking an active role in the pregnancy and parenting he may have authorised absence to attend ante natal appointments, scans and ante-natal classes. These can be coded the same as for pregnant pupils.
- He may also have **up to 2 weeks' paternity leave**. This should be coded **C**.
- This is not a legal right and could be offered if appropriate, perhaps on condition of good attendance, behaviour etc. and that school work is up to date before such leave is taken.
- Even where a Young Father is not actively involved he may have other support needs.

(ADD SCHOOL LOGO)

Application for leave of absence from school

Good attendance is linked to higher achievement. Poor attendance can be a cause of underachievement. **As parents, you have a legal responsibility to ensure your child's attendance at school. Holidays should be taken during the school holiday period.**

Please fill in this form if you want to ask the Headteacher of your child's school to authorise a leave of absence during term time.

You must ask **well in advance** and you are strongly advised to request leave of absence **before** you confirm any holiday arrangements. **Under no circumstances** will absences for family holidays in term time be authorised after they have happened. Unauthorised absence and persistent lateness may result in the issue of a Penalty Notice to each parent, for each child absent – **please see the note on the reverse of this form.**

The Headteacher will consider the reasons for the request carefully, and if deemed to be 'exceptional circumstances' your absence may be authorised. However our school is following Southampton City Council's zero policy on term time leave of absence.

| | | | |
|--|--------------|------------------------|--|
| Name of child: | | Class: | |
| I am applying for leave of absence for my child from: | | to: | |
| for the purposes of: | | | |
| Number of school days missed: | | | |
| This leave cannot be taken during the school holidays because: | | | |
| Has your child had leave of absence for a family holiday in the last 12 months? YES / NO | | | |
| If YES, please give dates and details: | | | |
| Siblings also needing leave of absence: | ↓ | ↓ | |
| Schools they attend: | | | |
| Signed: (Parent/Carer) | Date: | Contact Number: | |

| | | |
|--|--|---|
| Child's attendance level over the last 12 months: | | |
| Our overall school target for attendance this year is | | XX.X % |
| Having considered your request carefully, my decision is that leave of absence is: | | |
| Approved | | The absence will be recorded as authorised. |
| Not approved | | The absence will be recorded as unauthorised. |
| Explanatory notes: | | |
| Signed: (Headteacher) | | Date: |

The school reserves the right to request proof of travel including return date at any time

5 days of absence...

Good attendance is linked to higher achievement. Poor attendance can be a cause of underachievement. If your child has five days of authorised absence during the year for a family holiday **and takes no other time off** for illness or other reasons, their attendance over the school year will be **97.4%**.

Important Dates

The first few weeks of the school year are very important for learning routines, establishing relationships and expectations and building friendships.

End of Key Stage 1 Assessments (Year 2) and Phonics Test (Year 1)

We will not authorise leave of absence for a family holiday involving a child in **Years 1 or 2** during part of the summer term (**16 April – 29 June 2012 and 15 April – 28 June 2013**)

End of Key Stage 2 Tests

We will not authorise leave of absence for a family holiday involving a child in **Year 6** between February half term and the End of Key Stage 2 Tests (**25 February – 24 May 2013**).

Year 7 Progress Tests

We strongly advise that you do not apply for leave of absence for a family holiday involving a child in **Year 7** between February half term and the Year 7 Progress Tests (**25 February – 24 May 2013**).

Students in Years 9, 10 and 11

We will not authorise leave of absence for a family holiday involving any student in **Years 9, 10 and 11** due to the modular nature of coursework and examinations. Please **do not** book holidays which involve **Year 9, 10 and 11** students.

Siblings with attendance causing concern

Each school checks the attendance of siblings with our partner schools and if one member of the family has attendance causing concern, any request for a family holiday will not be authorised.

Easter Break 2013

The Easter Break in 2013 is **Good Friday 29 March – Friday 12 April 2013 inclusive**. The Easter Weekend is **at the start** of the two week school break.

Penalty Notices

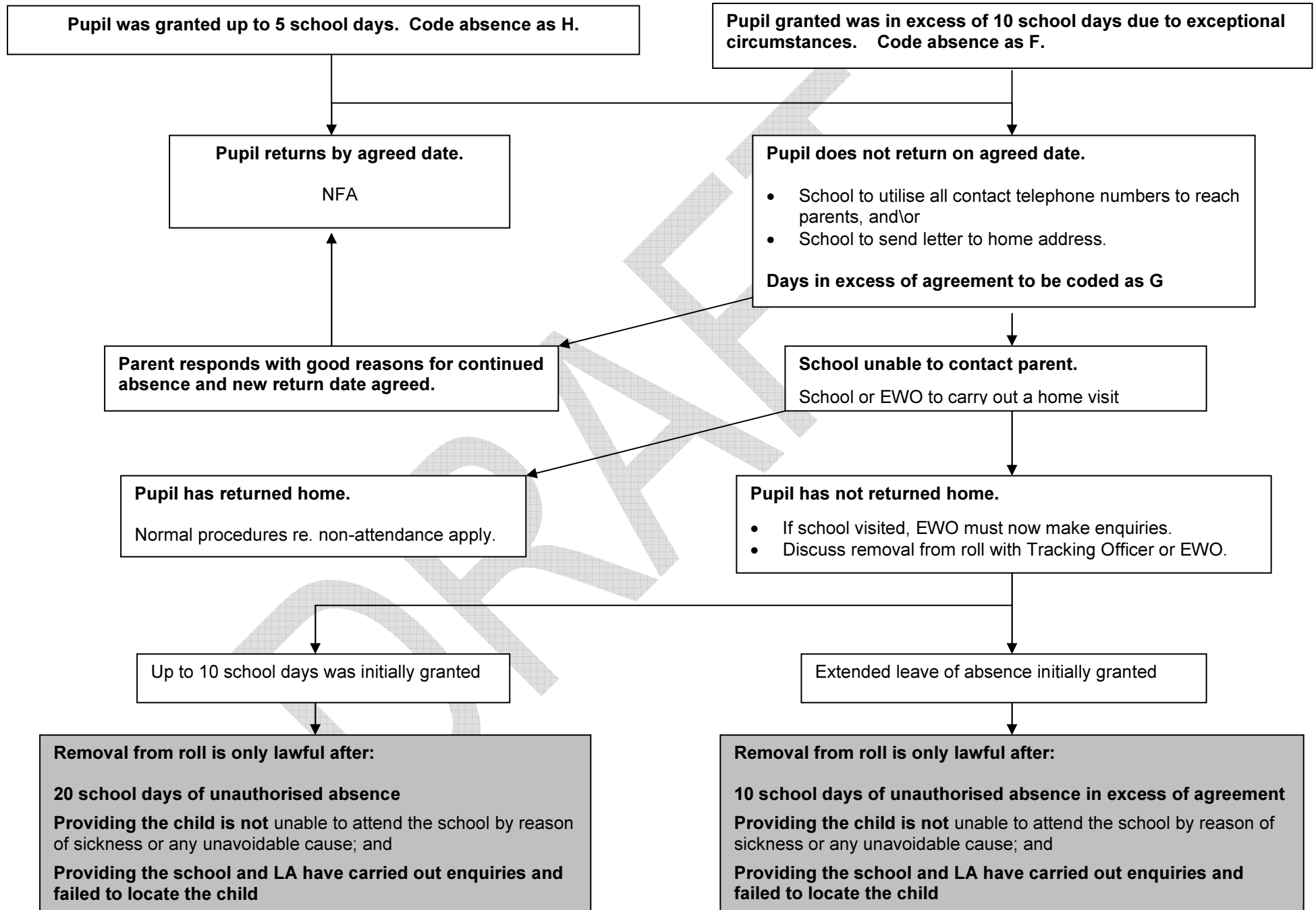
Unauthorised absence and persistent lateness may result in the issue of a **Penalty Notice** to each parent, for each child.

Please ask in school if you are unsure about any particular dates and remember to apply for leave of absence before you make a holiday booking

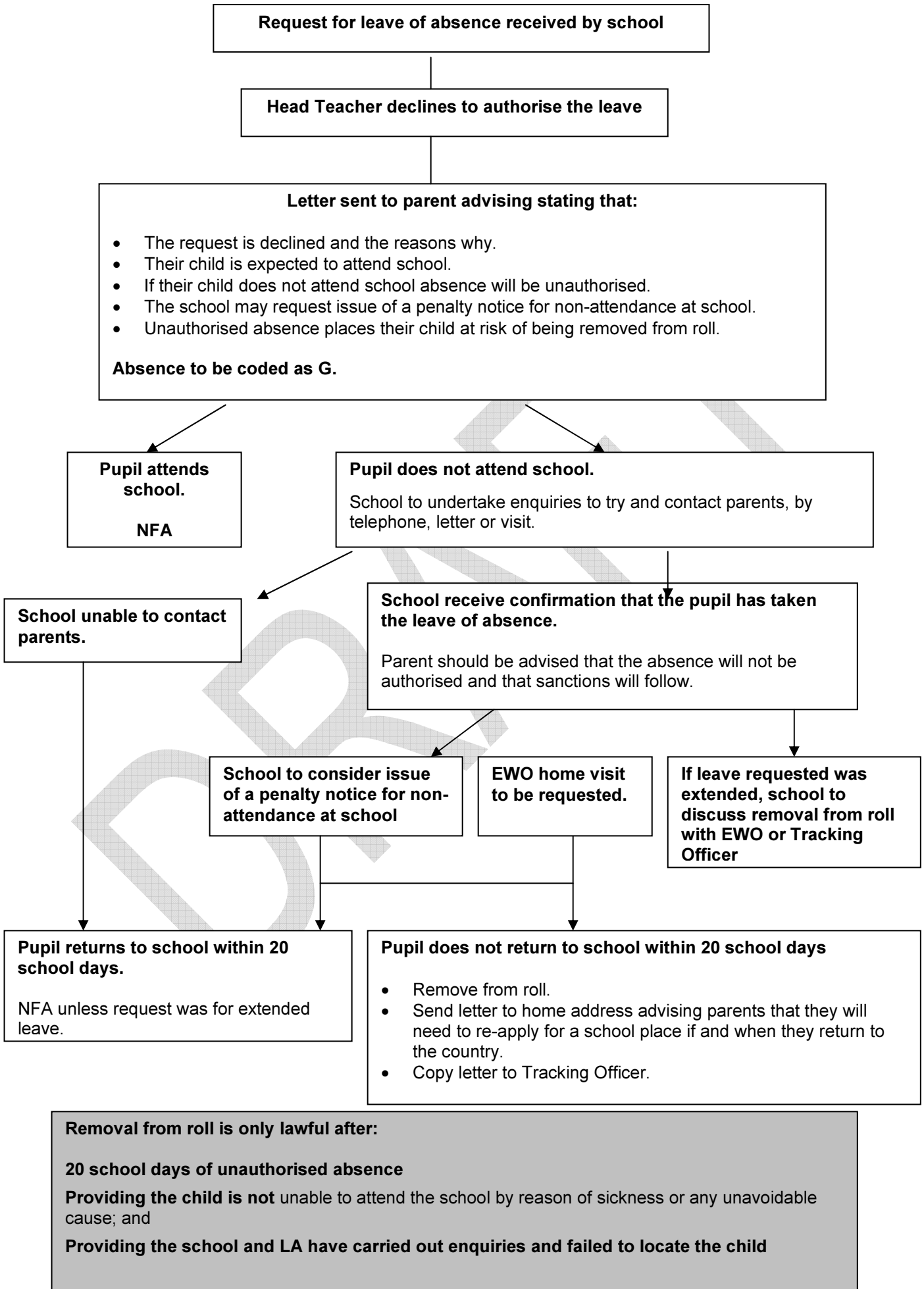
Penalty Notice Process and Code of Conduct

DRAFT

TERM-TIME LEAVE OF ABSENCE GRANTED BY HEAD TEACHER



TERM-TIME LEAVE OF ABSENCE DECLINED BY HEAD TEACHER



National Legal Framework

1. The latest Guidance can be found at the following Link :

<http://www.education.gov.uk/aboutdfe/advice/f00221879/advice-on-school-attend>

- 1.1 The report from 'Improving attendance at school' was published on 16th April 2012 and, in terms of outcomes for children can be found at:

<http://www.education.gov.uk/schools/pupilsupport/behaviour/a00208164/taylor-review>

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