

Council Supplementary Agenda



12. REVISED: Health and Wellbeing Strategy and Care Plan (Pages 3 - 60)

For Members to receive a report and recommendations regarding the adoption of a Health and Wellbeing Strategy and Care Plan.

14. REVISED: Recommendations of Cabinet or Committees to Council for decision (Pages 61 - 172)

To consider the recommendations made by Cabinet or Committees since the last ordinary Council meeting relating to the following matters:

1. Cabinet: adoption of the Croydon Libraries Plan 2019 – 20;
2. Ethics Committee: amendments to the Protocol on Staff-Member relations;
3. Cabinet: adoption of the revised Tenders and Contracts Regulations; and
4. Cabinet: Climate Change recommendations to Council.

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Croydon Council

For General Release

REPORT TO:	FULL COUNCIL 15th July 2019
SUBJECT:	Health and Care Transformation Plan
LEAD OFFICER:	Guy Van Dichele Executive Director, Health, Wellbeing and Adults
LEAD MEMBER:	Councillor Louisa Woodley Chair, Croydon Health and Wellbeing Board Councillor Jane Avis, Cabinet Member for Families, Health & Social Care Councillor Alisa Fleming, Cabinet Member for Children, Young People and Learning
WARDS	All

CORPORATE PRIORITY / POLICY CONTEXT

A Key Function of the Health and Wellbeing Board is to prepare a joint Health and Wellbeing Strategy which is part of the Council's policy framework, the approval of which, full Council has reserved to itself

In addition, Health and Wellbeing is relevant to all of the Council's corporate priorities but the key priorities that the work of the Board aligns to are:

- People live long, healthy, happy and independent lives
- Our children and young people thrive and reach their full potential

FINANCIAL IMPACT

There are no direct financial implications arising from the Croydon Health and Wellbeing Strategy attached at appendix 1 to this report.

The Transformation Plan attached at appendix 2 to this report will have financial implications and these will be fully costed as the elements of the transformation plan are developed and implemented. This plan is essential to ensuring the financial challenge in Croydon is managed effectively and ensure a sustainable health and care system.

1. RECOMMENDATION

The Council is asked to:

- 1.1 Agree the Health and Wellbeing Strategy (“the Strategy”) for the Borough (Appendix 1)
- 1.2 Agree Croydon’s Health and Care Transformation Plan (“the Plan”) which is the delivery plan of the Strategy (Appendix 2)
- 1.3 Delegate authority to the Health and Wellbeing Board, once Full Council has approved the Health and Wellbeing strategy for the relevant period, to agree the delivery plans of the Health and Wellbeing Strategy;
- 1.4 Delegate to the Health and Wellbeing Board the authority to and responsibility for monitoring the delivery plans in fulfilment of the Strategy, the outcome of which shall be reported back to full Council as part of the annual report of the Board.
- 1.5 Authorise the Monitoring Officer to make consequential changes to the Constitution, Part 4 L, contingent upon the delegations in recommendation 1.3 and 1.4 above.

2 EXECUTIVE SUMMARY

- 2.1 This report includes an overview of the Health and Wellbeing Strategy (“the Strategy”) and Croydon’s Health and Care transformation Plan (the Plan”) to deliver the Strategy which are included in full at Appendix 1 and 2 respectively for Members’ consideration and approval.

3 DETAIL

Functions of the Health and Wellbeing Board

- 3.1 The Health and Social Care Act 2012 created statutory health and wellbeing boards as committees of the local authority. Their purpose, as set out in the Act, is ‘to secure better health and wellbeing outcomes for the whole population, better quality of care for all patients and care users, and better value for the taxpayer’. Part 4L of the Council’s Constitution provides that, among other matters, the purpose of the health and wellbeing board is to ‘advance the health and wellbeing of the people in its area’. The functions of the Board are:

- *To encourage, for the purpose of advancing the health and wellbeing of people in Croydon, persons who arrange for the provision of any health or social care services in Croydon to work in an integrated manner.*

- *To provide such advice, assistance or other support as appropriate for the purpose of encouraging partnership arrangements under section 75 of the National Health Service Act 2006 between the Council and NHS bodies in connection with the provision of health and social care services.*

- *To encourage persons who arrange for the provision of health-related services (i.e. services which are not health or social care services but which*

may have an effect on the health of individuals) to work closely with the Board and with persons providing health and social care services.

- *To exercise the functions of the Council and its partner Clinical Commissioning Groups in preparing a joint strategic needs assessment under section 116 of the Local Government and Public Involvement in Health Act 2007 and a joint health and wellbeing strategy under section 116A of that Act.*

- *To give the Council the opinion of the Board on whether the Council is discharging its duty to have regard to the joint strategic needs assessment and joint health and wellbeing strategy in discharging the Council's functions.*

- *To exercise such other Council functions which are delegated to the Board under the Constitution*

Health and Wellbeing Strategy and Delivery Plan

- 3.2 During 2018/19 the Health and Wellbeing Board developed the proposed Croydon Health and Wellbeing Strategy, Appendix 1 hereto. The proposed Strategy is framed around three overarching goals:
- Reducing inequalities
 - Focusing on prevention
 - Increased integration
- 3.3 The Strategy seeks to recognise the fundamental shifts occurring within health and wellbeing, with multiple member organisations represented on the Board shifting their focus towards the prevention of ill health rather than just its treatment.
- 3.4 The Strategy looks to build on the considerable work already going on across the Borough bringing it together into a coherent strategic whole.
- 3.5 The Strategy is a live document that will be reviewed annually and refreshed in 5 years.
- 3.6 The recommended priorities (outlined in figure 1 below) stretch beyond traditional health and care boundaries, recognising and looking to tackling the wider causes of ill health affecting people's lives.

PRIORITIES AND OUTCOMES



Figure 1

3.7 The outcomes which the Strategy seeks to achieve (similarly set out in figure 1 above) were developed with the One Croydon Alliance Strategic Development Board which seeks to ensure aligned and shared outcomes across the Health and Wellbeing Strategy, One Croydon Alliance and the Croydon Health and Care Transformation Plan.

The One Croydon Alliance comprises Croydon Council, Croydon Health Services NHS Trust, South London & Maudsley Mental Health Trust, Age UK Croydon and the Croydon GP Collaborative. The Alliance have signed a 10 year agreement with the ambition to become an Integrated Care System that delivers health and Social Care for the whole population of Croydon.

The first in-scope services are of Out of Hospital (over 65 year olds). The Council has committed to increasing the scope beyond Out of Hospital to include all ages and needs.

3.8 The draft Croydon Health and Care Transformation Plan, Appendix 2, outlines the plan for delivering key aspects of the Croydon Health and Wellbeing Strategy from within the health and care system.

3.9 To support the development of the Strategy and Plan, an engagement event took place on the 20th November 2018. The day was opened by The Health and Wellbeing Chair and Vice Chair and was attended by over 160 people made up of residents, staff from frontline services across the sector, and community and stakeholder group representatives (see figure 2).



Fig 2

3.10 The Health and Wellbeing Board has had regular updates and inputted into the development of the delivery Plan which will seek to implement the Strategy, with it coming before the Board for information on the 27th February 2019 and review of the draft plan on 10th April 2019 and 19th June 2019.

3.11 Full Council is asked to approve the draft Strategy and the draft Plan, Appendix 1 and 2 respectively.

3.12 Following approval of the Strategy and Plan, the Board will develop its forward

plan to cover all the priorities and outcomes within the Strategy. This involves working with wider boards within the health and care sector but also other boards of the Local Strategic Partnership and wider partnership delivery boards outside of 'health and care'.

4. CONSULTATION

- 4.1 To provide the best possible services for the people of Croydon we need to keep having open and honest conversations with Croydon residents. There is continued engagement with the public that have informed the Strategy and Plan to date. As mentioned above the Health and Well Being Board Chair, hosted an event in November 2018 which engaged with over 160 members of the public, front line staff and stakeholder leaders.
- 4.3 In addition the plan itself was tested during June with the public and stakeholders and these comments are reflected in the plan.
- 4.4 A summary of the public engagement events held over the last 2 years, the response to feedback and outlines of ongoing engagement proposed for specific areas can be found in the July Croydon Clinical Commissioning Group Governing Body Papers here:
<http://www.croydonccg.nhs.uk/about-us/Governing%20body/Pages/Governing-body-papers.aspx>

5. FINANCIAL AND RISK ASSESSMENT CONSIDERATIONS

- 4.1 There are no direct financial implications arising from the Croydon Health and Wellbeing Strategy attached at appendix 1 to this report.
- 4.2 The Transformation Plan attached at appendix 2 to this report will have financial implications and these will be fully costed as the elements of the transformation plan are developed and implemented. This plan is essential to ensuring the financial challenge in Croydon is managed effectively and ensure a sustainable health and care system.

Approved by Lisa Taylor, Director of Finance, Investment and Risk

6. LEGAL CONSIDERATIONS

- 6.1 The Head of Litigation and Corporate Law comments on behalf of the Director of Law and Governance that there are no additional legal considerations arising from the recommendations in the report.

Approved by Sandra Herbert, Head of Litigation and Corporate Law on behalf of the Director of Law and Governance & Deputy Monitoring Officer

7. HUMAN RESOURCES IMPACT

- 6.1 There are no direct Human Resources implications arising from this report for Council employees. Organisational and workforce development needs are being explored with workforce leads from the Council and other One Croydon Alliance partners through a working group reporting to the One Croydon Alliance governance structures. Where there are any future changes to the workforce, then the Council's existing policies and procedures would be observed and HR advice would be sought at an early stage.

(Approved by: Debbie Calliste, Head of HR for Health, Wellbeing and Adults on behalf of the Director of Human Resources)

8. EQUALITIES IMPACT

An initial EA was undertaken to assess potential impacts on groups that share a protected characteristic. This concluded that the Strategy and associated Plan would have a positive impact on protected and vulnerable groups and as such a full equality analysis was not required. Health inequalities disproportionately affect vulnerable groups as well as groups that share protected characteristics we will need to ensure the high level priority areas of work will help the Borough address wider determinants to prevent and reduce health inequalities and increase life expectancy for all communities. We will also need to ensure work with partners and key stakeholders is inclusive.

As such further analysis/equality analysis may need to be undertaken as part of any decision-making processes and detailed action plans developed to achieve each of the priority areas and goals in the Strategy and Plan
(Approved by Yvonne Okiyo, Equalities Manager)

9. ENVIRONMENTAL IMPACT

No significant environmental impacts anticipated arising from the recommendations in this report.

10. CRIME AND DISORDER REDUCTION IMPACT

The work of the Health and Wellbeing Board, Health and Wellbeing Strategy and the Health and Care Plan focus on reducing inequalities and tackling the wider determinants of health which in turn would be anticipated to have a positive effect in reducing crime and disorder

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APPENDICES

Appendix 1 – Croydon Health and Wellbeing Strategy

Appendix 2 – Croydon Health and Care Transformation Plan (2019/20-2024/25)

SUPPORTING DOCUMENTS

The joint strategic needs assessment can be accessed [here](#)

BACKGROUND DOCUMENTS: None



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CROYDON HEALTH AND WELLBEING STRATEGY





FOREWORD

By the Chair and Vice Chair of the Croydon Health and Wellbeing Board, Councillor Louisa Woodley and Dr Agnelo Fernandes

Croydon is an exciting and diverse borough that is growing rapidly – both physically and through culture, employment, and its rapidly transforming health sector.

We are in the midst of a revolution in health and wellbeing, with multiple partners within the Health and Wellbeing Board significantly shifting their focus towards preventing ill health. This means moving beyond health and care services to those wider things that create and protect health, (the wider determinants of health) rather than focusing solely on managing the damage that poor mental, emotional or physical health causes to individuals, their families and communities.

Our Health and Wellbeing strategy is about how we work together to create the best conditions for people to live fulfilling lives. Everyone in Croydon deserves the best start in life and to grow up to work and live in an environment that enhances their wellbeing and creates the right conditions for them to fulfil their potential. This means living in a place that feeds your sense of worth, has community and feels safe. It is about having clean air to breathe and environments that encourage healthy choices.

Our Health and Wellbeing strategy captures the considerable work already going on across the borough and brings it together into a coherent strategic whole. The system needs to be designed for more effective communication between partners and the public to be able to see and take part in the changes as they are developed. This strategy is a tool to assist in the necessary shift towards prevention, both within the health and social care system but also within the wider community.

Across society, there is an increasing understanding that it is not good enough to merely focus on dealing with problems when they arise, there is a need to understand and tackle the root cause and stop issues from arising in the first place. Achieving this requires a shift in attitudes and cultures within our health and care services and beyond. The role of the Health and Wellbeing Board and this strategy is to provide the strategic oversight for those delivering this work and facilitate working together as a system to reach this goal.

We are very proud of the work being undertaken within Croydon, underpinned by the ambitious development of the One Croydon Alliance and the Council's recent Corporate Plan focusing on prevention and localities based working. The One Croydon Alliance brings together key partners in the borough on a scale never seen before. Following demonstration of positive

impact on outcomes and the achievement of success indicators, the One Croydon partners agreed to extend the commitment to March 2027 and work towards extending the scope. The Alliance has been integral in the development of One Croydon Health & Care Transformation plan to be published in July 2019 which will support the delivery of this strategy by focusing on joint actions agreed by leaders from the Council, NHS and the voluntary sector within the Croydon Transformation Board.

This is an exciting time for health and wellbeing in Croydon. This strategy represents a step change in providing transparency through the prevention agenda and welcomes the opportunity of locality approaches across the borough.



Councillor Louisa Woodley
Chair of the Croydon
Health and Wellbeing Board



Dr Agnelo Fernandes,
Vice Chair of the Croydon
Health and Wellbeing Board



CROYDON HEALTH AND WELLBEING STRATEGY

WE HAVE A BOLD AMBITION

'Working together to make Croydon a great place to live, work and play for all its residents through creating rapid improvements in the health and wellbeing of our communities'

AND A CLEAR VISION

'Croydon will be a healthy and caring borough where good health is the default not the exception and those that experience the worst health improve their health the fastest'

How we are going to achieve this:

Reducing Inequalities

People experiencing the worst health will improve their health the fastest giving everyone the best opportunity to live long, happy and healthy lives.

Focusing on prevention

We all have a role to play in preventing avoidable physical and mental harm caused by inequality, individual characteristics, health behaviours and environmental factors. Together we can create a better Croydon where opportunities are maximised, all can contribute and all can fulfil their potential, living longer, healthier lives.

Increased Integration

With health and care services that place people, their families, neighbours and communities at the heart of decision making, we will provide joined up care in the best place and in the best way for them to achieve positive outcomes. This will ensure a sustainable health and care system for people in Croydon today and for our future generations.



PRIORITIES AND OUTCOMES



PRIORITY 1: A BETTER START IN LIFE

A better start in life ensuring that children and young people are provided with the best physical and emotional environment for growing up.

The first 1,000 days of a child's life from conception to the age of two are fundamentally important because they lay the foundations of lifelong health and wellbeing. A child's experiences are shaped by the world in which their parents and carers live which is in turn shaped by a wide range of environmental, social and economic factors such as housing, a strong community, employment and education.

This means there is a huge opportunity to improve health and wellbeing outcomes and reduce inequalities by focusing on children and young people, their families and the circumstances in which they live from before conception through the early years of life. A better start in life for every Croydon baby from planning a pregnancy to age two means a focus both on the environmental, social and economic factors that affect the child's life and by providing high quality and joined up services from before pregnancy, through the antenatal period and up to the early years. Parents and care givers should be supported within their communities in accordance with their health

and social needs, including addressing issues from before pregnancy. We will therefore focus on implementing the recommendations from the Director of Public Health's 2018 Annual Report which is about the first 1,000 days. Ensuring the best start will make a significant impact on the emotional resilience and mental health of children as they mature. However, many of our older children may not have received all the support they needed during these crucial early years or they may have experienced one or more adverse childhood events which negatively impact on their mental health. We must work to promote mental health and emotional wellbeing for all children and young people of Croydon. **Supporting the development and delivery of the Children and Young Person's Mental Health Transformation plan.**

All Croydon children should enter school in reception ready for school and equipped to have the best chance at life.

Croydon must continue its work to address healthy weight in children. There should be a focus on reducing the differences which exist across the borough. Prevalence of obesity among children in the most deprived areas of

Croydon is double that of children in the least deprived areas. The **Child Healthy Weight action plan** (2017-2020) takes a partnership approach across Croydon to addressing both healthy eating and physical activity levels.

There is an opportunity with the new London Healthy Years programme to focus efforts on younger children; this should be a priority to reduce the number of children who are overweight and obese in reception.

In 2016, 445 babies were born weighing less than 2.5kg (5.5lb)



PRIORITY 3: HOUSING AND THE ENVIRONMENT ENABLE ALL PEOPLE OF CROYDON TO BE HEALTHY

To be a healthy borough, our environment must promote positive wellbeing. This means Croydon's homes are affordable, warm, secure, and support independent living. This includes new developments such as the commitment to build more than 10,000 new residences in Croydon.

Green space, leisure provision and walking and cycling opportunities promote health and happiness. Considerations about future growth must ensure **adequate development of healthy high streets and enhanced open spaces.**

As Croydon grows and care settings change, facilities must enable the best care to be provided in the right place for the most efficient use of resources. Health and social care organisations need to ensure **there are enough facilities and they are fit for purpose** for those who use and work in them.

The average age of death for someone sleeping rough is 47 years old, and even lower for homeless women at 43. The reasons that people find themselves homeless are multiple and there is a clear, but complex relationship between housing, homelessness and health. Croydon is developing a **Homelessness Prevention Strategy** to develop a borough wide approach to preventing homelessness and addressing the needs of this vulnerable population. This includes adequate provision for temporary housing and long term housing solutions as well as outreach support and to increase access to care for people sleeping rough.

2,449
households
in temporary
accommodation



PRIORITY 4: MENTAL WELLBEING AND GOOD MENTAL HEALTH ARE SEEN AS A DRIVER OF HEALTH

Our ambitions for mental health are crucial for reducing health inequalities. Good employment, opportunities to learn, decent housing, financial inclusion and debt are all key determinants of emotional wellbeing and good mental health. **Improving mental health is everyone's business.** We want to see this led by employers, service providers and communities.

Three quarters of lifetime mental illness (except dementia) begins by the age of 25, so mental health and wellbeing support for children and families is a priority. This includes early support for women during pregnancy and the first few months post-birth, improved links with schools and better experiences for service users as they move between children and adult services.

Developed in the wake of the 2017 Woodley review, the **Mental Health Transformation** plan builds on the recommendations made. The plan commits to a redesign of community mental health services including improved information and advice, enhanced primary care support and more joined up working to improve access and reduce

repeat assessments. Care for people experiencing mental health crisis will be improved, with better crisis resolution available in the community and more provision within health and social care.

The Croydon Mental Health Strategy will be refreshed in 2019 providing an opportunity to develop a preventative approach focusing not just on the provision of services but also the development of resilience in individuals and communities and supporting general mental wellbeing across the life-course.

We need improved **integration of mental and physical health services** around all the needs of individuals. This means addressing the physical health needs of those living with mental illness, and always considering the mental and emotional wellbeing of those with physical illness.

There is a high prevalence of co-occurring mental health with alcohol/drug misuse, with evidence suggesting that people are frequently unable to access the care they need from services. There are many vulnerable people

within this group who easily fall through the gaps and end up in crisis. **Croydon will develop a whole person approach** to care for people with co-occurring mental health and substance misuse, so that they are able to access substance misuse and mental health services when they need to.

Suicide is the leading cause of death in men under 40, and self-harm is on the rise particularly in younger populations. Croydon's self-harm and suicide prevention strategy will support a collaborative approach to making **prevention of suicide and self-harm business as usual** across the whole of health and care in the borough.

47,978
adults in Croydon
have a common
mental health
problem at any
one time



PRIORITY 5: A STRONG LOCAL ECONOMY WITH QUALITY, LOCAL JOBS

A good job is really important for good health and wellbeing of working age people. To reduce social inequalities, Croydon needs a **strong local economy driving sustainable economic growth for all people** across the borough. This includes creating more jobs and better jobs, ensuring our residents have the skills and can access the right pathways to secure these jobs, tackling debt and addressing health.

One of our biggest economic strengths as a borough is our health and medical sector, with a wealth of talent and a huge concentration of innovative organisations. With collaboration across private, public and community organisations, including our blossoming digital sector, **Croydon is perfectly placed to be a great location for health innovation.**

We must also recognise that health and care organisations employ a huge number of people in the borough. We must do all we can to **promote the health and wellbeing of the workforce** and reduce social inequalities through how people are employed.

The NHS as the largest employer in the borough has a particular responsibility. It is not just what we commission and provide, but how we commission and provide services. Our procurement and employment practices need to ensure that we are developing a well-paid and skilled workforce that builds the capacity of local people to find and maintain and secure well paid jobs. This is equally applicable to all employers large and small who can take steps to improve the health of our workforces, as modelled through healthy workplace charters and the Council's commitment to the London Living Wage.

The health and care workforce within Croydon are highly trained, motivated, creative and caring, working hard to deliver high quality care for people in Croydon. This workforce, many of whom live within the borough, are an instrumental part of making change happen.

We should **work as one workforce for Croydon.** Developing shared values and collaborative working will support the joining up of services and make integration a natural progression. New population-based models of

care will require the development of increased working across organisational boundaries. We will build on the fantastic work of One Croydon to take this further across all aspects of the health and care sector within Croydon.

Working fully in partnership with the third sector and those in caring and volunteer roles in the community will be crucial to make the most of our borough wide assets.

12,400
people were
unemployed in
Croydon in 2018



PRIORITY 7: A STRONGER FOCUS ON PREVENTION

We want Croydon to be a great place where everyone can live healthy and fulfilling lives. A radical upgrade in prevention requires **a whole family, whole-borough approach**.

Obesity is a huge local and national challenge. It is preventable, but is currently rising due to poor diet, low levels of physical activity and environments which encourage unhealthy weight.

Violence blights lives and fractures communities. In many cases it is a cause of preventable harm and as such requires a public health response to minimise future risk. **Croydon will pioneer work in this area, initially in relation to knife and gang related crime and extending this approach to domestic violence and sexual violence over time.**

About half of people born after 1960 will develop some form of cancer during their lifetime. Many of these can be linked to lifestyle. Cancer prevention, early diagnosis

and successful therapy will reduce inequalities and save money. Croydon must pursue a sustained programme to remove barriers to healthy lifestyles and support the behaviours needed to reduce the risk of preventable cancers. **We will redesign the lifestyle services in Croydon to provide a co-ordinated and wide ranging offer.** This will be tailored around the needs of the individual and will maximise our collective assets as a borough to support healthy behaviours.

Our services need to be more proactive and preventative in their approach. This will involve making more use of evidence-based interventions at the early stages of disease. Local, timely and easy access to tests and treatment will be important to prevent conditions getting worse, together with a focus on earlier identification of those at higher risk of developing conditions. These approaches should help people remain healthy and independent for longer and will be driven by the One Croydon **Together for Health Board**.

To protect the health of Croydon's communities, infection prevention and control, and environmental hazards such as air quality and excess seasonal deaths will be improved by a coordinated local and regional partnership approach. **The Croydon Health Protection Forum** will lead on this key agenda.

4 in 11
reception age
children in Croydon
are obese



PRIORITY 8: THE RIGHT PEOPLE, IN THE RIGHT PLACE, AT THE RIGHT TIME

For too long, health and social care has ended up creating pathways and services that suit the process better than the people that use them. This has meant that it is all too common that people find that they have ‘come to the wrong place’ and bounce around services before they are able to find the support or care that they need.

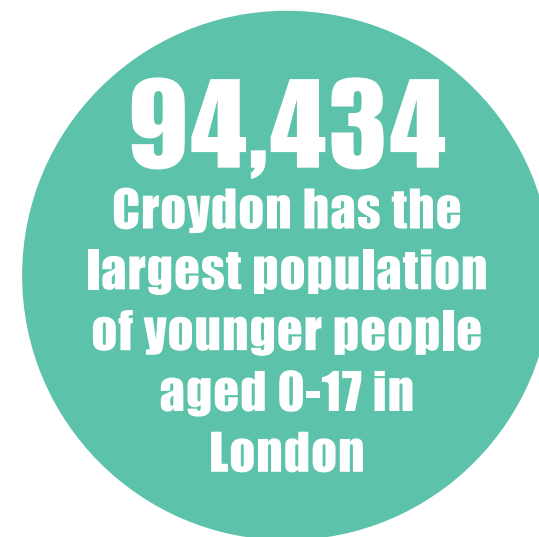
Through mechanisms such as the One Croydon Alliance, integration and collaboration between organisations will allow us to remove these barriers, and in developing services with the people of Croydon we will be able to make sure that wherever someone enters the system it is the system that takes ownership of the next steps not giving the responsibility straight back to the individual.

We will develop the Croydon system to deliver **community led support** working to start with what is possible, not what is not.

For more effective, efficient health and care we need to **move more services to community settings**. This requires population-based, integrated models of care that are sensitive to the needs of local communities. This must be supported by better **integration between physical and mental health care** with care provided in and out of hospital.

Providing care in the most appropriate setting will ensure our health and social care system can cope with surges in demand, and provide effective urgent and emergency care.

How services are configured and where they are placed will change over the coming years, so **engagement with local populations** is really important to ensure services meet local needs.



WHO WILL ACHIEVE THIS?

THE HEALTH AND WELLBEING BOARD

Provide leadership and direction to help and influence everyone to address the eight priority areas. The Health and Wellbeing Board will have a programme of review to engage relevant partners to ensure the delivery of the commitments within the strategy. The Board will continually ask what we are doing to reduce inequalities; create a sustainable system and to improve wellbeing through shifting to a preventive approach.

OTHER GROUPS AND BOARDS

The delivery of the Health and Wellbeing Strategy will be through the Health and Wellbeing Board, the Local Strategic Partnership Board and their affiliated groups and boards, as well as wider boards from areas not traditionally seen as being key to health yet equally important. The structures of the Health and Wellbeing Board and any sub-groups needs to align with the principles of this strategy to ensure its delivery. Alongside the development of action plans to deliver the strategy, there will be an extensive review of the governance structures in place to support this vision.

The Health and Wellbeing Board will additionally work with its wider partners and local communities to assist the development of plans and strategies to achieve specific priorities and outcomes of the Croydon Health and Wellbeing Strategy.

PEOPLE AND COMMUNITIES

Take ownership and responsibility for promoting community health and wellbeing. Support vulnerable members of the community to be healthy and have strong social connections.

HEALTH AND CARE ORGANISATIONS IN CROYDON

Our health and social care commissioner and provider organisations will lead the coordination of these changes over the coming years, starting with the **Croydon Health and Care Plan** as the key mechanism for delivering this strategy.

We will continue to develop the One Croydon Alliance as a key vessel to implement the Health and Wellbeing Strategy through integration and system development.

One health and care system working to make sure that every individual is able to say:

'I am in control of my own health and wellbeing.'

'I am able to stay healthy, active and independent as long as possible.'

'I live in an active and supportive community.'

'I can access the support my family and I need.'

'I can access quality services that are created with me and my family in mind.'



Agreed on 27th February 2019 by the signatories below:


Chair: Councillor Louisa Woodley


Cllr Margaret Bird


Emma Leatherbarrow


Robert Henderson


Cllr Alisa Fleming

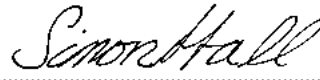

Rachel Flowers


Guy Van Dichele


Steve Phaure



Dr Faisal Sethi



Cllr Simon Hall



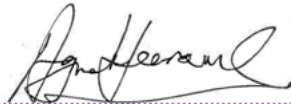
Cllr Janet Campbell



Cllr Yvette Hopley



Cllr Jane Avis



Vice Chair: Dr Agnelo Fernandes



Mike Bell

The Health and Wellbeing Board is a statutory board of the council made up of the following partners:

CROYDON | Delivering
www.croydon.gov.uk for Croydon

Croydon Health Services
NHS Trust

NHS
Croydon
Clinical Commissioning Group

healthwatch
Croydon

NHS
South London
and Maudsley
NHS Foundation Trust

Representing the community and voluntary sector on the board:


croydonvoluntaryaction
celebrating 100 years

***Croydon Health and Care Plan
2019/20 – 2024/25***

FINAL DRAFT

“Working together to help you lead your life”

One of London’s fastest
growing and most
diverse boroughs

A vibrant and
energetic borough

The second greenest
borough in the
capital

Home to a thriving
community, education,
businesses, and the arts

Croydon Health and Care Transformation Plan

“It is not good enough to say that one organisation is responsible for this, the council for that, GPs or Croydon University Hospital for the other—the only way we can make meaningful and sustainable change and improvement is by working together.” **Councillor Louisa Woodley, Chair of the Croydon Health and Wellbeing Board.**

One Croydon is the partnership between the local NHS, Croydon Council and Age UK Croydon. Following our success focusing on the over 65s we have extended our partnership to the whole population. Together we continually review and assess the health and wellbeing needs in the borough of Croydon, along with existing services and facilities for meeting those needs. Where we find services that could be improved for our residents, it is our job to work together to integrate them and make improvements.

This document sets out our approach to improving health and wellbeing in Croydon together. This will take many years and this five-year plan sets out our journey and the improvements we expect to see on the way. This plan is concise so that people can clearly see how our long-term goals and outcomes link to our priorities and to our plans for delivery. We want front line staff and stakeholders to understand why we are changing the way we work and what that means for the people of Croydon. A summary will be developed to help the public understand our plans.

Over the past few years we have made many improvements, building on previous improvement. Working together has meant people have had greater opportunities to feel more connected to their communities whilst supporting their health and wellbeing by piloting and implementing social prescribing. We have made available a Personal Independence Co-ordinator (PIC) for people needing individualised support to help develop ‘My Life’ Plans. People have better access to improved health pathways of care, such as improved access through new use of technology and through integrating the GP and hospital musculoskeletal (MSK) services and more work across professionals to work proactively to reduce need. People have had better access to general practice by offering pre-bookable routine appointments at GP hubs.

However, in essence, current, traditional ways of working need to change if we want to improve the health and wellbeing of the people of Croydon. We need to see a fundamental change in how we do things and what we focus on. Too many of our services are focussed on supporting those in crisis or those with the most acute health and social care needs. We need to reset our operating model so that we work to support people to stay well for longer, and delay and avoid more people from becoming acutely unwell in the first place. We must do this by working more closely together and planning a united and holistic model of care for local people that is seamless at the point of use. We must have good conversations with people and use of Community Led approaches, looking at what’s strong, not what’s wrong. By working together we can align organisational priorities and we will:

- focus on prevention and proactive care – we want to support local people before things become a problem and encourage residents to be more proactive in their own health
- unlock the power of communities by making the most of communities’ assets and skills – key to helping local people stay fit and healthy for longer is to connect them with their neighbours and communities
- put services back into the heart of the community - make sure local people have access to integrated services that are tailored to the needs of local communities – locality matters

One Croydon developed this health and care transformation plan to maximise the value of our partnership and work together to transform the way we deliver services.

The plan does not start from scratch but sets out for the first time an overview of the One Croydon plans in one document. It does not replace individual partner plans but builds upon them and on specific service strategies. It aligns with and supports the Health and Wellbeing Board's Strategy, the Croydon Local Strategic Partnership vision and will become a chapter alongside the health and care plans of the other boroughs in the South West London Health and Care Plan. The NHS Long Term Plan published in January 2019 reinforces the direction of travel set out in this plan. In addition, we await the publication of the Social Care Green Paper which will equally need to be reflected in our system planning. A summary of some of the engagement with stakeholders and the public that has influenced the shaping of this plan can be found on the CCG's website at [INSERT LINK](#). The short film [here](#) gives a flavour of just one event held in November 2018.

This plan represents the next step in an exciting journey for Croydon's health and care partners. We know there is still more work to do, as set out in our next steps section and this plan will continue to evolve.

Jerry Cope
Croydon Transformation Board
Independent Chair

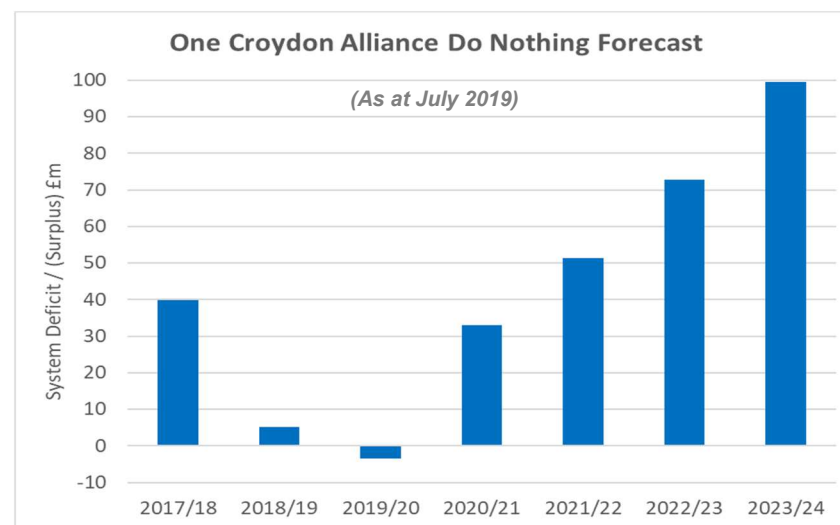
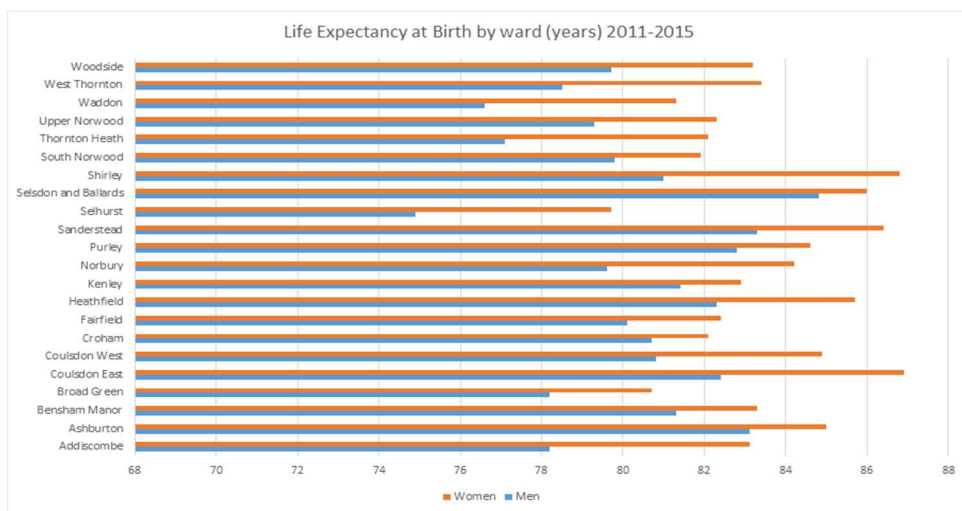
Our case for improvement

There are a number of challenges facing health and care services in Croydon that are preventing us from delivering **better outcomes for our population**.

Our current models of care are not **affordable** or **sustainable**. There are many opportunities to build on the strengths of local communities and integrate services for health and care that will lead to much improved models of care. We need to work together to change the way we support local people to improve their health and care. We must do this at a **scale** that will have the **biggest impact** and at a pace to keep up with the **growing demand**.

Some services are **fragmented and disjointed**. Teams do not work closely enough together across our organisations, which makes the user experience longer and more complicated than it needs to be. We must work to remove the unnecessary barriers between our services that are all working to support the same local people.

Too many of our services are focussed on supporting those in crisis or those with the most acute health and social care needs. We need to reset our **operating model** so that we work to **support people to stay well for longer**, and **delay and avoid** more people from becoming acutely unwell in the first place. We must do this by working more closely together and planning a united and holistic model of care for local people that is seamless at the point of use. If we do nothing there will continue to be significant inequalities in health between communities across the borough. The difference in Life Expectancy and Healthy Life Expectancy in Croydon and the decline in Healthy Life Expectancy means that people are spending more years in poor health. If we do nothing our system deficit will increase to such a scale, potentially leading to fewer services and a decline in quality.



Our health and care challenges and how they set our goals and priorities

There is significant inequality in health outcomes between communities

People in affluent areas are living significantly longer than people in poorer areas. This difference is even more extreme when we are looking at healthy life expectancy (HLE), life spent in good health and free from disability and disease. In Croydon, men living in Fieldway (HLE - 58.2) are expected to live 13 more years in poor health than those in Sanderstead (HLE - 71.3)

The improvements in raising life expectancy as well as healthy life expectancy has slowed down in recent years and people living in poorer areas experience an even slower rate of improvement. Some reasons for this decline are known such as deaths due to flu among older people, a slower rate of improvement for cardiovascular health, and a rise in obesity and dementia.

A key long term goal must be to:

- Reduce inequalities
- Improve healthy life expectancy

A key priority must be to:

- Improve wider determinants of health and wellbeing

Social, economic, and environmental circumstances have the biggest impact on health outcomes

Employment and adequate **housing** are key factors that determine physical and mental health and wellbeing. Almost a fifth (18.7%) of children under 16 in Croydon live in **low income families**. In Croydon, 234 people were seen sleeping rough in 2017 and 2450 people are living in **temporary accommodation**, including 864 families. Just under 25% of adults in Croydon are unemployed which is lower than the average for England. The **quality of the air** we breathe impacts on our health and can have a severe health impact on people with existing cardio-vascular or respiratory disease. In Croydon, air quality is variable with poor quality air correlating with some of the most deprived neighbourhoods. First time entrants to the **youth justice system** of the 10 - 17 olds was 537 per 100,000 year, the highest across the 33 London boroughs.

The first 1,000 days are crucial for the best start in life

- Croydon has the **largest child population** in London.
- Croydon has 4,351 **Children in Need**, and nearly one in four of all London's **unaccompanied asylum-seeking** children are in Croydon which is the second highest in the country.
- The level of **childhood obesity** is high. In 2016/17 almost one in four children (23.7%) aged four to five years are overweight or obese, increasing to more than one in three (27.7%) children aged 10 to 11 years.
- Admissions for **mental health conditions** for under 18s is higher in Croydon compared to London and national averages.
- **Childhood immunisation** uptake in Croydon is low compared to England and London. Immunisations protect children from disability and potentially fatal childhood illnesses.
- Croydon has one of the highest rates of **admission for asthma** among children and young people

A key priority must be to:

- Enable a better start in life

Our health and care challenges and how they set our goals and priorities

A number of risk factors for poor health are more prevalent in Croydon

We know there are a range of avoidable risk factors contributing to poor health outcomes and health inequalities. Around half of the difference in life expectancies between the least and most affluent parts of the borough can be linked to factors such as smoking, drinking more than the recommended amount of alcohol and having an unhealthy diet.

In Croydon, two thirds of adults are **overweight or obese**, one in eight adults **smoke** and there are high levels of sexually transmitted infections, particularly in areas of deprivation.

The proportion of the population with a long-term condition is increasing

Half of all adults registered with a GP report having a long-term condition. 23% (93,317) of the whole population of Croydon has two or more long term conditions (LTCs) and this is set to increase significantly over the next few years.

Mental Health issues are a leading cause of morbidity in the population

People with poor mental health often have worse physical health that is not adequately prevented or treated. In Croydon 6% of adults registered with a GP have a recorded diagnosis of depression. National estimates suggest that depression affects one in four adults so there is likely to be a significant proportion of the population in Croydon that have not been diagnosed.

Among young people, national reports estimate that one in eight five-19 year olds have at least one mental health disorder.

Too many people with mental ill-health are presenting at A&E and this has been increasing since 2017.

There are an estimated 1,300 people in Croydon with undiagnosed dementia

In 2017 there were an estimated 3,611 people aged 65+ living with dementia. However, in 2016/17, only 2,322 were formally diagnosed. Early diagnosis and treatment improves health outcomes and delays progression.

45% of people who use adult social care do not have as much social contact as they would like

In Croydon, there are an estimated 9,860 older people who are lonely and 5,423 older people who experience intense loneliness. There are also 17,227 people aged 18-64 who are socially isolated (annual public health report, 2016).

A key priority must be to:

- Improve quality of life

Our quality, workforce and finance challenges and how they set our goals and priorities

A key priority must be to:

- Integrate health and social care

Rising demand

The population of Croydon is growing. Overall life expectancy is increasing and we have an ageing population leading to greater demand on our services. Over the next few years, there will also be a particular increase in population around East Croydon station where there is a high concentration of new housing development.

Quality and Effectiveness of Care

The Care Quality Commission has rated **Croydon Health Services NHS Trust** as “requires improvement”. **South London and Maudsley NHS Trust** was rated “Good” overall but “Requires Improvement” in one area.

Of the 50 **general practices** across the borough, one was rated as ‘Inadequate’ overall and three were rated as ‘Requires Improvement’ overall. The remaining were rated as good or outstanding. However there is a lot of variation in care given by GPs, including rates for diagnosis and referrals, which leads to varying outcomes for patients. Access to primary care is also challenging, with a high proportion of unregistered patients.

Croydon Council took immediate action to improve its **Children’s Services** after an Ofsted inspection rated some areas of the service inadequate earlier this year. The council is addressing all the issues raised as a priority.

Croydon Health Services as a provider of choice

44% of the budget spent on hospital care is on patients attending hospitals outside of Croydon. We believe that at least 17% of this could be repatriated to Croydon Health Services so that patients are treated closer to home and the local hospital trust can become more financially sustainable.

A key long term goal must be to have:

- A sustainable health and care system

Workforce challenges

Croydon faces a number of workforce challenges that are affecting the health service nationally: the numbers of **nurses** (particularly in the community and mental health) and **GPs** have fallen and **social care** faces difficulty in recruiting to specialist roles for more complex work. The increase in demand means health and care professionals are overstretched. In addition there are difficulties in attracting staff to Croydon, despite it being a vibrant and energetic borough. Croydon can only offer outer London wage supplements which means it is hard to attract staff from neighbouring London boroughs.

Financial challenge

The health and care systems in Croydon face significant financial challenges. Working together we can better manage our collective financial gap, whilst delivering the health and care the people of Croydon deserve. If we do nothing, the collective deficit for the system by 2023/24 will be approximately £160 million.

What people have told us and how it sets our goals and priorities

“The feedback and ideas you have given us show us that you want to make Croydon health and care the very best they can be and we are all prepared to work to make that happen.” **Councillor Louisa Woodley, Chair of the Croydon Health and Wellbeing Board**

Understanding what local people think of services is essential for us to improve them. We are committed to reaching out to local communities and supporting residents to have their say in the future of local services.

You said, we did....

“Services need to be more flexible and offer different levels of support to people in their own homes.”

Health and care professionals now work together in virtual multi-disciplinary teams to identify those people who need the most support and to provide those services when and where they need them.

“Train people who visit isolated people in their homes so that they can alert services when their health starts to deteriorate.”

We ran a pilot to train meals on wheels’ delivery workers to spot signs of deterioration in their customers and which services they should alert. Personal Independence Co-ordinators support people to feel confident enough to talk to vulnerable people about their concerns and needs.

“We need more mental health services for those in crisis in the community.”

We will co-locate services to work together, using a hub and spoke model, to make sure they are accessible to existing community groups. We will develop an improved mental health crisis pathway so that people in crisis have faster and easier access to specialist support.

“A lot of teachers lack confidence when it comes to addressing or talking about mental health issues with children and young people.”

Alongside our partners across south west London, we are running an engagement programme with children and young people at risk of self-harm. The engagement focusses on testing ideas, developed with young people, to see which may have the biggest impact on supporting young people who are at risk of self-harming.

What more we will do...

“You need to build resilience and confidence in our schools and throughout our communities”

Our Local Voluntary Partnership model will enable and promote collaborative working among local voluntary and community sectors to support residents and health and care providers to promote self-care, reduce social isolation and promote independence.

“Be nice to people. Why wouldn’t people be nice?”

We will help develop a Compassionate Croydon Culture, where people can do little things that’ll make a big difference to people’s well-being. We will continue to develop the good work of our Dementia Action Alliance to make Croydon a compassionate place to live and work for people with Dementia and their carers, extending this to those with Autism and disabilities.

A key long-term goal must be to:

- Help people meet their health and wellbeing aspirations

How we will know we have improved health and well-being

OUR GOALS (10 years)	OUR STRATEGIC OUTCOMES (5 Years)
<p>Improve healthy life expectancy in Croydon from 62 years to 66 years for men and from 62.8 to 66.8 years for women over the next 10 years</p> <p>Reduce the gap in life expectancy from one place to another in Croydon for men from 9.4 years to 7.4 years and for women from 7.6 years to 5.6 years over 10 years</p>	<p>Health and well being</p> <ol style="list-style-type: none"> 1. More people will regularly engage in behaviours that will improve their health 2. More people with physical or mental long term conditions and their families and carers will be supported to manage their condition well 3. More people will be able to live well at home for as long as possible <p>Quality and Appropriateness of Care</p> <ol style="list-style-type: none"> 4. People will have positive experience and outcomes of health and social care 5. More people will have their health and social care needs met in the community.
<p>Integrated health and care provision that meets people's aspirations</p> <p>Increase the proportion of activity in the community: asset based individuals and communities, voluntary sector, social care, out of hospital setting (further work needed)</p>	<p>Enable a better start in life</p> <ol style="list-style-type: none"> 6. Fewer children will be living in poverty 7. More children will have maximised their level of development socially, emotionally and cognitively when they start school 8. More children will be a healthy weight 9. Fewer children will suffer respiratory complications requiring hospital treatment.
<p>Increase activity in out of hospital settings and reduce unnecessary acute activity shifted to out of hospital setting by 2024</p>	<p>Wider determinants</p> <ol style="list-style-type: none"> 10. Fewer people will be homeless or living in temporary accommodation 11. People will live in an environment that supports health, connectivity and independence 12. More adults and young people will be economically active or in education or
<p>High level measure on the development of local workforce with health and social care skills to be developed</p> <p>Sustainable recurrent health and care financial performance</p>	<p>Integrate health and social care</p> <ol style="list-style-type: none"> 13. Effective, multi-disciplinary teams around the person providing seamless care 14. Increased proportion spent on prevention and on out of hospital care 15. Sustainable health and care provision that meets people's aspirations

Measurement is a critical part of testing and implementing changes. We have developed an outcomes framework that has a balanced set of measures in order to monitor the changes we are making as well as whether they are actually leading to improvement where we need them.

Our challenges have driven our long term (10 year) goals that will demonstrate the health and wellbeing improvements and the infrastructure changes that we need to see. We have considered the key factors that will have the greatest impact for the residents of Croydon on these goals and set (5 year) outcomes accordingly.

To ensure we are heading in the right direction we must keep track of the changes we expect to see annually. Appendix 1 sets out the annual **health and wellbeing indicators** and the system indicators.

However, we cannot be driven solely by delivering these health and wellbeing indicators as this will not lead to transforming the way we work together and deliver support and services across the health and care system.

We have therefore also set **transformation indicators** that will show we are delivering the health and care system change we need to see.

Our goals over the next 10 years is to:

- Improve the healthy life expectancy in Croydon
- Reduce the gap in life expectancy in Croydon
- Integrate health and care provision that meets people's aspirations in Croydon

Croydon's health and care transformation plan on a page

"We need to have a real focus on prevention – stopping things becoming a problem where we can – and making sure our services are available where and when people need them." **Guy Van Dichele, Executive Director of Health, Well-being and Adults**

Working together to help you lead your life

The plan on a page (page 11) sets out a clear path from our long-term goals to our priorities and our plans for delivery. Our strategic approach to all that we do is to:

- **focus on prevention and proactive care** – we want to support local people before things become a problem and encourage residents to be more proactive in their own health. Our overall aim is to keep people well. We want people to stay well and we want to prevent things becoming a problem. If people do have a problem we want them to be able to manage well, and have access to support that will help them help themselves. For those that have the greatest need, we want them to have access to services in the right place, at the right time, first time.
- **unlock the power of communities by making the most of communities' assets and skills** – key to helping local people stay fit and healthy for longer is to connect them with their neighbours and communities. When people need care, we want a health and care system that can support them based on what matters to them. Personalising care will mean people have choice and control over the way their care is planned and delivered.

There are many ways we will support people to do this: shared decision making, personalised care and support planning, social prescribing and community led support, support self-management, personalised health budgets and working with the strong voluntary sector in our borough to connect local people to be part of broader support networks so that they can take control of their own well-being.

A new Voluntary Sector Strategy will support building capabilities with the voluntary sector as well as align where possible to support the delivery of this plan.

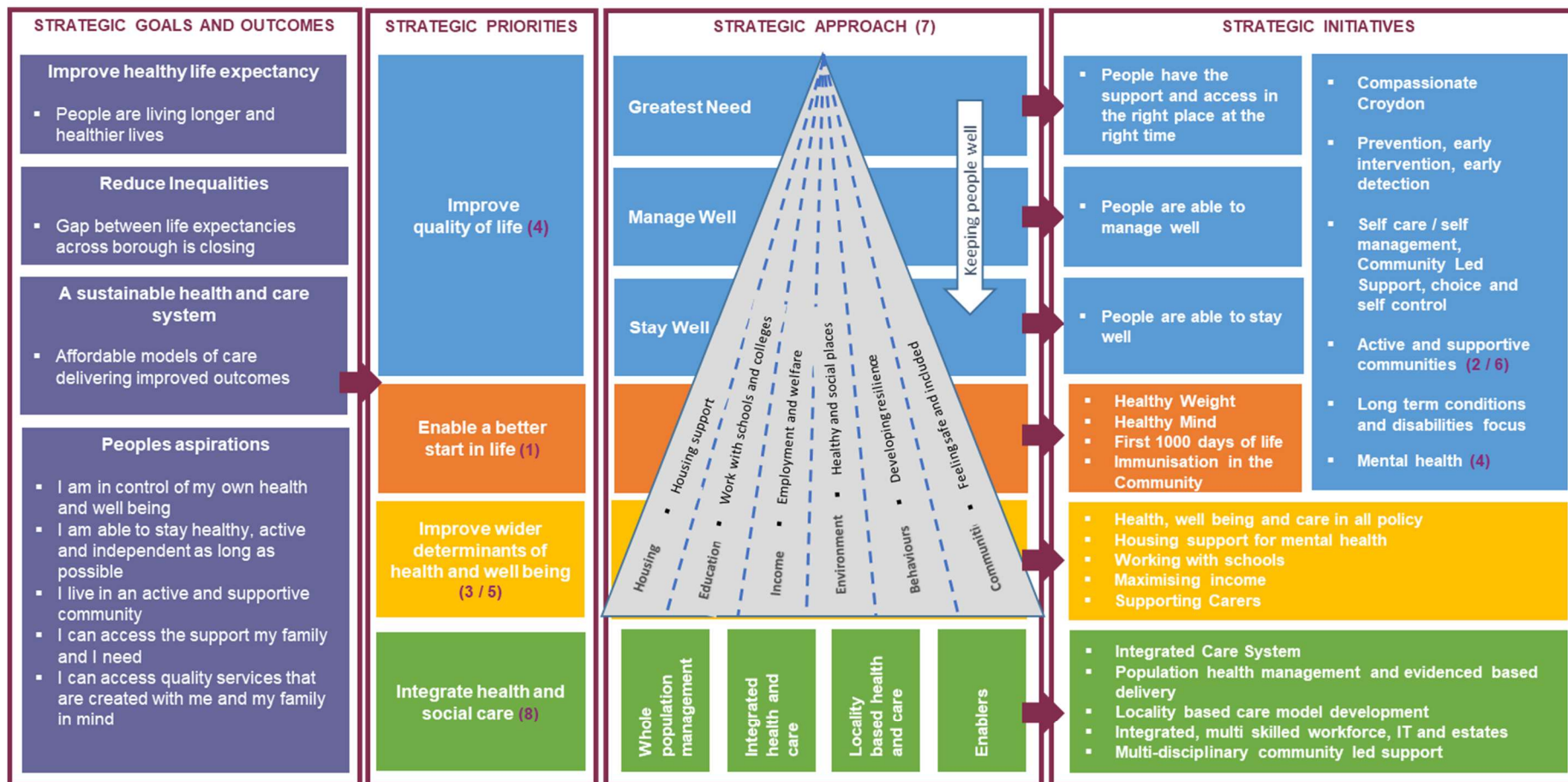
- **put services back into the heart of the community** - make sure local people have access to **integrated services that are tailored to the needs of local communities** – locality matters. We want to keep people well and out of hospital. Making sure local people and families have access to services, closer to home, wherever they live in the borough. Services must be accessible and responsive to their individual needs.

Factors such as the environment we live in, the education we receive and the relationships around us are major contributors to health, accounting for 80% of an individual's health and wellbeing; whether that is to keep people well, help them manage well, our support those with the greatest need. We will work to improve the wider factors that contribute to the health of residents the most. Our strategic initiatives will shift a whole system towards this preventative model of care. We know in Croydon there are certain long-term conditions that are more prevalent than others, also identified in the NHS Long Term Plan, such as diabetes, cardiovascular disease and respiratory disease and we want to focus on trying to prevent further development of these conditions.

Croydon's health and care transformation plan on a page



OUR VISION Working together to help you lead your life



(No.)= Supports delivery of Health and Wellbeing Strategy priority areas

(1) A better start in life, (2) Strong, engaged, inclusive and well connected communities , (3) Housing and the environment enable all people of Croydon to be healthy (4) Mental wellbeing and good mental health are seen as a driver of health, (5) A strong local economy with quality, local jobs, (6) Get more people more active, more often, (7) A stronger focus on prevention (8) The right people, in the right place, at the right time

Integrated services that are tailored to the needs of local communities

This directional statement sets out One Croydon’s focus for the next three years, to delivery an integrated care system in Croydon by 2021.

Working together we aim to improve the health of the people of Croydon, while also reducing inequalities both in life expectancy and healthy life expectancy. We began our journey focusing on the over 65’s, our next step is to extend our scope to the whole population, aligning interventions and services to need, helping those that experience the worst health improve their health the fastest.

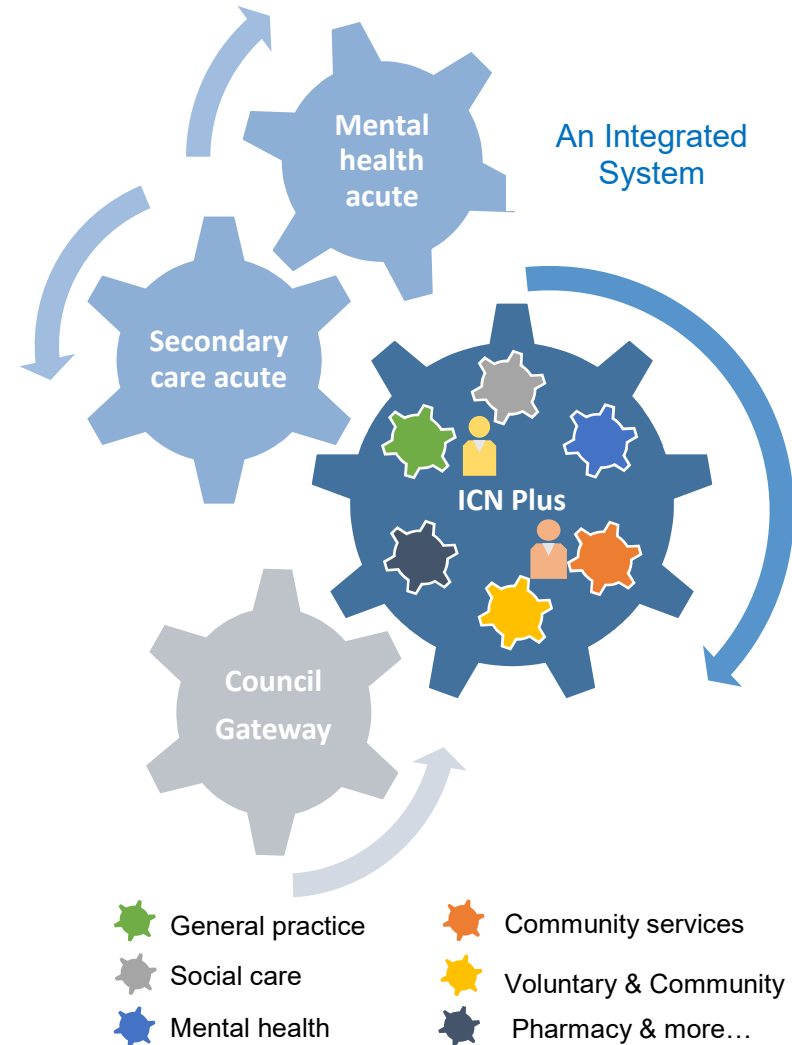
Our delivery model

To deliver preventative and proactive care for the whole population and to engage the community directly requires:

- **Community services to be organised around localities** – Building on our current Integrated Community Network model, ICN+ will develop wider health and care models of care around 6 GP networks, with wider council services delivered around 3 gateway localities. Health and care need, the responding models of care and affordability will determine whether interventions need to be delivered at locality level, across localities or borough wide.

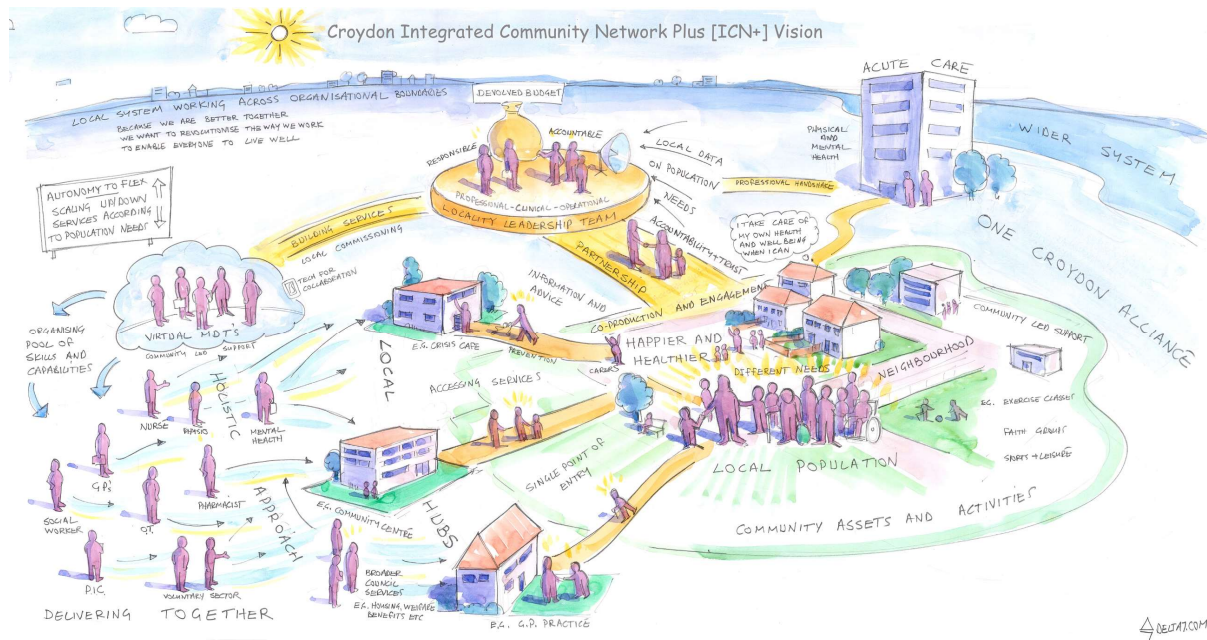
Models of care will focus on a range of services that will go beyond working jointly but will work in an integrated way. That means the workforce will be multi-skilled to work across traditional but sometimes, artificial professional boundaries and also joint locality management teams.

- **Modern acute care** - both physical care and mental health care—models will ensure only those that need acute services go to hospital. Our local providers, by becoming the providers of choice will ensure acute provision responds at the point of need with a focus on good clinical outcomes enabling local integrated care.



Community Services Organised around localities

Integrated services that are tailored to the needs of local communities



Models of care will focus on a range of services that will not just be joined up but will work in a fully integrated way. The workforce will be multi-skilled to work across traditional but sometimes artificial professional boundaries and there will also be joint locality management teams.

ICN+ will create a 'One team, One name, One budget' approach to the delivery of these services, across different agencies, cultures and organisations. The programme will be delivered by establishing a leadership team in each network, establishing a multi-disciplinary service for each network with a focus on preventative and proactive intervention, co-designing and establishing methods of engagement between the local community and the leadership team, and developing a strong community network that supports local people's health and wellbeing.

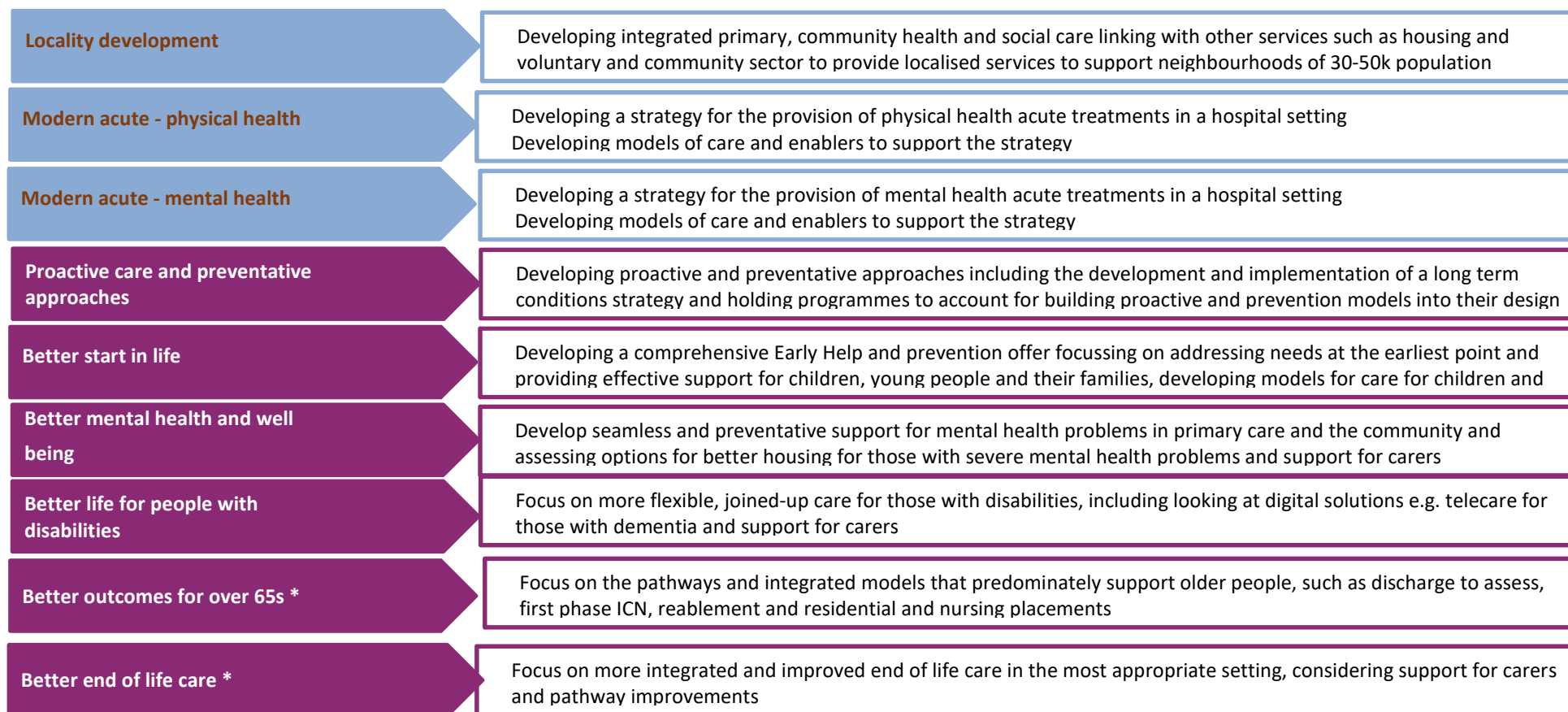
With Croydon's nine new primary care networks at their heart, we will work with local GPs, health and care professionals, and their social prescribing link workers to begin to map existing voluntary and community groups in each area. We will engage with local residents in each area for them to help develop the integrated community network plus for their areas – so that it is local people who help decide what services should be prioritised in each network. This approach will help put communities at the heart of health and care to inform the development of services to meet local need, promote community ownership of not just the services they use but also of taking greater control of their own health and wellbeing.

How we will deliver transformational change

To deliver our ambitious goals we have developed a number of transformation programmes (appendix 1). These do not describe all the work happening in Croydon, they set out our vision for a joined-up approach to transforming services. These programmes can be split into two themes:

- Settings of care focusing on the whole population
- Pathway programmes focusing on the customer journey for specific groups to ensure the integration of services delivers for the whole population

Page 40



* These programmes will be developed further.

Our focus for the next two years

“We believe in an approach that means our residents get the care, support and interventions they need without having to know who is doing it, or how – it just works.” Dr Agnelo Fernandes, Vice Chair of the Croydon Health and Wellbeing Board, Clinical Chair of NHS Croydon

Settings of care

The **Locality Development Programme** is responsible for the co-ordinated development of integrated, locality-based care, designed around the needs of local communities. This will include the implementation of Primary Care Networks, as well as specific locality-based out of hospital models of care. Our focus for the next two years is:

- Develop a range of fully integrate locality based primary and community services, building on our Integrated Community Networks and Living Independently for Everyone (LIFE) programmes
- Extend *proactive case management* through the scaling up of the LIFE/ICN programme and more joined up ways of identifying and working with those in need

The **Modern Acute Care Programme** aims to ensure that Croydon residents who need acute services will choose Croydon Health Services because it provides high quality care as part of the wider integrated health and care service. We cannot do this on our own and Croydon Health Services NHS Trust is working with hospitals across south west London to assess how they can collaborate more effectively. Our focus for the next two years is:

- Optimise acute pathways through the pathway redesign programme and improve efficiency so that CHS is the provider of choice for patients and GPs
- Continue to work with the south west London acute trusts to look at how to collectively improve the clinical and financial position
- Redesign flows within the hospital to support delivery of the four-hour emergency department waiting times standard

Pathway Programmes

The **Prevention and Proactive Care Programme** oversees the preventative agenda, leading on the implementation of many plans and ensuring all other programmes focus on preventative and proactive care. They will also lead on the development of vibrant communities. Our focus for the next two years is:

- Develop a new *long-term conditions model of care* that will provide support when intervention is needed, prioritising diabetes, cardiovascular disease and respiratory disease
- Build a *voluntary and community sector partnership* including the development of Local Voluntary Partnerships
- Develop our digital solutions to support people to access help and services quickly and easily

The **Better Start in Life** and the **Maternity Programmes** aim to ensure that children get the best possible **start in life** so that they have every chance to succeed and be happy. This includes promoting good emotional wellbeing and mental health for children and young people as well as ensuring mothers-to-be and their partners are supported throughout pregnancy. Our focus for the next two years is:

- Implement *children and young people's mental health transformation plan*
- Implement *Early Help Strategy* focusing on developing resilient families
- Redesign the *paediatric pathway* to ensure greater integration with primary care
- Implement the *Healthy Pregnancy programme* that will improve immunisation rates, breastfeeding rates, parenting support and Live Well programme uptake

The **Mental Health Programme** aims to prevent mental health problems and ensure early intervention for those with mental illness by improving access to services and providing care closer to home where appropriate. Our focus for the next two years is:

- Implement the mental health community hub and spoke model
- Improve the crisis pathway
- Provide greater support in primary care
- Improve *integrated housing* by development of a wider range of housing options for those with severe mental health problems

The **All Disabilities Programme** aims to support people with disabilities to remain at home as long as possible by providing quality services, timely and appropriate access, an effective journey and making more efficient use of resources. Our focus for the next two years is:

- Give working age people flexible care that they can arrange themselves and have choice and control over
- Provide more joined up care for people with disabilities by implementing locality-based services and bringing multi-agency teams together
- Transform our practice for children with disabilities to provide consistent, high quality and proportionate support throughout their childhood and the transition to adulthood
- Provide digital solutions and assistive technology to support access and management of care for people
- Have good conversations with people and use of Community Led approaches, looking at what's strong, not what's wrong.

A **locally, integrated health and care system** is a key ambition for One Croydon. It is key to ensure we can deliver sustainable integrated services. One Croydon is building on the success of the integrated services developed for over 65s and has extended the Croydon Alliance remit to the whole population. This plan underpins the next steps for the Alliance and its potential future partners. Our focus for the next two years is:

- Identify the next *models of care programmes to be developed through the Alliance* and implement them

- Implement *greater alignment* of resources across organisations where it will support the delivery of our plans. This will include aligning staff (both front line and back office staff), functions, budgets and other infrastructure such as IT and estates where appropriate
- Croydon CCG and Croydon Health Services will implement closer alignment of structures
- Develop a *population health management system* that will provide health and care information to support local teams to provide services tailored to the needs of their communities. It will also provide shared business intelligence so that the health and care system have 'one version of the truth'

We will develop our **infrastructure** to support the implementation of our programmes. Our focus for the next two years is:

- Develop and implement an integrated **workforce** plan supported by an Organisational Development programme
- Implement Phase 1 and 2 of the **IT interoperability programme**, sharing information between primary and secondary care, community, mental health and social care
- Implement the capital programmes to support development of the new health and wellbeing hubs as well as the improvement of the primary care **estates**
- Develop **communications campaigns** that help people develop their resilience and engage with local people to understand their experiences of new services and models of care
- Develop standardised **financial and contracting models**

What it will mean for people

Our strategic initiatives will be implemented over the next five years. The implementation plans are set out in appendix 2. These may change as we learn what works and what does not work and as we develop our thinking. Our commitment is that everything we do will be to help people lead their lives, by preventing health or care issues arising and if they do, supporting people to be as independent as possible.

Better Start in life

We are developing a comprehensive early help and prevention offer which focuses on addressing needs at the earliest point and providing effective support for children, young people and their families; the right help at the right time. This is based on the evidence that the earlier we get involved the better the outcomes are for children, young people and families. **Three locality-based teams have been established, who will be joined by partner agencies working in the relevant locality area.** The aim is to create a Partnership locally where children, young people and families receive the support they need in a coordinated way delivered by a multi-agency team of professionals. Locality working supports strong relationship between all key partners including the community and voluntary sector professionals helping them work in a much more coordinated way and as a team around the family.

Helping people stay well

We will focus on preventing or delaying people developing long-term conditions, such as vascular disease or diabetes, through screening and the management of those at risk. For those that do develop a condition supporting people to be activated in their own care (aka **patient activation**) will help people to develop the knowledge, skills and confidence to manage their own health and care, in partnership with health professionals.

There will be integrated **one-stop access points for mental health and wellbeing** in Croydon where a person can drop in and chat to a team member in a café area. An expert navigator can help with a range of issues including helping people to access benefits and housing support.

Helping people to manage well

Social prescribing - All GPs, nurses and other primary care professionals will be able to prescribe to a range of local, non-clinical services. This will help people to improve their quality of life and emotional, mental and general wellbeing, as well as levels of depression and anxiety. This is supported by developing vibrant partnerships in our local voluntary and community sector and investing in direct care from the sector (Local Voluntary Partnerships).

We will roll out **expert patient programmes** across Croydon to support people living with, or caring for someone with, one or more long-term health conditions. The course will give them a toolkit of techniques to manage their condition better on a daily basis, by increasing their confidence and quality of life.

Helping those with greatest need

We will continue to develop the good work of our **Dementia Action Alliance to make Croydon a compassionate place** to live and work for people with Dementia and their carers, extending this to those with **Autism and disabilities**. The work of our informal carers is valuable and we will work to co-produce support for them and increase choice and control for them and those they care for. We will work to ensure the right

What it will mean for people

accommodation is available with support for older people and those with disabilities, with a focus on supported living and people having their own front door and ensuring people have Active Lives and are supported into and to remain in work. We will reform our workforce into localities and develop our skill mix ensuring we make every contact count. Our integrated services for people who become unwell will work to avoid the need to go to hospital and provide joined up reablement, rehabilitation and intermediate care placements for people to support them while recovering. Following an unavoidable admission, we will support people as soon as they arrive home and provide the right rehabilitative care until they reach independence.

There is a real drive within Croydon to extend our dementia friendly community ambitions across the dementia pathway in both clinical terms and for families and carers.

To this end, all agencies across the pathway have recently come together to scrutinise where the pathway might work better together and an active task and finish group will focus on key areas. While the use of multi-disciplinary teams are enormously helpful to provide the best care, we are mindful of the need for someone to have an overview of the individual so they are considered as a whole person.

Likewise, there is also work underway ensuring the right kind of workforce training so the condition is properly understood across all providers in the borough.

Additionally, there is a carers training programme being rolled out across the borough to support carers understand the condition better and be more confident in dealing with it. We also are providing activities which allow people living with dementia and their carers/families to do 'normal' things, like going to the cinema, dances and singing.

Developing Active and Supportive Communities

There will be a **community approach to social care**, which will help people to use their own strengths and capabilities and consider what support might be available from their wider support network or within the community. This means social workers will look at a person's life holistically, considering their needs in the context of their skills, ambitions, and priorities.

We are already making a difference

Croydon Best Start was one of the first initiatives in the country to bring together midwifery and health visiting services with services for young children and families provided by Croydon Council and the voluntary sector. More than 5,500 families have now been visited at home following the birth of their baby by a member of our joined-up team. And in total the service has provided nearly 20,000 appointments at child health clinics across the borough

Social Prescribing in Croydon dramatically improves patients' health and wellbeing. In six months, there were over 28,000 attendances to community activities. A neighbouring borough found in a pilot they ran that patients needed 33% fewer GP appointments and it has cut hospital visits by 50% in the first year.

Personalised care at home in Croydon has delivered co-ordinated support for older people with long term conditions. Our 18 personalised independence coordinators aim to break the cycle of hospital admissions and this has resulted in fewer patients needing care packages for longer than six weeks after leaving hospital.

Medicines Management teams across Croydon Health Services and the Clinical Commissioning Group have improved patient care by facilitating better medicines management between the hospital, GPs and pharmacists.

Local Voluntary Partnerships will help to promote collaborative working among voluntary groups that provide support to local residents by promoting self-care, reducing social isolation and promoting independence.

Developing locality-based care, tailored to local needs

There will be a range of health and care **services in community spaces** such as libraries and there will be **new health and care wellbeing centres** in New Addington, East Croydon and Coulsdon. We will have a **number of hubs and networks of buildings and spaces** bringing different professionals together to offer a range of services such as supporting children and families with their needs.

Health and care services will be tailored to local community needs. **Primary Care at Home** will support this by building on the Integrated Care Networks. These networks bring together a complete clinical and health professional community, integrating GPs, mental health and community nurses, social care, pharmacy and the voluntary sector to proactively manage people with complex health and care needs at practice level.

Wider determinants of health

By working in a more joined up way as partner organisations and in particular with town planners, schools, colleges, transport, and businesses providing jobs we will be able to create a healthier Croydon that enables our citizens to lead healthier lives. There will be changes to the Croydon plan and other key policies will undergo **Health Impact Assessments** to review their potential impact on health and to identify opportunities to improve local living conditions.

Croydon's Integrated Care System

To deliver our ambitions we must work even more closely together not just at senior leadership level but at every level. Health and care professionals will work together alongside the voluntary sector, delivering a holistic approach for people.

The **One Croydon Alliance** focused initially on integrating services for over 65's. The Alliance makes partnerships more formal by having single budgets across organisations with agreed risk share arrangements, thereby removing some key organisational barriers. One Croydon is working towards developing a borough based integrated care system for 2021. We will seek to influence and engage with South West London to seek capability, capacity and investment for Croydon on key enablers to support transformation such as IT, estates and data/IG capacity. Croydon will maximise opportunities with the Mayor of London provided by London devolution.

A step on that journey is Croydon Health Services NHS Trust and NHS Croydon Clinical Commissioning Group plans to work more closely together to better plan and deliver health care in Croydon. Building on the success of the One Croydon Alliance, as well as the joint appointments of a Joint Chief Pharmacist and Joint Chief Nurse, the Trust and CCG are bringing together more common functions – removing duplication and freeing-up resources for the frontline and to support clinical staff. There will be a single Place Based Leader across both organisations.

For patients, the approach will ensure high quality joined-up care, wherever they seek treatment. For Trust and CCG staff, it will deliver greater opportunities to develop their careers, while increased alignment between the two organisations can also reinforce the financial future for health and care in Croydon.

Integrated commissioning, commercial structures and delivery models

The next step is to focus on the development of the integrated community network plus model for the whole population. At business case stage, we will consider the commercial structure, vehicles and delivery model options most appropriate. Sub Alliances may be required to take these forward, considering the partners required, which will be considered on a business case by business case basis but expected to cover all ages and areas, e.g mental health, children, etc. Joint strategic planning and integrated commissioning and pooling of budgets is required to ensure commissioning of the system to underpin the development of models of care as well as deliver efficiencies, effective contracting and procurement processes with a focus on quality. Integrated functions across the system such as quality and safeguarding and placement funding decisions to be explored as a priority.

Influencing the role of wider determinants

We know factors such as the housing and environment we live in, the education we receive and the relationships around us are major contributors to health, accounting for 80% of an individuals' health. This is why we will work further than just across health and social care. We must reach in towards all community partners to lever and influence change that will positively impact people's health and wellbeing, with the role of wider Local Government provision being central to this success.

Resourcing change management

To make this substantial multi-organisational change happen we will invest in the organisational development and workforce planning needed to support the creation of a One Croydon culture.

Financial Context

The health and care system faces significant financial challenges.

Over the years organisations have been making improvements internally as well as by working together.

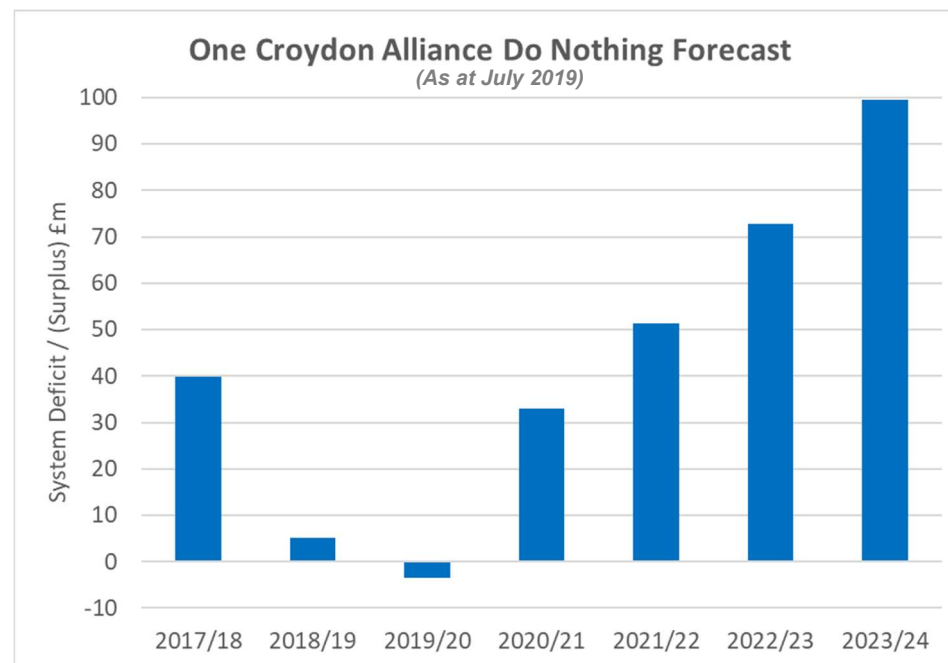
However with increasing demand from an ageing population, the need to improve quality and respond to rising patient expectations we must do more with the £890m (see Appendix 3) allocated to fund health and care in Croydon. It is therefore inevitable that the shape of services will have to change. To support our health and care plans we will shift the balance of our spend from reactive, high cost acute care to preventative, proactive out of hospital; care.

NHS England announced new 5-year population based allocations in January 2019. The Social Care green paper is awaited to clarify future funding for social care.

If we do nothing we will have approximately a £100m deficit by 2023/24. This is a similar challenge to that sized in previous strategies.

Clinically led working groups are developing patient focussed solutions to deliver care within the resources available. Further work will be undertaken to demonstrate how these plans will close the financial gap.

NOTE: This analysis requires updating for NHS 5-year planning assumption.



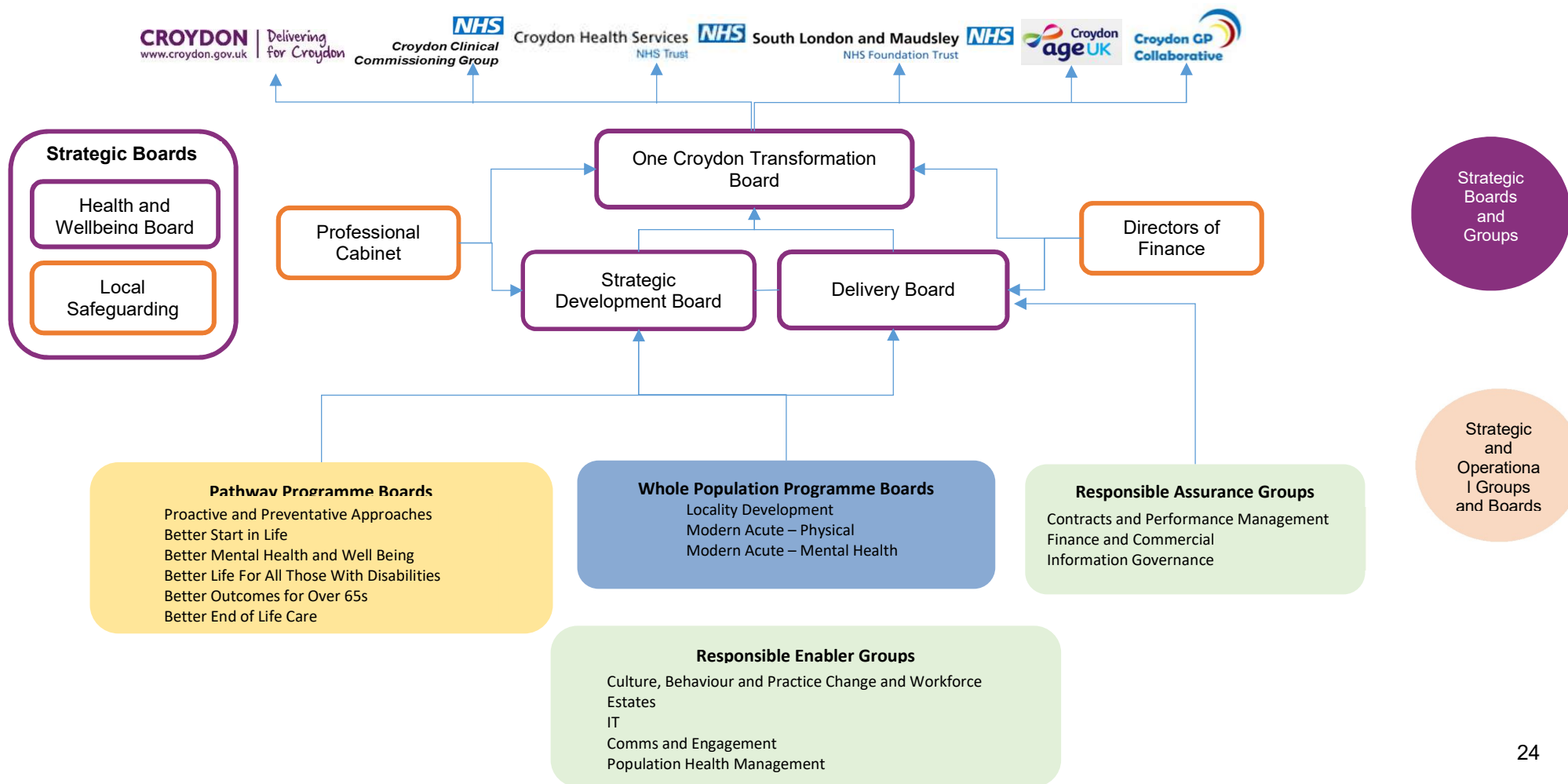
Do Nothing							
	Outturn	Outturn	Plan	Forecast	Forecast	Forecast	Forecast
	2017/18	2018/19	2019/20	2020/21	2021/22	2022/23	2023/24
	£m	£m	£m	£m	£m	£m	£m
CCG	-13.87	1.17	3.50	-6.53	-14.54	-25.57	-41.69
CHS	-22.20	1.50	0.00	-15.27	-21.76	-28.41	-35.23
LA	-3.80	-7.80	0.00	-10.20	-12.70	-15.30	-18.10
SLaM	0.00	0.00	0.00	-1.08	-2.25	-3.42	-4.45
	-39.87	-5.13	3.50	-33.08	-51.25	-72.70	-99.47

Our Governance

The Croydon Transformation Board is revising its governance to ensure it is able to deliver against the programmes identified. The Strategic Development Board and the Delivery Board will be responsible for strategy and delivery respectively. A number of programme boards will report to them. We will also establish a Pathway Programme Board for each specific group, focussing on the customer journey for that group so that we can ensure the integration of services delivers for the whole population. The Pathway Programme Boards will ensure that the care model designed for their group is locality focused and delivers good modern acute provision.

The governance structure below is currently in development:

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Next steps

This plan represents an exciting journey that health and care partners are on together. To strengthen these plans and to continue the journey there are a number of other key pieces of work to complete. Over the next year we will working towards:

- **Showing how we are making a difference** – we recognise this plan sets out some significant challenges including a potential financial gap of approximately £160m by 2023/24 if we were to do nothing and continue to deliver services in the same way. We set out some ambitious plans to address those challenges however we recognise that we have not set out how our plans will meet those challenges. Work will continue to demonstrate how our plans meet the challenges and close the financial gap. Whilst we have set out our outcomes and indicators of success, each programme board will also set out their own specific outcomes.
- **Defining and refining our programmes** – this plan does not start from scratch. We have been able to take stock of the excellent work already being done across the borough and plan our next steps. Our programmes are therefore at different stages of development and the governance is under review in order to ensure it supports this ambitious plan effectively. We recognise that through this planning there were gaps in our programmes such a comprehensive **workforce and organisational development** plan. Work is underway to define this programme and to identify the resourcing needed to develop and support our staff. In addition there was a recognition whilst there was significant work being undertaken to support the **early years, children and families**, there were still potential opportunities to align work further.
- **Enabling our plans** - This plan does not focus on some of the key enablers that will support the delivery of our plans such as our workforce, IT and estates. Each of these areas are developing their own strategies to support this plan.
- **Continuous engagement** – This plan has been informed through engaging with our population including specific groups. This will continue as we develop the details of our plans. We will also be developing how we engage with local populations to be central to the Integrated Community Network Plus model.

- **Developing Annual Operating Plan** – this plan sets our challenging ambitions and plans for over the next two years. Health and care partners will strengthen their joint planning and develop annual implementation plans.

Appendix 1 Our annual measures

OUR TRANSFORMATIONAL CHANGE (Incremental increases annually)		OUR HEALTH AND CARE INDICATORS (Incremental increases annually)	
Improve quality of life	<p>Increased coverage of social prescribing</p> <p>Increased voluntary sector and communities in delivering preventative services</p> <p>Increased number of community hubs and co-located services in local communities</p> <p>Increased identification of those at risk of and those with a long term condition in order to proactively manage their condition</p>	<p>Health and well being</p> <p>1a. Adults taking part in sports and physical activities</p> <p>1b. Smoking prevalence</p> <p>1c. Adult obesity</p> <p>1d. Proportion of people who report good life satisfaction and worth.</p> <p>2a Diabetes overall clinical care: people with T2DM that receive all 8 point process</p> <p>2b Diabetes: estimated diagnosis rate of the estimated prevalence of diabetes</p> <p>2c Dementia diagnosis rate</p> <p>2d Number of emergency admissions for back, neck and musculoskeletal pain</p> <p>2e Long term conditions prevalence gap by indices of multiple deprivation</p> <p>3a Excess winter deaths</p> <p>3b People who use social care who have control over their lives</p> <p>3d ASCOF – social care measures. (tbc)</p> <p>Quality and Appropriateness of Care</p> <p>4a People with long term conditions feel able to manage their condition</p> <p>4b Person experience and decision making (to be developed)</p> <p>5a Rate of unplanned hospitalisations aged 65+ for chronic ambulatory care sensitive conditions</p> <p>5b Deaths which take place in hospital- all ages</p> <p>5c Delayed transfer of care from hospital that are attributed to adult social care</p> <p>5d Proportion of people aged 65 and over who were still at home 91 days after discharge from hospital into re-ablement/rehabilitation.</p>	
Enable a better start in life		<p>6a. Children in poverty (under 16)</p> <p>6a. Low birth weight of term babies</p> <p>7a .School readiness: maximised level of development at the end of reception year</p> <p>7b. School pupils with social, emotional and mental health needs</p> <p>7c. Rate of exclusions in primary and secondary school</p> <p>8a. Excess weight among children in reception year</p> <p>9a. Admissions for respiratory tract infections in infants aged 2,3 and 4</p> <p>9b. Unplanned hospital admissions for asthma for under 19</p> <p>9c. MMR for 2 doses</p> <p>9d. Flu vaccinations uptake in at risk groups</p>	
Wider determinants	<p>Greater engagement with the wider determinants of health partners</p> <p>Wider determinant partners demonstrably consider the impact of policy and plans on health and care</p>	<p>10a. Households in temporary accommodation</p> <p>11a .Air quality indicators</p> <p>11b. Access to healthy assets</p> <p>12a. Unemployment rate, maximisation of income and reduction in poverty</p> <p>12b. Employment of people with mental illness or learning disability</p> <p>12c. 16-17 year old not in education, employment or training.</p> <p>12d. Increased social inclusion</p>	
Integrate health and social care	<p>Increased the organisational alignment of back office resources</p> <p>Increased market share of maternity and of planned care in Croydon</p> <p>Increased multi disciplinary teams</p>	<p>13a. Recurrent health and social care financial balance</p> <p>13b 100% use of Croydon integrated pathways</p> <p>13c Reduced spend on private sector</p> <p>14a Reducing readmission rates</p> <p>14b Reducing length of stay</p> <p>14c Lower waste on drugs</p> <p>14d Lower Do Not Attend rates</p> <p>15b Higher productivity of staff, clinics, theatres, beds, premises.</p>	

Appendix 2 Our programmes of delivery

KEY
▪ Current
▪ New

PROGRAMMES TO DELIVER OUR INITIATIVES	Stay Well	Manage Well	Greatest Need
<p>Locality Development</p>	<ul style="list-style-type: none"> Develop our locality based, out of hospital care and proactive interventions model, including social care, housing, welfare and universal support Implement Gateway Locality Model to strengthen localities in three pilot areas Implement Primary Care Working at Scale and development of existing Integrated Community Networks <u>Redesign outpatient care</u> <u>Improve ambulatory emergency care, redesign of the roving GP, increase 111 offering</u> Improve integration between primary and secondary services, social care and housing <u>Pathway redesign and process redesign</u> 		<ul style="list-style-type: none"> Support Carers <u>Extend proactive care management through extended ICNs, Develop LIFE at Scale, Community IV antibiotics and catheter mgmt.</u> Care homes transformation and Assistive Technology Transform Falls & Frailty including falls response pilot Improve End of Life Care High intensity user programme
<p>Modern Acute Hospital</p>	<ul style="list-style-type: none"> Transforming acute provision including community facing services Clinically sustainable hospital Optimising acute pathways and improving integration 	<ul style="list-style-type: none"> <u>Supporting local integrated services through repatriation</u> 	<ul style="list-style-type: none"> A&E transformation

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Alignment with Strategic Priorities

Improve Quality of Life	Enable a better start in life	Improve wider determinants of health and well being	Integrate health and social care
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Appendix 2 Our programmes of delivery

KEY
▪ Current
▪ New

PROGRAMMES TO DELIVER OUR INITIATIVES	Stay Well	Manage Well	Greatest Need
<p>Prevention, and Proactive Care</p>	<p>Prevention, Early Intervention, Early Detection</p> <ul style="list-style-type: none"> ▪ Develop consistent approach to preventing and proactive management of Long Term Conditions and support for people with disabilities ▪ Develop a prevention framework ▪ Review and develop Making Every Contact Count (MECC) ▪ Review and develop Just Be / Live Well ▪ Improve national diabetes prevention programme (Healthier You) ▪ Improve health screening including health checks <p>Self Care, Self Management and Personal Resilience</p> <ul style="list-style-type: none"> ▪ Expand Healthy pharmacy hub model to all areas of borough ▪ Create digital version of the Patient Activation Measure (PAM) ▪ Expand E-Market approach and align with social prescribing <p>Active and Supportive Communities</p> <ul style="list-style-type: none"> ▪ Build voluntary and community sector partnerships through the voluntary and community sector strategy to deliver whole system prevention ▪ Develop Local Voluntary partnerships (LVPs), including social prescribing, Asset Based Community Development (ABCD) ▪ Develop strengths based approaches across disciplines through community led support ▪ Maximise volunteering opportunities <p>Prevention, Early Intervention, Early Detection</p> <ul style="list-style-type: none"> ▪ Develop proactive digital solutions including use and coverage of Health Help Now , service directory and e-market place ▪ Develop social prescribing at scale across the borough 		<p>Self Care, Self Management & Personal Resilience</p> <ul style="list-style-type: none"> ▪ Multi-disciplinary community led support and strengths based approaches for our whole population ▪ "Nudge theory" to guide behaviour and activities ▪ Expand LIFE Proactive Community Referrals ▪ Proactive identification of people in greatest need
	<p>Self Care and Self Management</p> <ul style="list-style-type: none"> ▪ Systemise medication reviews for people ▪ Expand range of options for diabetes structured education (SE) <p>Shared Decision Making</p> <ul style="list-style-type: none"> ▪ Expand expert patients programme ▪ Expand group consultation at scale across settings and for all conditions ▪ Expand Health Help Now e.g. Push notices, Avatars – explain symptoms ▪ Develop the health champion role ▪ Roll out Shared Decision Making (SMD) toolkit 		

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Alignment with Strategic Priorities

Improve Quality of Life	Enable a better start in life	Improve wider determinants of health and well being	Integrate health and social care
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Appendix 2 Our programmes of delivery

KEY
▪ Current
▪ New

PROGRAMMES TO DELIVER OUR INITIATIVES	Stay Well	Manage Well	Greatest Need
<p style="text-align: center;">↓</p> <p style="text-align: center;">Better Start in Life</p>	<ul style="list-style-type: none"> Deliver the All Age Healthy Weight Strategy and pathway Implement Early Help Strategy focusing developing resilient families A focus on pre-conception health via Sexual health transformation and facilitating healthy behaviour Implement the School Superzones Programme First 1000 days of life Implement Children and young people's mental health transformation plan Healthy Weight - healthy weight prevention and early intervention services Healthy Mind – develop and implement a screening tool Bringing Immunisation into the community 	<ul style="list-style-type: none"> Redesign paediatric pathway Expand pathway for A&E Frequent attenders Promote GP telephone advice line and asthma nursing service 	<ul style="list-style-type: none"> Develop community therapies strategy Redesign Children's community ASD diagnosis and care pathway
	<ul style="list-style-type: none"> Personalised care and choice of place of birth – personalised care plans, increasing midwifery led care Continuity of care – named lead midwife and buddy throughout a women's maternity journey Safe care – Multi disciplinary team training on Saving Babies Life's Care Bundle Multi disciplinary working and working across boundaries Healthy Pregnancy - Immunisations, Breast feeding strategy, parenting support, live well programme A fairer payment system 		<ul style="list-style-type: none"> Postnatal care – proactive triage phone calls Perinatal mental health care - increasing opportunities for identification of those at risk
<p style="text-align: center;">Better Health and Well Being</p>	<ul style="list-style-type: none"> Develop joint mental health strategy to promote good mental health problems and ensure early intervention Workplace wellbeing Provide the Live Well Croydon and Just Be services to improve mental wellbeing 	<p>Transforming community mental health provision for people with Serious Mental Illness to include:</p> <ul style="list-style-type: none"> Enhance Primary Care – seamless service between primary & secondary care; improved support & rapid telephone advice for GPs; new primary care mental health support workers; address stigma of mental health. Community mental health hubs – common access to primary & secondary care; provision of wide range of services (clinical & social including benefits/housing/employment); link to ICNS. Improved integrated housing - develop wide range of housing support options (e.g. The Shared Lives Scheme) Connected communities – information, Local Voluntary Partnerships, including social prescribing directory of services galvanise communities, PIC support Self harm and suicide prevention strategy 	
<p>Alignment with Strategic Priorities</p>		<ul style="list-style-type: none"> Talking Therapies – improve access to psychological therapies for people with common mental health problems. Dual diagnosis – substance misuse and physical health of people with mental ill health 	<ul style="list-style-type: none"> Dementia Friendly Croydon Improve crisis care pathway for people in mental health crisis. Improve services for women with mental health issues during the perinatal period through enhanced community multi-disciplinary teams. Reduce physical ill-health amongst SMI population. Improve training and employment opportunities for people with severe mental illness Addressing addictive behaviours
<p>Improve Quality of Life</p>	<p>Enable a better start in life</p>	<p>Improve wider determinants of health and well being</p>	<p>Integrate health and social care</p>

Appendix 2 Our programmes of delivery

KEY
▪ Current
▪ New

PROGRAMMES TO DELIVER OUR INITIATIVES	Stay Well	Manage Well	Greatest Need
<p>Better Life For Those With Disabilities</p>	<p>All Age Disability and Adult Social Care Transformation (ADAPT)</p> <ul style="list-style-type: none"> Working age people will have flexible care that they can arrange themselves and have choice and control over, achieved through e-market places, Personal budgets and direct payments Transform our provision and workforce to implement locality based, multi agency working achieving seamless care for people with disabilities, with new front door Children with disabilities –Transforming our practice to provide consistent high quality and proportionate support through childhood and transition to adulthood People will have Active Lives, that are asset based and co-produced with them, ensuring coherent access and promotes inclusion and resilience for people and their carers Improve our housing offer to increase homes and housing options for people with complex health and social care needs Implement digital pathways 		
	<ul style="list-style-type: none"> Implement Compassionate Croydon Work and Health Programme Healthy Places including appropriate housing; accessibility; growth zone 		
<p>Wider determinants of health and well being</p>	<ul style="list-style-type: none"> Supporting local integration and provision of services for our local population Community Led support with strength based approaches Improving housing options 		<ul style="list-style-type: none"> Neuro rehab development
	<ul style="list-style-type: none"> Implement Health, prevention and early intervention in all policies (housing, licensing, transport, planning) Implement Air Quality strategy Development of Growth Zone Implement Gateway locality model Implement Homelessness Strategy Implement School Superzones action plan 		

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Alignment with Strategic Priorities

Improve Quality of Life	Enable a better start in life	Improve wider determinants of health and well being	Integrate health and social care
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Appendix 2 Our programmes of delivery

KEY
▪ Current
▪ New

PROGRAMMES TO DELIVER OUR INITIATIVES	Stay Well	Manage Well	Greatest Need
ENABLERS Integrated Care System	<ul style="list-style-type: none"> Development of an integrated care system design options Joint NHS control total and system financial risk share agreement Business cases for transformation and contracting developments, including shift to outcomes Total resource sharing and matrix working Organisational development Integrated organisational functions such as placements, safeguarding and quality 		
ENABLERS Population Health Management	<ul style="list-style-type: none"> Development and implement population health management strategy Development and implement population health management function Shared Business Intelligence – ‘one version of the truth’ 		
ENABLERS Others	<p>Workforce and OD</p> <ul style="list-style-type: none"> Understanding changing workforce requirements Develop and implement a workforce plan Whole system training solution Deliver culture change Workforce Well Being <p>IT and Digital</p> <ul style="list-style-type: none"> Interoperability Phase 1 and Phase 2 implementation – primary & secondary care, community and acute and mental health & social care IT infrastructure development Development of effective System IT Transformation Board and work programme <p>Estates</p> <ul style="list-style-type: none"> Capture estates requirements across the system and developing whole system estates solution Support locality based development including New Addington Health Centre, East Croydon Growth Zone, Coulsdon Health Centre Implement ‘One Public Estate’ Improve GP estate <p>Communications and Engagement</p> <ul style="list-style-type: none"> Communicate and engage with public, staff and stakeholders that supports the One Croydon” approach Information and signposting Facilitate public consultations where necessary <p>Finance</p> <ul style="list-style-type: none"> Develop whole system financial approaches System Risk Share <p>Contracting & Procurement</p> <ul style="list-style-type: none"> Design and implement contracts and appropriate procurement processes to incentivise/support models of care 		

Alignment with Strategic Priorities

Improve Quality of Life	Enable a better start in life	Improve wider determinants of health and well being	Integrate health and social care
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Appendix 3 Integrated Financial Resources 2019/20 Plans

CONSOLIDATED NHS CROYDON POSITON	NHS Croydon Group Financial Position £m	Alliance Members Health Funding to Croydon Population £m	Total Croydon Health and Care Investment £m
FUNDING			
NHSE Funding - Croydon Population	594.3	594.3	745.3
NHSE Funding - Other Sources	59.0	49.0	37.1
DHSC Grant Funding to Local Authority	0.0	54.3	54.3
Other Revenue	28.9	36.8	36.8
Transitional Support (e.g. PSF, FRF, MRET)	13.2	13.2	13.2
Total Revenue	695.4	747.6	886.7
EXPENDITURE			
Pay	(216.7)	(276.4)	(276.4)
Non-Pay Other	(97.0)	(118.5)	(118.5)
Non-Pay - Drugs	(58.7)	(58.7)	(58.7)
Estates	(5.5)	(5.5)	(5.5)
Interest	(1.8)	(1.8)	(1.8)
Depreciation and amortisation	(8.4)	(8.4)	(8.4)
Capital Charges	(1.4)	(1.4)	(1.4)
Payments to Care Providers			
- Hospital Services	(190.6)	(141.9)	(261.0)
- Individual Placements	(26.7)	(53.5)	(53.5)
- Primary Care/Community Services	(69.9)	(69.9)	(89.9)
- Other	(15.3)	(8.2)	(8.2)
Total Expenditure	(691.9)	(744.1)	(883.2)
Net Financial Position	3.5	3.5	3.5
Croydon System Control Total (Target Deficit/Surplus)			
CCG	3.5	3.5	3.5
CHS	0.0	0.0	0.0
SLAM	0.0	0.0	0.0
NHSE	0.0	0.0	0.0
Local Authority	0.0	0.0	0.0
Total	3.5	3.5	3.5
Variance from Croydon System Control Total	0.0	0.0	(0.0)
Variance from Control Total Excl Trans Support	(13.2)	(13.2)	(13.2)

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REPORT TO:	COUNCIL 15 JULY 2019
SUBJECT:	RECOMMENDATIONS OF CABINET AND COMMITTEES REFERRED TO COUNCIL FOR DECISION
LEAD OFFICER:	Jacqueline Harris Baker, Executive Director of Resources and Monitoring Officer
WARDS:	ALL
CORPORATE PRIORITY/POLICY CONTEXT:	
<p>The Recommendations of Cabinet and Committees referred to the Council for decision report is prepared in accordance with the Council Procedure Rules at Part 4A of the Constitution.</p>	

1.	<p>RECOMMENDATION FROM CABINET HELD ON 7 May 2019</p> <p>Council is asked to approve the following recommendation from the Cabinet Meeting held on 7 May 2019:</p> <p style="text-align: center;">Inform, Involve, Inspire & Create – Croydon’s Cultural and Libraries Plans</p> <p>1.1. Recommend adoption of the Croydon Libraries Plan 2019 – 20, Appendix 1A, to Full Council.</p>
2.	<p>RECOMMENDATION FROM THE ETHICS COMMITTEE HELD ON 16 May 2019</p> <p>Council is asked to approve the following recommendation from the Ethics Committee Meeting held on 16 May 2019:</p> <p style="text-align: center;">Best Practice Suggestions from the Report of a Review of Local Government Ethical Standards by the Committee on Standards in Public Life</p> <p>2.1. Recommend to Full Council that the Protocol on Staff-Member relations, Part 5B of the Constitution, be updated to include, as detailed in the paper, a definition of bullying and harassment.</p>
3.	<p>RECOMMENDATION FROM CABINET HELD ON 10 June 2019</p> <p>Council is asked to approve the following recommendation from the Cabinet Meeting held on 10 June 2019:</p> <p style="text-align: center;">Delivering for Residents through Sustainable and Ethical Commissioning</p> <p>3.1. Recommend the adoption of the revised Tenders and Contracts Regulations, Part 4 of the Constitution (Appendix 3A) to Full Council.</p>
4.	<p>RECOMMENDATIONS FROM CABINET HELD ON 8 July 2019</p>

Council is asked to approve the following recommendations from the Cabinet Meeting held on 8 July 2019:

Climate Change

- 4.1. Note the impact that climate change is already having around the world and the need for urgent action at an international, national and local level;
- 4.2. Declare a 'Climate Emergency';
- 4.3. Note the work and commitment that the Council has already made towards sustainability;
- 4.4. Establish a target for Croydon Council to become carbon neutral by 2030;
- 4.5. Work with the Mayor of London to meet the aim for London to be a zero-carbon city by 2050;
- 4.6. Call on the UK Government to provide the powers, resources and help with funding to make this possible;
- 4.7. Work with communities across Croydon to ensure that all residents and businesses are empowered and encouraged to play their part in making the Croydon the most sustainable borough in London.
- 4.8. Note the important role of all elected Members in leading this agenda.

3. EXECUTIVE SUMMARY

- 3.1. The recommendations of Cabinet referred to the Council for decision report comprises of matters of business formally undertaken by the Leader and Cabinet as well as Committees since the last ordinary meeting of the Council that require Full Council approval.

4. BACKGROUND

- 4.1. Part 4A of the Constitution requires that Cabinet and Committees include any recommendations that it has made to Council within this report.
- 4.2. These rules do not apply to any recommendations contained in the Annual Report of the Scrutiny and Overview Committee.
- 4.3. The Leader or Chair of the Committee making the recommendation may exercise a right to introduce the recommendation; in so doing the Leader or Chair of the Committee shall speak for a maximum of 3 minutes.
- 4.4. The recommendation shall be seconded without any further speakers and if not deferred for debate shall immediately be put to the vote.
- 4.5. Any Member supported by a seconder, may ask that a recommendation be deferred for debate and the recommendation shall immediately stand deferred.
- 4.6. In the event that any Cabinet or Committee recommendations have not been reached when the time limit for the meeting has expired, those recommendations shall immediately be put to the vote without further debate.

- 4.7. Attached at **Appendix 1** is the **covering report** containing the recommendation from the **Cabinet** meeting held on 7 May 2019 regarding the **Croydon Libraries Plan 2019 – 2023**. The relevant appendices to this report are also included. These are **Appendix 1A** (Croydon Library Plan 2019 – 2023 which is referred to as Appendix 2 in the Cabinet covering report) and **Appendix 1B** (Equality Analysis – Library Plan which is referred to as Appendix 4 in the Cabinet covering report).
- 4.8. Attached at **Appendix 2** is the **covering report** containing the recommendation from the **Ethics Committee** meeting held on 16 May 2019 regarding the **Best Practice Suggestions from the Report of a Review of Local Government Ethical Standards by the Committee on Standards in Public Life**. The relevant appendices to this report are also included. These are **Appendix 2A** (List of best practice which is referred to as Appendix A in the Committee covering report), **Appendix 2B** (Part 5.I – Members’ Code of Conduct, Constitution of the London Borough of Croydon which is referred to as Appendix B in the Committee covering report), **Appendix 2C** (Part 5.B – Protocol on Staff – Councillor Relations, Constitution of the London Borough of Croydon which is referred to in the Committee covering report as Appendix C) and **Appendix 2D** (Proposed amendments to Part 5B of the Constitution).
- 4.9. Attached at **Appendix 3** is the **covering report** containing the recommendation from the **Cabinet** meeting held on 10 June 2019 regarding **Delivering for Residents through Sustainable and Ethical Commissioning**. The relevant appendix to this report is also included. This is **Appendix 3A** (Tender and Contract Regulations which is referred to as Appendix 3 in the Cabinet covering report).
- 4.10. Attached at **Appendix 4** is the **covering report** containing the recommendations from the **Cabinet** meeting held on 8 July 2019 regarding **Climate Change**.

CONTACT OFFICER:	Annette Wiles, Senior Democratic Services and Governance Officer – Council & Regulatory Ext. 64877
APPENDIX 1:	Cabinet covering report: Inform, Involve, Inspire & Create – Croydon’s Cultural and Libraries Plans
APPENDIX 1A:	Appendix to the Cabinet Covering Report: Croydon Library Plan 2019 – 2023 (referred to as Appendix 2 in the Cabinet covering report)
APPENDIX 1B:	Appendix to the Cabinet Covering Report: Equality Analysis – Library Plan (referred to as Appendix 4 in the Cabinet covering report)
APPENDIX 2:	Ethics Committee covering report: Best Practice Suggestions from the Report of a Review of Local Government Ethical Standards by the Committee on Standards in Public Life

- APPENDIX 2A:** Appendix to the Ethics Committee Covering Report: List of best practice (referred to as Appendix A in the Ethics Committee covering report)
- APPENDIX 2B:** Appendix to the Ethics Committee Covering Report: Part 5.1 – Members’ Code of Conduct, Constitution of the London Borough of Croydon (referred to as Appendix B in the Ethics Committee covering report)
- APPENDIX 2C:** Appendix to the Ethics Committee Covering Report: Part 5.B – Protocol on Staff – Councillor Relations, Constitution of the London Borough of Croydon (referred to as Appendix C in the Ethics Committee covering report)
- APPENDIX 2D:** Proposed amendments to Part 5B of the Constitution
- APPENDIX 3:** Cabinet covering report: Delivering for Residents through Sustainable and Ethical Commissioning
- APPENDIX 3A:** Appendix to the Cabinet Covering Report: Tender and Contract Regulations (referred to as Appendix 3 in the Cabinet covering report)
- APPENDIX 4:** Cabinet Report: Climate Change

For General Release

REPORT TO:	CABINET – 7 May 2019
SUBJECT:	Inform, Involve, Inspire & Create - Croydon’s Cultural and Libraries Plans
LEAD OFFICER:	Shifa Mustafa. Executive Director Paula Murray & Kirsteen Roe, Director(s)
CABINET MEMBER:	Councillor Oliver Lewis – Culture, Leisure and Sport
WARDS:	All
<p>CORPORATE PRIORITY/POLICY CONTEXT/AMBITIOUS FOR CROYDON:</p> <p>The Cultural Plan for Croydon 2019-2023 sets out the council’s priorities for cultural investment in the borough, working with local and national partners, delivering the ambition of culture on every doorstep.</p> <p>The Library Plan sets out an ambitious programme of work within the context of the cultural plan, to take place over the next 10 years, transforming Croydon’s library service whilst retaining thirteen libraries in the borough.</p> <p>These plans will together contribute to 5 out of 9 of Croydon’s outcomes in the 2018-2022 corporate plan:</p> <ul style="list-style-type: none"> • People live long, healthy, happy and independent lives; • Our children and young people thrive and reach their full potential; • Everybody has the opportunity to work and build their career; • Business moves here and invests, our existing businesses grow; and • We value the arts, culture, sports and activities. 	
<p>FINANCIAL IMPACT:</p> <p>The Capital Programme approved at Council in March 2019 contains £5m of capital investment for Libraries over the period 2019/20 – 2021/22 The estimated costs of the projects are detailed in the finance section below.</p>	
<p>KEY DECISION REFERENCE NO.: 0719CAB</p> <p>This is a Key Decision as defined in the Council’s Constitution. The decision may be implemented from 1300 hours on the expiry of 5 working days after it is made, unless the decision is referred to the Scrutiny & Overview Committee by the requisite number of Councillors.</p>	

The Leader of the Council has delegated to the Cabinet the power to make the decisions set out in the recommendations below

1. RECOMMENDATIONS

The Cabinet is recommended to:

- a. Adopt the Cultural Plan for Croydon 2019-2023, Appendix 1 hereto.
- b. Recommend adoption of the Croydon Libraries Plan 2019-28, Appendix 2 hereto, to Full Council

2. EXECUTIVE SUMMARY

- 2.1 The Cultural Plan for Croydon 2019-2023 (Croydon Creates), sets out the council's ambition of seeing culture on every doorstep; in every locality, in every community, and in every life, because we know that culture is key to connecting communities, and creating vibrancy and opportunities to thrive.
- 2.2 The Cultural Plan for Croydon 2019-2023 seeks to build on recent successes including significant and growing external investment in culture within the borough and has been informed through national best practice. It has been developed and shaped through a series of engagement events with local artists and creative organisations and ongoing dialogue with national bodies.
- 2.3 The plan sets out six cultural ambitions for Croydon – a place where culture is for everyone; a place where people come first; a place with a stunning, inspirational public realm; a place that is energising and dynamic; a place that celebrates its past, present and future; a place of cultural entrepreneurialism and creative business – and is integral to the council's wider ambitions such as regeneration and economic growth, localities working, outcomes for young people and improving health and wellbeing.
- 2.4 Within this wider cultural context, the Libraries Plan sets out an ambitious programme of work over the next 4-10 years that will transform Croydon's thirteen libraries and provide a modern library service that will contribute to the delivery of Croydon Council's Corporate Plan and Cultural Plan.
- 2.5 The plan has been informed by best practice in delivering modern and relevant library services as set out by the national Libraries Taskforce, by engagement with Croydon residents, community groups and staff and by an options appraisal delivered by Red Quadrant in 2018 (a summary is provided as a background paper with the full report available on request).
- 2.6 The Croydon Libraries Plan (Inform, Involve, Inspire) 2019-28 is structured in four sections which can be summarised as communities, places, culture and infrastructure. It aims to create vibrant and inspirational local community spaces which inform, involve and inspire; where everyone has the opportunity to access council services and information, learn, improve their employability, enjoy the arts and cultural events, volunteer and get involved in their local community.

2.7 The Cultural Plan has purposefully been developed as a five year plan, as this is an exciting and changing landscape and what exists today will have grown, expanded and evolved in this timeframe. The Libraries Plan sets the framework for the development of the service, including an ambitious asset management approach, and therefore this is a ten year plan, reflecting the Council's commitment, including the financial investment in library buildings, over a longer term period.

3. DETAIL

3.1 Background and context

- 3.1.1 As London's growth borough, culture is at the heart of everything that we do in Croydon. Our Corporate Plan 2018-2022 outlines our key priorities for the borough, which importantly include our approach to Croydon's cultural offer to enhance our town, and to create places where people want to live, work and visit.
- 3.1.2 Never has the timing been more appropriate to launch an ambitious cultural plan for the borough. With a newly refurbished Fairfield Halls due to open later this year, managed by BH Live and hosting exciting residencies such as Talawa, the UK's premier Black theatre company; recent funding announcements such as Croydon's selection as one of six new Creative Enterprise Zones for London and one of five national Arts Council England funded youth performance partnerships; a burgeoning music scene building on Croydon's historical success in this sphere; the council's cultural partnership fund attracting over £3 into Croydon for every £1 of council investment; and an annual calendar of flagship events in Croydon such as Croydon Pride, the Mela, our street arts festival and a return visit from Dance Umbrella, Croydon's cultural scene is growing fast.
- 3.1.3 An ambitious plan of this scale cannot be achieved by council alone, and Croydon's Cultural Network, our local schools and colleges, our Local Strategic Partnership; they are all key to the delivery of our Cultural Plan for Croydon and have been involved in developing this plan.
- 3.1.4 Within the wider context of Croydon's cultural growth and investment, our thirteen libraries are important community and cultural places, free for residents to access and attracting almost 2 million visits per year. Libraries are a statutory service and local authorities have a duty to provide a 'comprehensive and efficient' library service.
- 3.1.5 Library usage nationally is constantly changing but the biggest changes have come over the last ten years. Borrowing of books is on a national decline since the age of the internet and increased online access to information and reading material. Local authorities that have managed to preserve the service and in some cases enhance it have adapted to the way libraries are being used by communities, providing innovative technology, more study space and meeting space, cafes and an increased programme of events to attract families and people of all ages and backgrounds.

- 3.1.6 Since taking the library service back in house in January 2018, the Council has focused on developing a comprehensive, integrated programme of library events and activities working with internal and external partners whilst also developing plans to improve the service and the buildings it operates from. The plan presented is the culmination of that work, setting out an ambitious future for Croydon's libraries, which transforms the service whilst retaining 13 libraries.
- 3.1.7 Launching both a cultural and a libraries plan at this point in time, builds on the successes achieved over the last two years and signals the council's ongoing commitment to investing in cultural activity and infrastructure and achieving the wider benefits for Croydon residents that this can enable; connected and cohesive communities; employment and economic growth; physical regeneration of our high streets; positive outcomes for young people; and improving health and wellbeing for all residents.

3.2 Key highlights of the documents

- 3.2.1 Throughout the two plans, there are a number of key themes:

Inclusion and diversity

- 3.2.2 In Croydon we are proud of our diversity and that translates into a very wide spectrum of cultural output. Croydon's cultural offer must be for the whole borough both in terms of our residents and different communities and also geographically. One of the Scrutiny recommendations made in the February pre-scrutiny session on the plan relates to this theme in particular:

That actions in the Cultural Plan should cover the whole of the borough and be a reflection of the diverse population in Croydon

- 3.2.3 Likewise our libraries are located in different areas of the borough, serving different populations with different needs and a data, evidence and resident led approach will be taken to programming activities within libraries, whilst also delivering a core universal offer across the borough. Outreach activities will help to reach a wider audience with a particular focus on those sections of the community that are least likely to access their library.

Young people

- 3.2.4 We could not have a Cultural Plan for Croydon that did not highlight the needs of young people in the borough and the role that culture is able to play in their futures. As the borough with the highest population of under 25s in London, young people are a very significant part of our demographic and culture is one of the most powerful tools to engage with young people.
- 3.2.5 There are some particularly strong elements of delivery in the plan relating to opportunities for young people from the chance to perform on the Croydon stage at The Ends Festival to apprenticeships and engagement in the 3 year Youth Partnership Performance Programme that starts in September of this year.

3.2.6 The Library plan aims to modernise the service and create an innovative, inclusive, technology based service that will attract younger residents, who traditionally use libraries less. Through our libraries we will offer opportunities for young people ranging from homework clubs to study space, support with health and wellbeing, volunteering opportunities and the chance to engage with arts and performance that celebrates the written and spoken word in particular. For example, Well Versed Ink, recently spent two months in residence at Thornton Heath Library, culminating a youth performance.

Economy and investment

3.2.7 Culture plays a significant role in making a strong case for inward investment and in creating direct employment and secondary economic impacts and this is reflected in the Cultural Plan. The creative economy is one of the fastest growing sectors in the UK, in the last five years. The digital and creative industries are highlighted by government as a priority for growth, and Croydon has, and will continue to contribute much to this agenda.

3.2.8 Libraries have an important role to play in supporting residents to access these and other work opportunities. Our libraries will provide valuable local volunteering opportunities through a comprehensive volunteer programme; free access to IT with improved wifi; job clubs; and will work closely with other services such as the Council's adult education offer or Croydon Works to ensure resident can easily access the right support for their situation. The libraries service will develop partnerships that support economic growth, such as Croydon's involvement in the British Libraries Start-ups in London Libraries (SiLL) project, funded by the GLA and ESIF funding.

Social outcomes

3.2.9 Creativity helps us to see the world differently and understand our place within it. A rich cultural heritage contributes to our sense of self and community, it affirms our identity and helps us to build resilience. In addition, we know that culture can reduce crime and disorder by providing purposeful activity and fostering a sense of emotional health and wellbeing. In addition, we know that street arts helps to reduce anti-social behaviour and fly-tipping, as we have seen through our work with several local communities who have used street art to prevent fly-tipping around shared bin sheds. The Cultural Plan seeks to build on the outcomes that can be achieved through a thriving cultural scene, in particular by aiming to understand and remove barriers to participation.

3.2.10 One of the scrutiny recommendations made in the February pre-scrutiny session on the plan was:

That the national outcomes for library usage should be used as a basis for the plan, with the service offered being evaluated against these outcomes.

3.2.11 The Libraries Plan is grounded in the work of the national Libraries Taskforce, which has identified seven key outcomes that libraries are well placed to deliver: cultural and creative enrichment; increased reading and literacy; improved digital access and literacy; achieving potential; greater prosperity; stronger more resilient communities; and healthier and happier lives. As well

as contributing to the emerging network of cultural venues in the borough, our libraries will also be recognised as community hubs, facilitating locality based working for Council staff and partners. By providing venues where residents can access the information and services that are most relevant to them, libraries will contribute to the council's prevention and early intervention work. They will also provide spaces where community groups can meet. An evaluation framework for the impact of our libraries will be developed based on the seven outcomes identified by the Libraries Taskforce.

Infrastructure

- 3.2.12 A key aim for the Council is to improve the quality and variety of venues available in Croydon and both plans are underpinned by an investment in infrastructure.
- 3.2.13 The Council has already committed to including the refurbishment of Fairfield Halls to create a world class venue in the heart of Croydon and the refurbishment of all thirteen libraries through a £5m capital allocation. We want to ensure that we have the right mix of establishments spread across the borough, offering a diverse range of performing and visual arts. The Council will continue to develop the Croydon Cultural Network; bring additional funds to the borough by leveraging the Council's cultural partnership fund; exploit the opportunities our public realm offers for high quality street art; develop the Croydon Music City programme; and refurbish the Clocktower space to increase awareness and usage of this significant cultural asset, with free and low cost activities where possible.
- 3.2.14 The Council has committed to open a new library in South Norwood in Spring 2020. £555k has been allocated within the council's capital programme for the development of a new library at South Norwood. This was approved by Full Council on 27 February 2018. In addition, this plan also sets out the ambition to develop a flagship library within a refurbished Clocktower improving awareness of and access to the building, and to refurbish the remaining 11 library buildings, focusing on providing modern, vibrant, inspirational spaces that meet the changing needs of our customers and have a consistent, but not identical, look and feel across the borough. £5m has been allocated within the council's capital programme for capital improvements to libraries. This was approved by Full Council on 4 March 2019. In 2019/20 the Council plans to refurbish Selsdon, Norbury and Thornton Heath libraries.
- 3.2.15 In some cases redevelopment may be a better and more cost effective option such as in the case of the new South Norwood library, and any such case would be assessed on the basis of a full options appraisal and business case which would incorporate the costs of the building as well as the impact for users of the building. Any redevelopment proposal would require a further decision to proceed.
- 3.2.16 Finally, all libraries will also receive a technology upgrade which will include new, modern hardware for staff and the public, a new Library Management System including a library app and an upgrade of self-service technology, allowing for future integration with the computer booking system and printing services. The Council will also pilot an innovative technology solution, Open +,

which is already used in around 20% of UK libraries, to enable library buildings to be open for longer hours, enabling customers and community groups more access to library services and spaces. This system works from the residents' library card and will be age restricted. Libraries are equipped with monitored CCTV.

4. CONSULTATION

4.1 To inform the development of the Cultural Plan there were a series of workshops over a period of months with the Croydon Cultural Network, building initially on the planning work done for both Croydon's London Borough of Culture bid and the Creative Enterprise Zone bid. There was also a special consultation exercise with over 100 young people at Croydon College. Key findings are reflected in the final plan.

4.2 To inform the development of the Libraries Plan, the Council commissioned RedQuadrant's specialist library consultants to carry out:

- Initial engagement on the future of Croydon's library service with public, staff and stakeholders;
- An analysis of current performance and need;
- A review of assets;
- A best practise review; and deliver;
- An option appraisal for the future delivery of our libraries.

Key findings from the report and the public engagement are reflected in the final plan. A summary of the Red Quadrant report is provided as a background paper.

4.3 Both the Cultural Plan and the Libraries Plan also went to a pre-Scrutiny meeting on 11 February 2019 and recommendations provided by the Scrutiny and Overview Panel have been incorporated into both plans.

5 FINANCIAL AND RISK ASSESSMENT CONSIDERATIONS

5.1 Council in March 2019 approved £5m capital investment spread over the period 2019/20 – 2021/22 as set out below for the libraries infrastructure and ICT Upgrades.

1 Revenue and Capital consequences of report recommendations

	Current year	Medium Term Financial Strategy – 3 year forecast		
	2019/20 £'000	2020/21 £'000	2021/22 £'000	2022/23 £'000
Capital Budget approved				
Expenditure	2,000	2,000	1,000	

Effect of decision

Expenditure

Selsdon	327		
Norbury	1,186		
Thornton Heath	900		
ICT	1,430		
Ashburton		342	
Purley		384	
Shirley		167	
Bradmore Green		108	
Sanderstead		156	
Total spend	3,843	1,157	0

Remaining budget	0	0	0	
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- 5.2 The table above sets out the original budget profile, the revised budget profile and the anticipated project costs.

This figure includes contingencies and it's fully anticipated that the total cost will not exceed the £5m budget.

The slippage from 2018/19 has not been factored in, this will be reported in the July 2019 Budget Review Report to cabinet.

- 5.3 The capital expenditure needs to be re-profiled to generate value for money by coordinating the refurbishment of Norbury Library at the same time as major repairs to the roof. In addition, Thornton Heath has been brought forward in the programme. The approved capital budget in 2020/21 and 2021/22 will need to be brought forward to meet the re-profiled expenditure.

2 The effect of the decision

The overall estimated costs will be met from the approved budget available.

3 Risks

- 4 There is a risk that the planned works could exceed the available budget and careful budget management needs to be undertaken to ensure costs are managed and contained. If costs exceed budget then additional capital funding will be required, this will impact on the Council's future Capital Programme as there could be less funding for other capital projects in the future.

5 Options

The options considered are set out in section 12 below.

6 Future savings/efficiencies

There are no direct financial savings anticipated. However, it is expected that this investment will generate more efficient and effective libraries and enhance the use of these facilities in Croydon.

Approved by: Lisa Taylor, Director of Finance, Investment and Risk / S151 Officer

6. LEGAL CONSIDERATIONS

- 6.1 The Head of Litigation and Corporate Law comments on behalf of the Director of Law and Governance that the Public Libraries and Museums Act 1964 (“The Act”) sets out the Council’s duties in relation to Libraries including in relation to the requirement in section 7 to provide a comprehensive and efficient library service for all persons desiring to make use thereof. In fulfilling its duty under Section 7(1) , a library authority shall in particular have regard to the desirability—
- (a) of securing, by the keeping of adequate stocks, by arrangements with other library authorities, and by any other appropriate means, that facilities are available for the borrowing of, or reference to, books and other printed matter, and pictures, gramophone records, films and other materials, sufficient in number, range and quality to meet the general requirements and any special requirements both of adults and children; and
 - (b) of encouraging both adults and children to make full use of the library service, and of providing advice as to its use and of making available such bibliographical and other information as may be required by persons using it; and
 - (c) of securing, in relation to any matter concerning the functions both of the library authority as such and any other authority whose functions are exercisable within the library area, that there is full co-operation between the persons engaged in carrying out those functions.
- 6.2 The approval of the library plan under the Public Libraries and Museums Act are Full Council functions.
- 6.3 Section 12 of the Act makes arrangements for the provision and maintenance of museums and galleries within the borough.
- 6.4 As part of the work undertaken for Libraries and in development of the cultural offer as part of the Libraries and Cultural plans respectively, the Council will need to continue to ensure compliance with the Data Protection Act 2018 and the General Data Protection Regulation including in relation to the reference made in the Libraries Plan to changing the way library user data is captured, reported and used to enable services to be targeted more effectively to residents’ needs and interests. This will include ensuring that any relevant Privacy Notices are updated and Privacy Impact Assessments undertaken.

Approved by Sandra Herbert, Head of Litigation and Corporate Law on behalf of the Director of Law and Governance & Deputy Monitoring Officer

7. HUMAN RESOURCES IMPACT

- 7.1 There is no human resources impact arising from this report.

Approved by: Jennifer Sankar on behalf of the Director of Human Resources

8. EQUALITIES IMPACT

- 8.1 An Equality Analysis has been carried out for both plans and these can be found in the appendices
- 8.2 The equality analysis for libraries found that: “the proposed change is likely to help the Council in advancing equality of opportunity between people who belong to any protected groups and those who do not.”
- 8.3 The analysis also states, “the proposed change relates to a service area where there are already local or national equality indicators. It will help the Council meet the equality objectives below;
- To increase the rate of employment for disabled people, young people, over 50s and lone parents who are furthest away from the job market
 - To reduce social isolation among disabled people and older people
 - To improve the proportion of people from different backgrounds who get on well together
 - To improve attainment levels for white working class and Black Caribbean heritages, those in receipt of Free School Meals and Looked After Children, particularly at Key Stage 2 including those living in six most deprived wards”
- 8.4 The Equalities Analysis for the Cultural Plan states: “cultural activity and programming can traditionally be seen as exclusive and exclusionary, with barriers to entry ranging from the cost of ticket prices to the lack of accessible venues. The new Culture Plan acknowledges this, and deliberately sets out clear objectives in relation to widening access to cultural activity, breaking down barriers and opening up opportunities for a broad range of groups who are traditionally under-represented in cultural activity and the creative industries.”
- 8.5 Neither analysis identified any disadvantages to any groups of stakeholders.

Approved by: Yvonne Okiyo, Equalities Manager

9. ENVIRONMENTAL IMPACT

- 9.1 Capital works to libraries will be undertaken in line with current environmental requirements and legislation.

10. CRIME AND DISORDER REDUCTION IMPACT

- 10.1 Providing modern spaces and activities which target young people, for example youth cafes within libraries, could reduce anti-social behavior in some areas.

10.2 A full risk assessment of pilots to use technology solutions to enable libraries to be accessed out of hours will be carried out involving lessons from libraries where this solution has already been installed elsewhere in the country and input from relevant services and partners, in order to fully consider any crime and disorder reduction impact.

11. REASONS FOR RECOMMENDATIONS/PROPOSED DECISION

11.1 Adopting both plans sets a clear vision and direction for culture and libraries in the borough and how these will contribute to the council's priorities as set out in the corporate plan.

12. OPTIONS CONSIDERED AND REJECTED

12.1 Not to adopt a Libraries Plan.

12.2 Not to adopt a Cultural Plan

12.3 To adopt the Cultural plan but not the Libraries Plan

12.4 To adopt the Libraries Plan but not the Cultural Plan

12.5 Adopting both a cultural plan and a libraries plan enables us to articulate a clear vision for culture and libraries in the borough and how these contribute to corporate priorities as set out in the corporate plan. The two plans are complimentary, with libraries providing a cultural function across the borough as well as a wider council "front door." The cultural plan is the overarching framework within which libraries will develop their cultural offer. However the cultural plan is also a key component of the borough's approach to growth and regeneration.

CONTACT OFFICER:

Kirsteen Roe, Director – council homes, districts and regeneration, extension 46205
Paula Murray, Creative Director, extension 47117

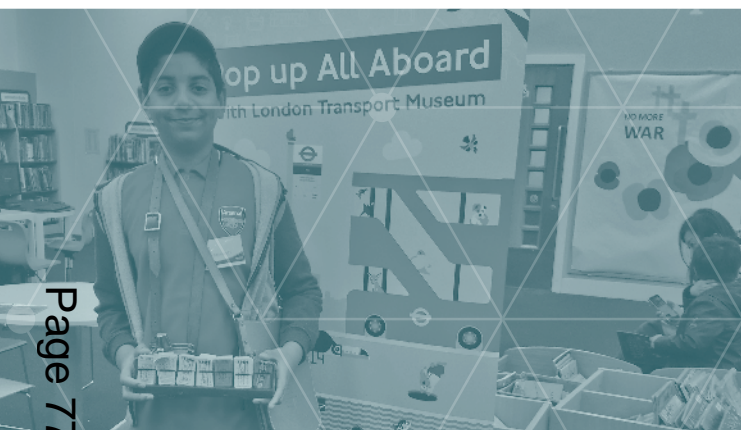
APPENDICES TO THIS REPORT:

Appendix 1 – Croydon Cultural Plan 2019-2023
Appendix 2 – Croydon Library Plan 2019-2028
Appendix 3 – Equality Analysis – Cultural Plan
Appendix 4 – Equality Analysis – Library Plan

BACKGROUND PAPERS:

Executive summary of options appraisal for the future of the library service London Borough of Croydon – RedQuadrant

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CROYDON LIBRARIES
LIBRARY PLAN
INFORM • INVOLVE • INSPIRE
2019 - 2028



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KEY STATISTICS

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OUR VISION

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OUTCOME: A library service designed around the needs of our residents and communities

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OUTCOME: Croydon Libraries as the 'Front Door' of the council enabling services to be delivered locally

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OUTCOME: Libraries at the heart of Croydon's cultural offer, celebrating the written and spoken word in particular

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OUTCOME: Modern, welcoming, inclusive and accessible library facilities and buildings



Foreword: Councillor Oliver Lewis Cabinet Member for Culture, Leisure and Sport



Croydon's libraries are devoted to the education, enjoyment and wellbeing of our communities.

Croydon is changing and so are our libraries. We need a modern, flexible, and efficient library service that can adapt to meet the needs of all our residents in line with the transformation of our ever-evolving borough.

This is an ambitious ten year plan, which sets out the vision for our libraries and introduces a transformational programme of work that will ensure Croydon's network of thirteen libraries are fit for the future and serve the changing needs of our communities, including the development of a flagship library within the Croydon Clocktower complex.

At the heart of any library is the written and spoken word. Successful libraries also play a vital role in promoting health and wellbeing, supporting people into work, increasing educational attainment, improving digital skills, bringing individuals and communities together and celebrating creativity and culture.

Our libraries already receive nearly 2 million visits a year. And half of these visits are for access to IT, events or other activities. This plan sets out how we will develop both the core library service and our library buildings as vibrant community and cultural hubs. In doing so we aim to:

- **Inform** communities with books and services that meet their needs;
- **Involve** our communities through volunteering opportunities
- **Inspire** people through the information and opportunities available to them
- increase the usage of our libraries and resources;
- attract more young people and those of working age, who traditionally, are less likely to use libraries;

Our libraries will be modern, welcoming spaces where people of all ages and backgrounds come to learn, read, work, meet people and get involved.

We will increase the number of physical and digital books and resources available.

We will provide a programme of events that encourages creativity and celebrates culture.

Our libraries will help residents find the information and support they require within their local community and will play an important role in the council's localities approach – connecting residents with relevant local services.

We will support education and pathways into employment by expanding our homework clubs, job clubs and digital zones, helping residents to engage with the changing working and learning environment.

Our libraries will cater for the digital age by providing modern IT and supporting the development of digital skills. We will use technology and mobile apps to give access to our libraries and the services outside of core hours.

We will develop and improve our volunteer programme and our partnerships with the voluntary and community sector to encourage more people of all ages to get involved and shape their local service.

Ultimately, we will achieve all this by working with our communities and partners across the borough. Our ambition is for libraries that inform, involve and inspire. I look forward to working with all of you to deliver this exciting and ambitious plan.

Councillor Oliver Lewis
Cabinet Member for Culture, Leisure and Sport

► Key Statistics

USAGE



visits to Croydon libraries each year



books borrowed each year



sessions using library computers

YOUNG PEOPLE

30% of library users
are under 16



46% of books are
borrowed by under 16s

Over 10,000 children visited
libraries with their school class



IMPROVING SKILLS



Over 1,500
attendances at Work Clubs

Over 100,000
visits by older people
to one-to-one IT skills
improvement sessions



PARTICIPATION

Over 100,000
visits to events and
activities in libraries



35,000 visits to
under-5s Rhymetime
sessions



► Our Vision

- **Inform** – connecting residents to information, activities and services that will benefit them
- **Involve** – a service that is shaped by residents and easily adapts to meet the changing needs of the communities we serve
- **Inspire** – creative library spaces that offer residents opportunities to have fun, learn and connect with others

"At the heart of any library is the written and spoken word. Successful libraries also play a vital role in promoting health and wellbeing, supporting people into work, increasing educational attainment, improving digital skills, bringing individuals and communities together and celebrating creativity and culture".

Welcome to the
Central Library

Learning
Informing
Interacting

Teen

BEES' SUPERHEROES

There are 20,000 species of bees around the world. Bees are vital to our food supply. Without the bees, we would not have many of the fruits and vegetables we eat. Bees are also important pollinators of many of the plants that we use for medicine.



Beehive: a bees nest. It is constructed by a bee's nest built with a purpose to protect the queen. The workers of the hive are responsible for the care of the queen and the young bees. The bees also collect nectar and pollen from flowers and use it to make honey and beeswax.

Our Team:
Aineya
Abhi
Kacper
Koushuhn
Krutvik



Grasshopper

Grasshoppers are insects that belong to the order Orthoptera. They are characterized by their long hind legs, which they use for jumping. Grasshoppers are found in a wide variety of habitats, including grasslands, meadows, and forests. They are important pollinators and also serve as a food source for many other animals.

Our Animals:
Grasshopper and Bee



Tri-Fold Presentation Board
Triptico para presentaciones
Panneau d'affichage à trois battants

Page 83

48 in x 36 in = 12 ft²
2.2 m x 1.1 m = 2.4 m²

Red / Rouge / Orange



► OUTCOME

A LIBRARY SERVICE DESIGNED AROUND THE NEEDS OF OUR RESIDENTS AND COMMUNITIES

What does success look like?

- More residents are using their local library to **access information**, learn and **get involved**
- Local community groups are using their local library to **meet** and run activities and events
- More young people are using libraries to **study, socialise** and **get involved**
- Small local businesses are using libraries as local offices and **meeting** venues



► What we will do

- Increase our book fund and provide a rich variety of books tailored to the local community
- Join the London Library Consortium to give residents access to over 6 million books
- Expand our homework clubs, job clubs and Digital Zones
- Improve the way that library user data is captured, reported and used to enable services to be targeted more effectively to residents' needs and interests
- Develop our volunteering offer to enable residents to get more involved in the running of their local library
- Widen access to communities of greatest need
- Involve our communities in designing their local service
- Deliver a service that goes beyond the walls of the library buildings, providing outreach opportunities particularly for communities that are under-represented as library users

► OUTCOME

CROYDON LIBRARIES AS THE 'FRONT DOOR' OF THE COUNCIL ENABLING SERVICES TO BE DELIVERED LOCALLY

What does success look like?

- Libraries facilitate local **prevention** and **early intervention** activity
- Residents are accessing the **support** and services they need **closer** to where they live
- Residents are receiving **support** and **advice** on matters such as health, finances and families at their local library
- Residents are receiving help to **get on-line** and access other council services
- Residents are being **signposted** to the right services and receiving information locally
- Staff and partner organisations are meeting and “touching down” in libraries when working in localities



► What we will do

- Provide meeting space and private discussion space in our key libraries
- Install the technology needed to access other council services
- Utilise libraries as a key asset from which council services can be provided to residents in their local areas and also offer drop-down points for staff
- Establish partnerships with council, other local services and community groups to provide locality based solutions that focus on early intervention and prevention
- Train library staff, volunteers and partners working in libraries enabling them to connect local people to local information, activities and services
- Develop an evaluation framework for Croydon's libraries based on the seven outcomes defined by the national libraries taskforce

▶ OUTCOME

LIBRARIES AT THE HEART OF CROYDON'S CULTURAL OFFER, CELEBRATING THE WRITTEN AND SPOKEN WORD IN PARTICULAR

What does success look like?

- Residents of all ages and backgrounds are attending exhibitions, performances, events and activities in their local library and enjoying a range of **cultural experiences**
- Residents of all ages and backgrounds have expressed an interest in trying out a **skill** or **interest** as a result of an event they have attended

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► What we will do

- Develop a comprehensive, integrated, cultural offer with libraries recognised as cultural venues
- Expand our programme of author readings and talks across our libraries
- Provide spaces where residents can experience a range of cultural activities and media
- Work with the Croydon Cultural Network to develop a programme of artists-in-residence and a programme of cultural events and activities that sit within a wider cultural calendar for Croydon

▶ OUTCOME

MODERN, WELCOMING, INCLUSIVE AND ACCESSIBLE LIBRARY FACILITIES AND BUILDINGS

What does success look like?

- Residents are **accessing** library services from different locations at times that suit them
- More **young people** and **working age** residents are library members
- Lending of books and resources and usage of **online resources** has increased
- Library buildings are fully utilised during and outside of core hours



*Technology solutions can allow access into unstaffed library buildings. Entry to the library is via a library card and pin, with CCTV aiding security; self-service machines and computers allow full usage of the library service. This system is currently used in 20% of UK library services.

► What we will do

- Provide attractive, accessible, modern, flexible multi-purpose spaces that are both professional and welcoming, with consistency of design across the borough.
- Deliver a flagship library in the Clocktower complex in central Croydon
- Install modern technology that meets the needs of an increasingly digital society and supports students, small businesses, and residents to get online
- Enable customers to access online services remotely through a library app on their mobile devices
- Use technology to extend the hours that the building can be accessed to outside of core library hours *
- Provide cafes at our busiest libraries to provide facilities for customers, groups and small businesses

— CROYDON LIBRARIES —
LIBRARY PLAN
INFORM • INVOLVE • INSPIRE
2019 - 2028

Croydon Council

Equality Analysis Form

Stage 1 Initial Risk Assessment - Decide whether a full equality analysis is needed

At this stage, you will review existing information such as national or local research, surveys, feedback from customers, monitoring information and also use the local knowledge that you, your team and staff delivering a service have to identify if the proposed change could affect service users from equality groups that share a “protected characteristic” differently. You will also need to assess if the proposed change will have a broader impact in relation to promoting social inclusion, community cohesion and integration and opportunities to deliver “social value”.

Please note that the term ‘change’ is used here as shorthand for what requires an equality analysis. In practice, the term “change” needs to be understood broadly to embrace the following:

- Policies, strategies and plans
- Projects and programmes
- Commissioning (including re-commissioning and de-commissioning)
- Service Review
- Budgets
- Staff structures (including outsourcing)
- Business transformation programmes
- Organisational change programmes
- Processes (for example thresholds, eligibility, entitlements, and access criteria)

You will also have to consider whether the proposed change will promote equality of opportunity; eliminate discrimination or foster good relations between different groups or lead to inequality and disadvantage. These are the requirements that are set out in the Equality Act 2010.

1.1 Analysing the proposed change

1.1.1 What is the name of the change?

Library Plan 2019 - 28

1.1.2 Why are you carrying out this change?

Please describe the broad aims and objectives of the change. For example, why are you considering a change to a policy or cutting a service etc.

When Carillion Plc went into liquidation in January 2018, the council took the decision to insource the library service. Whilst this change was undertaken as an emergency measure, to ensure the un-disrupted continuation of the service to the public, we have now stabilised the service and set out a plan to develop a modern efficient library service to deliver Croydon’s ambitions and priorities. Under the Carillion contract the service was not developed, the buildings were not maintained to an acceptable standard for public use and the technology has become old and outdated.

1.1.3 What stage is your change at now?

See **Appendix 1** for the main stages at which equality analyses needs to be started or updated.

Library plan developed and being presented to cabinet/full council for approval.

Please note that an equality analysis must be completed before any decisions are made. If you are not at the beginning stage of your decision making process, you must inform your Director that you have not yet completed an equality analysis.

1.2 Who could be affected by the change and how

1.2.1 Who are your internal and external stakeholders?

For example, groups of council staff, members, groups of service users, service providers, trade unions, community groups and the wider community.

Circa 110 staff; Library members; Potential library users – all residents; Community groups; other council services e.g. museums and archives, culture, gateway.

1.2.2 What will be the main outcomes or benefits from making this change for customers / residents, staff, the wider community and other stakeholders?

- Modern, innovative welcoming spaces which will attract new customers and encourage people to stay and participate in activities, events, learning and general community interaction;
- Provide information and services that meet the need of people locally;
- Attract more young people and those of working age, who traditionally, are less likely to use libraries;
- Improved high speed networks;
- Updated, modern hardware e.g. laptops and tablets;
- Improved disability access;
- Increase the number of physical and digital books and resources available
- Increased access to the service outside of staffed hours;
- Access to council services locally; and
- Provide a programme of events that encourages creativity and celebrates culture

1.2.3 Does your proposed change relate to a service area where there are known or potential equalities issues?

Please answer either "Yes", "Don't know" or "No" and give a brief reason for your response If you don't know, you may be able to find more information on the Croydon Observatory (<http://www.croydonobservatory.org/>)

Our libraries will help residents find the information and support they require within their local community and will play an important role in the council's Gateway approach – connecting residents with relevant local services.

We will support education and pathways into employment by expanding our homework clubs, job clubs and digital zones, helping residents to engage with the changing working and learning environment.

We will develop and improve our volunteer programme and our partnerships with the voluntary and community sector to encourage more people of all ages to get involved and shape their local service.

1.2.4 Does your proposed change relate to a service area where there are already local or national equality indicators?
 You can find out from the Equality Strategy (<http://intranet.croydon.net/corpdept/equalities-cohesion/equalities/docs/equalitiesstrategy12-16.pdf>). Please answer either "Yes", "Don't know" or "No" and give a brief reason for your response

The proposed change relates to a service area where there are already local or national equality indicators. It will help the Council meet the equality objectives below;

- To increase the rate of employment for disabled people, young people, over 50s and lone parents who are furthest away from the job market
- To reduce social isolation among disabled people and older people
- To improve the proportion of people from different backgrounds who get on well together
- To improve attainment levels for white working class and Black Caribbean heritages, those in receipt of Free School Meals and Looked After Children, particularly at Key Stage 2 including those living in six most deprived wards

1.2.5 Analyse and identify the likely advantage or disadvantage associated with the change that will be delivered for stakeholders (customers, residents, staff etc.) from different groups that share a “protected characteristic”

Please see Appendix 2 (section 1) for a full description of groups.

	Likely Advantage 😊	Likely Disadvantage ☹️
Disability	Improved accessibility; adaptive technology (new software packages to enable ease of access); Improved access via consortium stock to other formats, (boosting existing collections of large print and spoken word); improved signposting to specialist services, e.g. RNIB Braille collections	None
Race/ Ethnicity	Improved access to stock in other languages (and dual-language materials) via consortium stock	None
Gender	Access to the library service outside of staffed hours will give better access for working age females	None
Transgender	<u>Current LGBTQ stock will be boosted by access to additional consortium stock</u> None	None
Age	The plan seeks to attract more	None

	teenagers and working age residents; we also offer IT sessions targeted at older people	
Religion /Belief	None	None
Sexual Orientation	Current LGBTQ stock will be boosted by access to additional consortium stock	None
Pregnancy and Maternity	None	None
Social inclusion issues	By providing more access to community space, a comprehensive programme of activities and improved volunteering programme this plan aims to address some social inclusion issues	None
Community Cohesion Issues	By providing more access to community space, a comprehensive programme of activities and improved volunteering programme this plan aims to address some community cohesion issues	None
Delivering Social Value	As above	None

1.2.6	In addition to the above are there any other factors that might shape the equality and inclusion outcomes that you need to consider? For example, geographical / area based issues, strengths or weaknesses in partnership working, programme planning or policy implementation
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Highest usage of libraries nationally is amongst females over 65 and primary school children. A full analysis of Croydon library usage has been carried out. 33% of 5-9 year olds use libraries; there is an almost 2:1 ratio of female to male and less than 15% of working age population use Croydon libraries. Full analysis can be found in the RedQuadrant report on request.

The library plan is based around delivering the services that communities need locally by engaging with local communities around their specific needs. Working in partnership with other services including gateway, Adult Social Care and Children's services the offer will be developed.

1.2.7	Would your proposed change affect any protected groups more significantly than non-protected groups? Please answer either "Yes", "Don't know" or "No" and give a brief reason for your response. For a list of protected groups, see Appendix.....
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Yes, as described above for age – working age and teenagers; gender - males in particular; and those with disabilities; in a positive way.

1.2.8 As set out in the Equality Act, is your proposed change likely to help or hinder the Council in advancing equality of opportunity between people who belong to any protected groups and those who do not?

In practice, this means recognising that targeted work should be undertaken to address the needs of those groups that may have faced historic disadvantage. This could include a focus on addressing disproportionate experience of poor health, inadequate housing, vulnerability to crime or poor educational outcomes *etc.*

Please answer either "Yes", "Don't know" or "No" and give a brief reason for your response.

Yes, the proposed change is likely to help the Council in advancing equality of opportunity between people who belong to any protected groups and those who do not.

The libraries plan aims to involve the community in tailoring their local library offer in terms of books, resources and activities; enabling all users to participate.

1.2.9 As set out in the Equality Act, is the proposed change likely to help or hinder the Council in eliminating unlawful discrimination, harassment and victimisation in relation to any of the groups that share a protected characteristic?

In practice, this means that the Council should give advance consideration to issues of potential discrimination before making any policy or funding decisions. This will require actively examining current and proposed policies and practices and taking mitigating actions to ensure that they are not discriminatory or otherwise unlawful under the Act

Please answer either "Yes", "Don't know" or "No" and give a brief reason for your response.

Yes, the proposed change is likely to help the Council in eliminating unlawful discrimination, harassment and victimisation in relation to any of the groups that share a protected characteristic as it will provide better access to the service. Also, the libraries promote awareness, acceptance and understanding in the community through regular events and activities.

1.2.10 As set out in the Equality Act, is your proposed change likely to help or hinder the Council in fostering good relations between people who belong to any protected groups and those who do not?

In practice, this means taking action to increase integration, reduce levels of admitted discrimination such as bullying and harassment, hate crime, increase diversity in civic and political participation *etc.*

Please answer either "Yes", "Don't know" or "No" and give a brief reason for your response

Yes, the proposed change will help the council in fostering good relations between people who belong to any protected groups and those who do not.

Libraries play a role in promoting awareness, acceptance and understanding through regular

events and activities, e.g. LGBTQ History Month, Black History Month, International Women's Day, etc. The libraries plan also aims to involve all members of the community in tailoring their local library offer in terms of books, resources and activities.

1.3 Decision on the equality analysis

If you answer "yes" or "don't know" to ANY of the questions in section 1.2, you should undertake a full equality analysis. This is because either you already know that your change or review could have a different / significant impact on groups that share a protected characteristic (compared to non-protected groups) or because you don't know whether it will (and it might).

Decision	Guidance	Response
No, further equality analysis is not required	<p>Please state why not and outline the information that you used to make this decision. Statements such as 'no relevance to equality' (without any supporting information) or 'no information is available' could leave the council vulnerable to legal challenge.</p> <p>You must include this statement in any report used in decision making, such as a Cabinet report</p>	<p>The changes proposed will not have any negative impact on any individual or group with a protected characteristic (compared to non-protected groups). There will be some positive impacts as described above.</p> <p>A full needs analysis has been carried out in the development of this plan and can be found in the RedQuadrant report, available on request.</p>
Yes, further equality analysis is required	<p>Please state why and outline the information that you used to make this decision. Also indicate</p> <ul style="list-style-type: none"> • When you expect to start your full equality analysis • The deadline by which it needs to be completed (for example, the date of submission to Cabinet) • Where and when you expect to publish this analysis (for example, on the council website). <p>You must include this statement in any report used in decision making, such as a Cabinet report.</p>	
Officers that must approve this decision	<p>Name and position</p> <p>Kirsteen Roe, Director of council homes, districts and regeneration</p>	Date
Report author	Wendy Crosson-Smith, Library Transformation Programme Manager	14/02/19
Director	Kirsteen Roe, Director – Council homes, districts and regeneration	07/03/19

1.4 Feedback on Equality Analysis (Stage 1)

Please seek feedback from the corporate equality and inclusion team and your departmental lead for equality (the Strategy and Planning Manager / Officer)

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Name of Officer	Yvonne Okiyo	
Date received by Officer	18.2.19	Please send an acknowledgement
Should a full equality analysis be carried out?	No	This will not have a different / significant impact on groups that share a protected characteristic (compared to non-protected groups)

Stage 2 Use of evidence and consultation to identify and analyse the impact of the change

Use of data, research and consultation to identify and analyse the probable Impact of the proposed change

This stage focuses on the use of existing data, research, consultation, satisfaction surveys and monitoring data to predict the likely impact of proposed change on customers from diverse communities or groups that may share a protected characteristic.

Please see Appendix 2 (section 2) for further information.

2.1 Please list the documents that you have considered as a part of the equality analysis review to enable a reasonable assessment of the impact to be made and summarise the key findings.

This section should include consultation data and desk top research (both local and national quantitative and qualitative data) and a summary of the key findings.

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2.2 Please complete the table below to describe what the analysis, consultation, data collection and research that you have conducted indicates about the probable impact on customers or staff from various groups that share a protected characteristic.

Group's with a "Protected characteristic" and broader community issues	Description of potential advantageous impact	Description of potential disadvantageous impact	Evidence Source

Group's with a "Protected characteristic" and broader community issues	Description of potential advantageous impact	Description of potential disadvantageous impact	Evidence Source

2.3 Are there any gaps in information or evidence missing in the consultation, data collection or research that you currently have on the impact of the proposed change on different groups or communities that share a protected characteristic? If so, how will you address this?

Please read the corporate public consultation guidelines before you begin:
<http://intranet.croydon.net/finance/customerservices/customerserviceprogramme/stepbystepguide.asp>.

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2.4 If you really cannot gather any useful information in time, then note its absence as a potential disadvantageous impact and describe the action you will take to gather it.

Please complete the table below to set out how will you gather the missing evidence and make an informed decision. Insert new rows as required.

Group's with a "Protected characteristic" and broader community issues	Missing information and description of potential disadvantageous impact	Proposed action to gather information

Stage 3 Improvement plan

Actions to address any potential disadvantageous impact related to the proposed change

This stage focuses on describing in more detail the likely disadvantageous impact of the proposed change for specific groups that may share a protected characteristic and how you intend to address the probable risks that you have identified stages 1 and 2.

3.1 Please use the section below to define the steps you will take to minimise or mitigate any likely adverse impact of the proposed change on specific groups that may share a protected characteristic.

Equality Group (Protected Characteristic)	Potential disadvantage or negative impact e	Action required to address issue or minimise adverse impact	Action Owner	Date for completing action

3.2 How will you ensure that the above actions are integrated into relevant annual department or team service plans and the improvements are monitored?

3.3	How will you share information on the findings of the equality analysis with customers, staff and other stakeholders?
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Section 4 Decision on the proposed change

4.1	Based on the information in sections 1-3 of the equality analysis, what decision are you going to take?
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Decision	Definition	Yes / No
We will not make any major amendments to the proposed change because it already includes all appropriate actions.	Our assessment shows that there is no potential for discrimination, harassment or victimisation and that our proposed change already includes all appropriate actions to advance equality and foster good relations between groups.	
We will adjust the proposed change.	We have identified opportunities to lessen the impact of discrimination, harassment or victimisation and better advance equality and foster good relations between groups through the proposed change. We are going to take action to make sure these opportunities are realised.	
We will continue with the proposed change as planned because it will be within the law.	We have identified opportunities to lessen the impact of discrimination, harassment or victimisation and better advance equality and foster good relations between groups through the proposed change. However, we are not planning to implement them as we are satisfied that our project will not lead to unlawful discrimination and there are justifiable reasons to continue as planned.	
We will stop the proposed change.	The proposed change would have adverse effects on one or more protected groups that are not justified and cannot be lessened. It would lead to unlawful discrimination and must not go ahead.	

4.2	Does this equality analysis have to be considered at a scheduled meeting? If so, please give the name and date of the meeting.
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4.3 When and where will this equality analysis be published?

An equality analysis should be published alongside the policy or decision it is part of. As well as this, the equality assessment could be made available externally at various points of delivering the change. This will often mean publishing your equality analysis before the change is finalised, thereby enabling people to engage with you on your findings.

4.4 When will you update this equality analysis?

Please state at what stage of your proposed change you will do this and when you expect this update to take place. If you are not planning to update this analysis, say why not

4.5 Please seek formal sign of the decision from Director for this equality analysis?

This confirms that the information in sections 1-4 of the equality analysis is accurate, Comprehensive and up-o-date.

Officers that must approve this decision	Name and position	Date
Head of Service / Lead on equality analysis		
Director		

Email this completed form to equalityandinclusion@croydon.gov.uk, together with an email trail showing that the director is satisfied with it.

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REPORT TO:	ETHICS COMMITTEE
AGENDA ITEM NO:	16 MAY 2019
SUBJECT:	BEST PRACTICE SUGGESTIONS FROM THE REPORT OF A REVIEW OF LOCAL GOVERNMENT ETHICAL STANDARDS BY THE COMMITTEE ON STANDARDS IN PUBLIC LIFE, 30 JANUARY 2019
LEAD OFFICER:	EXECUTIVE DIRECTOR OF RESOURCES, COUNCIL SOLICITOR & MONITORING OFFICER
CABINET MEMBER:	CLLR SIMON HALL CABINET MEMBER •FINANCE AND TREASURY
WARDS:	ALL
CORPORATE PRIORITY/POLICY CONTEXT:	
<p>The Council has determined that the Ethics Committee shall be responsible for receiving and considering reports on matters of probity and ethics and to consider matters relating to the Code of Conduct.</p> <p>The Committee on Standards in Public Life (“the Committee”) was established in 1994 by the then Prime Minister, and is responsible for promoting the Seven Principles of Public Life: selflessness, integrity, objectivity, accountability, openness, honesty, and leadership – commonly known as the Nolan Principles which also form a part of the Council’s Code of Conduct for Members. The 30 January report is the conclusion of their review of the current state of ethical standards in Local Government and sets out a number of recommendations for improvements directed at legislative and governmental changes as part of ethical standards as well as a series of best practice suggestions directed to local authorities.</p>	
FINANCIAL IMPACT	
Implementation of the recommendations contained in this report shall be contained within existing budgets	
FORWARD PLAN KEY DECISION REFERENCE NO.: N/A	

<p>1. RECOMMENDATIONS</p> <p>The Ethics Committee is asked to:</p> <p>1.1 Note the contents of the report</p> <p>1.2 Recommend to Full Council that the Protocol on Staff-Member relations, Part 5B of the Constitution, be updated to include, as detailed in paragraph 3.10, a definition of bullying and harassment</p>

- 1.3 Note the current compliance with best practice items 2- 4, 6, 7, 9-13 and 15 and the that no changes be made to the Code or Committee practices in that regard
- 1.4 Note that best practice items 11 and 12 are currently not applicable to the Council
- 1.5 In relation to Best Practice item 5, encourage Members to ensure that they complete the “Any other personal interest” section of the Register of Members interests where they consider that there are additional matters in respect of which declarations ought to be made
- 1.6 Note that the Council is in compliance with the statutory requirements as they relate to Best Practice item 8 and currently has one more Independent Person in post than the statutory minimum however given the matters highlighted within the report, recommend no changes to Council arrangements in relation to this element
- 1.7 Note that Best Practice item 14 is not a matter within the Ethics Committee remit but is a matter which is considered by General Purposes and Audit Committee as part of the Annual Governance Statement process and approval.

2. EXECUTIVE SUMMARY

- 2.1 The Council has determined that the Ethics Committee shall be responsible for receiving and considering reports on matters of probity and ethics. This report follows the March 2019 report received by this Committee https://democracy.croydon.gov.uk/documents/s14176/Agenda%20Item%209%20-%20Committee%20on%20Standards%20in%20Public%20Life_%20Ethics%20Cttee_Feb%202019%20updated.pdf regarding the outcome of the January 2019 Report of the Committee on Standards in Public Life and details, as requested, the gap-analysis between the Council’s current Code of Conduct and ethics arrangements and the best practice suggestions set out in the review by the Committee on Standards in Public Life for further consideration by Members.

3. DETAIL

- 3.1 The Committee on Standards in Public Life (the Committee) was established in 1994 and is responsible for promoting the Seven Principles of Public Life: selflessness, integrity, objectivity, accountability, openness, honesty, and leadership – commonly known as the Nolan Principles. The full report, which runs to 108 pages and is therefore not attached, can be accessed here: <https://www.gov.uk/government/organisations/the-committee-on-standards-in-public-life>
- 3.2 The terms of reference for the Committee’s review were to:

- 3.2.1 Examine the structures, processes and practices in local government in England for:
 - a. Maintaining codes of conduct for local councillors
 - b. Investigating alleged breaches fairly and with due process
 - c. Enforcing codes and imposing sanctions for misconduct
 - d. Declaring interests and managing conflicts of interest
 - e. Whistleblowing
- 3.2.2. Assess whether the existing structures, processes and practices are conducive to high standards of conduct in local government
- 3.2.3. Make any recommendations for how they can be improved
- 3.2.4 Note any evidence of intimidation of councillors, and make recommendations for any measures that could be put in place to prevent and address such intimidation.
- 3.3 The Committee set out best practice recommendations for local authorities which they indicate should be considered a benchmark of good ethical practice, which the Committee expects that all local authorities can and should implement. The Committee has indicated that they propose reviewing the implementation of the best practice in 2020. A full set of the good practice recommendations are set out at Appendix A for Members' ease of reference.
- 3.4 Each of the best practice suggestions are dealt with in turn below alongside an analysis of the Council's current practice as well as additional information, where relevant.
- 3.5 **Best practice 1:** Local authorities should include prohibitions on bullying and harassment in codes of conduct. These should include a definition of bullying and harassment, supplemented with a list of examples of the sort of behaviour covered by such a definition.
- 3.6 The Code currently provides that members must promote and support high standards of conduct when serving in their public post, in particular as characterised by the requirements of the Code, by leadership and example, including not doing anything which breaches the equalities legislation and observing the Council's Protocol on Staff - Councillor Relations. A copy of the current Code is at Appendix B.
- 3.7 Equalities legislation makes specific provision around what constitutes harassment in the employment context and is specifically incorporated within the Council's code by reference to the need to comply with Equalities requirements.

- 3.8 The Staff—Councillor Protocol, Appendix C hereto, sets out the behavior which staff and Members can respectively expect. This includes provisions that staff can expect from Members:
- (i) A working partnership
 - (ii) An understanding of and support for respective roles, workloads and pressures
 - (iii) Political leadership and direction
 - (iv) Respect, dignity and courtesy
 - (v) Integrity, mutual support and appropriate confidentiality
 - (vi) Not to be subject to bullying or to be put under undue pressure. Members should have regard to the seniority of employees in determining what reasonable requests are, having regard to the power relationship between Members and employees, and the potential vulnerability of employees, particularly at junior levels
 - (vii) That Members shall not use their position or relationship with employees to advance their personal interests or those of others or to influence decisions improperly
 - (viii) That Members shall at all times comply with the relevant Code of Conduct.
- 3.9 The Protocol goes on to explain what the various procedures to which the parties have recourse if things go wrong.
- 3.10 Members will note that despite the above requirements around compliance with the Protocol, there is no specific definition of either bullying or harassment within the current Code, nor is there a specific definition within the Protocol. Accordingly it is recommended that the Protocol be updated to include at 1.11 (vi) the following definition the recommendation proposed in relation to the above best practice suggestion is as follows:
- Not to be subject to bullying or harassment or to be intimidated or put under undue pressure or improper influence. This specifically includes any person who is involved in any complaint about any alleged breach of the Council's Member's Code of Conduct. Members should have regard to the seniority of employees in determining what reasonable requests are, having regard to the power relationship between Members and employees, and the potential vulnerability of employees, particularly at junior levels*
- (Note: Bullying may be characterised as: offensive, intimidating, malicious or insulting behaviour; or an abuse or misuse of power in a way that intends to undermine, humiliate, criticise unfairly or injure someone. Harassment may be characterised as unwanted conduct which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for an individual.)*
- 3.11 **Best practice 2:** Councils should include provisions in their code of conduct requiring councillors to comply with any formal standards investigation, and prohibiting trivial or malicious allegations by councillors.

- 3.12 The Code currently provides: “You are accountable for your decisions to the public and you must cooperate fully with whatever scrutiny is appropriate to your office as determined by the Council.” And the Council has determined a process by which complaints may be made in respect of Members’ Conduct and how these will be dealt with. In addition, whilst the Code does not prohibit Councillors specifically from making trivial, or malicious allegations, the assessment criteria provide that where the complaint appears to be simply malicious, politically motivated or tit-for-tat no further action will be taken. This applies whether the complainant is a Councillor or a member of the public.
- 3.13 In relation to specifically prohibiting “trivial or malicious allegations by Councillors” there is a query around why Councillors as complainants should be treated any differently in this context than any other complainants. An initial assessment of the complaint would still need to be undertaken to determine if the allegation in question was one which ought to be referred. In addition, there is specific provision within the assessment criteria in relation to allegations which appear to relate simply to the rough and tumble of political debate.
- 3.14 In light of the current provisions, no change is recommended in this regard.
- 3.15 **Best practice 3:** Principal authorities should review their code of conduct each year and regularly seek, where possible, the views of the public, community organisations and neighbouring authorities.
- 3.16 Croydon currently undertakes an annual review of the Code of Conduct and has made year on year updates to ensure that the Code remains appropriate. This has included updates to add specific reference to the Nolan Principles, updating wording to provide greater clarity on gifts and hospitality and a review of the assessment criteria and arrangements which are required to be in place to deal with Ethics complaints.
- 3.17 There is no specific provision for engaging with the public, including community organisations or neighbouring authorities as part of the Committee’s annual review process and there is a query around the utility of consulting with neighbouring authorities especially as the Codes of Conduct for London Boroughs are all different. Such consultation may perhaps be of more utility if a model code is re-introduced as a means of benchmarking but that would require firstly that the government accept and agree to implement the Committee on Public Life recommendations and secondly that they implement amendments to primary legislation.
- 3.18 Accordingly it is not recommended that changes be made at present to the current annual review process which the Committee undertakes as part of its work programme which enables the Committee to introduce changes considered necessary and appropriate to continue to foster ethical conduct.

- 3.19 **Best practice 4:** An authority's code should be readily accessible to both councillors and the public, in a prominent position on a council's website and available in council premises.
- 3.20 The Code of Conduct is published on the Council's website and forms part of the Council's constitution, which is also available on request in hard copy. As this is already undertaken, no recommendation is proposed.
- 3.21 **Best practice 5:** Local authorities should update their gifts and hospitality register at least once per quarter, and publish it in an accessible format, such as CSV.
- 3.22 The Council's gifts and hospitality register is currently published as part of each individual councillors register and is updated in real time when gifts and hospitality are notified to democratic services. The gifts and hospitality is not accessible as a separate document and appears as part of the individual Councillors registers of interests. As this is already undertaken, no recommendation is proposed.
- 3.23 Whilst relating to non-pecuniary interests rather than gifts and hospitality (which is the subject of this Best Practice item), members' attention is specifically drawn to recommendation 5 of the Report on Standards in Public Life which encourages fulsome declarations of non-pecuniary interests. Whilst recommendation 5 will require legislative changes, in the intervening period the Committee may wish to affirm at this stage that all Members are encouraged to properly consider and declare any other personal interests which fall within the "Other Interests" category within the Declaration of Interests form. The form itself includes guidance and suggestions in this regard, to which Members are specifically referred.
- 3.24 **Best practice 6:** Councils should publish a clear and straightforward public interest test against which allegations are filtered.
- 3.25 The Council has adopted assessment criteria, which were most recently reviewed in January 2019 and which are published on the Ethics pages on the Council's website and linked to the complaints forms online. These set the criteria against which allegations will be assessed, including in relation to public interest considerations, to determine if the matter ought to be referred for investigation or further action. As this is already undertaken, no recommendation is proposed.
- 3.26 **Best practice 7:** Local authorities should have access to at least two Independent Persons.
- 3.27 The Council currently has two independent persons appointed by Full Council although it is acknowledged that the statutory requirement is for one such Independent person and any additional requirement imposed for a second

independent person would require an amendment to legislation. As this is already undertaken, no recommendation is proposed.

- 3.28 **Best practice 8:** An Independent Person should be consulted as to whether to undertake a formal investigation on an allegation, and should be given the option to review and comment on allegations which the responsible officer is minded to dismiss as being without merit, vexatious, or trivial.
- 3.29 The Council's arrangements adopted under the Localism Act 2011 provide that the Monitoring Officer may consult with an independent person (IP) at the assessment stage to assist with reaching an opinion regarding any complaints received, at the discretion of the Monitoring Officer. The Council has also adopted Assessment Criteria which act as a guide for the Monitoring Officer when considering whether a matter is appropriate to be referred for investigation. These criteria were most recently reviewed by the Ethics Committee in March 2019 and resulted in updates being recommended to Full Council for adoption.
- 3.30 The Monitoring Officer continues to engage with an Independent Person where it has been considered appropriate to obtain an independent view in relation to allegations, particularly on controversial matters or when an independent view is required. In addition, the arrangements adopted by the Council in relation to investigation of complaints provide that the IP shall be consulted before a decision is taken, following investigation, to refer the matter to the Ethics Committee for hearing. The arrangements also provide the Monitoring Officer with the discretion to consult the IP outside of those express legislative provisions.
- 3.31 These provisions are in accordance with the legislative requirements regarding the involvement of the IP. For ease of reference, an extract from sections 28(6) and (7) of the Localism Act 2011 is included below and provides that:
- (6) A relevant authority other than a parish council must have in place—*
- (a) arrangements under which allegations can be investigated, and*
- (b) arrangements under which decisions on allegations can be made.*
- (7) Arrangements put in place under subsection (6)(b) by a relevant authority must include provision for the appointment by the authority of at least one independent person—*
- (a) whose views are to be sought, and taken into account, by the authority before it makes its decision on an allegation that it has decided to investigate, and*
- (b) whose views may be sought—*
- (i) by the authority in relation to an allegation in circumstances not within paragraph (a),*

- (ii) by a member, or co-opted member, of the authority if that person's behaviour is the subject of an allegation, and*
- (iii) by a member, or co-opted member, of a parish council if that person's behaviour is the subject of an allegation and the authority is the parish council's principal authority.*

- 3.32 As can be seen, the Independent persons play an important role both for the authority in relation to the outcome of an investigation but also for any Member against whom a complaint has been made. Whilst Croydon has chosen to appoint two IP's, which is one more than is required by statute, there needs to be a careful balance in involving the IP's at non-statutory stages as there is the potential for concerns around conflicts to arise. If the Authority involves an IP at the initial stage and they recommend that the matter not be dismissed and it proceeds to investigation and the person complained about avails themselves of the ability to consult with the other IP, then there would be no additional independent person to involve at the decision making stage post investigation. This could give rise to concerns around earlier involvement in decision making or advising the Member complained about. If the Council made a decision to recruit and appoint an additional Independent Member that could provide a level of comfort in relation to the above concerns, however it is noted that the current provision within Croydon exceeds the statutory minimum requirements in terms of a single Independent Member. Furthermore, given the current arrangements, which do not include payment for allowances or expenses of the IP's, seeking to involve them in further decision making could create additional demands on their availability and time.
- 3.33 Given the above, no amendments are therefore recommended as a result of this suggestion.
- 3.34 **Best practice 9:** Where a local authority makes a decision on an allegation of misconduct following a formal investigation, a decision notice should be published as soon as possible on its website, including a brief statement of facts, the provisions of the code engaged by the allegations, the view of the Independent Person, the reasoning of the decision-maker, and any sanction applied.
- 3.35 The Council's arrangements adopted under the Localism Act 2011 and which are set out clearly on the Ethics pages of the internet, provide in this regard that a minute of the decision of the Ethics Committee (or sub-committee as the case may be) will be prepared in consultation with the Chair of the Ethics Committee or sub-committee or Chair of the Hearings Panel, as the case may be, which will record the outcome and state the committee's reasons for the decision. This will be published on the Council's website once approved. It is an administrative matter to ensure that the minute reflects the above information however any such record will be subject to the need to comply with, among other matters, the provisions of the Data Protection Act 2018 and General Data Protection Regulation and the provisions of Schedule 12A of the Local Government Act 1972, as amended. As this is already undertaken, no recommendation is proposed.

- 3.36 **Best practice 10:** A local authority should have straightforward and accessible guidance on its website on how to make a complaint under the code of conduct, the process for handling complaints, and estimated timescales for investigations and outcomes.
- 3.37 The Code of Conduct complaints page on the council's website includes a complaint form, assessment criteria and a detailed set of procedures which apply and the time frames within which the various processes will be undertaken. As this is already undertaken, no recommendation is proposed.
- 3.38 **Best practice 11:** Formal standards complaints about the conduct of a parish councillor towards a clerk should be made by the chair or by the parish council as a whole, rather than the clerk in all but exceptional circumstances.
- 3.39 Not applicable as Croydon does not currently have any Parish Councils.
- 3.40 **Best practice 12:** Monitoring Officers' roles should include providing advice, support and management of investigations and adjudications on alleged breaches to parish councils within the remit of the principal authority. They should be provided with adequate training, corporate support and resources to undertake this work.
- 3.41 Not applicable as Croydon does not currently have any Parish Councils.
- 3.42 **Best practice 13:** A local authority should have procedures in place to address any conflicts of interest when undertaking a standards investigation. Possible steps should include asking the Monitoring Officer from a different authority to undertake the investigation.
- 3.43 The Monitoring Officer for Croydon has two Deputy Monitoring Officers who are authorised to act in her stead if needed or appropriate. In addition, the Council's currently adopted arrangements provide that the MO (or Deputy) may appoint an Investigating Officer, who may be another officer of the Council, an officer of another authority or an external investigator. As this is already undertaken, no recommendation is proposed.
- 3.44 **Best practice 14:** Councils should report on separate bodies they have set up or which they own as part of their annual governance statement, and give a full picture of their relationship with those bodies. Separate bodies created by local authorities should abide by the Nolan principle of openness, and publish their board agendas and minutes and annual reports in an accessible place.
- 3.45 This is not a matter which falls within the remit of the Ethics Committee. The General Purposes and Audit Committee considers and, if satisfied, approves the Annual Governance Statement which the Council is required to produce and public under the provisions of the Local Audit and Accountability Act 2014

("the 2014 Act") and the Accounts and Audit Regulations 2015 ("the Regulations").

3.46 The Act and Regulations provide that the annual governance statement should:

- Provide a meaningful but brief communication regarding the review of governance that has taken place including the role of the governance structures involved (such as the authority; the audit and other committees)
- Be high level, strategic and written in an open and readable style
- Focus on outcomes and value for money and relate to the authority's vision for the area.

and the annual governance statement should include:

- An acknowledgement of responsibility for ensuring that there is a sound system of governance (including the system of internal control) and refer to the authority's code of governance
- A reference to and assessment of the effectiveness of key elements of the governance framework in supporting planned outcomes and the role of those responsible for its development and maintenance
- An opinion on the level of assurance that the governance arrangements can provide
- An agreed action plan dealing with significant governance issues and also indicating how previous actions have been resolved
- A conclusion
- The signature of the leading member (or equivalent) and chief executive (or equivalent) on behalf of the authority.

3.47 In discharging this responsibility the Council is required to ensure that it complies with the principles laid out by the CIPFA/SOLACE Framework Good Governance in Local Government.

3.48 The most recent Annual Governance Statement can be accessed via the below link:

<https://democracy.croydon.gov.uk/documents/s8923/Annual%20Governance%20Statement%202017-18%20Appendix%201.pdf>

3.49 For Members' information, it is not currently a statutory requirement for the Council, as part of the annual governance statement, to publish details of any separate bodies which the Council has "set up or which they own", nor is it a requirement to detail "their relationship with those bodies" as part of such a statement. It should however be noted that within the Annual Governance Statement it is made clear that the Council's control framework extends to partnerships and other joint working and this is reflected in the Council's overall governance arrangements. Below is an extract from the most recent Annual Governance Statement:

"Many of the Council's services are delivered in partnership with commercial organisations. Where this is the case, the Council ensures that proper governance is maintained by closely following procurement procedures when awarding contracts and then robustly monitoring those contracts. Increasingly, Council services are delivered in partnership with other local public sector organisations. The most significant arrangements are grouped under the umbrella of the Local Strategic Partnership (LSP) which is led by a board made up of the Leader, relevant Cabinet Members, relevant Chief Executives or equivalent. Each of the themes within the LSP is overseen by its own board."

3.50 In light of the fact that this Best Practice item is not a matter within the Ethics Committee remit but is a matter which is considered by General Purposes and Audit Committee as part of the Annual Governance Statement process and approval and that statutory provisions in that regard, it is not recommended that any changes are proposed in this regard.

3.51 **Best practice 15:** Senior officers should meet regularly with political group leaders or group whips to discuss standards issues.

3.52 The Monitoring Officer has regular weekly meetings with the relevant cabinet member and regular meetings with the CEO and the Leader. Executive Directors have regular monthly meetings with their relevant cabinet members and there are also Leadership meetings at which senior officers and cabinet members are present. The Monitoring Officer has regular meetings with the Leader of the Opposition and with the Whips of both political parties as appropriate. As this is already undertaken, no recommendation is proposed.

4. FINANCIAL AND RISK ASSESSMENT CONSIDERATIONS

4.1 There are no direct financial implications arising from this report.

5. LEGAL CONSIDERATIONS

5.1 There are no additional legal considerations arising from the contents of this report which are not set out in the body of the report.

CONTACT OFFICERS: Jacqueline Harris-Baker, Executive Director of Resources, Monitoring Officer and Council Solicitor (ext. 62328)

APPENDICES:

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| Appendix A – | List of best practice |
| Appendix B – | Part 5.I - Members' Code of Conduct (Constitution of the London Borough of Croydon) |
| Appendix C - | Part 5.B – Protocol on Staff – Councillor Relations (Constitution of the London Borough of Croydon) |

BACKGROUND DOCUMENTS: None

List of best practice

Best practice 1: Local authorities should include prohibitions on bullying and harassment in codes of conduct. These should include a definition of bullying and harassment, supplemented with a list of examples of the sort of behaviour covered by such a definition.

Best practice 2: Councils should include provisions in their code of conduct requiring councillors to comply with any formal standards investigation, and prohibiting trivial or malicious allegations by councillors.

Best practice 3: Principal authorities should review their code of conduct each year and regularly seek, where possible, the views of the public, community organisations and neighbouring authorities.

Best practice 4: An authority's code should be readily accessible to both councillors and the public, in a prominent position on a council's website and available in council premises.

Best practice 5: Local authorities should update their gifts and hospitality register at least once per quarter, and publish it in an accessible format, such as CSV.

Best practice 6: Councils should publish a clear and straightforward public interest test against which allegations are filtered.

Best practice 7: Local authorities should have access to at least two Independent Persons.

Best practice 8: An Independent Person should be consulted as to whether to undertake a formal investigation on an allegation, and should be given the option to review and comment on allegations which the responsible officer is minded to dismiss as being without merit, vexatious, or trivial.

Best practice 9: Where a local authority makes a decision on an allegation of misconduct following a formal investigation, a decision notice should be published as soon as possible on its website, including a brief statement of facts, the provisions of the code engaged by the allegations, the view of the Independent Person, the reasoning of the decision-maker, and any sanction applied.

Best practice 10: A local authority should have straightforward and accessible guidance on its website on how to make a complaint under the code of

conduct, the process for handling complaints, and estimated timescales for investigations and outcomes.

Best practice 11: Formal standards complaints about the conduct of a parish councillor towards a clerk should be made by the chair or by the parish council as a whole, rather than the clerk in all but exceptional circumstances.

Best practice 12: Monitoring Officers' roles should include providing advice, support and management of investigations and adjudications on alleged breaches to parish councils within the remit of the principal authority. They should be provided with adequate training, corporate support and resources to undertake this work.

Best practice 13: A local authority should have procedures in place to address any conflicts of interest when undertaking a standards investigation. Possible steps should include asking the Monitoring Officer from a different authority to undertake the investigation.

Best practice 14: Councils should report on separate bodies they have set up or which they own as part of their annual governance statement, and give a full picture of their relationship with those bodies. Separate bodies created by local authorities should abide by the Nolan principle of openness, and publish their board agendas and minutes and annual reports in an accessible place.

Best practice 15: Senior officers should meet regularly with political group leaders or group whips to discuss standards issues.

CONSTITUTION OF THE LONDON BOROUGH OF CROYDON

Part 5.I - Members' Code of Conduct*

1. You are a member or co-opted member of the London Borough of Croydon *or* a Member of the Health and Wellbeing Board and as such you shall have regard to the following principles – selflessness, integrity, objectivity, accountability, openness, honesty and truthfulness, leadership and undertake to observe this Code when acting in your capacity as a member or co-opted member.
2. When acting in your capacity as a member or co-opted member:-
 - i) You must act solely in the public interest and should never improperly confer an advantage or disadvantage on any person or act to gain financial or other material benefits for yourself, your family, a friend or close associate.
 - ii) You must not place yourself under a financial or other obligation to outside individuals or organisations that might seek to influence you inappropriately in the performance of your official duties.
 - iii) When carrying out your public duties you must make all choices, such as making public appointments, determining applications, awarding contracts or recommending individuals for rewards or benefits, on merit without discrimination or bias.
 - iv) You are accountable for your decisions to the public and you must co-operate fully with whatever scrutiny is appropriate to your office as determined by the Council.
 - v) You must be as open as possible about your decisions and actions and the decisions and actions of your authority and should be prepared to give reasons for those decisions and actions.
 - vi) You must declare any private interests, both pecuniary and non-pecuniary, which relate to your public duties and must take steps to resolve any conflicts arising in a way that protects the public interest. This means you must register and declare the interests set out in paragraph 3 below, in a manner conforming with the procedures set out therein.
 - vii) You must, when using or authorising the use by others of the resources of your authority, ensure that such resources are not used improperly for political purposes (including party political purposes) and you must have

regard to any applicable Local Authority Code of Publicity made under the Local Government Act 1986.

- viii) You must promote and support high standards of conduct when serving in your public post, in particular as characterised by the above requirements, by leadership and example, including not doing anything which breaches the equalities legislation and observing the Council's Protocol on Staff - Councillor Relations.

3. Registering and disclosing pecuniary and non-pecuniary interests

- i) You must, within 28 days of taking office as a member or co-opted member, notify the Council's Monitoring Officer of any disclosable pecuniary interest as defined by regulations made by the Secretary of State, where the pecuniary interest is yours, your spouse's or civil partner's or is the pecuniary interest of somebody with whom you are living with as a husband or wife, or as if you were civil partners.
- ii) In addition, you must, within 28 days of taking office as a member or co-opted member, notify your authority's Monitoring Officer of any disclosable pecuniary or non-pecuniary interest which the Council has decided should be included in the register. For these purposes the Council has determined that you will disclose any gift(s) or hospitality the value of which exceeds £50 or multiple gifts and/or instances of hospitality with a cumulative value of £50 or more when received from a single donor within a rolling twelve month period.
- iii) If an interest described in (i) above has not been entered onto the Council's register, or is not pending inclusion on the register following your notification to the Monitoring Officer then you must disclose the interest to any meeting of the Council at which you are present, where you have a disclosable interest in any matter being considered and where the matter is not a 'sensitive interest'.¹
- iv) Following any disclosure of an interest not on the Council's register or the subject of pending notification, you must notify the Monitoring Officer of the interest within 28 days beginning with the date of disclosure.
- v) Unless a dispensation has been granted, you may not participate in any discussion of, vote on or discharge any function related to any matter in which you have a disclosable pecuniary interest as defined by regulations made by the Secretary of State. Additionally, you must observe the restrictions the Council places on your involvement in matters where you have a pecuniary or non-pecuniary interest as defined by the Council.

CONSTITUTION OF THE LONDON BOROUGH OF CROYDON

Part 5.B – Protocol on Staff – Councillor Relations

INTRODUCTION

- 1.1 The relationship between Members and staff is important to the successful working of the Authority. This relationship within Croydon Council is characterised by mutual respect and trust. Members and employees feel free to speak to one another openly and honestly. Nothing in this Protocol is intended to change this relationship. The purpose of this Protocol is to help Members and employees to perform effectively by giving guidance on their respective roles and expectations and on their relationship with each other. The Protocol also gives guidance on what to do on the rare occasions when things go wrong.
- 1.2 The Protocol must be read and operated in the context of any relevant legislation and the Members' Code of Conduct and any procedure for confidential reporting.

ROLES OF MEMBERS AND STAFF

- 1.3 The respective roles of Members and staff can be summarised as follows:

Members and staff are servants of the public and they are indispensable to one another. But their responsibilities are distinct. Members are responsible to the electorate and serve only so long as their term of office lasts. Staff are responsible to the Authority. Their job is to give advice to Members and the authority, and to carry out the Council's work under the direction and control of the Council, the Executive, and relevant committees.

- 1.4 Mutual respect between Members and staff is essential to good local government.

MEMBERS' RESPONSIBILITIES

- 1.5 Members have three main areas of responsibility: determining the policy of the Council and giving it political leadership, representing the Authority externally, and acting as advocates on behalf of their constituents. It is not the role of Members to involve themselves in the day to day management of Authority services.

1.6 Members of the Executive, Chairs and Vice Chairs

- (i) Members of the Executive and Chairs and Vice Chairs of Committees have additional responsibilities. Because of those responsibilities, their relationships with employees may be different from and more complex than those of Members without those responsibilities and this is recognised in the expectations they are entitled to have.

1.7 Opposition Members

- (i) Members shall be given timely access to information that they require in their role as Members. As individual Members of the Council, all Members have the same rights and obligations in their relationship with employees and should be treated equally. This principle is particularly important in the context of scrutiny and overview. However, where a political group forms an administration, either alone or in partnership with another group or groups, it is recognised that the relationship between staff, particularly those at a senior level in the organisation, and the administration shall differ from that with opposition groups.

STAFF

1.8 The role of staff is to give advice and information to Members and to implement the policies determined by the Council.

1.9 Certain employees e.g. Head of Paid Service, Monitoring Officer, Chief Financial Officer (Section 151 Officer) and the Statutory Chief Officers have responsibilities in law over and above their obligations to the Authority and its Members which they must be allowed to discharge.

EXPECTATIONS

1.10 Members can expect from staff:

- (i) A commitment to the Authority as a whole, and not to any political group
- (ii) A working partnership
- (iii) An understanding of and support for respective roles, workloads and pressures
- (iv) Timely response to enquiries and complaints
- (v) Professional advice not influenced by political views or preference, which does not compromise the political neutrality of employees.
- (vi) Regular, up to date information on matters that can reasonably be considered appropriate and relevant to their needs, having regard to

any individual responsibilities that they have and positions that they hold

- (vii) Awareness of and sensitivity to the political environment
- (viii) Respect, dignity and courtesy
- (ix) Training and development in order to carry out their role effectively
- (x) Integrity, mutual support and appropriate confidentiality
- (xi) That staff shall not use their relationship with Members to advance their personal interests or to influence decisions improperly
- (xii) That staff shall at all times comply with the relevant Code of Conduct.

1.11 Staff can expect from Members:

- (i) A working partnership
- (ii) An understanding of and support for respective roles, workloads and pressures
- (iii) Political leadership and direction
- (iv) Respect, dignity and courtesy
- (v) Integrity, mutual support and appropriate confidentiality
- (vi) Not to be subject to bullying or to be put under undue pressure. Members should have regard to the seniority of employees in determining what are reasonable requests, having regard to the power relationship between Members and employees, and the potential vulnerability of employees, particularly at junior levels
- (vii) That Members shall not use their position or relationship with employees to advance their personal interests or those of others or to influence decisions improperly
- (viii) That Members shall at all times comply with the relevant Code of Conduct.

WHEN THINGS GO WRONG

1.12 Procedure for staff

- (i) From time to time the relationship between Members and staff may break down or become strained. Whilst it shall always be preferable to resolve matters informally, through conciliation by an appropriate senior manager or Member, staff shall have recourse to the Council's

Monitoring Officer, as appropriate to the circumstances. The Monitoring Officer shall decide whether the matter should be referred to the Chief Executive. The Chief Executive, who, having advised the Leader of the Council and where appropriate, the appropriate Group Leader shall decide on the course of action to be taken.

1.13 Procedure for Members

- (i) In the event that a Member is dissatisfied with the conduct, behaviour or performance of an employee, the matter should be raised with the appropriate Executive Director. Where the matter concerns an Executive Director, it should be raised with the Chief Executive. Where the matter concerns the Chief Executive it shall be raised with the Director of Human Resources or with the Leader as appropriate.

AMENDMENTS/ VARIATION TO THIS PROTOCOL

- 1.14 Where amendments/variation to this Protocol are necessary due to legislative changes, the Council Solicitor may make such consequential changes to this Protocol as are necessary to take such changes into account.

CONSTITUTION OF THE LONDON BOROUGH OF CROYDON

Part 5.B – Protocol on Staff – Councillor Relations

INTRODUCTION

- 1.1 The relationship between Members and staff is important to the successful working of the Authority. This relationship within Croydon Council is characterised by mutual respect and trust. Members and employees feel free to speak to one another openly and honestly. Nothing in this Protocol is intended to change this relationship. The purpose of this Protocol is to help Members and employees to perform effectively by giving guidance on their respective roles and expectations and on their relationship with each other. The Protocol also gives guidance on what to do on the rare occasions when things go wrong.
- 1.2 The Protocol must be read and operated in the context of any relevant legislation and the Members' Code of Conduct and any procedure for confidential reporting.

ROLES OF MEMBERS AND STAFF

- 1.3 The respective roles of Members and staff can be summarised as follows:

Members and staff are servants of the public and they are indispensable to one another. But their responsibilities are distinct. Members are responsible to the electorate and serve only so long as their term of office lasts. Staff are responsible to the Authority. Their job is to give advice to Members and the authority, and to carry out the Council's work under the direction and control of the Council, the Executive, and relevant committees.
- 1.4 Mutual respect between Members and staff is essential to good local government.

MEMBERS' RESPONSIBILITIES

- 1.5 Members have three main areas of responsibility: determining the policy of the Council and giving it political leadership, representing the Authority externally, and acting as advocates on behalf of their constituents. It is not the role of Members to involve themselves in the day to day management of Authority services.

1.6 Members of the Executive, Chairs and Vice Chairs

- (i) Members of the Executive and Chairs and Vice Chairs of Committees have additional responsibilities. Because of those responsibilities, their relationships with employees may be different from and more complex than those of Members without those responsibilities and this is recognised in the expectations they are entitled to have.

1.7 Opposition Members

- (i) Members shall be given timely access to information that they require in their role as Members. As individual Members of the Council, all Members have the same rights and obligations in their relationship with employees and should be treated equally. This principle is particularly important in the context of scrutiny and overview. However, where a political group forms an administration, either alone or in partnership with another group or groups, it is recognised that the relationship between staff, particularly those at a senior level in the organisation, and the administration shall differ from that with opposition groups.

STAFF

1.8 The role of staff is to give advice and information to Members and to implement the policies determined by the Council.

1.9 Certain employees e.g. Head of Paid Service, Monitoring Officer, Chief Financial Officer (Section 151 Officer) and the Statutory Chief Officers have responsibilities in law over and above their obligations to the Authority and its Members which they must be allowed to discharge.

EXPECTATIONS

1.10 Members can expect from staff:

- (i) A commitment to the Authority as a whole, and not to any political group
- (ii) A working partnership
- (iii) An understanding of and support for respective roles, workloads and pressures
- (iv) Timely response to enquiries and complaints
- (v) Professional advice not influenced by political views or preference, which does not compromise the political neutrality of employees.
- (vi) Regular, up to date information on matters that can reasonably be considered appropriate and relevant to their needs, having regard to

any individual responsibilities that they have and positions that they hold

- (vii) Awareness of and sensitivity to the political environment
- (viii) Respect, dignity and courtesy
- (ix) Training and development in order to carry out their role effectively
- (x) Integrity, mutual support and appropriate confidentiality
- (xi) That staff shall not use their relationship with Members to advance their personal interests or to influence decisions improperly
- (xii) That staff shall at all times comply with the relevant Code of Conduct.

1.11 Staff can expect from Members:

- (i) A working partnership
- (ii) An understanding of and support for respective roles, workloads and pressures
- (iii) Political leadership and direction
- (iv) Respect, dignity and courtesy
- (v) Integrity, mutual support and appropriate confidentiality
- (vi) Not to be subject to bullying or harassment or to be intimidated or put under undue pressure or improper influence. This specifically includes any person who is involved in any complaint about any alleged breach of the Council's Member's Code of Conduct. Members should have regard to the seniority of employees in determining what reasonable requests are, having regard to the power relationship between Members and employees, and the potential vulnerability of employees, particularly at junior levels
(Note: Bullying may be characterised as: offensive, intimidating, malicious or insulting behaviour; or an abuse or misuse of power in a way that intends to undermine, humiliate, criticise unfairly or injure someone. Harassment may be characterised as unwanted conduct which has the purpose or effect of violating an individual's dignity or creating an intimidating, hostile, degrading, humiliating or offensive environment for an individual.)
- (vii) That Members shall not use their position or relationship with employees to advance their personal interests or those of others or to influence decisions improperly
- (viii) That Members shall at all times comply with the relevant Code of Conduct.

WHEN THINGS GO WRONG

1.12 Procedure for staff

- (i) From time to time the relationship between Members and staff may break down or become strained. Whilst it shall always be preferable to resolve matters informally, through conciliation by an appropriate senior manager or Member, staff shall have recourse to the Council's Monitoring Officer, as appropriate to the circumstances. The Monitoring Officer shall decide whether the matter should be referred to the Chief Executive. The Chief Executive, who, having advised the Leader of the Council and where appropriate, the appropriate Group Leader shall decide on the course of action to be taken.

1.13 Procedure for Members

- (i) In the event that a Member is dissatisfied with the conduct, behaviour or performance of an employee, the matter should be raised with the appropriate Executive Director. Where the matter concerns an Executive Director, it should be raised with the Chief Executive. Where the matter concerns the Chief Executive it shall be raised with the Director of Human Resources or with the Leader as appropriate.

AMENDMENTS/ VARIATION TO THIS PROTOCOL

- 1.14 Where amendments/variation to this Protocol are necessary due to legislative changes, the Council Solicitor may make such consequential changes to this Protocol as are necessary to take such changes into account.

For General Release

REPORT TO:	CABINET 10 June 2019
SUBJECT:	Delivering for Residents through Sustainable and Ethical Commissioning
LEAD OFFICER:	<p>Jacqueline Harris Baker – Executive Director of Resources</p> <p>Sarah Warman – Director of Commissioning & Procurement</p> <p>Rakhee Dave-Shah – Head of Commissioning & Procurement</p>
CABINET MEMBER:	Councillor Simon Hall – Cabinet Member for Finance and Resources
WARDS:	All

CORPORATE PRIORITY/POLICY CONTEXT/ AMBITIOUS FOR CROYDON

The Corporate Plan outlines the improved outcomes that we want to achieve for our residents, structured across nine priorities. It also articulates how the Council will operate in a different way, to deliver against these ambitions at a time of reduced funding from Central Government.

Commissioning is an important enabler to deliver these ambitions and is an important part of what we do as a Council and shapes so many of our interactions with our residents and our community. The recommendations in this report will help to ensure the Council continues to adopt a best practice approach to commissioning. The new Commissioning Framework, Social Value Policy and revised Tenders and Contract Regulations build upon the achievements and progress made in commissioning to date and set a single coherent framework and approach for the next four years.

The Council is the biggest buyer in the borough with approximately £500 million per annum spent through third parties. Spend of this magnitude enables us to be strategic and harness the supply chain opportunities that our commissioning activity creates, with a strong focus on market stewardship and ethical purchasing. The Council has the opportunity to bring significant benefits to Croydon and its residents by delivering a social return, wherever possible, on every pound it spends.

FINANCIAL IMPACT

Whilst the Commissioning Framework and the updated Tender & Contracts Regulations in themselves do not commit any resources, the Framework and the principles set out within it will shape our commissioning approach and investment decisions, ensuring our spend is focused on delivering the Council’s priorities. The supporting Social Value Policy will also generate social value through our commissioning. A framework is being developed which will help to quantify the financial value these added benefits will bring in the future.

The Leader of the Council has delegated to the Cabinet the power to make the decisions set out in the recommendations below:

1. RECOMMENDATIONS

The Cabinet is recommended to:

- 1.1 Approve and adopt the refreshed Commissioning Framework 2019-2023 (Appendix 1);
- 1.2 Approve and adopt the Council's Social Value Policy 2019-2023 (Appendix 2);
- 1.3 Recommend the adoption of the revised Tenders and Contracts Regulations, part 4 of the Constitution (Appendix 3) to Full Council; and
- 1.4 Delegate to the Director of Commissioning and Procurement, in consultation with the Cabinet Member for Finance and Resources, authority to make minor amendments to the documents presented to Full Council and any consequential amendments as necessary and to ensure publication of any amendments.

2. EXECUTIVE SUMMARY

- 2.1 The Council adopted a new Corporate Plan in October 2018, which was based on the Labour Administration's manifesto – Ambitious for Croydon For the Many not the Few. This plan sets out the Council's promises to residents, business and partners across nine priority outcomes over the next four years (2018-2022). In order to deliver the Corporate Plan, the Council is seeking to radically change the way services are delivered, with a strong focus on prevention and locality based working. This approach will be evidence-led, recognising that services need to differentiate to respond to the differing needs across the borough. It also recognises the importance of collaboration and growing the local economy.
- 2.2 Commissioning is an important enabler to deliver these ambitions and is an important part of what we do as a Council and shapes so many of our interactions with our residents and our community. With an annual spend of approximately £500 million per annum spent through third parties, it is critical that the Council ensures:
 - Financial probity on external spend, including compliance with procurement regulations;
 - Value for money and that spend is delivering outcomes for residents;
 - Ethical and sustainable approach to commissioning, procurement and service delivery;
 - The Council's spend delivers social return and wider community benefit for our residents; and

- As the largest buyer in the Borough we lead the way and ensure fairness and equality are central to our commissioning processes and that these are embedded in our supply chain.
- 2.3 In 2016, the Council refreshed its Commissioning Framework, which has provided a clear approach and priorities for the last three years. So much has been achieved during this period, and through strong leadership, an ambitious vision, and commitment to our values, we have developed a strong reputation amongst our peers for leading best practice in commissioning nationally.
- 2.4 Our achievements include:
- Becoming a London Living Wage Council and expecting this of our contractors;
 - Being one of the first local authorities to embrace Social Value by leveraging our purchasing power to get our suppliers to give back to the Croydon community;
 - Being a reference for the Cabinet Office's Commissioning Academy;
 - Taking the lead on tackling Modern Slavery;
 - Developing and implementing the make or buy framework and successfully insourcing services and developing new and innovative models of delivery;
 - Investing over £4m per annum in our Voluntary and Community Sector organisations, through commissioning and in addition to funding to the Sector;
 - Establishing award winning partnerships such as the One Croydon Alliance and the South London Commissioning Programme to tackle cross-cutting issues; and
 - Our new robust approach to contract management is also paying real dividends, helping to ensure that our suppliers deliver their services to the required standards expected by our residents.
- 2.5 Our focus now is to build on what we have already done and to set out our vision and priorities for the coming four years and accelerate the progress and innovation in this area. We want to ensure that we commission services that support our ambitions for our residents, enabling individuals and communities to take a leading role in developing and delivering their own services. We are also committed to using our resources and those of our partners in a more joined up way, better connecting these to the needs of Croydon and ensuring we are achieving optimum value for money without compromising quality for local residents.
- 2.6 In order to support this approach, the associated commissioning policy, frameworks and regulations have been reviewed.
- The Commissioning Framework has been refreshed which set out the commissioning ambitions and priorities for the coming four years.
 - The Social Value Policy - for the first time the Council will be publishing its Social Value Policy. Croydon Council has been recognised as an exemplar in achieving social value through our contracts. This policy will enable us to take this even further by clearly defining the social value that is important to the Borough.

- The refreshed Tenders and Contract Regulations, which form part of the Councils' Constitution, will provide a stronger focus on quality in our tendering processes and how the social, environmental and economic wellbeing of our borough can be enhanced through delivery of each contract.

This report is asking Cabinet to approve and adopt these documents, which set out a coherent and ambitious framework and approach for the next four years.

3. DETAIL

Background and Context

- 3.1 The Council adopted a new Corporate Plan in October 2018, which sets out the Council's promises to residents, business and partners across nine priority themes over the next four years (2018-2022). Commissioning is an important enabler to deliver these ambitions, is an important part of what we do as a Council and shapes so many of our interactions with our residents and our community.
- 3.2 In 2012, the Council set itself the objective of becoming an 'expert commissioner of services' and published a strategy supporting that aim. This was followed by a refreshed Commissioning Framework in 2016. So much has been achieved since then, including developing a strong reputation amongst our peers for leading excellence and innovation in our commissioning. Our approach is driven by our values and commitment to fairness, equality and delivering for residents. We have many highlights to be proud of, which are included in 2.4 of the report.
- 3.3 Our focus now is to build on what we have already done and to set out our vision and priorities for the coming four years. In order to support this approach, the associated policy, frameworks and regulations have been reviewed and an overview of the three documents – Commissioning Framework, Social Value Policy and the Tenders and Contracts Regulations are included in the remainder of the report.
- 3.4 These documents form part of the Council's constitutional framework, which includes the Councils Financial Regulations and Scheme of Officer Delegation. Together they identify the financial and decision making responsibilities of the Council, Cabinet, members and key officers. The Tenders and Contracts Regulations specifically are the rules governing how the Council procures goods, services and works. This is supported by the Commissioning Framework and Social Value Policy, which are included in this report.



The Commissioning Framework

- 3.5 The Commissioning Framework 2019-2023 builds upon and consolidates the progress that has been made by the Council to date. The Framework provides an overview of how we work. It is made up of two distinct parts:
- A set of **principles** that will enable commissioners to make decisions in the interests of the residents, communities and businesses of Croydon; and
 - A clear explanation of the **priorities** and **approach** that support the commissioning cycle, making them clear for suppliers and partners, promoting consistency and transparency in our approach to commissioning. It will help to outline the expectations of commissioners, partners and suppliers at each stage of the commissioning cycle.
- 3.6 Also included within the Framework is a Supplier Code of Conduct which outlines the standards and behaviours expected from suppliers and grant recipients.
- 3.7 The Framework encompasses an overarching commitment to 'Ethical and Sustainable Commissioning'. Through embedding these considerations in all aspects of commissioning practice, we will use the Council's purchasing power to maximise social value, foster local employment, promote fair pay, encourage local business growth and support community priorities.
- 3.8 In addition to this, the Framework includes a commitment to the following six commissioning principles:
- **Evidence Based** – We will use data and insights at the locality level, together with service user input, to inform robust decisions that aid our commissioning and procurement practices;
 - **Preventative** – We will focus on a preventative approach, in partnership with our communities, businesses and residents, enabling empowerment and self-resilience;
 - **Locality Based** – We will take a locality based commissioning approach, which takes account of the existing strengths, skills and resources to ensure that investment decisions support community empowerment;

- **Collaborations and Partnerships** – We will collaborate or work jointly with other organisations to ensure improved outcomes and value for money for our residents;
- **Resident Focused** – We will put residents at the centre of our commissioning approach. We will involve customers and service users in the co-production of services; and
- **Delivering Outcomes** – We will commission for sustainable and effective outcomes that deliver beyond service and organisational structures.

3.9 These principles are fundamental to our work with partners, local businesses, our communities and residents. Our commitment is to develop strong relationships that help us to achieve shared business objectives and outcomes that provide better value, high quality services for all.

Social Value Policy

3.10 For the first time the Council will be publishing its Social Value Policy. Croydon Council has been recognised as an exemplar in achieving social value through our contracts. The Council has launched a range of initiatives and actions that have had a demonstrable effect in improving the generation of social value for the residents of the borough. This policy will enable us to take this even further by clearly defining the social value that is important to the Borough.

3.11 The Policy includes the introduction of a change in the Council's procurement rules. Social value will now contribute to a minimum of 10% of the quality evaluation assessment for all relevant procurements that use a ratio of quality and price in their evaluation.

3.12 Crucially, this policy statement is being accompanied by an updated Social Value Framework. The Framework is the Council's signal to providers about what social value contributions it is seeking when it commissions services. Commissioners will use the Framework as a tool to suggest proportionate and realistic Social Value commitments when procuring services, goods or works.

Tenders & Contract Regulations

3.13 The updated Tender and Contracts Regulations, which form part of the Council's Constitution, provide a stronger focus on quality and how the social, environmental and economic wellbeing of our borough can be enhanced through delivery of each contract.

3.14 These Regulations will:

- Enable a change in the buying practices for below £100k spend, providing greater access for local suppliers to quote for works. The Councils under £100k spend equates to approximately £100m annual spend;
- Remove ambiguity around variations & extensions. Applying tighter controls and ensuring oversight of significant variations to larger contracts; and
- Ensure robust contract management practice to ensure that our suppliers are delivering their services to the required standards expected by our residents.

3.15 An overview of the principal amendments are included below:

- Regulation 11 - Procedures and Approval Process has been amended to reflect the new approval process for Low Value Spend (below £100,000). It now regulates the Council's 'Buy Local' principles and the use of the Council's new Business Directory for selection of suppliers:
 - **Contract values of up to £10,000** – officers are required to obtain at least one written quote from a local supplier if possible.
 - **Contract values from £10,000 and up to £100,000** – officers are required to obtain a minimum of three written quotes, with at least two from local suppliers, using the Council's e-tendering portal and processed via the Council's new Central Buying Team.
- Regulation 22 - Standards and Evaluation Criteria has been amended to encourage suppliers to provide better qualitative tender proposals with improved social value offers for Council services. **The evaluation criteria ratio has been changed to 60% Quality and 40% Price.** Social value has also been stipulated as being 10% of the quality score breakdown.

3.16 To ensure the successful implementation of these refreshed commissioning documents, it is vital that there is strong awareness across the Council. Once approved, these will be communicated and shared across the organisation.

4. CONSULTATION

4.1 The updated Commissioning Framework has been developed in consultation with officers across the Council, current suppliers, local businesses and the Voluntary, Community and Social Enterprise sector. Engagement with stakeholders will continue over the lifetime of the Framework to monitor progress and to further shape its development.

4.2 The Tender and Contract Regulations have been produced in consultation with colleagues from across the Council including Legal, Governance, Finance, Audit, Risk and Insurance.

5 FINANCIAL AND RISK ASSESSMENT CONSIDERATIONS

5.1 There are no direct financial commitments as a result of the recommendations in this report.

5.2 **Future Savings/Efficiencies**

Whilst the Commissioning Framework itself does not commit any financial resources, the Framework and the principles set out within it will shape our commissioning approach and investment decisions. The approach set out in the Framework will focus spend decisions on delivering value for money, local priorities and outcomes.

5.3 There have been no risks identified.

Approved by: Lisa Taylor, Director of Finance, Investment and Risk and S151 Officer

6. LEGAL CONSIDERATIONS

- 6.1 The Director of Law and Governance comments that Members are requested to note that approval of changes to the Constitution are reserved to full Council and accordingly the proposed amendments to the Tender and Contract Regulations, are for onward recommendation to full Council for approval under the Constitutional processes.

Approved by: Sean Murphy Director of Law and Governance and Deputy Monitoring Officer

7. HUMAN RESOURCES IMPACT

- 7.1 Where an employee or employees of the Council may be affected by a transfer arrangement, consideration must be given as to whether the change may invoke the Transfer of Undertakings (Protection of Employment) 2006 (amended 2014) Legislation; otherwise known as TUPE.
- 7.2 The appropriate TUPE protocols must be followed, such as the duty to provide information and consult as appropriate with the recognised trade unions and affected staff. Pension's issues must be considered and advice sought from the Pensions Team at an early stage particularly where employees are members of the Local Government Pension Scheme (LGPS) or Teachers Pensions scheme.
- 7.3 Where the Council is not the employer (either the current employer or the new employer) the application of TUPE, or otherwise, would be determined between the service providers. Nevertheless, where there is a service provision change for which the Council is the client, on that basis the role of the Council would usually extend no further than facilitating the process.
- 7.4 Advice and guidance on TUPE must be sought at an early stage from the relevant departmental Head of HR.

Approved by: Gillian Bevan, Head of HR Resources on behalf of the Director of Human Resources

8. EQUALITIES IMPACT

- 8.1 An Equality Analysis has been undertaken to ascertain the potential impact the proposed change will have on protected groups. The new Commissioning Framework, Social Value Policy and revised Tenders and Contract regulations builds upon the achievements and progress made in commissioning to date and sets a single coherent framework and approach for the next four years

- 8.2 The Framework and the principles set out within it, will shape our commissioning approach and investment decisions, ensuring our spend is focused on delivering the Council's priorities. This approach will be evidence-led, recognising that services need to differentiate to respond to the differing needs across the borough. Officers' responsibilities including ensuring compliance with council policies and the Equality Act 2010.
- 8.3 Principles that will enable commissioners to make decisions in the interests of the residents, communities and businesses of Croydon. The supplier code of conduct has the principles and values below in relation to equalities and diversity.

Values

Valuing Diversity

Embracing equality and inclusivity and making the most of the many perspectives that make Croydon distinctive.

Principles

Equality and Inclusion

- We expect our suppliers to comply with the Equality Act 2010 when discharging their services and to promote greater equality and inclusion across the Croydon.
 - Suppliers should record equalities information and be prepared to share this with the Council when requested.
 - Staff should receive equalities training and records should be kept.
- 8.4 As the largest buyer in the Borough we lead the way and ensure fairness and equality are central to our commissioning processes and that these are embedded in our supply chain.

Approved by: Yvonne Okiyo, Equalities Manager

9. ENVIRONMENTAL IMPACT

- 9.1 The Commissioning Framework, the Tender and Contract Regulations and the Social Value Policy have been designed to align with the Council's commitment to address environmental sustainability as an integral part of all activity.
- 9.2 As a result of the implementation of the Social Value Policy, it is expected that there will be a positive environmental impact.

10. CRIME AND DISORDER REDUCTION IMPACT

- 10.1 There are no implications for these documents.

11. REASONS FOR RECOMMENDATIONS/PROPOSED DECISION

- 11.1 Adopting the Commissioning Framework, Social Value Policy and the Tender and Contract Regulations sets a clear vision and direction for sustainable and ethical commissioning and procurement. This will also enable the Council to

achieve its corporate aims as set out in the Council's Corporate Plan 2018-2022.

CONTACT OFFICER: Rakhee Dave-Shah, Head of Commissioning and Procurement (Corporate)

APPENDICES: Appendix 1 – Commissioning Framework 2019-2023
Appendix 2 – Social Value Policy 2019-2023
Appendix 3 – Tender and Contract Regulations

BACKGROUND PAPERS: None

Tenders and Contracts Regulations 2019

These Regulations form part 4.1 of the Constitution and were adopted by Full Council on 15 July 2019

draft

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Background

These Tenders and Contracts Regulations are designed to ensure that all Contracts covered by these Regulations will be cost effective and meet the priorities of our Corporate Plan, link below:

<https://www.croydon.gov.uk/sites/default/files/articles/downloads/Corporate%20Plan%202018-22.pdf>

The Council's Commissioning Framework principles which these regulations support are outlined below:

Ethical And Sustainable Commissioning					
We will embed ethical and sustainable procurement considerations in all aspects of commissioning practice. We will use the Council's purchasing power to maximise social value, fostering local employment, promoting fair pay, encouraging local business growth and supporting community priorities.					
Principles					
Evidence based	Preventative	Locality based	Collaborations and Partnerships	Resident Focused	Delivering Outcomes
We will use data and insights at the locality level together with service user input to inform robust decisions that aid our commissioning and procurement practices.	We will focus on a preventative approach, in partnership with our communities, businesses and residents, enabling empowerment and self-resilience.	We will take a locality based commissioning approach, which takes account of the existing strengths, skills and resources to ensure that investment decisions support community empowerment.	We will collaborate or work jointly with other organisations to ensure improved outcomes and value for money for our residents.	We will put our residents at the center of our commissioning approach. We will involve customers and service users in the co-production of services.	We will commission for sustainable and effective outcomes that deliver beyond service and organisational structures.

The principles of these regulations are:

- to achieve good value for money and deliver social value wherever possible;
- to deliver a competitive process; ensuring there is no discrimination, with fair and transparent procedures, and equal treatment of all potential suppliers;
- to encourage and ensure continuous improvement in the delivery of Council services through the application of value for money principles;
- to incorporate effective and best practice procedures;
- to publish clear and understandable rules;
- to minimise risks and to protect the Council's interests and reputation;
- to ensure controls and accountability, and always to act within the law;
- to maintain an auditable trail of all tender activity;
- to be responsive to any weaknesses identified by internal/external audit;
- to ensure that regulations reflect the current procurement environment;
- to effectively support the delivery of direct services;
- to have regulations with which everyone complies.

These Tenders and Contracts Regulations are designed to achieve these key commissioning and procurement principles.

These Regulations are also the best defence against allegations that a purchase has been made unfairly, incorrectly or fraudulently. All those involved in the commissioning and procurement process must comply with these Regulations. Failure to do so may lead to disciplinary action being taken.

1. The Legislation Governing these Rules

- 1.1** These Regulations are made under Section 135 of the Local Government Act 1972 and any subsequent qualifying or amending legislation. Under the Local Government Act 2000 the making and amending of these Regulations and the approval of any exceptions to them are part of the Council's non-executive functions.
- 1.2** These Regulations are part of the Council's Constitution and govern all relevant Contracts including those funded by way of grant.
- 1.3** The EU Rules and national legislation and related Public Contracts Regulations (PCR) 2015 & Concessions Contracts Regulations (CCR) 2016, which affects contracts under these Regulations, takes precedence.
- 1.4** These Regulations are subject to any general waivers agreed or provided for by these Regulations e.g. Regulation 19.
- 1.5** Anyone operating these Regulations must also follow the Council's Financial Regulations.
- 1.6** These Regulations support the Public Services (Social Value) Act 2012 and as amended, which allow for specific non-commercial considerations to be taken into account in contracting decisions.

2. Glossary of Terms is provided at Appendix A

3. Application of the Regulations

- 3.1** These Regulations apply if the Council intends to enter into a contract either as a purchaser or as a provider with another entity.
- 3.2** If a Contract involves generating income for either the Council or a provider, the Officer responsible must make an estimate of the notional value of the contract and use these Regulations if the value is estimated to be £100,000 or more.

- 3.3** These regulations apply to all Contracts except for the following types of Contracts:

- a) Contracts of employment which make an individual a direct employee of the Authority;
- b) Fines;
- c) Payment of taxes;
- d) Situations where the Council carries out work by arrangement with the owner of any property but in exercise of the Council's statutory default powers;
- e) Agreements directly associated with the acquisition, disposal, or transfer of assets or land (to which the Financial Regulations shall apply).
- f) Grants that the Council is applying for or issuing.

4. Officer Responsibilities

- 4.1** Officers involved in the commissioning and procurement process must comply with:

- These Regulations;
- All UK and European Union binding legal requirements;
- The Council's Financial Regulations;
- The Council's Staff Code of Conduct;
- The Council's Gifts & Hospitality Procedures;
- The Anti-Bribery policy;
- Declare any conflicts of interest;
- The Council's Scheme of Delegation;

Officers must ensure that any agents, consultants and contractual partners acting on their behalf also comply through relevant provision in the contract of engagement or other suitable means. Any arrangements, which might, in the long term, prevent the effective operation of fair competition, must be avoided.

- 4.2** Officers must:

- a. Have proper regard for all necessary legal, financial and professional advice;
- b. Ensure compliance with the Council's policy and procedures for example Equalities and Diversity, Safeguarding, ICT, Council's IT Security, Data Protection and Social Value;

Section 1 – General (continued)

- c. Declare any personal financial interest in a contract. Corruption is a criminal offence;
- d. Report any offers of bribes, inducements or gifts & hospitality;
- e. Conduct a relevant value for money review;
- f. Ensure that there is adequate budget provision for the procurement being undertaken;
- g. Check whether there is an existing contract that can be used before undergoing a competitive process;
- h. Not divide up any contract in order to avoid any rules set out in these Regulations;
- i. Receive approval for the RP2 How we Buy report (procurement/ commissioning strategy) before advertising the contracting opportunity or inviting any tenders for a relevant Contract;
- j. Allow sufficient time for the submission of bids;
- k. Keep all supplier bids confidential;
- l. Keep records of all dealings with suppliers;
- m. Obtain all required approvals at the correct point in the procurement process as advised by these Regulations and complete a written contract (signed and/or sealed, as required) before placing an order or raising a purchase order for any supplies, services or works;
- n. Where appropriate don't award a contract until the Standstill period is over;
- o. Enter all purchase order information onto the Council's financial system prior to any goods or services being provided. Raising purchase orders, and any permitted exceptions, must be conducted in accordance with the Council's P2P Guidance documentation;
- p. Identify an appropriate senior manager with the relevant delegation, who is the designated contract owner responsible for the relationship with the supplier. In addition, a contract manager with responsibility for day to day issues and ensuring the contract delivers as intended must also be appointed;
- q. The contract manager should ensure the safe keeping of contract documentation in line with Croydon's document retention policy and uploaded onto the Council's contract management system;

- r. Throughout, ensure that the procurement exercise delivers against the Council's Commissioning Framework and supports the delivery of the Corporate Plan Priorities.

4.3 When any employee either of the Council or of a service provider may be affected by any transfer arrangement, Officers must ensure that the Transfer of Undertaking (Protection of Employment 2006 Regulations (amended 2014)) TUPE is considered along with any issues related to employee's membership of the LGPS, and Teachers Pension Scheme. Advice and guidance on TUPE must be sought at an early stage from the relevant departmental HR Lead. The Pensions team must also be notified as early as possible so that the implications relating to pensions may be considered.

5. Director Responsibilities

5.1 Directors must:

- a. Ensure that these Regulations are followed and enforced within their areas of responsibility;
- b. Make the staff aware of the requirements of these regulations;
- c. Declare any personal financial interest in a contract. Corruption is a criminal offence;
- d. Report any offers of bribes, inducements or gifts & hospitality;
- e. For Contracts over £100,000 ensure the relevant Cabinet Member(s) and the CCB are aware of commissioning intentions and are advised in advance of the purpose of any Contract that falls within these Regulations, including the commissioning and/or tendering process to be followed to secure the Contract and of any anticipated issues for the process, with particular regard to any service implications arising;
- f. Consider any advice given by CCB;
- g. Monitor compliance and investigate any non-compliance with the regulations and report any findings to the Director of commissioning and Procurement as Chair of the contracts and Commissioning Board;
- h. Ensure that any third party participating in the procurement or supervising a Council Contract agrees, in writing, to comply with these Regulations as if they were Officers of the Council;

Section 1 – General (continued)

- i. Approve the award and spend of written quotations under £100,000 in consultation with the Central Buying Team, and in accordance with Regulation 11 to ensure value for money.
- j. Ensure their contract managers have kept contract documentation in line with Croydon's document retention policy and uploaded onto the Council's contract management system.

5.2 Advice and guidance on TUPE must be sought at an early stage from the relevant departmental HR Lead. The Pensions team must also be notified as early as possible so that the implications relating to pensions may be considered.

6. Declaration of Interest:

- 6.1** Any Officer must declare to their Director or Executive Director any personal interest in a matter they are dealing with, including one, which may impinge on their impartiality to apply these Regulations.
- 6.2** No Member, Officer or agent of the Council shall improperly use his or her position to obtain any personal or private benefit from any contract entered into by the Council.
- 6.3** It is a requirement that all officers and external advisors complete the Declaration of Confidentiality and Interest Form and comply with the Council's Code of Conduct prior to any involvement in drafting of Council's Tender Documents, Quotations or any involvement in evaluation of tenders and the management of the contract. This is to ensure that the Council's procedures including confidentiality are complied with in accordance with these Regulations.
- 6.4** In the event that a conflict of interest arises during the life of the contract, all Council officers must notify their Director or Executive Director, in writing, as soon as is reasonably practicable. This not only includes personal conflicts, but also extends to any suspected/known conflicts of interests in relation to any internal or external matters/personnel.

Section 2 – Make or Buy

7. Pre Procurement

- 7.1 Any new commissioning of services including existing services where the contract is due to end, must consider the Make or Buy decision, in line with the Council's' Commissioning Framework and guidance in the Procurement and Contract Management Handbook. The Director responsible must submit a report to CCB for agreement to the proposed outcome for values over £100,000.
- 7.2 Consideration must be given to what procurement method is most likely to achieve the commissioning and procurement objectives, including packaging (Lots) strategies, internal or external sourcing, shared services, partnering arrangements and collaborative procurement arrangements with other local authorities and government departments. Officers will also consider working with CCGs, statutory undertakers and Central Purchasing Bodies. They may also consider the establishment of separate trading entities.
- 7.3 The relevant Officer must refer to the Procurement & Contract Management Handbook for further details on process and requirements before instigating any procurement exercise.

Section 3 – How we Buy - Approach and Principles

8. How we Buy

8.1 The Director responsible must submit a How we Buy (procurement strategy) Report to the CCB, setting out commissioning intentions and sourcing strategy, (in the format required), for all proposed Contract awards for goods and services with an estimated total Contract value of £100,000 and above. Where it is intended to complete a mini competition or call off for works from an existing Council contract or an OJEU procured framework as advertised for works, then a report is not required up to an estimated total contract value of £500,000.

8.2 A Report must be presented to Cabinet (in the required format) for approval that has been recommended by CCB, where the eventual Contract value is estimated at £5m or above unless the underlying procurement strategy to which it relates has already been reported and agreed by Cabinet. In these cases, the Leader has delegated the authority to agree the procurement strategy to the relevant Cabinet Member.

8.3 The How we Buy report or Cabinet report should, as a minimum, set out the project plan, the proposed procurement route, compliance with the Council's policies on LLW, Social Value, data protection and equality analysis recommendations, any proposed departures from standard procurement practice or these regulations, the evaluation approach, risks, timetable, project structure and details of the Contract, e.g. term, value and any other relevant information.

8.4 No advertisement should be placed or invitation to tender made prior to approval of the How we Buy report in accordance with Regulation 11.

9. E-Procurement and the Use of E-Sourcing (Tendering)

9.1 E-Procurement is a critical method of ensuring transparency, fairness and accountability in procurement processes. As such, all quotation and tendering processes for Contracts run by the Council or on behalf of the Council must use an e-tendering portal under the supervision of the relevant C&P Head of Service. When the Council is running a quotation or tendering process it will use its own e-tendering portal. Any other tendering method or use of other e-tendering portals may be used only with prior authorisation via a Waiver request.

9.2 All electronic documentation will be securely accessed and retained on the Council's e-sourcing website. The Council will not accept hard copies of suppliers tender submissions.

9.3 The relevant Director must ensure that all information required to commence an e-procurement process effectively, and to provide a full audit trail for the process, is provided, including details of evaluation criteria, their weightings and the way in which evaluation scores will be calculated.

10. Contract Value, Aggregation and Existing Council Contracts

10.1 The Officer responsible must not divide any Contract ordinarily treated as a single Contract into two or more Contracts or in phased or staged delivery in such way as to avoid the application of any of these Regulations, the UK Regulations or the EU Rules.

10.2 The value of Contracts which are subject to the UK Regulations shall be calculated as provided for in those regulations. The value of any Contract is calculated net of VAT and over the total duration of the Contract, including any pilot, phases or stages of delivery.

10.3 The Officer responsible may not arrange to purchase separately any supplies, services or works that are available to be purchased through an existing contractual arrangement with the Council, where the items sought are either the same or sufficiently similar to those that are the subject of the existing contract to fulfil the Council's needs. Unless it can be clearly demonstrated to the satisfaction of the Chair of CCB for spend above £100,000 and to the satisfaction of the Strategic Procurement Manager for spend below £100,000, that using the existing Contract would not fulfil the Council's statutory duty to provide Best Value under Section 3 of the Local Government Act 1999.

Section 3 – How we Buy - Approach and Principles (continued)

11. Procedures and Approval Process for the Council's Tendering and Request for Quotation Activities

11.1 These regulations apply to all purchases except for those where Regulation 19.3 applies.

11.2 Low Value Procurement (below £100,000)

11.2.1 For all contracts with an estimated value of below £100,000 the following thresholds apply:

Contract Value	Procedure	Approval
Up to £10,000	Preferably two written quotations both to be from local supplier using the Council's Business Directory (if possible).	In accordance with the Council's Scheme of Financial Delegation and Departmental Scheme of Delegation.
Over £10,000 up to £100,000	Min. three written quotations with two from local suppliers using the Council's Business Directory (if possible) and processed by the Council's Buying Team via the Council's e-tendering portal.	

11.2.2 For values over £10,000 written quotations should be processed through the Central Buying Team using the Council's e-tendering system. Quotations must be processed in accordance with the information on low value procurement provided in the Commissioning & Procurement Handbook.

11.2.3 Where the procurement route will not follow Regulation 11.2.1, a waiver is required as set out in Regulation 19. The Director of C&P may approve a list of general exemptions for circumstances where it is not feasible or advantageous to seek written quotations or Waivers.

11.3 Formal Tendering (£100,000 and above)

11.3.1 For all contracts with an estimated value of £100,000 and above, formal tendering procedures should be followed using the Council's e-tendering portal in accordance with the requirements of Regulations 8 & 26 and the UK Regulations. No procurement can commence without prior approval of the RP2 How we Buy - procurement strategy and no contracts can commence without prior approval of the award of contracts. Approvals are in accordance with the table below and where approval is sought from a Cabinet Member then it is in consultation with the Cabinet Member for Finance & Resources or where the Cabinet Member is the Cabinet Member for Finance & Resources then it is in consultation with the Leader of the Council.

Approval Required	Chair of CCB Approval	Cabinet Member Approval	Cabinet Approval
RP2 How we Buy - Procurement Strategy	Up to £5,000,000	Cabinet Member(s) to be sighted on all reports	Over £5,000,000
RP3 Contract Award	£100,000 up to £500,000	Over £500,000 up to £5,000,000	Over £5,000,000

11.3.2 Unless as otherwise specified in these Regulations, the approval of strategies and awards relating to Framework Agreements and the establishment/initial appointment of providers to a DPS shall be subject to the requirements and procedures applicable to Contracts, by reference to the estimated value of contracts to be called off over the life of the Framework or DPS.

11.3.3 The periodic appointment of new providers to an approved DPS or (where relevant) Framework shall be reported to CCB with such frequency as shall be specified in the report seeking approval for the award of a Framework Agreement or establishment/initial appointment of providers to a DPS ('Framework/DPS Award report').

Section 3 – How we Buy - Approach and Principles (continued)

11.3.4 Unless as otherwise stated in these Regulations, the approval of strategies and awards in relation to Call-off Contracts under a Framework or DPS approved via a Framework/DPS Award Report shall be subject to the requirements and procedures applicable to Contracts, except as may be otherwise specified and approved in the relevant Framework/DPS Award Report.

12. Pre Tender Market Consultation

12.1 Before submitting a procurement strategy to CCB, the officer responsible for the procurement and in consultation with the relevant Category Manager, may issue a Prior Indicative Notice (PIN) or conduct market consultations with a view to informing the eventual procurement approach, scope of contract, specification etc. and/or to communicate to prospective applicants and tenderers the Council's procurement plans and requirements such as the nature, level and standard of the provision, contract packaging, timescales and other relevant matters.

12.2 For this purpose, the officer responsible may, for example, seek or accept advice from independent experts, other authorities or from market participants.

12.3 Such advice may be used in the planning and the proposed procurement procedure, provided that it does not have the effect of distorting competition (by giving those who participate in the pre-tender market consultation an unfair advantage over others in relation to future procurement opportunities) and does not result in a violation of the EU Rules and transparency and furthermore, is conducted in line with the UK Regulations.

13. London Living Wage (LLW)

13.1 The Council will include a requirement for all staff to be paid no less than the LLW, as defined by the Living Wage Foundation. For these purposes the scope will be defined as by the Living Wage Foundation. For 'staff' means all persons employed by the contractor to perform its obligations under the relevant Council contract together with the Provider's servants, agents, suppliers and sub-contractors used in the performance of its obligations under that Contract.

14. The Public Services (Social Value) Act 2012

14.1 This Act places a requirement on commissioners to consider the economic, environmental and social benefits of their approaches to commissioning and procurement before the process starts. The Act requires authorities to make the following considerations at the pre-procurement (commissioning) stage:

- a) How, what is proposed to be procured, might improve the economic, social and environmental well-being of the 'relevant area';
- b) How in conducting a procurement process, the Authority might act with a view to securing that improvement and whether to undertake a consultation on these matters.

14.2 Commissioners should use this Act, including any updates to it and the Council's Social Value Policy to consider outcomes and the types of services to commission before starting the procurement process. When considering how a procurement process may improve the social, economic or environmental well-being of a relevant area, the Council must only consider matters that are relevant to what is proposed to be procured. The Council must only consider those matters to the extent to which it is proportionate, in all the circumstances, to take those matters into account.

See: <http://www.legislation.gov.uk/ukpga/2012/3/enacted>

15. Nominated or Named Sub-contractors and Suppliers

15.1 In accordance with Croydon's commitment to developing the local supply base and proactively implementing the Social Value Act, sub-contracting can provide a useful tool for engaging small businesses, voluntary organisations and the community sector in the supply of goods, supplies and services.

15.2 Officers should consider whether the inclusion of sub-contracting clauses is appropriate for their commissioning activity.

15.3 Where a Director nominates or names a sub-contractor or supplier to a main contractor, they must ensure the compliance with LLW, Modern Day Slavery, Council's Equality and Diversity policy, data protection legislation and any other such policy or legislation relevant to the goods, services or works being contracted for is included in that suppliers agreement. They must seek approval from the Chair of CCB prior to engagement with the sub-contractor or supplier.

Section 3 – How we Buy - Approach and Principles (continued)

16. Collaboration

16.1 In order to secure value for money, the Council may enter into a procurement arrangement with a Central Purchasing Body (CPB) such as Crown Commercial Services (CCS) or another such body. These agreements should include (where possible) compliance with the Council's policy and procedures, and must be approved in accordance with Regulation 11. The terms and conditions of the CPB must be fully complied with, including any requirement to undertake competition between providers, roles and responsibilities and liabilities must be clearly set out in all Call-off and contract documentation when using these agreements.

16.2 In order to secure value for money, the Council may enter into collaborative procurement arrangements with another local authority, government department, Clinical Commissioning Groups (CCG) and health providers, statutory undertaker or other contracting authority. These arrangements must be approved in accordance with Regulation 11 and must ensure that roles and responsibility and liability has been clearly set out within the documentation.

17. Provision of Services and Works for Other Organisations

17.1 This Regulation applies whenever the Council carries out or provides any services or work or other action on behalf of another Local Authority/ consortium of Local Authorities, Government Department, Statutory Body or third sector organisation (third parties). The following conditions apply:

- a.** the Officer responsible must be satisfied that the Council's interests will not be prejudiced by any such action; and
- b.** there must be sufficient budget for the work in the Council's own estimates; and
- c.** the third party must sign an agreement with the Council that clearly states liabilities, roles and responsibilities, and include contingency arrangements should the third party no longer exist during the term of the provision; and
- d.** the third party must authorise any additional requirements, variations or departures and any additional funding required by the Council must be authorised in accordance with the Financial Regulations; and
- e.** the third party must first confirm that it accepts financial responsibility for the provision of services or work.

17.2 Approval must be sought from the CCB via a RP2 How we Buy report prior to any notable commitment of Council resources or budget

18. Tendering with or through other Public Bodies

18.1 Subject to the requirements of EU Rules, UK Regulations and any other applicable legislation, regulation, policy and/or guidance document, the Officer responsible can call off tenders with or through the following organisations, provided that they can obtain equivalent or more advantageous terms than by inviting competitive tenders:

- a.** Another Local Authority, consortium of local authorities, Commissioning Partnerships, a Mutual;
- b.** Government Department, Purchasing Organisation which has been approved by the Director responsible for procurement;
- c.** Statutory Body;
- d.** Utility Undertaking (public or previously public).

18.2 However, the Officer responsible must obtain the most favourable terms possible for the Council and must be able to demonstrate Best Value for Money under Section 3 of the Local Government Act 1999. An award report recommending any award must be submitted in accordance with Regulation 11.

19. Waivers and Emergencies

19.1 Where the value is under £100,000 any waivers must be signed by the relevant Director of the service area in consultation with either the Strategic Procurement or Sourcing Managers of the Central Buying Team.

19.2 Over and above this, the Director of Commissioning & Procurement (exercising delegated non-executive powers) can waive any requirements contained within these Tenders and Contracts Regulations for specific projects, following a recommendation from the CCB. Any such waivers granted with a value over £100,000 must be reported to Cabinet at its next meeting.

Section 3 – How we Buy - Approach and Principles (continued)

- 19.3** For Disasters and Emergencies where there is a clear need to provide a service or product immediately in the instance of a sudden unforeseen crisis or the immediate risk is to health, life, property or environment, compliance when these regulations may not be feasible. Any Director may place an order for supplies, services or works as the circumstances require after seeking approval from the chair of CCB, clearly stating the immediate procurements required. If that is not feasible for example due to outside of normal working hours then immediately after when reasonably feasible. A report of contracts awarded and any future procurements required will require approval by the Chair of CCB and if applicable Cabinet at the next available meeting after the event.
- 19.4** For emergency placements (Placement) relating to children or vulnerable adults, where it is not possible to arrange the Placement through an existing Council Contract, the relevant Director may authorise an order for the Placement. As soon as practical the Director shall review the Placement to satisfy themselves that it is and continues to be appropriate to the circumstances and provides value for money.
- 19.5** A monthly report of all Placements and other emergency orders made under this Regulation 19 in the relevant month shall be presented to CCB, Cabinet Member or Cabinet as appropriate (by reference to regulation 28 in accordance with the value of award and reporting protocols). Where the Director making the Placement or emergency order is not an Executive Director such report shall also be provided to the relevant Executive Director.
- 19.6** All waivers against any of these regulations, including the reasons for them and the period for which the waiver is valid must be recorded and approved. Where a waiver is to be sought, the procurement process may not begin before approval has been granted. This restriction cannot be avoided by seeking approval of a waiver with retrospective effect, unless it is confirmed that it was not reasonably practicable to obtain it prior to approval. All requirements of these Regulations relating to the approval to award still remain.
- 20. Preparation of a Specification**
- 20.1** The Officer responsible must prepare a clear and unambiguous specification. It must be in keeping with the Council's commissioning principles (including Social Value outcomes), they must be outcome-based and must include any necessary outputs, plans, sections, drawings and bills of quantities. This specification must be agreed by the relevant Category Manager or the Central Buying Team for values below £100,000.
- 20.2** Sometimes, because of the type of work, the Officer responsible may not consider it practical or possible to prepare a detailed specification of every item of work necessary for the contract to be carried out. Here, the Officer responsible may include, in general words, provision for such works in the specification. This is subject to the requirement that any such work is carried out under the direct supervision of and on the written authority of the Officer responsible.
- 20.3** If the specification is for a contract for works, the Officer responsible must include provision within the budget for contingencies.
- 21. Advertising and the Number of Tenders**
- 21.1** One of the principles of Croydon's commissioning framework is to let contracts via an open and transparent competitive process.
- 21.2** Officers shall ensure that all tender processes that are to be advertised are done so in a sufficiently accessible manner and where proposed Contracts, irrespective of their total Contract value, might be of interest to potential suppliers located in other member states of the EU, a sufficiently accessible advertisement is published. Generally, the greater the interest of the Contract to potential suppliers the wider the coverage of the advertisement should be. Advertisements for tenders must as a minimum be placed as follows:
- a.** Where the value exceeds the current EU thresholds for goods, service and works Contracts, tender advertisement rules must be followed in accordance with the current EU Rules and UK Regulations;
 - b.** For procurement activity of any value, Officers must use the Council's own e-tendering portal and website(s). They may use additional advertisements in national official journals, specialist trade papers or websites, if relevant and if affordable.

Section 3 – How we Buy - Approach and Principles (continued)

- 21.3** As a minimum, any advertisement must state the place where interested providers may obtain the procurement documents and the deadline for receipt of submissions. As appropriate and as an alternative to advertising; tenderers may be selected either via an accepted framework (Croydon's own, via an established CPO or authorised 3rd party) or via an approved list such as 'Constructionline'. Details should be provided in the RP2 How we Buy report.
- 22. Standards and Evaluation Criteria**
- 22.1** Where the value is £100,000 and above the Director for whom the procurement is being undertaken must ascertain the relevant EU, UK, European or international standards which apply to the subject matter of the contract. The Officer must include those standards which are necessary to properly describe the required quality and obligations under the contract. Advice from the relevant C&P Head of Service or Category Manager must be sought, as necessary.
- 22.2** The composition of and assessment of the SQ and ITT must be carried out in line with the EU Rules and UK Regulations which provides for transparency, non-discrimination, equal treatment, mutual recognition and proportionality amongst the freedom of movement of goods, freedom of establishment and freedom to provide services.
- 22.3** The Officer responsible for the procurement must define evaluation criteria that are appropriate to the purchase and designed to secure an outcome that meets the objectives of the Council. This must be included in the approved RP2 How we Buy Report. The evaluation criteria chosen must, where relevant, be compliant and in accordance with the UK Regulations. This must be either MEAT for goods, services and works, or Highest Price if payment is to be received for sale or disposal.
- 22.4** When awarding on the basis of MEAT, the split between cost and quality is to be 40% cost and 60% quality. Where the Officer responsible does not consider this split appropriate, the reasons for the use of an alternative percentage split must be substantiated and a Waiver sought to this regulation. This must be included in the RP2 How we Buy Report, which is in accordance with Regulation 8, for approval by the CCB. Where, under the MEAT approach, quality is adopted as a criterion, it must be further defined by reference to sub-criteria. There is no definitive list of quality criteria that should be applied to all procurements, but they must be linked to the subject matter of the contract and proportionate. Please reference the Procurement & Contract Management Handbook for further advice.
- 22.5** The 60% quality evaluation assessment must include an allocation for a minimum of 10% for the Social Value criteria, any deviation from this must be in accordance with Regulation 19.
- 22.6** The Director must ensure that, whatever method of tendering is chosen, financial appraisals of contractors are part of the selection/award process. Directors must also ensure abnormally low tender submissions have been fully evaluated to ensure it does provide value for money. Any concerns regarding the evaluation especially with consideration of the Modern Day Slavery Act, should be reported to the Chair of CCB.
- 22.7** Officers must indicate in the contract notice whether or not they authorise variants. Variants shall not be authorised without this indication.
- 22.8** Officer must state in the tender documents the minimum requirements to be met by the variants and any specific requirements that need to be met. Only variants meeting those minimum requirements shall be taken into consideration
- 23. Standard Contract Clauses**
- 23.1** All Contracts valued in excess of £100,000 must be in writing and signed by an Authorised Signatory on behalf the Council, or sealed with the Council's Seal in the presence of an Authorised Signatory.
- 23.2** The Officer responsible must include the following standard clauses in every written Contract. Any proposed changes to the standard clauses are subject to legal advice and approval by the Director of Commissioning & Procurement, if not included in a RP2 How we Buy Report.
- 23.3** All Contracts must include:
- a.** Default procedures. These may include charges for defaults.
 - b.** A clause enabling the Council to claim actual or liquidated damages or an appropriate combination, depending upon the nature of the contract. Where a liquidated damages clause is used, there must also be included a clause for an extension of the time for completion. Appropriate advice must be sought on the type of damages clause suitable for each proposed contract.

Section 3 – How we Buy - Approach and Principles (continued)

- c. A genuine pre-estimate of liquidated damages must be quoted in the contract to be valid. Liquidated damages clauses generally yield limited sums in damages and, therefore, the risks of adopting a liquidated damages clause should be assessed in each case.
- d. A clause requiring the Contractor to maintain and test a business continuity plan at least annually and to keep the Council informed of how that plan would be deployed to protect the Council's interests, in the event of any interruption in the delivery of goods, services or works.
- e. A clause setting out the arrangements by which the contract will be managed and monitored by the Council, including arrangements for regular liaison between the parties, in compliance with the Council's standard requirements for contract management and monitoring.
- f. An extension of the 'time for completion' clause to protect the Council and allow for liquidated damages to be claimed in the event that the Council is responsible to any extent for a delay.
- g. A clause permitting the termination of the Contract in whole or in part, and without penalty, where the Council elects to do so.
- h. A clause that entitles the Council to terminate a Contract without penalty where it has been subject to a substantial modification by the provider without prior consultation and agreement.
- i. A provision requiring the Council to pay undisputed invoices, within 30 days of receipt of a valid invoice (subject to any contractual or statutory obligation to pay earlier).
- j. Provision that any significant deviation from the tender proposal shall constitute a default in the same manner as a deviation from the Specification and may constitute grounds upon which to terminate the contract.
- k. Suitable clauses to enable the Council to cancel the contract and recover any loss due to the cancellation of the contract if the Contractor or any person employed by the Contractor or acting on the Contractor's behalf shall have committed any offence under the Bribery Act 2010 or shall have given any fee or reward the receipt of which is an offence under Section 117(2) of the Local Government Act 1972 or shall have given

any fee or reward to any member or officer of the Council which shall have been exacted or accepted by such officer by virtue of office or employment and is otherwise than such officer's proper remuneration.

- l. A clause that states the Council will require all staff engaged by the Contractor in the delivery of services or works under the Contract be paid the LLW.
- m. Where appropriate a clause that states the Contractor must comply with the Modern Day Slavery policy.
- n. Where appropriate a clause that states the Contractor will ensure they maintain their compliance with Council policies that are relevant to the services that the Council are procuring.
- o. Where personal data is being used within the delivery of the services, the appropriate data protection provision is made including that the Contractor must indemnify the Council against any relevant liabilities applicable to the Contractors responsibilities.
- p. Where appropriate, relevant safeguarding provisions must be included.

23.4 Standard contract clauses for securing social value are set out in the Social Value Framework. The Officer responsible should refer to this framework to ensure the appropriate clauses are used. Every Contract awarded by the Council must have a commitment on social value.

23.5 The Officer responsible must consider the obligation to require tenderers to provide a Performance Bond and/or Parent Company Guarantee where a contractor is a subsidiary of a parent company, as a Contract requirement in the following circumstances:

- (i) the award is based on evaluation of the parent company;
- (ii) the financial status of the contractor (having regard, inter alia, to the proposed contract) warrants the same; and or
- (iii) the S151 Officer recommends;
- (iv) where it is proposed to make stage or other payments in advance of receiving the whole of the subject matter of the Contract.

Section 3 – How we Buy - Approach and Principles (continued)

- 23.6** The decision to require a Performance Bond and/or Parent Company Guarantee as a Contract requirement should be detailed in the RP2 How we Buy report.
- 23.7** If during the tendering exercise it becomes a requirement for a tenderer to provide a Performance Bond and/or Parent Company Guarantee as a Contract requirement - perhaps to support a financial standing issue, then this requirement, if different from that stated in the procurement should be reported in the eventual award report.
- 23.8** If required, advice should be sought from the relevant Finance Head of Service and included as part of the RP2 How we Buy report or Contract Award report for approval by the Chair of CCB.
- 23.9** In all cases where relevant, the Officer responsible, must discuss the need for the provision of a Pension Bond with the Head of Service responsible for Pensions and Treasury.
- 23.10** Every Contract must have a clause requiring the contractor to obtain adequate public liability and employer's liability insurance and any other insurance as may be required by the contract. The contractor must provide reasonable proof of this before work is commenced and throughout the life of the contract upon renewal of insurance.
- 23.11** The levels of cover are to be as stated in the Council's insurance guidance document. Any proposed reduction in required cover must be in consultation with the Council's Insurance, Risk and Corporate Programme Office.
- 23.12** All Contracts must include the following:
- a.** wording in which the contractor agrees to indemnify the Council for all claims proceedings, actions and other matters relating to the contract, except where the Council is found to be legally liable;
 - and**
 - b.** a clause in which the contractor agrees to certain service levels while dealing with claims, etc;
 - and**
 - c.** a clause requiring the full range of relevant insurances to be provided by the contractor, advice on this must be taken from the Risk and Insurance Officer;
 - and**
 - d.** the need for any self-employed person or consultant to have their own insurance, particularly where services are provided by employment agencies.
- 23.13** Every Contract must have a clause requiring all parties to comply with the provisions of the Data Protection Act 2018 ('DPA').
- 23.14** Every contract must ensure that the contractor acknowledges that the Contract and the information associated with it is subject to the Freedom of Information Act 2000 ('FoIA').
- 23.15** Every Contract must name the supervising person/s.
- 23.16** Every Contract must have a clause requiring the contractor to observe statutory requirements as to the manner in which work is to be carried out.
- 23.17** Every Contract must incorporate the specification and any drawings and bills of quantities as required/relevant.
- 23.18** Every Contract must contain a provision enabling the Council to deal with cases where the contractor, without good reason, either wholly or partly fails to complete delivery of the supplies, services or works, the subject of the Contract, to the contract standard or at all. The provision must enable the Council, if so desired, to:
- a.** engage an alternative provider, and in situations of urgency, without notice to the original contractor;
 - b.** arrange for the delivery of necessary supplies or materials from an alternative source;
 - c.** change quality or quantity of supplies, services or works required;
 - d.** recharge to the original contractor the costs of re-procurement and/or associated administrative and legal costs, and any costs incurred in excess of the original tendered price of the contractor to complete the delivery of the supply the subject of the contract, including the costs of any changes required to that supply, resulting from the contractor's default.
- 23.19** Where appropriate, a standard form of contract issued by the regulatory body, trade industry or profession may be used in conjunction with these Regulations.

Section 3 – How we Buy - Approach and Principles (continued)

24. Form of Contract for all Awards

- 24.1** Every Contract must be in writing and in a form approved by the Council Solicitor and Monitoring Officer.
- 24.2** The Council Solicitor and Monitoring Officer, the Heads of Legal Services or other person authorised by the Council Solicitor and Monitoring Officer ('Authorised Signatory') must sign every written contract valued at £100,000 and above in accordance with the Council's Constitution and is responsible for settling the detailed terms thereof. However, the relevant Director may sign and settle the terms of Contracts valued at £100,000 and above if specifically authorised in writing to do so by the Council Solicitor and Monitoring Officer.
- 24.3** Where a standard form of contract is issued by the regulatory body, trade industry or profession, the Officer responsible may use this in conjunction with these Regulations. The Officer responsible must ensure that the Contract is approved and executed by the Director responsible for Legal Services.

25. Invitations to Tender and Quotations/Tendering Instructions

- 25.1** The Officer responsible must issue Invitations to Tender and tendering instructions to every supplier:
- a.** invited to tender following a short-listing process;
 - or**
 - b.** who is listed on the relevant Framework, Framework lot or DPS and who is capable and willing to tender;
 - or**
 - c.** who requests the supply of tender documents under open tendering.
- 25.2** All Invitations to tender must specify the goods, service or works that are required, together with the terms and conditions of contract that will apply.
- 25.3** All suppliers invited to tender must be issued with the same information at the same time and subject to the same conditions. Any supplementary information must be given on the same basis.
- 25.4** All Invitations to tender shall include the following:
- a.** A specification that fully describes the Council's requirements;

- b.** A requirement for tenderers to declare that the tender content, price or any other figure or particulars concerning the tender have not been disclosed by the tenderer to any other party (except where such a disclosure is made in confidence for a necessary purpose);
- c.** A requirement for tenderers to complete fully and sign all tender documents including a form of tender and certificates relating to canvassing and non-collusion;
- d.** Notification that tenders are submitted to the Council on the basis that they are prepared at the tenderer's expense;
- e.** A description (detailed as appropriate) of the award procedure and evaluation methodology.

25.5 The Officer responsible must advise every supplier submitting a tender that:

- a.** no extension of time will be allowed for the receipt of any tender, unless at the discretion of the Council;
- b.** tenders received after the date and time specified for receipt may be rejected;
- c.** any departure from the Tendering Instructions may lead to the tender being rejected;
- d.** the Council does not bind themselves to accept the lowest or any tender or to accept any tender in full;
- e.** as soon as the Council has advised that (subject to contract) the tender has been accepted, then the agreement becomes legally binding;
- f.** the tender documents to be in electronic format;
- g.** the tenderers signed form of tender cannot be different in detail to that provided as part of the e-sourcing process.

25.6 Standard contract clauses must be stated (Regulation 22). Every supplier who submits a tender must be willing to enter into a contract containing these clauses.

25.7 The Officer responsible must also specify the period for which the tender will be kept open for acceptance. The normal minimum provision will be 90 days.

25.8 Tenders must be submitted electronically via the Council's e-tendering portal or by such other form of submission provided it was approved and a waiver to this regulation sought in the relevant RP2 How we Buy report.

Section 3 – How we Buy - Approach and Principles (continued)

- 25.9** Every tender must specify:
- i.** the amount of the tender and any discounts or deductions allowable and the terms for any such allowance; and
 - ii.** the time or times within which the contract is to be performed or completed.
- 25.10** The Officer responsible must check that every tender sum has been calculated by reference to the minimum specification required and stipulated in the tender. If they discover any departure from the specification, they can treat it as grounds for disregarding the tender.
- 25.11** When a tenderer proposes a variant bid, they must have demonstrated, by way of a compliant bid, that the Council's minimum standard has been met before a variant bid can be considered.
- 25.12** The Officer responsible must check that every tender sum is stated net of Value Added Tax or any other Tax or Duty.
- 26. Submission, Receipt and Opening of Tenders/Quotations**
- 26.1** Every tender must be received by a secure method using the Council's e-tendering portal or an approved e-sourcing system.
- 26.2** Suppliers or providers who have expressed interest in a tender must be given an adequate period in which to prepare and submit a proper tender, consistent with the complexity of the contract requirement. PCR 2015 or CCR 2016 includes specific tendering time periods.
- 26.3** Officers must notify all suppliers of the correct tender return instructions, including the date, time and place (details of the e-sourcing system).
- 26.4** In exceptional circumstances, the deadline for receipt of tenders may be extended, but only with the agreement of the relevant C&P Head of Service and the C&P Head of Service Corporate and only if such extension of time will not disadvantage a tenderer. No extension to the deadline can be given once the original deadline has passed and the seal has been broken on the e-tendering portal.
- 26.5** The relevant C&P Head of Service must arrange for all tenders for any one Contract to be opened at the same time. All tenders received via the Council's e-tendering portal should be opened by those listed below providing they are not involved in the tender exercise:
- Category Manager from outside of the service area leading the tender exercise;
 - the Strategic Procurement Manager of the Central Buying Team;
 - the Procurement Governance Manager.
- 26.6** In exceptional circumstances, the Director of C&P following advice from the C&P Head of Service Corporate and the C&P Head of Service for the service area may approve the delegation of the opening of tenders received via the Council's e-tendering portal to the Sourcing Manager of the Central Buying Team or a Senior Category Officer from outside the service area leading the tender exercise.
- 26.7** Any tender that does not comply with the Council's requirement as set out in the tender invitation e.g. arrives late, should normally be excluded from consideration, with the circumstances recorded on the Council e-tendering portal. Officers may, however, seek the agreement of the Chair of CCB to amend these requirements in appropriate circumstances. Any such relaxation shall be identified when seeking any necessary authorities required before the acceptance of a tender.
- 26.8** The C&P Head of Service Corporate must ensure, for audit and information purposes that for all tenders received via the Council's e-tendering portal:
- a) An electronic record is retained of the date and time of opening and the name of the Officer involved.; and
 - b) An electronic record of all tenders received is retained
- 27. Post SQ and Tender Clarifications**
- 27.1** The Director must maintain a detailed written record and clear audit trail of all post SQ and tender clarifications detailing all contact with the tenderer. All such communications must be recorded via the Council's e-tendering portal.

Section 3 – How we Buy - Approach and Principles (continued)

- 27.2** The Director must report to the CCB or the nominated Cabinet Member or Cabinet as appropriate (based on Contract value) any amendments to tender prices arising from post tender clarification and the reasons for them.
- 27.3** Directors may amend tender prices under post tender clarification, providing it does not disadvantage any other tenderer and in accordance with PCR 2015 and CCR 2016, in the following circumstances only:
- a.** if, between the submission of tenders and the Contract being awarded, a tenderer seeks to reduce the price without changing the original specification, then the Director must consult with the Chair for CCB to determine if there are reasons for accepting the new price and, if appropriate, offer the same opportunity to all the other tenderers. Opportunities to other tenderers to revise their bid prices would not normally be given to those previously eliminated for reasons other than cost or where a tenderer rectifies a mathematical error;
 - or**
 - b.** if there are errors in totals;
 - or**
 - c.** if the tender price is so low, the Director believes that the tenderer may have made an error and that acceptance might lead to difficulties of performance;
 - or**
 - d.** where the lowest tenderer agrees to reduce their price (without varying the specification) after negotiation because:
 - i)** the original tender was unacceptably high;
 - or**
 - ii)** the schedule covers a range of requirements and, although lowest overall, negotiations might allow further savings to the Council.
 - e.** where, for a particular requirement:
 - i)** the lowest tender exceeds the Department's allocation;
 - or**
 - ii)** where it offers an alternative specification and negotiation would permit an assessment of the scope for savings.
 - f.** If there is a Professional or local Code of Practice, that may restrict price negotiation and must be taken into consideration.
- 27.4** If the Director amends the original specification or the acceptable alternative differs from the original specification, then they must give similar opportunities to all other tenderers that submitted a tender.
- 27.5** The tenderer must subsequently confirm, in writing, any alterations to a tender before the Director may consider all the tenders received.
- 27.6** All post tender negotiation must be available for audit and recorded via the Council's e-tendering portal.

Section 4 – Contract Award

28. Contract Award

- 28.1** A Contract with a value of £100,000 and above, may not be awarded before the relevant Director has submitted a RP3 Contract Award report on the tenders received for the relevant contract and the appropriate acceptance in accordance with Regulation 28.4a-d.
- 28.2** The Officer responsible must provide a report on financial references in the report seeking acceptance of a tender.
- 28.3** Where the financial appraisal of a contractor gives an ‘extreme caution’ rating, the contractor must not be used unless the Director or Officer reports on and seeks approval from the Council’s Section 151 Officer:
- a.** any mitigating circumstances;
 - and/or**
 - b.** why they wish to appoint that contractor.
- 28.4** Prior to the submission to CCB or to the Chair of CCB, every report seeking acceptance of a tender for a Contract must be reviewed first by the Lead Category Manager prior to departmental review by; the lead Director, the Head of Corporate Law, the Head of Finance, Human Resources and the C&P Head of Service relevant to the report. The report must be prepared in accordance with the relevant Protocols (as set out in Part 5 of the Council’s Constitution) and specify information regarding the tendering circumstances and the terms of a Contract award sufficient to enable an informed decision to be made. It must also contain any appropriate comments and/or recommendations relating to budgetary provision, the competitive process undertaken, these Regulations, the Financial Regulations, EU Rules, relevant legislation and the Council’s policies.
- a.** for Contracts valued between £100,000 and £500,000, if there have been no departures from the approved procurement strategy and there is available budget then a report, that has been signed-off in accordance with the standard award report template seeking Contract award can be made directly to the Chair of CCB, under delegated powers, without first seeking recommendation from the CCB;
 - b.** for Contracts valued between £100,000 and £500,000 where there have been departures from the approved procurement route (with the exception of timetable), evaluation approach or additional risks were identified, then a report is required seeking recommendation from the CCB for Contract award by the Chair of CCB, under delegated powers;
 - c.** for Contracts valued over £500,000 a report is required to the CCB seeking recommendation for Contract award by the Cabinet Member for values up to £5,000,000 and Cabinet for values over £5,000,000.
 - d.** for proposed Contract extension periods included as part of the original Contract award, a report to the CCB seeking recommendation for Contract extension by the Chair of CCB, under delegated powers.
- 28.5** The Cabinet, nominated Cabinet Member, and the CCB are the bodies responsible for reviewing Contract matters for the Council.
- 28.6** Subject to the Contract values, recommendations on executive matters will be considered by the nominated Cabinet Member in consultation with the Cabinet Member for Finance and Resources, or where the nominated Cabinet Member is the Cabinet Member for Finance and Resources, in consultation with the Leader.
- 28.7** A list of Contracts to be recommended under Regulation 28.4c will be reported to the Cabinet meeting immediately preceding the anticipated date for consideration and decision to award.
- 28.8** In all instances in these Regulations where a nominated Cabinet Member or Cabinet is charged with making an executive decision, Part 5.A of the Council’s Constitution – Protocol for Decision Making must be observed.
- 28.9** In the absence of the named officers, deputies may act on their behalf in accordance with the departmental scheme of delegations.

Section 4 – Contract Award (continued)

29. Contract Pre-conditions and Preliminaries

29.1 A Director must not authorise or permit a contractor to enter on any land or buildings belonging to the Council or to proceed with the Contract or start work on site until a written order to proceed with the Contract has been issued and the following actions are completed:

- a. the contractor has provided proof of insurance;
- b. the contractor has completed and returned to the Council the contract documents unless the Director can satisfy the Council Solicitor and Council Monitoring Officer and the Chair of CCB that the Council's position is otherwise adequately secured;
- c. where appropriate the performance bond is duly completed;
- d. all procedures have been completed to the satisfaction of the Council Solicitor and Monitoring Officer.

29.2 Once the actions in Regulation 29.1 are completed then a purchase order must be raised on the Council's financial system, prior to any goods or services being provided. Raising purchase orders, and any permitted exceptions, must be conducted in accordance with the Council's P2P Guidance documentation.

30. Extras and Variations

30.1 Any extra, variation (including extension of time) or a contract change control notice to a Contract must be specifically authorised in writing by the Director or a designated Officer, who must retain a copy of this authorisation as a document relating to the Contract. If the extra, variation or change control notice is likely to result in an increase in the Contract sum, then the Officer must obtain authority for the additional expenditure in accordance with the Financial Regulations. The overall costs must be contained within agreed budgets.

30.2 Where the contract supervisors are not Council Officers, the Contract with the supervisors must provide that no tangible change be made to the specification without the prior written consent of the Council.

30.3 A report seeking authority for the change to the Contract must be made to the CCB, nominated Cabinet Member or Cabinet as appropriate, where the extra terms or variation will result in the new total value of the contract:

- i. Exceeding £100,000 (CCB) or £500,000 (Nominated Cabinet Member) or £5,000,000 (Cabinet);
- ii. Exceeding the relevant public procurement threshold (for goods, services or works), as published from time to time by the European Commission.

or in any case, where the value of the extra/variation (aggregated with previous extras/variations if any) results in the original Contract award value being increased by more than 25% or £1,000,000 (whichever is the lower).

30.4 A Key Decision Notice is required and timescales adhered to when the value of the extra/variation either totals or increases the new contract value to £1,000,000 or more and was not subject to a previous Key Decision Notice.

30.5 Each Department must have control procedures and audit trails in place to deal with extras, variations and Change Control Notices.

Section 5 – Contract Mobilisation

31. Tender Records

- 31.1** The C&P Head of Service must ensure that the following information in relation to a Contract is kept:
- a.** Pre-tender research, benchmarking and consultation information;
 - b.** The approved RP2 How we Buy report including any waiver given;
 - c.** The selection and award criteria (as appropriate);
 - d.** Pre-qualification documents sent to and received from applicants (if applicable);
 - e.** Tender and written quotation documents sent to and received from tenderers;
 - f.** Communications with all applicants and tenderers throughout the procurement exercise;
 - g.** Any post-tender clarification information, to include minutes of meetings;
 - h.** The contract documents.
- 31.2** Where the Council has used its own e-sourcing system, all electronic records pertaining to the tender and the tendering process must be retained on the system, including an electronic copy of the signed contract.

32. Contract Register

- 32.1** Category Managers must ensure that all contracts let are entered onto the Council's Contract Register in accordance with the Local Government Transparency Code. This action can be completed via the Council's e-tendering portal. Where another e-tendering portal has been used the details must be submitted to www.gov.uk/contracts-finder. Copies of all signed/sealed contracts must be uploaded into the Contract Management system on the Council's e-tendering portal.
- 32.2** When contracts have been varied, extended, novated, assigned, terminated, sub-contractors authorised or changed in any way, Category Managers and Contract Managers must update the Council's Contracts Register with the new details and if required www.gov.uk/contracts-finder, and copies of all signed/sealed documentations must be uploaded into the Council's Contract Management system on the Council's e-tendering portal to accompany the original electronic copy Contract.

- 32.3** Category Managers and Contract Managers must ensure the timely completion and submission of any Contractor compiled documentation into the Council's Contract Management system on the Council's e-tendering portal (e.g. annual Insurance Certificates) that are required by the Contract.

33. Contract Storage

- 33.1** The Director responsible for the service area must ensure that all signed/ sealed Contracts established in accordance with these Regulations are scanned and the scanned copy or a true electronic copy (with signature/ sealed pages scanned accompanying it) is stored on the Council's Contract Management system and that the original copy of the contract has been received by the Deeds team in Croydon Legal Services.

Section 6 – Contract Management

34. Managing Contracts

- 34.1** All Directors are to name a Contracts Manager or a person responsible for the management of the contract for all new contracts which are covered by these Regulations. All contracts must have a named Council contract owner (normally the Director of the service area) and Contract Manager for the entirety of the contract term in accordance with the Council's agreed contract management model.
- 34.2** Contract managers must follow the procedures and reporting requirements set out in the Council's Procurement & Contract Management Handbook.
- 34.3** Contract Managers will be responsible for the day to day management and reporting of their contracts. This shall include monitoring and reporting using the Council's Contract Management Tool Kit. For contracts with a value of over £1,000,000 per annum, monitoring of performance will include the timely return of the Balanced Scorecard to www.Contracthub.com and full completion of Scorecards and Action Plans.
- 34.4** Contract Performance will be measured against the following minimum criteria but may be subject to change:
- i)** Performance;
 - ii)** Compliance with specification and contract terms;
 - iii)** Finance and costs;
 - iv)** Risk management,
 - v)** Social Value;
 - vi)** Resident satisfaction;
 - vii)** GDPR;
 - viii)** Health and Safety;
 - ix)** Modern Slavery Prevention; and
 - x)** Equalities and Fairness.
- 34.5** For all contracts, it is the responsibility of the Contract Manager to raise any incidents of poor performance immediately with the Contractor and seek rectification through the development of an Action Plan. This Action Plan must be updated to record progress until performance improves to a

satisfactory level. At which time the Action Plan may be closed. In instances of particularly poor performance, or persistent poor performance, the Contract Manager should consider the appropriate course of action to take under the contract, taking advice as appropriate.

35. Risk Assessment & Contingency Planning

- 35.1** Provision for resources for the management of the contract, for its entirety, must be identified in the business case and RP2 How we Buy report. CCB should be kept up to date as required via the Council's CCB process.
- 35.2** For all contracts with a value of £100,000 and greater, the contract manager must:
- a.** Maintain a risk register during the contract period
 - b.** Undertake appropriate risk assessments and for identified risks
 - c.** Ensure contingency measures and business continuity plans are in place and are regularly reviewed as part of contract management.

36. Contract Monitoring, Evaluation & Review

- 36.1** All contracts valued at £100,000 and greater are to be subject to regular formal reviews with the contractor. An initial review must be done at the first 3 months of a contract start date and on-going reviews will then be conducted on a regular schedule. The initial review can be done sooner due to the length of contract and should be agreed with CCB.
- 36.2** A formal review process must be applied to all contracts deemed to be High Risk, High Value, or High Profile. This process must be applied at key stages of major procurements and must comply with the Council's Procurement & Contract Management Handbook.
- 36.3** During the life of the contract, the Contract Manager must monitor a contract in accordance with the Council's Procurement & Contract Management Handbook.
- 36.4** During the life of Framework Agreements and DPS, the Contract Manager will update CCB on performance and awards of contracts as agreed by CCB in the report in accordance with Regulation 28.

Glossary Of Terms – Appendix A

	Description/Meaning
Amount of an estimate	The sum of money estimated, net of Value Added Tax but inclusive of any other tax or duty. However, the amount of any such tax or duty payable must be stated.
Award Report	A procurement award report in the relevant format (dependant on the Contract value) which is provided to the CCB prior to the award of any Contract, extension for the purposes of providing the necessary approval (subject to the Contract value).
Category Manager	The Council officer responsible for a particular category of spend and who leads on commissioning and procurement activity or DPS.
Call-off Contracts	Contracts selected and awarded from an existing Framework Agreement or DPS.
Chair of CCB	The Director of Commissioning & Procurement.
CCB	Contracts & Commissioning Board - the board of Council officers designated to manage and act as the decision maker or recommending body within the scope of these Regulations, for Council-wide commissioning and contracting activities (excluding land disposals and property transaction matters).
CCS	Crown Commercial Services.
CCR 2016	The Concession Contracts Regulations 2016 and any supersede or replacement legislation.
'CDM'	Construction (Design and Management) Regulations 2015.
C&P	Commissioning & Procurement Division within Resources Department responsible for the Council's Tenders and Contracts Regulations.
Central Buying Team	The Council's central Buying Team within Commissioning & Procurement Division responsible for all goods & services procurement below £100,000.
Central Purchasing Body	A Contracting Authority which provides centralised purchasing activities and which may also provide ancillary purchasing activities— (a) acquires supplies or services intended for one or more contracting authorities; (b) awards public contracts intended for one or more contracting authorities; or (c) concludes framework agreements for work, supplies, or services intended for one or more contracting authorities; <i>(for the avoidance of doubt, this is the same definition as provided in the PCR 2015).</i>

	Description/Meaning
Concession Contract	Concessions are defined in the public sector procurement Directive 2004/17/EC ("the Directive") as contracts where the consideration for the supplies, works or services to be carried out consists either solely in the right to exploit the supply, work or service, or in this right to exploit together with payment.
Constructionline	Website that has pre-qualified suppliers who provide goods, services and works for Construction related projects.
Contract	A contract for the provision (either to or by the Council) of goods, services or works however they may be funded, but excluding those types of contracts or matters referred to at Regulation 3.3.
Contracting Authorities	The State, regional or local authorities, bodies governed by public law or associations formed by one or more such authorities or one or more such bodies governed by public law, and includes central government authorities, but does not include Her Majesty in her private capacity.
Contracts Finder	A web-based portal provided for the purposes of PCR 2015 Part 4 by or on behalf of the Cabinet Office.
Contract Management System	The process of automating Contract Lifecycle Management (previously "Contract Management"), it incorporates the key elements of the buying process, such as commissioning knowledge, specification, requests for quotation/tenders/e-auctions, evaluation/negotiation, contract formulation and management and is contained on the Council's Tender Portal, Contract Register and Contract Management system.
Contract Manager	The Council officer or external person appointed to manage and/or monitor the tender/contract process on behalf of the Council.

Glossary Of Terms – Appendix A

	Description/Meaning
Contract Value or Value of a Contract	<p>A value:</p> <p>(a) calculated on the basis of the full term of the Contract. i.e. if it is a three year contract with a possibility of a two year extension then the calculation of the contract value must be based on a five year term;</p> <p>and</p> <p>(b) not value added tax but inclusive of any other tax or duty. Where a Contract is mixed, i.e. has elements of works, supplies and/or services, to establish the type of contract and relevant threshold for the purposes of the PCR 2015, the correct categorisation of the Contract is made by reference to the main subject (the part that has the greatest value) of the Contract.</p> <p>In relation to a Framework Agreement and a DPS, this would be the maximum estimated value, net of Value Added Tax, of all the contracts envisaged for the total term of the Framework Agreement or DPS.</p> <p>Note: to set up and access a Framework this will need to be stipulated in the appropriate CCB report to prevent a further and separate report being required; one to set up the Framework and one to access it.</p>
Council's approved estimates	The Council's budget approved annually by full Council and includes estimates of both capital and revenue expenditure
Council's Declaration of Confidentiality and Interest Form	This form is available on the Council's intranet: https://intranet.croydon.gov.uk/working-croydon/finance/commissioning-and-procurement/forms
Council's Constitution	The articles of the constitution for the London Borough of Croydon, which set out the rules and framework which govern the operation of the council; the responsibility for functions; procedure rules, codes and protocols for specific parts of decision-making processes.
Council's Financial Regulations	The financial regulations as contained in Part 4.H of the Council's Constitution.
DPA	Data Protection Act 2018.
Director	<p>(a) A Director, a Head of Service or any other Officer currently identified as being a Director, with relevant authority under a departments scheme of authorisations;</p> <p>(b) Executive Director;</p> <p>(c) A nominated Officer with delegated authority to incur expenditure.</p>

	Description/Meaning
Dynamic Purchasing System ("DPS")	<p>A completely electronic purchasing system procedure available for contracts for works, services and goods commonly available on the market.</p> <p><i>For the avoidance of doubt, please refer to Regulation 32 to the PCR 2015 for a more detailed definition.</i></p>
e-sourcing (tendering)	An internet based process wherein the complete tendering process, from advertising to submitting and receiving tender-related information, is done online.
EU Rules	Where the EU Rules are referenced, this means it is also to include EU Public Procurement Directives 2015 and EU 2014/24/EU (which and the principles of the Treaty on the Functioning of the European Union as apply to the Contracts as implemented into UK law by regulations.
Evaluation criteria	<p>Refers to the measures used in either the SQ or ITT to undertake an assessment of potential providers.</p> <p>i. Criteria used in the SQ are referred to as 'selection criteria'.</p> <p>ii. Criteria used in the ITT are referred to as 'award criteria'.</p>
Expression of Interest ("Eoi")	A statement by a prospective provider of their intention to compete for a tendering opportunity for the provision of goods, services and/or works.
Executive Director	<p>The Chief Executive;</p> <p>or</p> <p>A head of one of the following departments or any successor to them:</p> <ul style="list-style-type: none"> Executive Director of Resources ; Executive Director of Place; Executive Director of Children, Families & Education; Executive Director of Health, Wellbeing & Adults; Executive Director of Gateway, Strategy & Engagement; <p>who under their scheme of authorisations can exercise the powers referred to in these Regulations.</p>
Executive function	Matters reserved to the Leader under the Council's Strong Leader Model and as set out in the Leaders Scheme of Delegation.
External Advisors & Consultants	Individuals who are contracted to fulfil a role, not already covered by the Council's establishment, which may be of a specialist nature.
Framework Agreement	<p>An agreement between one or more contracting authorities and one or more economic operators, the purpose of which is to establish the terms governing contracts to be awarded during a given period, in particular with regard to price and, where appropriate, the quantity envisaged. The phrase 'Framework/s' shall also be construed accordingly.</p> <p><i>For the avoidance of doubt, this is the definition provided in Regulation 33(2) PCR 2015.</i></p>

Glossary Of Terms – Appendix A

	Description/Meaning
GPAC	The General Purposes and Audit Committee constituted under the Council's Constitution and includes any other Council decision making body or individual Member or officer who may from time to time have responsibility for consideration of these Regulations. Note: GPAC is a Non-Executive function.
Grant	An arrangement where money is given for a stated purpose with or without conditions attached and which is for the benefit of all or a section of the community, but is not a procurement of services.
How we Buy Report (RP2)	This is the procurement strategy report often referred to as RP2. Template can be found on the Procurement Governance SharePoint page.
In Writing	Refers to paper and electronic records.
IIOB	The Investing in our Borough report, produced by Commissioning & Procurement for Cabinet listing all RP2 How we Buy and RP3 Contract Award reports that require approving by Cabinet Member or Cabinet etc.
ITT (Invitation to Tender)	The step of a competitive tendering process in which suppliers or contractors are invited to submit sealed bids for the supply of specific and clearly defined supplies, services or works during a specified timeframe.
KPI	Key Performance Indicator - a type of performance measurement used to evaluate the success of a particular activity carried out by a provider.
LGPS	Local Government Pension Scheme.
The Leader or nominated Cabinet Member	The Leader of Croydon Council or any nominated Cabinet Member to whom they have delegated authority to exercise their powers referred to in these Regulations.
Light Touch Regime ("LTR")	The procedure that must be followed in relation to social and other specific services (including healthcare, cultural, educational and legal services) under Regs 74-76 PCR 2015.
London Living Wage ("LLW")	The basic hourly rate before tax and other deductions determined and published by the Greater London Authority from time to time.
Low Value Expenditure	Expenditure which is below £100,000 in value.
LTR Services	Services subject to the Light-Touch Regime. There is an OJEU advertising requirement and other specific obligations, but a higher financial threshold has introduced for the Light Touch Regime to apply.
Make or Buy Report (RP1)	The report is a strategic choice between in-housing the services required and/or buying it externally (outsourcing). It is a discussion document that has to be brought to CCB for agreement.

	Description/Meaning
Most Economically Advantageous Tender ("MEAT")	The tendering approach used to provide a balance between quality and cost Or 100% assessment of quality to a fixed budget or 100% price where a minimum quality threshold is met.
Nominated Cabinet Member or Member	Cabinet Member within whose portfolio, as identified by the Leaders Scheme of Delegations, the service which is the subject matter of the contract falls.
Non-Executive function	Matters reserved to Full Council/Full Committee or matters that are delegated in accordance with the Scheme of Delegation.
Officer	An Officer authorised by the appropriate Director or Executive Director to lead in the requirements for a procurement and comply with these regulations.
OJEU	The Official Journal of the European Union.
Output (or Outcome) Based Specification ("OBS")	A specification that focuses on the desired outputs of a service in business terms, rather than a detailed technical specification of how the service is to be provided.
Parent Company Guarantee	Parent Company Guarantees are provided by either the contractor's immediate parent or other holding company and operate as a guarantee to ensure a Contract is properly performed and completed. In the event of a contractor default, the parent is obliged to remedy the breach.
PCR 2015	The Public Contracts Regulations 2015 and any supersede or replacement legislation.
Performance Bond	Performance Bonds are typically provided by banks or insurance companies. They provide a guarantee of payment up to a stated amount of money should a loss be suffered as a result of the contractor's breach of a contractual obligation.
Person	Includes the following: (a) A group of persons; (b) A firm; (c) A partnership (d) An unincorporated association; (e) A company; (f) Another local authority or a group of local authorities (g) A Government Department (as represented by the Secretary of State); (h) A statutory body; (i) A public utility that has been privatised.

Glossary Of Terms – Appendix A

	Description/Meaning																
PIN	Prior Indicative Notice for publishing in the OJEU, to notify the market of a possible opportunity. See PCR 2015 Reg. 48 for further information.																
Post Tender Clarification	Tender or bid clarifications that may become necessary during the evaluation of tenders.																
Post Tender Negotiation	Contact between the buyer and tenderers, separate from Tender Clarification, to refine and improve the bid(s) in order to ensure that prices, delivery or associated terms of the contract are competitive. Note: this process is only available as indicated in these Regulations.																
Another 'Public Body'	Any contracting Authority within the meaning of the EU Public Procurement Directives and the Public Contracts Regulations 2015.																
Regulations	All the Regulations as listed below.																
S151 Officer	The Director of Finance, Investment, Risk and S151 Officer																
Scheme of Authorisations	The departmental 'scheme of management' setting out who is authorised to make what decisions within that department.																
Small and Medium Enterprises SME	The main factors determining whether a company is an SME are: <ol style="list-style-type: none"> 1. number of employees; and 2. either turnover or balance sheet total. <table border="1" data-bbox="376 810 1090 981"> <thead> <tr> <th>Company category</th> <th>Employees</th> <th>Turnover</th> <th>Balance sheet total</th> </tr> </thead> <tbody> <tr> <td>Medium-sized</td> <td>< 250</td> <td>≤ € 50 m</td> <td>≤ € 43 m</td> </tr> <tr> <td>Small</td> <td>< 50</td> <td>≤ € 10 m</td> <td>≤ € 10 m</td> </tr> <tr> <td>Micro</td> <td>< 10</td> <td>≤ € 2 m</td> <td>≤ € 2 m</td> </tr> </tbody> </table> <p>These ceilings apply to the figures for individual firms only. A firm which is part of larger grouping may need to include employee / turnover / balance sheet data from that grouping too.</p>	Company category	Employees	Turnover	Balance sheet total	Medium-sized	< 250	≤ € 50 m	≤ € 43 m	Small	< 50	≤ € 10 m	≤ € 10 m	Micro	< 10	≤ € 2 m	≤ € 2 m
Company category	Employees	Turnover	Balance sheet total														
Medium-sized	< 250	≤ € 50 m	≤ € 43 m														
Small	< 50	≤ € 10 m	≤ € 10 m														
Micro	< 10	≤ € 2 m	≤ € 2 m														
Social Value	The process whereby the Council meets its needs for supplies, services, works and utilities in a way that achieves value for money on a whole life basis in terms of generating benefits to society and the economy, whilst minimising damage to the environment. See the Council's Social Value Policy.																
Social Value Act	The Public Services (Social Value) Act 2012.																
Social Value Toolkit	The document titled 'Inspiring and Creating Social Value in Croydon' which provides advice on the process and best practice principles when trying to lever in great social value in respect of commissioning.																

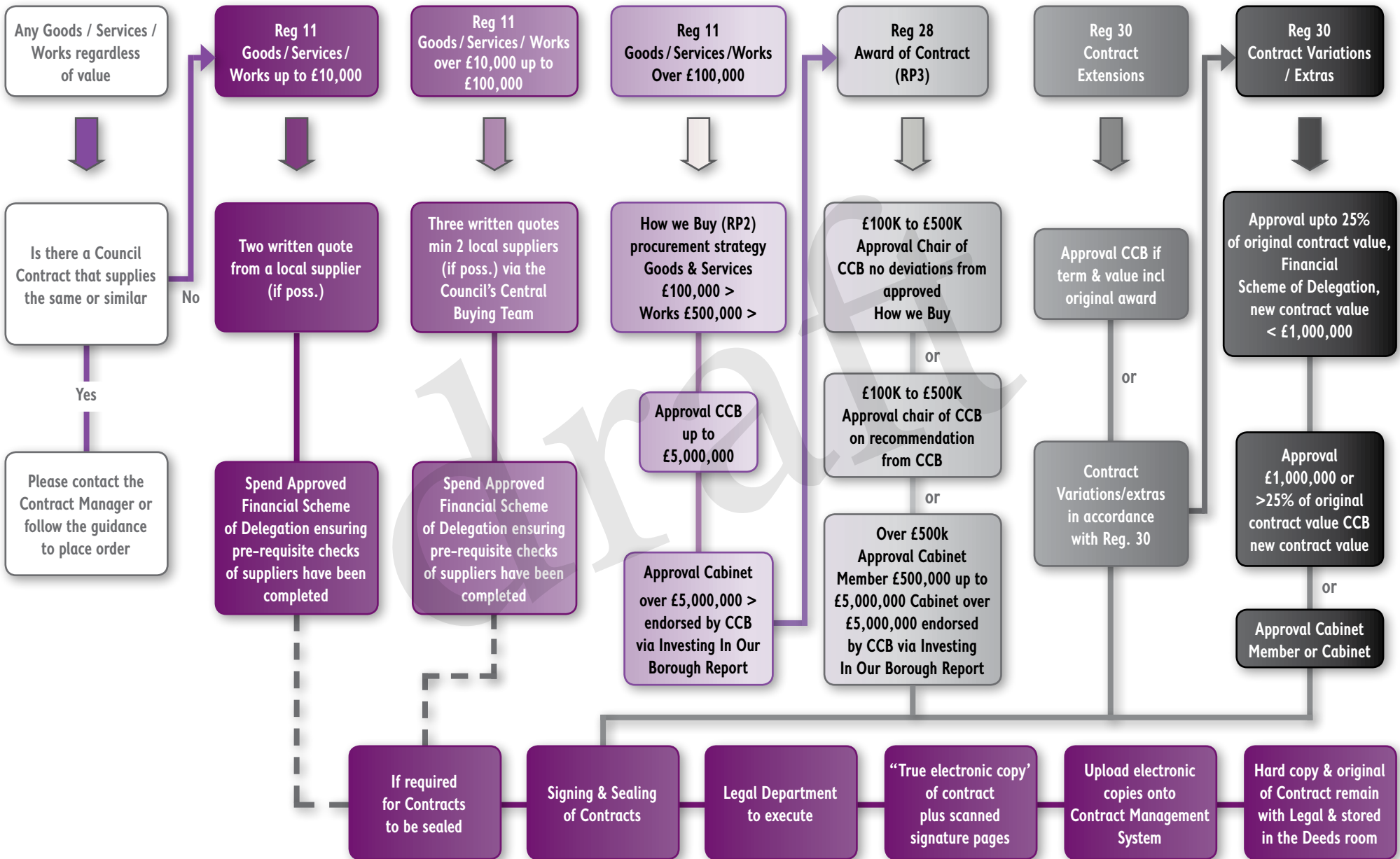
	Description/Meaning
Standstill Period	A period of time when an authority cannot enter into a contract with a supplier until it has concluded, in accordance with Regulation 87 of PCR 2015.
Strategy Report	A procurement strategy report in the relevant format (dependant on the Contract value) which is then provided to the CCB at the beginning of each procurement exercise. As a minimum, this report should set out the project plan, proposed procurement route, any proposed departures from standard procurement practice, the evaluation approach, risks, timetable, project structure and details of the Contract.
SQ	Supplier Selection Questionnaire a process used to identify potential suppliers that are most capable of performing a contract.
Tendering and submitting a tender	Includes any quotation or action taken by any person seeking to enter into a contract with the Council, which is subject to these Regulations.
Third Sector	The range of non-statutory service providers set up as not for profit organisations. These encompass the traditional voluntary and community sector, co-operatives, social enterprises and registered social landlords. For the purposes of this document the term 'third sector' is used to denote this group of organisations.
TUPE	Transfer of Undertakings (Protection of Employment) Regulations 2006.
UK Regulations	The PCR and/or CCR and any national legislation that affects Contracts under these Regulations.
Value Added Tax ("VAT")	Value added tax as chargeable under the Value Added Tax Act 1994.

Glossary Of Terms – Appendix A

	Description/Meaning
Value for Money (“VfM”)	<p>The term used to assess whether or not the Council has obtained the maximum benefit from the goods, supplies and services it acquires and/or provides, within the resources available to it.</p> <p>It not only measures the cost of goods, supplies and services, but also takes account of the mix of quality, cost, use of resources, fitness for purpose, timeliness and convenience to judge whether or not, when taken together, they constitute good value. Achieving VfM may be described in terms of the ‘three Es’ - economy, efficiency and effectiveness.</p>
Variant bid	<p>A bid which is different from that specifically requested by the contracting authority in the tender documents. Examples of variant bids are those proposing different pricing structures, or new and innovative ways of delivering a service.</p>
Weightings	<p>The weightings allotted to the criteria chosen to evaluate the SQ / ITT to reflect what is most important in any particular procurement. Weightings may be exact percentages or a specified range, where this is appropriate in view of the subject matter.</p>
Working Day	<p>Any other day other than a Saturday, Sunday and any bank or UK public holidays.</p>

Procurement Process Flowchart – Appendix B

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For General Release

REPORT TO:	CABINET 8 JULY 2019
SUBJECT:	CLIMATE CHANGE
LEAD OFFICER:	SHIFA MUSTAFA, EXECUTIVE DIRECTOR FOR PLACE
CABINET MEMBER:	CLLR TONY NEWMAN, LEADER OF THE COUNCIL
WARDS:	
<p>CORPORATE PRIORITY/POLICY CONTEXT/AMBITIOUS FOR CROYDON: Sustainability is recognised throughout the Corporate Plan, across development, economy, health, transport and environment. This recognises that becoming more sustainable is not the responsibility of one service, but drives activity across everything we do.</p>	
<p>FINANCIAL IMPACT: No financial impact as a result of these recommendations.</p>	
<p>KEY DECISION REFERENCE NO.: N/A</p>	
<p>The Leader of the Council has delegated to the Cabinet the power to make the decisions set out in the recommendations below</p>	
<p>RECOMMENDATIONS</p> <p>That the Cabinet:</p> <ol style="list-style-type: none"> 1.1. Establish a new working group, to bring together existing work and identify any gaps or further opportunities to reduce the Council’s carbon emissions and encourage and support residents and businesses to be more sustainable; 1.2. Agree that at the outset this working group be chaired by the Leader of the Council in recognition of sustainability needing to cover everything we do; 1.3. Receive an annual report from the working group on progress. <p>Recommend that Council:</p> <ol style="list-style-type: none"> 1.4. Notes the impact that climate change is already having around the world and the need for urgent action at an international, national and local level; 1.5. Declare a ‘Climate Emergency’; 1.6. Notes the work and commitment that the Council has already made towards sustainability; 1.7. Establish a target for Croydon Council be become carbon neutral by 2030; 1.8. Work with the Mayor of London to meet the aim for London to be a zero-carbon city by 2050; 1.9. Call on the UK Government to provide the powers, resources and help with funding to make this possible; 1.10. Work with communities across Croydon to ensure that all residents and businesses are empowered and encouraged to play their part in making the Croydon the most sustainable borough in London. 1.11. Note the important role of all elected Members in leading this agenda. 	

2. EXECUTIVE SUMMARY

- 2.1 This report highlights the urgent need to take action in response to climate change. The issues has seen increasing public challenge and expectation in tackling climate change.
- 2.2 Croydon Council has a strong track record in sustainability, and the Corporate Plan includes a range of commitments to sustainable growth, environment and making Croydon the greenest borough in London.
- 2.3 The report provides a summary of recent research on climate change and the need for radical and urgent additional action. Declaring a climate emergency will raise the profile of this issue among residents and businesses in Croydon, and provide the framework for the Council to further increase its focus on sustainability.

3. BACKGROUND

- 3.1 Climate change is an international issue, but that does not mean that it is not a key issues for local authorities.
- 3.2 The UK is a signatory to the Paris Agreement (through the European Union), which is a global commitment to mitigate global warming and limit the temperature increase to 1.5°C above pre-industrial levels.
- 3.3 The UN Intergovernmental Panel on Climate Change (IPCC) published a report in October 2018, setting out findings on the impact of a 1.5°C temperature increase above pre-industrial levels. The findings were based on available scientific, technical and socio-economic literature.
- 3.4 According to the IPCC report, human activities are already estimated to have caused approximately 1°C global warming, and likely to reach a 1.5°C increase between 2030 and 2052 based on current rates.
- 3.5 The report highlighted a range of impacts as a result:
 - Increased mean temperature in most land and ocean regions
 - Hot extremes in most inhabited regions (with an increase in sever heatwaves, as seen recently in Europe)
 - Heavy precipitation in several regions (which increases the risk of flooding)
 - Probability of drought in some regions
- 3.6 The report concludes that urgent and unprecedented action is required, with reductions in CO₂ required well before 2030 in order to meet the Paris Agreement target.
- 3.7 The increasing sense of urgency in tackling climate change is seen as one of the reasons for recent increases in demonstrations and protests across the globe, which have included protests in London.

4. CONTEXT

4.1 Croydon has a track record of promoting sustainability across its own organisation, and for residents and businesses. As stated above, sustainability as a key theme flowing through the Corporate Plan. Actions have included:

- Work is already underway on planting 3,500 new trees by 2023
- Embracing Clean Air Day, with school competitions, vehicle checks and promoting alternative travel options
- Increasing our recycling rate
- Reducing energy use
- Introduction of e-bike hire scheme
- Promoting sustainable development and sustainable growth
- Divesting pension funds from fossil fuels
- Ambitious targets for electric vehicle charging points

4.2 A number of Councils have declared a climate emergency, as well as the Mayor of London. The first London Climate Action Week is taking place from 1 – 8 July. As the largest borough in London, Croydon has a key role to play in tackling climate change.

4.3 London Climate Action Week will focus on:

- community action and business leadership on climate
- clean energy and energy efficiency
- adaptation and resilience
- climate finance and investment
- legal, engineering and other environmental consultancy services
- low emission transport
- London's role in driving UK and international climate leadership
- Improving air quality around schools, including 'School Street' project to tackle congestion around schools.

5. SUSTAINABLE CROYDON SUMMIT

5.1 On 27 June 2019, the Leader of the Council hosted the first Sustainable Croydon Summit, bringing together schools, businesses, residents and stakeholders to discuss the opportunities for Croydon to become more sustainable.

5.2 Approximately 180 people attended the event, including over 40 students from schools across Croydon.

5.3 The event provided an opportunity to hear from key speakers on the impact that climate change has on people, and the opportunities to make changes.

5.4 The event included interactive sessions where attendees made pledges on the changes that each could to be more sustainable.

5.5 The Council also announced the launch of the Green Croydon Fund, with £250k allocated for community projects in Croydon that deliver a benefit around environmental protection, green living or sustainable lifestyles. Attendees were able to provide feedback and suggestions on the type of projects that should be

supported, and this will inform the final criteria and application process, which will launch in September.

- 5.6 A full report from the summit is being prepared and will be reported to Cabinet in September 2019.

6. CLIMATE EMERGENCY

- 6.1 The recommendations recognise the findings from the UN, which highlight the need for urgent and radical action. By declaring a climate emergency, Croydon Council is showing its ongoing commitment to sustainability and making Croydon the greenest borough in London.
- 6.2 The commitment will also raise the profile of this issue among residents and businesses, as action by the Council alone will be insufficient.

7. FINANCIAL AND RISK ASSESSMENT CONSIDERATIONS

- 7.1 There are no initial direct financial considerations arising from this report. The financial detail for any specific projects / activities, including costs, savings and benefits will be developed by the working group.
- 7.2 There is, however, an increasing risk if no action is taken. Climate change is linked with severe weather events, such as flooding and heat waves. These events increase the risk of harm to residents, particularly the more vulnerable. There is also additional costs incurred when responding to these events.

Approved by: Lisa Taylor, Director of Finance, Investment and Risk & S151 Officer

8. LEGAL CONSIDERATIONS

- 8.1 The Climate Change Act 2008 commits the UK government to reducing greenhouse gas emissions. The Act provides for the setting of legally binding 'carbon budgets'. The Act also puts in place a policy framework in the UK to promote adaptation to climate change in five yearly cycles. The Government has pledged to introduce a legally binding target for the UK to have net-zero greenhouse gas emissions.
- 8.2 The European Union Air Quality Directive 2008/50/EC has been transposed into English law as the Air Quality Regulations 2010.
- 8.3 In January 2018 the government published a 25 Year Environment Plan which sets out the government's goals for improving the environment within a generation. The Plan's broad goals are clean air, clean and plentiful water, thriving plants and wildlife, a reduced risk of harm from environmental hazards such as flooding and drought, using resources from nature more sustainably and efficiently, enhanced beauty, heritage and engagement with the natural environment, mitigating and adapting to climate change, minimising waste, managing exposure to chemicals and enhancing biosecurity.

- 8.4 In May 2018 under changes made by the Localism Act 2011 to the Greater London Authority Act 1999 ('GLA Act') the Mayor of London published a London Environment Strategy. Section 351A of the GLA Act prescribes what the Environment Strategy must contain bringing together six separate environmental strategies around biodiversity, municipal waste management, climate change mitigation and energy, adaptation to climate change, air quality and ambient noise. The London Environment Strategy also contains a general assessment of London's environment. In addition, the GLA Act also requires environmental policy to be reflected in other strategies published by the Mayor such as the London Plan, the Transport Strategy and the Police and Crime Plan.
- 8.5 In relation to air quality the Council must have regard to the air quality provisions within the Mayor's Strategy when exercising its local air quality management functions under the Environment Act 1995 and related Defra guidance.
- 8.6 To address climate change mitigation and energy as a borough Planning Authority the Council is responsible for enforcing the low carbon and energy efficient building design and operation of standards of development set out in the London Plan.
- 8.7 When considering adapting to climate change the Council is a Lead Local Flood Authority with respect to surface water and groundwater flooding. The Borough Director of Public Health is responsible for implementing Public Health England's national heatwave plan in order to manage population health and well-being.

Approved by Sandra Herbert Head of Litigation and Corporate Law on behalf of the Director of Law and Governance & Deputy Monitoring Officer.

9. HUMAN RESOURCES IMPACT

- 9.1 There is no human resources impact arising from this report.

Approved by: Gillian Bevan, Head of Human Resources on behalf of the Director of Human Resources

10. EQUALITIES IMPACT

- 10.1 There is no negative impact on groups that share protected characteristics.
- 10.2 However, creating a more sustainable environment will impact positively on health outcomes, as a result of cleaner air, sustainable employment and housing. This will contribute towards the Corporate Plan objectives of creating a fairer Croydon.

Approved by: Yvonne Okiyo, Equalities Manager

11. SUSTAINABILITY IMPACT

- 11.1 By declaring a climate emergency, Croydon Council is committing to tackle climate change. This will have a positive environmental impact, in particular in relation to air quality and health for residents and visitors. Further details and monitoring will be undertaken by the Working Group.

12. CRIME AND DISORDER REDUCTION IMPACT

- 12.1 There is no crime and disorder impact arising from this report.

CONTACT OFFICER: Gavin Handford, Head of Policy and Strategy

APPENDICES TO THIS REPORT

None

BACKGROUND PAPERS:

Special Report: Global Warming of 1.5°C, UN Intergovernmental Panel on Climate Change, October 2018. <https://www.ipcc.ch/sr15/>