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25 January 2007

To: All Members of the Overview & Scrutiny Committee
c.c. All Other Persons Receiving Overview & Scrutiny Committee Agenda

Dear Councillor,

Overview and Scrutiny Committee - Monday, 29th January, 2007

I attach a copy of the following reports for the above-mentioned meeting which were not available at the time of collation of the agenda:

6. EXECUTIVE MEMBER QUESTIONS: EXECUTIVE MEMBER FOR CHILDREN & YOUNG PEOPLE (PAGES 1 - 6)

Councillor Liz Santry, Executive Member for Children & Young People

i) Briefing from the Executive Member

8. HARINGEY TEACHING PRIMAY CARE TRUST BUDGET (PAGES 7 - 52)

(Update from the Haringey Teaching Primary Care Trust) To summarise progress to date in the 2007/8 planning and commissioning cycle, key deliverables and next steps.

9. ENFORCEMENT POLICY & STRATEGY DISCUSSION PAPER (PAGES 53 - 118)

APPENDIX TO THE REPORT

10. CCTV REVIEW (PAGES 119 - 140)

(Report of the Chair of the Review Panel)

REVISED VERSION OF SCRUTINY REVIEW REPORT

11. MINUTES (PAGES 141 - 144)

To confirm and sign the minutes of the following meetings:

- i) 10 January 2007 (special meeting)

12. NEW ITEMS OF URGENT BUSINESS (PAGES 145 - 154)

Scrutiny Review of Housing Lettings Policy (Report of the Chair of the Scrutiny Review Panel) To report to the Committee the Scrutiny Review Panel recommendations regarding the new Housing Lettings Policy and to seek the Committee's endorsement of the recommendations contained in the report of the Scrutiny Review Panel.

Yours sincerely

Jeremy Williams
Member Services



The Children and
Young People's
Service

We want all children and
young people to be happy, healthy
and safe with a bright future.

The Children and Young People's Service

Joint Area Review (JAR) of the Children and Young People's Service (CYPS)

- The JAR of Haringey (June 2006) judged Haringey's CYPS as a 3 star – good and went on to say that:

“Outcomes in Haringey have improved immeasurably over the last five years, in most cases in line with national trends, and in many cases at a faster rate than nationally or in similar authorities.”

Academic Achievements

- Haringey's children and young people continue to improve across all Key Stages. At the end of Key Stage 2 over half of Haringey's primary schools achieve above the national average. There has been a significant reduction in the number of schools where fewer than 65% of pupils achieve level 4 or above in English from 21 in 2001 to 10 in 2006. Results at Key Stage 2 saw an increase above the national increase in the percentage of children achieving level 4 and above in all three core subjects.
- GCSE results have improved at twice the national rate over the past six years for the percentage of pupils attaining 5+ A* - C grades. Since 2001 Haringey has improved from 30.9% to 51.7% in the 5+ A* - C indicator (20.8% compared to 8% nationally). Almost 500 young people; 300 in the east of the borough, have achieved 5+ A* - C grades in 2006 than was the case in 2001. Several focussed initiatives are aimed at further improvement.
- Outcomes for Looked After Children (LAC) have improved significantly over the last 5 years. There have been great improvements in GSCE results for LAC in 2006 with 65% of children obtaining at least 1 GCSE at grades A*-G compared with the 2005 London Average of 60% and 21% obtaining at least 5 GCSEs at grades A*-C compared with the 2005 London Average of 13%.
- Attainment of students from ethnic minority communities improved their progress closing the gap with White UK pupils. Kurdish pupils are the fastest improving group at Key Stage 4 with 41% more achieving 5+ A*-C grades since 2002 compared with 20% more Caribbean pupils, 17% more African pupils, 14% more Turkish pupils and 6% more White UK students. The challenge now is to make good progress in the 5+ A* - C (including English and maths) indicator where differential attainment is a significant issue.

- The progress made by our students overall is strong and puts Haringey joint 13th out of 149 local authorities. This shows once again that students are making great progress and are continuing to close the gap with national figures.

Admissions

- The Pan-London system of co-ordinating admissions on transfer from primary to secondary school is now in its third year having been successfully implemented in 2005 and 2006.
- An in-borough scheme of co-ordination for entry to reception classes was successfully completed for the September 2006 intake and work is under way for the 2007 intake.
- Haringey is actively participating in the Pan-London implementation of eAdmissions. The first year's outcome was very successful with Haringey exceeding the second year target of 10% with 11% of the total applications being made on line. The on-line admissions service won the award for promoting effective take up of services at the National E-Government Awards.
- Although not yet formally agreed by all admission authorities in Haringey, significant progress has been made with the Hard to Place Pupils' Protocol. This has resulted in the majority of schools agreeing to admit additional (potentially vulnerable) pupils, above their published admission number.
- All our schools are at near full capacity with very few places left this academic year. Figures on parental choice show that schools in Haringey continue to grow in popularity.

Attendance

- Haringey has seen a marked improvement in attendance. Secondary attendance is now close to the national average and has improved from 91.37% in 2004/05 to 91.76% in 2005/6 an improvement of 0.39%, whilst national attendance declined by 0.1%. This is equivalent to approximately 39 more children attending school for a full year. Primary attendance has declined slightly from 93.59% in 2004/05 to 93.37%. In special schools attendance has exceeded the national average with 90.27% attendance in 2006 up from 88.22% in 2005.
- Improving attendance is a key target and one which the Council takes very seriously. If necessary the Council will take legal action to ensure school attendance. Fourteen cases were taken to court with 13 successful outcomes during the academic year 2005-06 and since September 2006 there have been nine cases referred to court with a further three pending all of which have resulted in a successful prosecution or a return to school with improved attendance.

Achievements in Social Care

- The proportion of care leavers in education, training and employment (ETE) with 71% of care leavers in ETE compared with 67% in 2005 continues to improve.
- The number of children continuously looked after for 12 months or more is reducing; 345 at the end of September 2006 compared with 356 at the same time last year and 401 in 2004.
- Stability of placements for LAC continues to show good performance.
- Health assessments and dental checks for looked after children are significantly improved with 90.2% of LAC with an up to date health assessment and dental check.
- The number of children on the Child Protection Register has reduced from 200 in March 2006 to 130 in December 2006. However, we still remain above the average for London.
- All children on the child protection register have an allocated social worker and all Child Protection Plans are reviewed within timescales.

Children's Networks

- The three Children's Networks are up and running in the North, South and West. A key aspect is a single referral route in each Network for all our targeted services. This more efficient process is designed to deliver services faster to children and their families. The Common Assessment Framework (CAF) will be completed by a range of partners including schools as the main assessment tool at this stage, replacing a number of different referral routes. Referral routes for children in need of urgent protection remain as they are.

Teenage Conception Rates

- The most recently published national data for conception rates for the third quarter of 2005 show that under-18 conceptions, at a rate of 63.9 per thousand, are at the lowest they have been since 1999 and are close to achieving the end of 2005 target of 61.8 per thousand. However, there is still significant partnership and targeted work needed if the target set for 2010 (28 per thousand) is to be achieved. The Government of London (GOL) are supporting our strategy with additional funds.

Participation of Children, Young People, Parents and the Community

- Further progress has been made in involving all of these groups. The Youth Council is now up and running and an executive has been elected for the body. Other key work has taken place around parental involvement schemes in schools and involving specific community groups.

Youth Service

- The Youth Service was specifically inspected at the same time as the JAR Review of the CYPS and a number of areas have been identified as in need of improvement. The Post Inspection Action Plan is in place to improve the Youth Service and all actions prescribed in the action plan are on target.
- The Youth Inclusion Programme is considered to be a national model of good practice and we are aiming to extend the model across the Borough.
- The Youth Council has been established and has received in depth skills training so that they can administer the Youth Opportunities Fund and Youth Capital Fund (£340K). There are now 15 active youth forums across the Borough and we are continuing with this area of development through consolidation of young people's decision making in the Children's Networks.
- Bruce Grove and the Duke of Edinburgh's Award Centres are open and operational offering a variety of activities (e.g. camp craft, orienteering, sports skills, catering experience, film technology, music making and recording, debating groups, production of a newsletter).

Investments in our schools

- Haringey has secured £178m for Building Schools for the Future (BSF). Work will begin in schools in 'Wave 2' from January 2007 and schools in 'Wave 4' from October 2007. The BSF building programme within the borough will be completed by summer 2012.
 - A new school will form part of the programme, planned to open in 2010. A competition for the new school is taking place during the spring term. The Local Authority has submitted a proposal to open the school as a comprehensive community school. Three other proposals have been received - to open an academy in two cases and a Trust school in the third. The decision will be made by the Office of the Schools Adjudicator.
 - The Haringey Sixth Form Centre is on time to open its doors in Autumn 2007 offering 25 AS and A Level options and a broad range of vocational courses in state of the art facilities. The £28.6m Centre is set to be the first major scheme completed nationally under the BSF programme.
 - Every school, under the BSF scheme, will gain from an investment in ICT. Across all secondary and special schools this adds up to £20m.
 - We want to promote schools in the west of the borough, to provide more vocational education 14-19 and have identified BSF funds accordingly. We are encouraged that the vision for each school supports our plans.
- The Dedicated Schools Grant (DSG) is increasing by an estimated £12.5m (£12.42m) – an increase of 6.9% per pupil in the borough for the coming financial year. As part of this schools have identified £2.6m for personalised learning which helps some of our most disadvantaged pupils.

- There is growing pressure for places – especially in the west of the borough. The expansions at Coleridge, Coldfall and Tetherdown will add an additional 120 places from September 2007.
- Haringey will have one of the most extensive networks of children's centres in the country. We already have 10 children's centres and will add another 8 centres by April 2008. This will be a total capital investment of in the region of £18m in this crucial area of helping young families in the borough, particularly in our most disadvantaged wards.
- All Haringey schools now have Broadband Internet connections and are linked to a range of curriculum-enhancing resources hosted on-line by the London Grid for Learning regional broadband consortium.
- Over the last 2 ½ years, over £1 million has been invested in Interactive Whiteboard Systems in Haringey schools. A growing number of schools have an Interactive Whiteboard System in every classroom.
- Over the last four years, over 2,000 "Laptops for Teachers" have been distributed to Haringey teachers.
- A new Government-funded "Computers for Pupils" scheme will provide computer equipment and Internet connectivity to some of the most disadvantaged students in Haringey Secondary schools. By the end of August 2007, over 700 students (and their families) will be provided with supported computer systems in their own homes. This number will increase to over 1,400 by August 2008.

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Haringey TPCT 2007/8 Commissioning Plan Summary OSC Briefing

1. Overview.

This paper briefly summarises progress to date in the 2007/8 planning and commissioning cycle, key deliverables and next steps.

Since the November Board update and the publication of the TPCT's draft 2007/08 commissioning intentions, the DH has published its Priorities and Planning framework for next year. This substantively builds on existing priorities and strategic frameworks. The key messages are summarised at section 2 below.

The TPCT has made two important submissions to the London SHA this month:

- Local Delivery Plan Phase III trajectories. (see section 3 below)
- 2007/08 Operating Plan (see section 4 below) – this includes a first formal iteration of the TPCT's finance, activity and commissioning plan for 2007/08.

A finalised balanced plan for 2007/08 has to be submitted in mid March. 2007/08 service level agreement negotiations with key providers are scheduled over the next 6 weeks with an NHS London deadline of end February for all SLAs to be agreed – the outcome of these will need to feed in to the final submission in March, as will the outcome of ongoing discussions with the London SHA and further detailed work on investment and disinvestments / savings proposals.

2. DH Planning and Priorities Guidance.

The DH published the 2007/08 Operating Framework in December. The main highlights are below:

The top service priorities will be:

- Delivering the 18 week wait milestones
- Reducing rates of healthcare associated infections (i.e. LDP targets for MRSA and new local targets for C. diff.)
- Reducing health inequalities and promoting health
- Achieve financial health - achieve a surplus by 2007/08
- Existing targets must be sustained, such as maintaining the 98% A&E 4 hour maximum wait and maintaining the cancer wait targets.

The high priorities will be:

- Recovery action to improve mental health services (targets relate to community development workers and early intervention in psychosis)

- Preparatory work on the commitment that by 2009 all women will have access, choice and continuity of maternity care
- A baseline review by PCTs of end of life services
- Needs assessment to identify and address the needs of different groups in the population, including ensuring compliance with equality legislation
- Ensure implementation of the commitment to reduce mixed sex accommodation.

Other priorities:

- Delivery of the other LDP targets for 2007/08 as well as local targets. Local targets should include specific priorities for London: action on tuberculosis and HIV .
- Continue the implementation of system reform, including patient choice and Choose and Book, patient and public engagement, service reviews, care closer to home and improved commissioning including practice-based commissioning.

3. LDP Phase III trajectories

Our first draft Phase 3 of the local delivery plan was submitted to NHS London on 2 January. Nine trajectories were revised in line with the new/revised guidance, covering the following areas: life expectancy rates, practice based registers, blood pressure, cholesterol, GUM access, diagnostics and activity. We have planned to meet all the targets with a slight increase for the spearhead areas.

Additional trajectories will be submitted by March on smoking and obesity, while the trajectories on the 18 weeks referral to treatment pathway, which were submitted in November, will be revised in late spring.

4. Operating Plan

The TPCT's Operating Plan submission is attached as follows:

- Appendix 1 – Self Certification
- Appendix 2 – Commentary Template
- Appendix 3 – finance and activity templates.

4.1 Self Certification.

The TPCT Board is required to sign off a statement of compliance against a range of statements associated with the governance and delivery of the TPCT's responsibilities. These broadly reflect the self assessment process that was undertaken as part of the TPCT's Fit For Purpose (FFP) review in the summer. To an extent the declaration cuts across the Healthcare Commission Core Standards statement of compliance declaration that the TPCT is required to make at year end and the timing is slightly incongruous in this respect.

The TPCT Executive Director team has reviewed the statement and believes that the TPCT is compliant with all aspects with the exception of the following:

“The PCT effectively monitors and manages the clinical and public health outcomes of its own provider arm, with clearly tracked, owned and understood metrics and a system of intervention”.

We are working to develop clear systems and processes both for Board oversight of the TPCTs provider function as a ‘directly managed unit’ as well as clear commissioning and performance management arrangements between the TPCTs Strategic Commissioning and Providerside Divisions. We are currently developing a baseline service level agreement and performance metrics, however this is a complex process, particularly in the context of under developed information systems and it will take some time until we fully meet the requirement set out above.

This issue was highlighted as part of the TPCT’s FFP review. The FFP development planning process will clearly address this issue and this will be a priority work stream into 07/08.

The FFP process also highlighted a gap in relation to Emergency Preparedness – regular reports to the TPCT Board. This issue has been addressed and we are confident that we meet the emergency planning requirements.

Whilst we believe we are compliant with all the other statements set out in Appendix One we recognise the need for continuous improvement and development in a number of areas. As highlighted above, the FFP development planning process will support the development of a plan to address these issues and support the TPCT to further develop its commissioning capabilities.

4.2 Commentary Template

Section One, pages 2-9 of the commentary focus on delivery within 2006/07 financial year and summarise performance to date and other key issues.

Section Two, pages 10-29 of the commentary focus on 2007/08 forward planning and includes details of the TPCT’s first iteration finance and commissioning plan for 2007/08. This section is primarily focused on the TPCT’s commissioning responsibilities although there is a short section on the TPCT’s provider arm development priorities for next year and financial issues. Although the majority of this section is focused on 2007/08 it also includes a review of delivery against 2006/07 cost improvement and commissioning efficiency plans, including demand management.

Section Three refers back to the self certification requirements outlined above at section 4.1.

4.3 Finance and Activity Plans.

Key Financial Messages and Assumptions

The 2007/08 Operating Plan includes a Financial and Activity Template to which the narrative commentary refers. This text provides an overview of the key assumptions and outcomes included within the numerical analysis.

The Financial Plan is based on a set of assumptions which are consistent with national, London-wide and local planning guidelines. These include the Haringey LDP and Commissioning Intentions. The following assumptions materially affect the financial position:

- a) there is a growth uplift of 8.5% on the recurrent baseline, equivalent to £28.9m
- b) income continues to be centrally-topsliced in 2007/08 at the rate of 3.6%, reducing growth by £12.5m
- c) NHS inflation will be funded at a net 2.5%, which is a gross 5% uplift, offset by required efficiency savings of 2.5%. This holds true for our own management and providerside service budgets, including jointly-managed budgets with the London Borough of Haringey
- d) GMS inflation (ie payments to GPs for primary care services) will be funded at a net 1%
- e) secondary care (ie acute hospital-based) patient activity will be purchased at forecast outturn levels from this year, at a cost of £4m over the prior year baseline, before demand management is taken into account
- f) demand management schemes will continue to redefine the patient pathway, and to either bring treatment forward or to make treatment more local. The effect of investing in primary and community care by disinvesting in secondary care, will save a gross £4m in 2007/08, from which upfront investments totaling £2.4m must be paid
- g) reserves of £5.5m, equivalent to 1.5% of the recurrent baseline will be set aside to cover in year risks and cost pressures, in line with best practice as determined by the Department of Health in the Fitness for Purpose review
- h) prioritised Commissioning Intentions, targeted at a range of key deliverables, will be invested in to the value of £3m.

- i) the Lordship Lane LIFT scheme will be completed and occupied on time as planned.

The TPCT expects to achieve financial balance in each of 2006/07 and 2007/08, and is therefore not making any assumption about the carry forward of debt or surplus across years.

A consequence of the assumptions set out above is that in order to achieve a balanced position, the TPCT will need to identify a further £4.1m recurrent cost saving in 2007/08. This is over and above the 2007/08 cost improvements of 2.5%, and the full year effect of 2006/07 savings, that are already accounted for. This is consistent with other PCTs across London: from an initial scoping exercise across 22 of the 31 PCTs in London, there is a required new cost saving in 20 of them, with most in a range up to £6m.

Achievement of financial balance during 2006/07, and 2007/08, is and will remain a key financial duty of the TPCT, which does not have the flexibility across years or across services that a local authority is allowed. Over and above this duty, the drive behind the creation of underlying recurrent financial balance and a reserve to cover in year risks and cost pressures, is in line with the principle agreed by the TPCT Board during the 2006/07 budget setting process, namely the creation of headroom to facilitate change.

The programme of new investments already incorporated within the 2007/08 Plan is consistent with the vision of developing a world class primary care service in Haringey and of investing in health promotion and healthy living, whilst at the same time securing the future of local hospital-based services.

Explanation of the Operating Plan Financial Templates

The Financial and Activity Templates (Appendix 3) have been developed by the Department of Health. What each of the template financial and activity sheets show, is:

- a) Summary Financial Forecast - this provides an overview of the current and future financial position of the TPCT. It shows that Haringey has planned for, and is forecasting to achieve, financial balance in both 2006/07 and 2007/08
- b) Cash Position - this shows that Haringey is planning to fully use its cash allocation in 2007/08 as in 2006/07, and to neither borrow nor lend cash
- c) Secondary Care Commissioning - this shows activity and activity-cost plans for acute services, both before and after demand management schemes. For Haringey, activity would be set to continue a trend increase were it not for demand management targeting a reduction in outpatient attendances and non-elective admissions at present, with a knock on consequence in elective care in future years. The

stabilisation of A&E attendances also reflects an expected outcome of the tender of the North Middlesex Walk in Centre this year. Activity and cost is broken down by provider for the 4 largest contracts - NMUH, Whittington, RFH and UCLH - in the Exhibits sheets.

- d) Commissioning Efficiency, and CIP and Turnaround Plans - these 2 sheets divide up commissioningside and providerside savings. The first breaks down demand management and external savings such as the modernisation programme for mental health services, and the second breaks down internal management cost savings and redesign schemes such as of the Greentrees Unit.
- e) Exhibits - these sheets provide more detail behind the summary position, and also tabulate information to fit into the tables set out in the narrative text commentary. The exhibits tables include an analysis of capital investments. The TPCT has planned for, and is forecasting to achieve, financial balance in respect of capital expenditure in both 2006/07 and 2007/08.
- f) Risk Rating Metrics - this shows a high level risk assessment derived from the plan submission. Because the cost of outturn and the level of activity shows some variation between 2006/07 plan and forecast outturn, it generates a risk.

5. Next Steps and Board Approvals

We expect that NHS London will carry out a detailed assessment of the template submission and require a number of changes and follow up explanations of each PCT over the coming months. A meeting is scheduled for Friday 19th January at which a preliminary review of the submission will be undertaken. This will be followed by a longer review meeting with NHS London in mid February.

At the same time there is a tight timetable for the conclusion of 2007/08 service level agreement negotiations with acute and mental health providers, the outcome of which will need to inform the final plan.

It is also the case that the forecast outturn position for 2006/07 will continue to move and even though the TPCT is committed to maintaining financial balance by year end, as the manner of doing so varies so will the carry forward impact into next year.

Further work is required to firm up both investment priorities for 2007/08 and beyond as well as proposals to deliver the savings required within the plan to deliver a balanced position for next year. This will include discussion with stakeholders (via PPIF, OSC and the proposed early March pre board stakeholder consultation event).

A final version of the plan that takes into account all the issues highlighted above will therefore be presented to the Board at its March meeting for sign off.

2007/08 Operating Plan 15/01/07 Submission - Investments and Cost Savings Summary

Note: this is net available income for 2007/08 after the topslice and inflation, and excluding part year effects in 2006/07

	£million
Available Income and Cost Savings	
Net available growth	3.2
Full Year Effect of Demand Management	3.1
Generic NHS Efficiency Saving of 2.5% CIPs, CPLNHS Management Cost Savings and Full Year Effect of 2006/07 Cost Savings Plans	2.9
Additional Cost Savings yet to be identified	4.1
Total	13.3
Investments	
PCT Priority Investments	1.5
Increase in Commissioned Activity	4.0
Demand Management Initiatives	1.4
Investment in Primary Care	1.7
Share of Demand Management Savings to Primary Care	1.7
BEHMHT Performance Bond/Delayed Discharges	0.5
DAAT	0.5
Headroom on Investment and Activity Growth	2.0
Total	13.3

23/01/07

Appendix 2

PCT Operating Plan 2007/08 Commentary Template

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Note: This document lays out all commentary and finance and activity data that should be submitted in the 2007/08 Operating Plan. However, for efficiency, we would recommend that only commentary is included in this document, with additional finance and activity data included as an annex (drawn directly from the Excel templates in Appendix 3).

PCT details

PCT name
Haringey Teaching PCT
Key contact at PCT (name, contact details)
Helen Brown Director of Strategic Commissioning helen.brown@haringey.nhs.uk 0208 442 6076 or 6300
Operating Plan date
January 2007

1 Past Year Performance

1.1 Chief Executive's summary of the year

2006/7 Key highlights

2006/7 has been a challenging but positive year for Haringey TPCT. Key highlights to note are:

- A significant improvement in the TPCT's underlying financial position. This as a result of a rigorous financial control, a successful cost improvement programme including robust performance management of primary care providers, decommissioning of some services and PBC/demand management beginning to bear fruit.
- Our Fit for purpose review in the summer resulted in the TPCT being rated amber for finance, green on strategy and relationship management and amber on governance and emergency planning. In the diagnostic review the TPCT scored above 'the middle line' on all four areas. The following is a quote from the SHA letter following our B2B meeting,

"We were impressed by your strategic view for the PCT for the short to medium term with a clear emphasis on local health needs at the heart of your service planning, at the same time as a firm commitment to deliver financial balance. Your strategy was articulated clearly and coherently."
- Realignment of the TPCTs clinical and management leadership structures to ensure the TPCT is well placed to respond to the challenges of Commissioning a patient led NHS and to implement the lessons from our Fit for Purpose review.
- Practice Based Commissioning bedding in well, although we want to see the pace accelerate during 2007/8.
- Strengthened commissioning of primary care with a much stronger emphasis on performance management.
- Progress on key performance areas including ongoing improvement against the key indicators of health status of the population e.g. improving death rates from Cardiovascular disease and Cancer. We have also seen improvement with declining Gonorrhoea rates for the population. In 2005/6 the TPCT met its three year smoking cessation target for 4 week smoking quitters. This was a substantial achievement given that in both years one and two the TPCT underperformed against this target. The TPCT's 2005/6 rating was FAIR for both quality of service and resource management. Improving this rating for 2006/7 and 2007/8 is a key priority.
- In addition we have taken forward a number of service improvement initiatives in line with TPCT and partnership priorities, as set out below.

Financial forecast

- We are currently forecasting a breakeven position for 2006/07, including achievement of the (revised) cost improvement programme for the year. We aim to have reduced to zero the underlying deficit by year end, which was £13.7m and rising at the end of 2004/05. This sets up a healthy position for entering 2007/08.
- During 2006/07, a 3% topslice and other deductions from the growth allocation left us with a net addition equivalent to 4.6% of the recurrent baseline. Inflation was set at 4% for NHS services, and with additional secondary care activity equivalent to a further 0.8%, and buyout of a recurrent deficit of 1.3%, we needed a divestment policy to ensure breakeven for the year. This policy was approved by the Board in May, and has been successfully implemented. It involved some internal restructuring, slippage on some proposed investments, tough performance management of primary care and the acceleration of demand management schemes targeted at diverting secondary care activity back to primary and community care. We also planned a £1m contingency reserve over and above our commissioning reserve to protect the overall budget from unexpected costs and invoices.

Performance

- We intend to achieve the top seven national priorities from the 2006/07 Operating Framework, although the Choose and Book target remains a challenge, in particular booking into IBS providers and sustainability of practice booking.
- As we move into Quarter 4 performance has been on track during the year to achieve the Cancer 31 and 62 day waits, 18 week RTT indicators, smoking cessation, GUM 48 hour access and A&E targets. MRSA performance at our main providers has been reasonable through the year, although NMUH will have to reduce the number of cases in Q4 to achieve the target. The GUM target which we were on line to meet, but now will be more of a challenge in Q4 following changes in booking practices. During this period the service will also be undergoing some building work to support additional clinical capacity. In order to achieve the smoking cessation target we have devised a new scheme whereby providers can bid for blocks of quitters which will guarantee number of quitters in advance.
- We commission a breast screening service from Barnet and Chase Farm Trust (B&CF), together with a number of other PCTs. There is a significant decline in breast screening rates due to continued problems with delivery by the North London Breast Screening Service (NLBSS). This has been experiencing significant difficulties due to quality control, management/ staffing issues and recurrent SUIs. Despite development of action plans to respond to SUIs and the quality assessment visit, sufficient progress has not been made.

A further recent SUI in December 2006 has resulted in the PCT's formally requesting the national breast screening QA team to evaluate the service. Their visit resulted in an immediate cessation of delivery of breast screening from that service. We are currently awaiting the QA teams report. However in the meanwhile alternative providers are currently being urgently sought. As a result of this service suspension, we expect to fail the breast screening targets but moreover remain very concerned about the lack of screening available to our Haringey women.

- There has been difficulty in achieving the target for retinal screening within Haringey due to a slower than expected transition to the new model of provision in line with national standards from the historical mix of screening in the past. In response to this the TPCT is tendering out the service to potential bidders for April 2007, specifying the quality and quantity of service required including managing call and recall systems as well as the provision of screening and reading of images. In the meantime a separate agreement has been reached with NMUHT to tackle the backlog and achieve the target for 2006/7.
- The TPCT is in the top quartile of performance for 3 out of the 4 top key clinical indicators that the NHS institute monitor the 303 PCT's nationally, namely emergency admissions, elective surgery rates and prescribing. By the end of Q4 we expect to out perform all other London PCT's for prescribing rates. We are in the bottom quartile for the 4th clinical indicator – out patient referrals - but have improved our position from Q1 to Q2 by 10% and continue to focus on this area through PBC and demand management work streams.

Provider reconfiguration.

We have been working on 2 major provider reorganisations in 2006/7, namely the Barnet, Enfield and Haringey (BEH) clinical strategy and commissioning our community based children's services from Great Ormond Street (GOS) rather than from our own provider side.

- The BEH strategy is currently in the pre-consultation phase with formal consultation scheduled to begin in March 07. In essence the strategy is about moving health services closer to people's homes and so means more services will be developed locally; as a result the current configuration of acute hospitals in the North of the 3 boroughs will change.
- In relation to children's services GOS already provide community paediatric services to Haringey residents (i.e. those provided by paediatric medical staff) as part of the North London Children's Partnership for Health. We are now exploring the option of transferring all community based child health services to GOS. The Board will make a final decision in the summer. If a move is agreed services would be provided by GOS from April 2008.
- HTPCT and EPCT have been working with the North Middlesex Hospital to improve the effectiveness of the walk in centre, which is both situated on and managed by, the

hospital. As a result we agreed to jointly tender for a new provider in 2006/7. Following a formal tender process a preferred provider has been selected (ChilversMcCrea Healthcare). Negotiations regarding the transfer of service are currently ongoing with a target handover date of 1st Feb 2007.

Service level improvements

- In 2006 we have developed a local enhanced service for mental health in primary care to promote improved standards in the management of mental health across all primary care providers and support improved interfaces with secondary mental health services. This was a key priority for the PCT and despite pressures to reduce service developments to an absolute minimum for 2006/7, this service development remained firmly in place.
- A range of developments under the PBC / demand management umbrella have been taken forward to improve local access to services and streamline care pathways including: musculo-skeletal clinical assessment and triage, primary care anti-coagulation service and community matrons / case managers for older people and people with sickle cell disease.
- 'Health in Mind' project, developed in partnership with Haringey Council and funded through neighbourhood renewal funding, to increase initiation and maintenance of physical activity for people living in the three most deprived Super Output Areas (SOA) in Haringey. Participants will also receive advice on related health matters through a rolling education programme and have a direct referral pathway to community based healthy eating programmes. The scheme includes specific support for people with mental health needs recognising their increased risk of chronic physical illness.

1.2. Summary of financial performance

Summary of financial performance: commentary

Improved financial management has been a significant achievement of the TPCT over the past 2 financial years. At the beginning of 2005/6 we had an underlying deficit of £13.7m. By 2005/06 year end, through a series of service rationalisation changes and decommissioning, we had reduced the underlying deficit to £4m. After the 2006/07 top slice and other accounting changes we set a financial plan with £1m surplus built in. As the year has progressed this buffer has eroded. Whilst we are still on target to break even at year-end we need to mobilise all our contingency plans. We plan to commence 2007/08 with a greater financial buffer than 2006/07 to specifically risk manage the volatility of activity cost arrangements under payment by results and the success of our demand management programme under PBC.

As declared in the month 9 return, the TPCT continues to forecast a breakeven position in 2006/07. In broad terms, therefore, the TPCT is on track with the plan set out at the beginning of the year.

There have been several changes since the plan was created, resulting in some offsetting positive and adverse variances against individual budgets. The major changes include:

- overperformance in secondary care acute activity at a number of local trusts. This is generally in areas outside of the demand management schemes, which are targeted at outpatient and non-elective inpatient activity, whereas the increase is notably in critical care and A&E. An amount of this activity is currently under dispute.
- underperformance in primary care. This is as a result of tightening up on performance management in year in areas such as the validation of list sizes, achievement of the Quality Outcomes Framework targets, and baseline contract management. The TPCT is exposed to a financial risk due to legal action it has taken in pursuit of the performance management agenda.
- underperformance in the providerside and management costs. The TPCT has continued to keep a tight downward pressure on bank and agency spend, and has re-negotiated costs for the provision of support services such as estates and facilities.

The financial target for the TPCT was made more difficult due to shortfalls in centrally-funded initiatives, which were made known in August. As a result, the TPCT has also implemented further savings measures, including the slippage of some retained investments. Additionally the TPCT is currently disposing of part of the Hornsey Central Hospital site and the Board will be reviewing the option to dispose of Fortis Green Clinic in Muswell Hill at its January Board meeting. These two land sales will help support the affordability of a proposed community hospital development at Hornsey Central Hospital (financial close targeted early 07/08 with completion mid 08/09).

Summary of financial performance: comparison between planned and actual performance			
£'000	2006/07 plan	2006/07 forecast*	Variance
Income			
Recurrent revenue allocation	338144	337266	-878
Non-recurrent revenue allocation	3	3473	3470
Other income (excluding income from provider activities)	136988	136988	0
Total income	475135	477727	2592
Expenses			
Commissioning activities:			
Primary care - GPs, prison healthcare, dentistry, and optometry:			
GP	-37781	-27700	10081
Prescribing	-28271	-28854	-583
Other	-14820	-21822	-7002
Community and intermediate services	-23540	-25953	-2413
Mental health commissioning, pooled arrangements or jointly funded commissioning	-80488	-80383	105
Secondary care			
Provided under PbR			
Inpatient elective	-11263	-11220	43
Day care elective	-8697	-9478	-781
Inpatient non-elective	-31320	-31641	-321
Outpatient	-20669	-21468	-799
Provided at local prices	-4811	-5007	-196
Provided by third sector/not-for-profits	0	0	0
Provided by independent sector	0	0	0
A&E	-4469	-4600	-131
Other	-36742	-36866	-124
Ambulance services	-5543	-5543	0
Tertiary and specialist commissioning	-157371	-158231	-860
Total cost of commissioned services	-465785	-468766	-2981
Provider Activities:			
Pay expenditure	-27509	-26573	936
Non-pay expenditure	-13237	-12277	960
Less - provider income	40746	38850	-1896
Net provider costs	0	0	0

Other costs			
Other pay expenditure	-6507	-6183	324
Other non-pay expenditure	-2241	-2184	57
Depreciation and amortisation	-602	-594	8
Exceptional items	0	0	0
Total cost	-475135	-477727	-2592
PCT surplus/deficit in year	0	0	0

1.3. Other major issues

Other major issues

In July 2006 we remodelled our management team to create a divisional structure. We now have 3 Divisions: CEO, Commissioning and Provision. Within each division is a team of Directors able to respond dynamically to the health challenges within Haringey. The new structure is proving to be very agile and successfully creating the divide between commissioning and our own provider services. We are planning to make changes to the Board and committee structure following the substantive appointment of the Chair and NEDs.

Contract disputes

We have signed SLAs with all our main providers. However, we have some significant disputes over in-year activity-cost performance, notably with the Whittington and UCLH hospitals. We are working with other PCTs to resolve these under lead commissioning arrangements and are not currently projecting to pay the full invoiced amount.

2. Future commissioning plans

2.1. Strategic overview

Strategic overview

Haringey TPCT 2007/8 Strategic Priorities

- **Tackling health inequalities** – through targeting services and strong local partnerships.
- **Delivering clinically effective, patient focused care closer to home (“Right person, Right time, Right place”)**. Deliver the BEH Clinical Strategy and drive forward implementation of Practice Based Commissioning and demand management.
- **Transforming primary care.** (See assessment of current services). Create a 10 year blue print for the provision of world class primary care services to meet the specific needs of our population.
- **Improving the mental health and well being of our population.** (See assessment of current services). Review current commissioning arrangements (with external support via DH commissioning call off contract), review opportunities to introduce new providers into the local MH provider market, continued focus on improving core competence and confidence of primary care providers in relation to complex mental health conditions, partnership working.
- **Performance:** Improving the TPCTs performance rating through clear focus on priority areas.
- **Strengthening commissioning and maintaining financial stability:** Continuing the vice like grip around our money, ensuring robust commissioning and procurement is in place to deliver ongoing cost improvement and commissioning efficiency gains including full implementation of the TPCTs Fit For Purpose development plan. Our financial planning for 07/08 aims to provide the TPCT with head room to invest in strategic priorities. Financial stability will remain a key foundation stone to the TPCT, as will building in the headroom to drive forward change.

Population health status – equity and diversity are two key issues for the TPCT

- For men across Haringey life expectancy is 1.7 years below national average, for women it is 0.9 years below, however this masks a 7.9 year difference between wards for men and a 6 year difference for women. Early deaths are due to the main killers such as CHD, cancer and respiratory (like the national picture) and are disproportionately affecting people living in the east of the borough. **An action plan to address this and the mandatory LAA target will be implemented over the next three years to address this gap.**
- The local population is a relatively young population with lower than average proportion of people who are over 65 although this will increase in coming years. The population is highly diverse with large ethnic minority communities especially from Caribbean, Africa and Turkey, mainly living in the very deprived parts of the east of the borough. In addition there is significant morbidity from

diseases such as TB, HIV and haemoglobinopathies associated with migration and ethnicity profile of the borough.

Assessment of current services commissioned and provided.

- **Acute services:** We have 2 main acute providers, North Middlesex and the Whittington. Both hospitals require new facilities to make them competitive in the future. Neither of these hospitals are within the boundaries of Haringey Borough. NMUHT is currently in turnaround and faces significant financial, management and clinical sustainability challenges. The BEH clinical strategy highlighted above is seeking to secure a viable long term future for the NMUHT which is a key provider in an area of very significant health need. We have real service challenges in terms of outpatient referrals and day cases, being some 15% above the national average. HTPCT is the lead commissioner for NMH and also for GOSH as part of the specialist services portfolio.
- **Mental Health Services:** Our main provider for specialist mental health services is Barnet, Enfield and Haringey MHT. We are currently the 5th highest spender on mental health services in the country. We have concerns that the current model of mental health provision does not meet our population's needs. During 2007/8 we will be looking closely at our current commissioning of mental health services and may choose to recommission certain elements of the service away from BEH mental health Trust to a more responsive provider. We are hopeful that the new 'call off' contract for commissioning support led by the DH, will provide the TPCT with additional commissioning rigour and expertise to assist us making the changes.
- **Primary Care services:** We have a real challenge to transform our primary care services to provide a world class service for all our residents. We have 60 practices, 50% of these are single handed and 50% need new facilities to bring them up to modern standards. There is major variation in services provided and varying quality standards.
- **Community Health Services:** Within our own provider side services we have some real pockets of innovation. We are also aware that increased competition will mean that we must ensure we are as efficient and effective as possible and that our costs and service quality is competitive. As a result we are engaged in service redesign, building business and marketing skills into our clinical teams and increasing the professional standing of our staff. We are building alliances with GOS and the local authority for children's services and across PCTs and social services for our adults and older people's services.

Strengthening commissioning:

- CPLNHS and the requirements of the Fit for Purpose review clearly emphasise the need for PCT's to strengthen their commissioning capabilities. HTPCT believes that it has strong

foundations in place to enable it to continue to develop towards becoming a world class commissioner of health services for its population.

- As highlighted in section 1 above we have implemented a new divisional structure within the TPCT that establishes a clear divide between our commissioning and provider responsibilities. Our Commissioning side will performance manage Haringey's Providerside through regular meetings, monitoring of agreed KPIs and service level agreement. Performance of the provider arm will be reported to the Performance sub-Committee of the Board.
- Within the commissioning division we have been working on strengthening our structures and processes to ensure that our commissioning activities are clearly evidence based and that our commissioned providers are delivering high quality, effective care to our population. Equity and diversity are key issues within Haringey and our commissioning development programme needs to clearly address these issues. Additionally we recognise the need to further develop our approach to public and patient involvement as a commissioner of services and will continue to work actively with partners to develop our approach.
- In relation to market management the TPCT is committed to stimulating contestability and plurality across our commissioned service portfolio. Priorities for 2007/08 in relation to market management include the bedding in of new providers for diagnostics (as part of London IS diagnostics procurement) and the Walk in Centre at NMUHT. Tender processes for new providers of retinal screening and language support services will commence before year end. In 2007/08 we will be reviewing options for new providers in primary care services as appropriate opportunities arise (including developing the capacity of existing local primary care providers) and well as a review of options in relation to the provision of mental health services.
- In summary strengthening our commissioning capacity will continue to be a focus for 2007/08 and the FFP development programme (we will be participating in wave 3) will underpin this work

Relationships with stakeholders

Statutory organisations and the voluntary sector within Haringey are all focused on creating the Borough as a place of 'choice' within in which to live, work and play. We are working closely across our organisations to join up our agendas. We now have a common performance agenda and have just agreed our Local Area Agreement, together with stretch targets. We are planning to share our Director of Public Health across the TPCT and the Local Authority. We have assisted Haringey Police with their financial processes and reporting and in return they are helping us develop a more robust performance/target driven culture.

2.2. 2007/08 commissioning plans

Commentary on breakdown of income and cost

Income and expenditure assumptions are based on the 2007/08 Planning Framework for London.

The plans are consistent with those submitted for the Fitness for Purpose exercise, except where there has been a shift in guidance from the centre. In particular, this means the following changes are in place:

- The TPCT has suffered a reduction in income due to the phased reduction of the Purchaser Parity Adjustment by 25% and the market forces factor totalling £453k.
- New NSCAS central budgets from 2007/08 will further reduce income by £369k

It is also worth noting that the F4P review is shown net of hosted specialist services income whereas the 2007/08 operating plan is shown gross.

2007/08 in-year breakdown of income and cost													
£'000	M1	M2	M3	M4	M5	M6	M7	M8	M9	M10	M11	M12	Total
Income	42024	42024	42024	42024	42024	42024	42024	42024	42024	42024	42024	42023	504287
Total cost of commissioned services	-41365	-41365	-41365	-41365	-41365	-41365	-41365	-41365	-41365	-41365	-41365	-41365	-495180
Net provider costs	0	0	0	0	0	0	0	0	0	0	0	0	0
Other costs	-759	-759	-759	-759	-759	-759	-759	-759	-759	-759	-759	-758	-9107
Surplus/deficit	0	0	0	0	0	0	0	0	0	0	0	0	0

2.2.1 2007/08 PCT targets

2007/08 PCT targets

Provide detail of health outcome, inequality and service delivery targets for 2007/08. Highlight where these tgts exceed PSA requirements or where they are part of a LAA.

- In 2007/08 we will focus on improving our annual healthcheck rating and meeting the 2007/08 National Operating Framework priorities (both top and high priorities), improving our productivity (as reported in the quarterly productivity metrics) and achieving our Local Delivery Plan targets, including the spearhead targets. We also intend to deliver the Local Area Agreement (LAA) targets and continue to deliver the existing priorities from the 2003/06 planning round, such as cancer waiting times and A&E 4 hour waits.
- The LAA targets will be signed off by GOL at the end of this month and focus on closing the health inequalities gaps in the borough. As well as the mandatory LAA targets, we are planning a stretch target for smoking cessation in one of the more deprived areas of the borough, and a target for teenage pregnancy. The new targets we have signed up to also cover increased physical activity, healthy schools and housing standards.
- The 2005/08 Local Delivery Plan (LDP) and LDP phase III includes spearhead targets for the indicators affecting life expectancy – CVD registers, hypertension, cholesterol and all age all cause mortality. These will support the LAA targets in reducing health inequalities in Haringey.
- Our 2007/08 SLAs with providers will retain targets for MRSA and other healthcare associated infections, against which we will monitor and manage performance.
- To deliver the 18 week Referral To Treatment target we have been, and will continue, to work closely with our main acute providers to establish and influence how they manage their outpatient and inpatient waiting lists, and at which level they manage them, ie. by individual consultant where appropriate. Independent sector diagnostic provision will support this work and we are working closely with Amicus in Health, the DH preferred bidder for the diagnostic procurement project, to make sure that this new capacity is available as soon as possible and we can hit the ground running. Local GPs have been involved in determining what new services will be available and from where they will operate, in order to maximize synergy with primary care services.
- The TPCT's demand management strategy will also support achievement of the 18-week target by reducing number of patients needing to be managed through the system. We are currently 15% above national average for secondary care referrals, and whilst population profile might

suggest Haringey would be above average need for secondary care this would suggest significant 'headroom' for reducing referrals.

As well as maintaining focus on the new and existing Healthcare Commission targets, we will further build assurance and maintain performance across the Core Standards. In 2007/08 we will concentrate on building developmental standards for public health and putting in place mechanisms to support further developmental work across the standards in other areas.

2.2.1. Income

Significant changes in planned income

Planned income is in line with latest central guidance.

Income - comparison between historical achievement and current plan

£'000	Plan	Forecast	Current plan		
	2006/07	2006/07	2007/08	2008/09	2009/10
Recurrent revenue allocation	338144	337266	363786		
	3	3473	88		
Non-recurrent revenue allocation					
Other income (excluding income from provider activities)	136988	136988	140413		
Total	475135	477727	504287		

Spending plans

Commentary on significant spending plans

The spending plan for the TPCT is detailed below.

Significant non-recurrent expenditure effects are as follows:

- the removal of non recurrent 2006/07 income and expenditure in dentistry and primary care premises and old SHA income disaggregation.
- New matched expenditure on Connecting for Health IT schemes.
- New unmatched expenditure on the implementation of the Electronic Staff Record payroll up[grade project and repayment of specialist services phased support.
- New non recurrent expenditure savings in slippage on growth on drug and alcohol services.

The TPCT is required to demonstrate achievement of cost savings in line with Commissioning a Patient Led NHS. The TPCT target saving was £224k in 2006/07 and £767k in 2007/08. The 2006/07 saving has been achieved as planned, through a reduction in the number of directors, downsizing of the PEC and some sharing of services. Other savings are planned in 2007/08 from the full-year effect of the above, plus the initial roll out of the Londonwide commissioning support service and of local initiatives in public health and HR.

Commissioning expenses – comparison between historical achievement and current plan					
	Plan	Forecast	Current plan		
£'000	2006/07	2006/07	2007/08	2008/09	2009/10
Primary care - GPs, prison healthcare, dentistry, and optometry:					
GP	-37781	-27700	-32324		
Prescribing	-28271	-28854	-31117		
Other	-14820	-21822	-23446		
Community and intermediate services	-23540	-25953	-30220		
Mental health commissioning, pooled arrangements or jointly funded commissioning	-80488	-80383	-87133		
Secondary care Provided under PbR					
Inpatient elective	-11263	-11220	-12765		
Day care elective	-8697	-9478	-9182		
Inpatient non-elective	-31320	-31641	-32911		
Outpatient	-20669	-21468	-20361		
Provided at local prices	-4811	-5007	-5750		
Provided by third sector/not-for-profits	0	0	0		
Provided by independent sector	0	0	0		
A&E	-4469	-4600	-4698		
Other	-36742	-36866	-38402		
Ambulance services	-5543	-5543	-5665		
Tertiary and specialist commissioning	-157371	-158231	-161206		
Total cost of commissioned services	-465785	-468766	-495180		

2.2.2. Activity plan

Commentary on significant changes in activity

The activity plan for the TPCT is detailed below. The TPCT has published its Commissioning Intentions for 2007/08. Much of the intended service change is targeted towards areas in which activity is not generally measured eg screening and public health. Insofar as there are initiatives that are targeted towards measurable secondary care activity, these will include:

- demand management schemes. The full year effect of the 2006/07 schemes, and new schemes as Practice Based Commissioning develops.
- achievement of the 18 week Referral To Treatment target. This will clear a significant number of long waiters for diagnostic as well as outpatient treatment.
- intention to commission increased capacity for retinal screening (via a tender process), liquid based cytology, chlamydia screening, GUM services, early intervention in psychosis. We are currently in discussion with providers about detailed numbers and costs. Some of the above will be part-year effect.

Commissioning activity plan – total					
'000 spells, net of demand forecast	Plan		Forecast	Current plan	
(attendances – outpatients, A&E)	2006/07	2006/07	2007/08	2008/09	2009/10
Inpatient elective	5338	5507	5948		
Day case	14412	14886	14875		
Inpatient non-elective	16996	17864	17760		
Outpatient (new and follow up)	196670	219934	217176		
A&E attendances	61818	63818	63818		

Commissioning activity plan 2007/08 – by trust						
'000 spells	Top 4 trusts				Remaining activity	
(attendances – outpatients, A&E)	Trust 1	Trust 2	Trust 3	Trust 4	Other	Total
Inpatient elective	1716	1018	968	868	1378	5948
Day case	5083	3762	1146	1690	3194	14875
Inpatient non-elective	8340	4692	856	798	3074	17760
Outpatient (new and follow up)	78698	66420	15230	17950	38878	217176
A&E attendances	63818					63818

2007/08 in-year breakdown of activity plan					
'000 spells	Q1	Q2	Q3	Q4	Total
(attendances – outpatients, A&E)					
Inpatient elective	1487	1487	1487	1487	5948
Day case	3718	3718	3718	3721	14875
Inpatient non-elective	4440	4440	4440	4440	17760
Outpatient (new and follow up)	54294	54294	54294	54294	217176
A&E attendances	15954	15954	15955	15955	63818

Cost improvement, turnaround, and commissioning efficiency plans

Commentary on cost improvement/turnaround plans

A 2.5% CIP is required of the providerside and management team of the TPCT. In addition, demand management efficiencies are in place.

Cost improvement/turnaround plans					
£'000	Net saving				
	Plan	Forecast	Current plan		
	2006/07	2006/07	2007/08	2008/09	2009/10
Initiative 1 [please specify]	751	751	1212		
Initiative 2 [please specify]	224	245	767		
Initiative 3 [please specify]	1632	1712	544		
Initiative 4 [please specify]	1121	1401	374		
Initiative 5 [please specify]	360	360	0		
Initiative 6 [please specify]	1098	1098	0		
Initiative 7 [please specify]	500	500	0		
Initiative 8 [please specify]	0	423	0		
Initiative 9 [please specify]	0	950	0		
Initiative 10 [please specify]	0	770	0		
Other initiatives	808	908	0		
Total	6494	9118	2897		

Commentary on commissioning efficiency plans (e.g., demand management, prescribing efficiencies)**

In 2006/7 the TPCT took forward an ambitious demand management savings programme. Our current forecast projections for the impact of this programme in 2006/7 is £822k full year savings against an original target of £2.309 m. (30% of original target). The majority of these savings have accrued from our scheduled care / outpatient demand management work stream (£572k) and this is reflected in our improved performance in the NHS productivity metrics between Q1 and 2 06/07. (At Q1 we were 28% above benchmark, at Q2 this had reduced to 18% above benchmark – clearly there is still work to do and efficiency gains to be achieved and these are reflected in our 07/08 demand management plan).

We have seen reduced activity in relation to emergency admissions of older people – although pinning down cause and effect in relation to fluctuations in acute IP activity is difficult this also reflects a long term strategic approach to the development of community based intermediate care services for older people and a partnership approach to the management of delayed discharges.

In 2006/7 we invested £373k in DM schemes to support delivery of the above programme. The roll forward investment required for 2007/8 of schemes that launched in 06/07 is £641k. A number of additional investments to support 07/08 plan are also planned.

We have taken forward a range of procurement activities to ensure that acute spend is tightly contained including data validation and close scrutiny of all provider invoices. No specific in year target was set in 06/07 but we estimate full year benefit in the region of £300k this year. A target of £300k is built into the 07/08 plan.

We have also driven in year savings through very strong management of prescribing. The budgets were set this year with a 4.2% uplift. In the early part of the year growth was approaching 5%. A rigorous prescribing efficiencies programme was instituted and we are now expecting to hold in year prescribing cost growth to 2.7% - a 1.4% saving on plan, equivalent to c. £390k savings against the original budget allocation. Further details of how this saving was achieved can be provided on request.

Commissioning efficiency plans (e.g., demand management, prescribing efficiencies)

£'000	Net saving				
	Plan	Forecast	Current plan		
	2006/07	2006/07	2007/08	2008/09	2009/10
Initiative 1 Demand Management	2682	1195	3446		
Initiative 2 MH modernisation	300	300	0		
Initiative 3 Bowman House disinvest	631	631	0		
Initiative 4 Referral guidelines	500	500	0		
Initiative 5 SP reduction	300	300	0		
Initiative 6 CC eligibility	200	200	0		
Initiative 7 Additional cost savings	0	0	4200		
Total	4613	3126	7646		

2.2.3. Practice based commissioning (PBC) initiatives

Explanation of PBC approach

The 60 Haringey practices have aligned themselves into 4 PBC Collaboratives on broadly geographical and main provider lines. Clinical leadership, management and public health support and governance structures are all in now in place and bedding in. A PCT wide demand management plan and PBC development plan have informed collaborative and practice based plans in this year – in 2007/8 we anticipate more of a bottom up approach in addition to roll forward of the current work plan.

All 4 collaboratives have established structures to involve all practices and the majority of Haringey practices will qualify for PBC DES (1) payments in 2006/7. The minimum requirement for to qualify is a letter confirming full participation in PBC processes and submission of practice based demand management plan (quality assured by collaborative clinical lead).

A monthly PBC and Demand Management team meeting is chaired by the PEC chair and reports to the TPCTs Inner PEC which is a sub committee of the Board. In addition to overall oversight of the programme the Inner PEC signs off all PBC business case / investment proposals and will also play a role in approving how savings achieved and passed back to collaboratives under the 70:30 are spent.

As noted above (s 1.3) we are planning to make changes to the Board and committee structure following the substantive appointment of the Chair and NEDs. We expect to nominate a lead NED for PBC as part of this process.

2006/7 highlights in terms of activity at practice level include data validation, un-anonymised sharing of benchmarking data (notably OPD new referrals) by practice, peer review processes of referrals, and review of patients who frequently attend A&E. All practices have also signed up to Haringey wide initiatives including clinical assessment services for musculo-skeletal and dermatology referrals, repatriation of non complex diabetic patients from secondary care and the establishment of a primary care based anti-coagulation service.

Arrangements for 2007/8 , which will reflect national guidance, are still being worked up and have not yet formally been consulted on with stakeholders.

Budget setting principles will be as follows:

- To include all hospital based care, PBR, prescribing, community and MH spend set on Q3/4 05/06 and Q1/2 06/07 outturn as per guidance
- + / - Fair shares calculation as per guidance (currently modelling)
- - Reduction pro rata share of DM scheme pump priming costs 06/07 and 07/08.

70:30 savings return will be made on practice by practice basis where practices achieve a saving against their total allocated budget. We are currently developing guidelines re. how this funding can be spent and appropriate sign off processes (which will be via IPEC as described above).

2.3.PCT provider plan

Provider plan

The TPCT provider side comprises the following services:

- ❑ Adults and Older People's services, including nursing and therapy services, many of which are jointly planned and provided with London Borough of Haringey.
- ❑ Children's services, including medical, nursing and therapy services provided in partnership with Great Ormond Street Hospital and the London Borough of Haringey.
- ❑ Specialist services, including Sexual Health and Family Planning, Audiology, Primary Care Dental Services (PCTDMS).
- ❑ Services such as Learning Disability services, and Integrated Community Therapy Team, provided jointly with LBH.

The priority objectives for provider services in the Community Health Services Development Plan are:

1. to ensure compliance with national targets and core standards.
2. clinically effective services that demonstrably respond to patients needs, and which are cost effective. (This will include the development of local pricing, benchmark comparisons and an analysis of activity.)
3. to support the PCT's demand management strategy by enabling the transfer of acute services to primary care, including to support acute hospital admission avoidance.
4. development of the support functions underpinning provider services i.e. IT, information, professional development and marketing, to enable the growth of the provider side as a business .
5. Be the provider of choice for Haringey commissioners of services in accordance with the wishes of local GPs and residents.

2.3.1. Provider income

Commentary on sources of provider income (i.e., income from other PCTs or commissioners)

Income for the providerside of the TPCT is derived as follows:

£33,558k	from Haringey
£ 4,684k	from Enfield
£ 1,440k	from recharges
£ 3,622k	from other PCTs
£ 6,912k	from other sources
£50,216k	TOTAL

Provider income – comparison between historical achievement and current plan

£'000	Plan	Forecast	Current plan		
	2006/07	2006/07	2007/08	2008/09	2009/10
Provider income	40746	38850	40849		

2.3.2. Operating resources required to deliver provider plan

Resources required to deliver provider plan

There are no significant changes in planned provider operating expenses from prior year actuals, except as follows:

- Enfield PCT is intending to commission a reduced level of community services
- there is a full year effect of 2006/07 service changes, in particular the closure of one older people's ward in-year during 2006/07
- overhead costs associated with the Fortis Green Health Clinic will cease after it is sold
- the Lordship Lane LIFT scheme will be completed, and the building resourced and staffed appropriately.

The Providerside team is in discussion with the Commissioning Division regarding investment priorities for 2007/08 including investments required to support the delivery of core standards and service development priorities. These discussions will be concluded to the same timetable as SLA discussions with other NHS providers.

Provider operating expenses – comparison between historical achievement and current plan

£'000	Plan	Forecast	Current plan		
	2006/07	2006/07	2007/08	2008/09	2009/10
Pay	-27509	-26573	-26767		
Non-pay	-13237	-12277	-14082		
Total provider operating cost	-40746	-38850	-40849		

2.4. Capital plan

Plans for investment and disposal

HTPCT is planning to dispose of Horsney Central Hospital phase 1, through sale to LIFTco, in April 2007. The capital is expected to be reinvested in the Hornsey Central site through the community hospitals programme.

As the Lordship Lane LIFT scheme is completed the temporary accommodation at Waltheof Gardens will be disposed of and some minor equipment purchased to furnish the new building.

Recurrent block capital allocations in line with previous years, uplifted for inflation, are also assumed and are expected to be spent on minor capital and maintenance works.

Haringey TPCT will during 2007/8 aim to complete the programme, begun in 2006/7, of grant allocations to Haringey GP practices requiring structural improvement in order to comply with the Disability Discrimination act. £600,000 has been identified for this purpose

Investment and disposal strategy – comparison between historical achievement and current plan

<i>£m</i>	Plan	Forecast*	Current plan		
	2006/07	2006/07	2007/08	2008/09	2009/10
Investment in fixed assets (non-maintenance)	2230	1908	2798		
Investment in fixed assets (maintenance)	250	250	250		
Investment in other assets	109	0	109		
Asset disposals	2500	2025	2800		

* Based on 9 months of actuals plus 3 months of forecast

2.5. Summary of key assumptions

Key assumptions

Income and expenditure assumptions are based on the 2007/08 Planning Framework for London. In addition the TPCT is making the following key assumptions:

- an additional reserve will be set up in line with best practice recommendations in the Fitness for Purpose review, equivalent to 1.5% of the recurrent baseline
- money will be invested in primary and community care in order to pump prime further demand management initiatives, and this will be offset against savings made and shared net, under the 70-30 rule
- the dampening of the growth in secondary care activity due to the roll out of demand management initiatives (see activity analysis), will lead to a consequent reduction in expenditure with acute trusts under Payment by Results
- IM&T money will be invested to roll out the Connecting for Health programme
- the hosted Drug and Alcohol budget will continue to grow, and the income growth will be matched by expenditure over a longer timeframe.

2.6. Risk analysis

2.6.1. Financial risk

Commentary on financial risks

Consistent with the Fitness for Purpose and Due Diligence review, the TPCT considers its main financial risks to be:

- increased growth in secondary care acute activity, including gaming and data validation issues
- high cost, low volume individual placements exceeding the projected trend change, particularly in continuing care learning disability and mental health services.
- achievement of the full demand management savings target of 3.9m

Actions the TPCT has taken to mitigate these risks include:

- a rigorous and robust approach to data validation which has been highlighted as best practice and is being rolled out across other PCTs
- detailed trend projections for high cost, low volume services, with joint work with the London Borough of Haringey to ensure that a longer term plan is in place for the most volatile and increasing costs
- strengthened capacity within commissioning team to ensure focus on PBC and demand management remains tight, with increased capacity to manage programme and to enter into robust dialogue with providers where appropriate.

2.6.2. Service provision risk

Commentary on services provided and associated risks

In 2006/07, in addition to financial risks, we identified 2 overarching risk areas for the organisation which will roll forwards into 2007/08, as follows:

- Organisational performance: main areas of risk will be mental health, breast screening, teenage pregnancy, smoking in pregnancy, early intervention in psychosis (we have plans to commission services and agree trajectory but will be part year effect only), choice and booking, primary care registers and 18 week RTT milestones. Our current health care commissioning rating is 'Fair' and 'Fair' and we need to do better. Additionally reducing inequalities within Haringey to address the equity and diversity challenges highlighted above is a risk area given the inherent challenges this presents. Ensuring patient and public engagement in change processes is also a challenge and there are risks that delivery of the

TPCTs strategic service development programme could be compromised if this is not managed effectively.

- Clinical performance (commissioned services): ensuring that the services the TPCT commissions for its population (including services provided by independent contractors) are safe, effective and meet best practice guidelines.

In relation to the management of key risks relating to organisational performance the TPCTs approach is as follows:

- Appointment of Director of Performance and Primary Care to ensure clear focus on organisational performance.
- Commissioning Intentions – new investment targeted to ensure performance optimised.
- Clear monitoring and robust action planning / remedial measures where appropriate – Performance sub committee of the Board.
- Clear and robust performance management arrangements with provider trusts.
- Continued focus on PPI and community engagement by Director of Corporate and Partnership Development, with particular emphasis on supporting the transition to new Local Involvement Network arrangements and partnership working with haringey Council.

The TPCTs assessment of risk and management approach in relation to the quality of commissioned services is set out in s. 2.6.3 below.

2.6.3. Governance risk (including emergency planning and quality)

Commentary on governance and associated risks

Clinical Quality

The TPCTs approach to ensuring that the services it commissions are safe and effective is set out in s.2.1 above (Strategic Priorities – Strengthening Commissioning Section). Going in to 2007/8 we have identified the following clinical quality risks:

- **Breast Screening:** as previously highlighted significant concerns re quality of NLBSS led to this service being suspended in December 2006. Commissioning a high quality breast screening service is now of urgent importance. However it may be difficult to find adequate/suitable alternative service with sufficient capacity to take over the service and address the backlog of women needing to be screened

- **Antenatal Screening.** NMH have only recently delivered triple test Down's screening to an acceptable quality. It will be a huge challenge for them to meet the April 2007 target to deliver first trimester Down's Screening.
- **Infection control.** There continue to be some concerns about NMUHT's ability to achieve MRSA targets and delivering on the infection control action plan agreed with the turnaround team.
- **Mental Health Services:** A number of SUIs within both specialist and primary care mental health service delivery over the past 3 years have highlighted a number of key risk issues in relation to how services currently operate both individually and across organisational boundaries. Additionally BEHMHT will be delivering significant changes in service delivery in respect of its community mental health services during 07/08 with planned improvements to quality however during the process of change there is a risk that clinical care and patient satisfaction could be compromised. A range of project management and assurance mechanisms are in place to minimise risk. A joint clinical service improvement group for mental health services has been established with an independent chair (Andrew McCulloch, CEO Mental Health Foundation) to provide external assurance re the partnership response to the risks identified.
- **Primary Care:** At the time of writing, the TPCT is finalising its Primary Care strategy, with a view to formal consultation during the first quarter of 2007/08. This will be complementary to the BEH Clinical Strategy and will define an implementation programme to transform primary care in Haringey, with 2007/08 as year 1.

In support of this, the TPCT is currently beginning an in-depth review of all Haringey GP practices. In 2007/08, the TPCT will move on to validate the performance of practices against reported achievement of QoF standards and also to introduce a quarterly "balanced scorecard" approach akin to other commissioned services.

The TPCT identifies the following as significant opportunities:

- The service review process; &
- The PBC collaborative approach already established.

The TPCT identifies the following as significant risks:

- The financial implications of an assertive approach to tackling poor clinical performance;
- The step-changes that will be required of all practices; &
- The timely sharing of information between practices & PCT.

Emergency Planning

We have well developed local partnership arrangements for emergency planning and effective links with both acute Trusts and the Haringey Emergency Planning Liaison Committee. A joint 'live' exercise is planned for March 2007 – learning from which will roll forward into 2007/08. It is proposed to pool resources and develop joint training programme to support EP in 2007/08.

2.6.4. Other risks

Commentary on any other risks

Business Continuity:

- **Succession planning:** Given the requirements of commissioning a patient led NHS, we have shed many management posts. This has meant it difficult to create a succession plan and allow staff developmental time to grow additional and new skills in preparation for more senior roles. We actively encourage secondments and seek appropriate training programmes. Our plan is to create more 'headroom' for personal staff development and succession planning during 2007/8, as the current pressure on financial controls and performance begins to reap rewards.
- **IM&T:** Child Health Interim Application (CHIA) functional upgrade due May/June 2007. Potentially high/medium risk of non delivery which would impact on PCT's delivery and monitoring of Child Immunisation and Surveillance programmes. Electronic Staff Record implementation, scheduled June/July 2007. Potentially low/medium risk of failure which would impact PCT's ability to pay staff. Merger of local IM&T shared services due April- July 2007. Potentially low/medium risk of interruptions in provision of IM&T systems and infrastructure.
- **Estate:** the TPCT's corporate HQ, along with a substantial element of its direct service provision are based on the SAH site – the physical infrastructure of the site is very poor and this presents significant risks to business continuity. The TPCT is working with the MHT (who own the site), Haringey Council and other local providers to develop appropriate contingency plans.

3. Declarations and self-certifications

3.1. Board statements

Commentary

To follow following January Board meeting.

Appendix 3

Financial and Activity Template

Introduction

This document provides the financial and activity templates which PCTs should complete as part of their Operating Plan for 2007/08.

Instructions

Further detailed instructions for the completion of these templates will be provided following consultation with a number of PCT Finance Directors. Comments are provided on the various worksheets to aid in

Sheet descriptions

Summary financial forecast - this sheet is used to provide an overview of the current and future financial position of the PCT and is critical to the evaluation of financial risk rating of the PCT.

Cash position overview - this sheet is used to provide a brief overview of the cash position of the PCT; this information is not used in the risk rating of the PCT.

Secondary care - this sheet is used to provide an overview of the levels of activity that are being commissioned by the PCT from acute care; it also allows evaluation of the impact of demand management

Commissioning efficiency plans - this sheet is used to provide details of demand management initiatives (across all settings of care), together with their estimated financial impact.

CIPs and turnaround - this sheet is used to provide an overview of the impact of cost improvement programmes and turnaround plans.

07 08 Operating Plan exhibit - this sheet is used to provide input to the exhibits within the 2007/08 operating plan and is mostly a direct summary of the blue tabbed sheets, but requires some information to be directly

Cell colour coding

PCTs **must** complete all pale yellow shaded cells in the template - they are the only unprotected cells.

White cells contain information calculated by the template

Results of check cells are shown in red where there is misalignment between inputs and should be corrected prior to submission

Generic instructions

All financial figures should be entered in £'000

Please ensure all costs are entered as negative numbers to March 2007

Summary financial forecast

The figures you enter in this sheet will automatically populate the 2007/08 Operating Plan exhibit worksheet
Please ensure all costs are input as negative numbers

£'000	Plan 2006/07	Forecast* 2006/07	Forecast 2007/08
Income			
Recurrent revenue allocation	338144	337266	363786
Non-recurrent revenue allocation	3	3473	88
Other income (excluding income from provider activities)	136988	136988	140413
Total income	475135	477727	504287
Expenses			
Commissioning activities:			
Primary care - GPs, prison healthcare, dentistry, and optometry:			
GP	-37781	-27700	-32324
Prescribing	-28271	-28854	-31117
Other	-14820	-21822	-23446
Community and intermediate services	-23540	-25953	-30220
	-80488	-80383	-87133
Mental health commissioning, pooled arrangements or jointly funded commissioning			
Secondary care			
Provided under PbR			
Inpatient elective	-11263	-11220	-12765
Day care elective	-8697	-9478	-9182
Inpatient non-elective	-31320	-31641	-32911
Outpatient	-20669	-21468	-20361
Provided at local prices	-4811	-5007	-5750
Provided by third sector/not-for-profits		0	0
Provided by independent sector		0	0
A&E	-4469	-4600	-4698
Other	-36742	-36866	-38402
Ambulance services	-5543	-5543	-5665
Tertiary and specialist commissioning	-157371	-158231	-161206
Total cost of commissioned services	-465785	-468766	-495180
Provider Activities:			
Pay expenditure	-27509	-26573	-26767
Non-pay expenditure	-13237	-12277	-14082
Less - provider income	40746	38850	40849
Net provider costs	0	0	0
Other costs			
Other pay expenditure	-6507	-6183	-6331
Other non-pay expenditure	-2241	-2184	-2180
Depreciation and amortisation	-602	-594	-596
Exceptional items	0	0	0
Total cost	-475135	-477727	-504287
PCT surplus/deficit in year	0	0	0
PCT normalised position (excluding exceptional items)	0	0	0

Cash position overview

This worksheet requests a brief overview of the PCT's cash position

£'000

Forecast cash limit 2007/08

Return of 2006/07 loan (-ve) / deposit (+ve)

Forecast 2007/08 loan (+ve) / deposit (-ve) requirements

Total (Forecast cash utilisation)

363274
0
0
363274

Secondary care commissioning activity

This worksheet requests the PCT's secondary activity and cost forecasts. Note that this should reflect the PCT's best information about levels of activity. Please ensure all activity reductions are input as negative numbers. Please ensure all costs are input as negative numbers (cost savings will then appear as positive numbers)

£ '000

Spells, or attendances as appropriate

These baseline figures represent what would occur should you not have any demand management initiatives from 07/08

This is the 'in-year' reduction in activity due to demand management that needs to be entered by PCT

Baseline Demand Forecast (excluding all demand management in 06/07, 07/08 and 08/09)

	Forecast			
	2006/07	2007/08	2008/09	2009/10
Total Yearly Activity				
Inpatient elective	5368	5518	5982	
Day case	14449	14889	14917	
Inpatient non-elective	17350	17990	18161	
Outpatient (new and follow-up)	214161	226161	237001	
A&E attendances	61818	63818	63818	

Cost

Inpatient elective	-11335	-11794	-12975	
Day case	-8740	-9094	-9312	
Inpatient non-elective	-31941	-33520	-34492	
Outpatient (new and follow-up)	-22242	-23084	-23904	
A&E attendances	-4469	-4600	-4712	
Other secondary costs	-41553	-41873	-44288	
Total costs	(120,280)	(123,965)	(129,683)	

Total cost savings
(before implementation cost)

Impact of demand management (savings)

	Forecast			
	2006/07	2007/08	2008/09	2009/10
Total Yearly Activity				
Inpatient elective	-30	-11	-34	
Day case	-37	-13	-42	
Inpatient non-elective	-354	-128	-401	
Outpatient (new and follow-up)	-17491	-6227	-19825	

Inpatient elective	72	26	128	
Day case	43	15	78	
Inpatient non-elective	621	221	1132	
Outpatient (new and follow-up)	1573	560	2662	
A&E attendances	0	0	0	
Other secondary costs	0	0	0	
Total cost savings	2,309	822	4,000	

Net Demand Forecast (including all demand management)

	Forecast			
	2006/07	2007/08	2008/09	2009/10
Total Yearly Activity				
Inpatient elective	5338	5507	5948	
Day case	14412	14886	14875	
Inpatient non-elective	16996	17864	17760	
Outpatient (new and follow-up)	196670	219934	217176	
A&E attendances	61818	63818	63818	

Inpatient elective	-11263	-11769	-12847	
Day case	-6697	-9079	-9234	
Inpatient non-elective	-31320	-33299	-33360	
Outpatient (new and follow-up)	-20669	-22524	-21242	
A&E attendances	-4469	-4600	-4712	
Other secondary costs	-41553	-41873	-44288	
Total costs	(117,971)	(123,143)	(125,683)	

Net cost

This is the gross cost impact of demand management (i.e. excluding implementation costs)

Commissioning efficiency plans (e.g., demand management and prescribing efficiencies)

The figures you enter in this sheet will automatically populate the 2007/08 Operating Plan exhibit worksheet
Please ensure all costs are input as negative numbers
Please ensure savings are input as positive numbers

Item	Description of initiative	Gross forecast savings			Implementation Costs			Net forecast savings		
		Plan 2006/07	Forecast 2006/07	2009/10	Plan 2006/07	Forecast 2006/07	2009/10	Plan 2006/07	Forecast 2006/07	2009/10
Initiative 1 [please specify]	Demand Management	2309	822	3178	373	268	2682	1195	3446	
Initiative 2 [please specify]	Mental Health Modernisation	300	300	0			300	300	0	
Initiative 3 [please specify]	Bowman House dis-investment	631	631	0			631	631	0	
Initiative 4 [please specify]	Referral Guidelines for Secondary	500	500	0			500	500	0	
Initiative 5 [please specify]	Supporting People Reduction	300	300	0			300	300	0	
Initiative 6 [please specify]	Eligibility threshold for continuity	200	200	0			200	200	0	
Initiative 7 [please specify]	Additional Cost Savings	0	0	4200			0	0	4200	
Initiative 8 [please specify]							0	0	0	
Initiative 9 [please specify]							0	0	0	
Initiative 10 [please specify]							0	0	0	
Other initiatives							0	0	0	
Total		4240	2753	7378	373	268	4613	3126	7646	

CIPs and turnaround plans

The figures you enter in this sheet will automatically populate the 2007/08 Operating Plan exhibit worksheet
 Please ensure all costs are input as negative numbers
 Please ensure savings are input as positive numbers
 £'000

Item	Description of initiative	Gross forecast savings			Implementation Costs			Net forecast savings				
		Plan 2006/07	Forecast 2006/07	2007/08	Plan 2006/07	Forecast 2006/07	2007/08	Plan 2006/07	Forecast 2006/07	2007/08	2008/09	2009/10
Initiative 1 [please specify]	Directly Managed Services 2.5%	751	751	1212				751	751	1212		
Initiative 2 [please specify]	Commissioning a Patient Led N	224	224	767				224	245	767		
Initiative 3 [please specify]	Reduction in Community Servid	1632	1632	544				1632	1712	544		
Initiative 4 [please specify]	Reduction in Corporate Budget	1121	1351	374				1121	1401	374		
Initiative 5 [please specify]	Reduction in Pharmacy Contract	360	360	0				360	360	0		
Initiative 6 [please specify]	Primary Care Performance Mgt	1098	1098	0				1098	1098	0		
Initiative 7 [please specify]	Reduction in Enhanced Servid	500	500	0				500	500	0		
Initiative 8 [please specify]	Tighten and Investigate Specific Primary C	423	423	0				0	423	0		
Initiative 9 [please specify]	Estates Disposal	950	950	0				0	950	0		
Initiative 10 [please specify]	Slippage on Primary Care Premises into 0	770	770	0				0	770	0		
Other initiatives		808	908	0				808	908	0		
Total		6494	8967	2897	0	151	0	6494	9118	2897		

**Draft
Enforcement Strategy
2007-2011**

Foreword – Executive Member for Crime and Community Safety

Content to be provided here

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1. Introduction

It is recognised that the primary responsibility for compliance with the law lies with businesses and individuals and their need to recognise their responsibility. Any enforcement authority must, however, play its part in providing equal and clear consistent advice and enforcement.

The primary function of central and local government enforcement work is to protect the public, the environment and groups, such as consumers and workers. At the same time, carrying out enforcement functions in an equitable, practical and consistent manner helps to promote a thriving national and local economy. We are committed to these aims and to maintaining a fair and safe trading environment.

The effectiveness of legislation in protecting consumers or sectors in society depends crucially on the compliance of those regulated. We recognise that most businesses and members of society want to comply with the law. We will, therefore, take care to help businesses meet their legal obligations and work with those who carry out anti-social behaviour without unnecessary expense, while taking firm action, including prosecution where appropriate, against those who flout the law or act irresponsibly.

For this reason we feel there is a clear need to prepare, consult on and adopt an enforcement strategy that reflects the priorities of the council as well as supporting our internal enforcement policies.

This document sets out what the enforcement services aims, objectives and priorities will be over the next four years. It commits us to good enforcement policies and procedures and highlights the need for partnership working and cross service delivery.

This enforcement strategy sits within the corporate planning framework and aims to support other key strategic priorities set out in the following documents :

- Sustainable Community Strategy 2003-2007
- Housing strategy
- Private sector housing strategy 2004-2006
- Safer Communities Strategy
- Local Development Framework (UDP)
- Gambling policy
- Licensing policy
- Equalities Strategy
- Contaminated Land

2. Borough Profile

Haringey's diverse communities make the borough a challenging place to live and work.

Haringey boasts a population of approximately 224,500 with 40% of these residents living in wards that are amongst the 10% most deprived in the U.K. Unemployment locally has exceeded both the national and regional averages with 7.4% of the population unemployed (April 05). In contrast to this the west side of the borough is predominantly affluent promoting wealth, stability and good educational attainment.

Haringey is one of the most ethnically and culturally diverse places to live in the country with around half its population originating from minority ethnic backgrounds. Haringey's cultural diversity and its polarised socio-economic status provide a challenging role for the council's enforcement services.

Almost two thirds of Haringey population live in private sector dwellings providing homes to over 70,000 households. 22% of households are living in overcrowded conditions the private rented sector makes up 20.1% of the housing market with Houses in Multiple Occupation Accounting 1.5% . The borough also supports approx 2765 empty properties with 1275 long-term empty properties which continue to harbour undesirable activity and blight our neighbourhoods (April 06).

The 2001 census highlighted an increase in the number of one person households living within the borough. This increase could account for the number in Illegal planning conversions which has given rise to the need to introduce to the service a team solely dedicated to investigating planning enforcement issues. Complaints relating to house conversions make up to 20% of the overall planning complaints made by the Haringey public.

Evidence of Haringey's diversity can be heard as it has approximately 193 recognised community languages. It has the third highest proportion of 'other' white residents in London (16%). Other large black and minority ethnic (BME) communities are black Caribbean (10%) and black African (10%). This ethnic and cultural diversity has led to a thriving and vibrant business economy. There are about 7000 business in total in Haringey, 92% of these are small employing less than 24 people. There are around 2,000 registered food businesses with a high concentration involving food and drink. In terms of food manufacture, there are no national companies, but a number of local and regional businesses. Meat processing and kebab manufacture is present on estates around the borough and on the retail / wholesale side, imported food is a significant issue.

The Borough is characterised by its restaurants and other caterers. In addition, as the population diversifies, there is an increasing amount of imported food coming into the borough to supply local requirements both for Haringey and North London. Businesses reflect the diverse & multicultural profile of the Borough which has a high number of proprietors whose first language is not English.

Haringey is an outer London borough posing the local authority with inner London problems. With its unique make-up of diversifying ethics, cultures, languages and socio-economic factors the borough poses a challenge to its public services.

The enforcement service is committed to ensuring that we contribute towards producing a safer, healthier community which can enjoy a thriving local business economy. Our Enforcement strategy along with its supporting enforcement policy outlines the direction through which we aim to achieve this ambition.

3. The Enforcement Challenge

1. Safer Stronger Communities

Environment and crime continue to be a priority for residents living in the borough (*consultation on sustainable community strategy 2006*). Improving the quality of the natural and built environment and reducing the level of crime are key priorities for the Haringey Strategic Partnership. A clean, well maintained and attractive environment not only makes people feel happier with where they live but it also helps make them feel safer. (*HSP LAA draft Sept 06*).

Environmental crime is the result of anti-social behaviour carried out by a minority of people who behave in such a manner. Anti-social behaviour includes a variety of behaviours covering a whole range of selfish and unacceptable activity that can blight the quality of community life. The most visible manifestations of anti-social behaviour in the form of environmental crime are often seen in public places such as parks, play areas, shopping precincts and town centres. Environmental crime includes graffiti, vandalism, abandoning vehicles and related nuisance activities – dismantling, storing and selling derelict looking untaxed vehicles on highways and estates – fly tipping, dumping, littering and fly posting. Enviro-criminals include owners who allow their dogs to foul the public areas and who fail to clear it up. It includes those creating noise nuisance as well as many other activities that scar our streets visibly and audibly (*L.B Lewisham*).

Evidence suggests that if swift action is taken to address and resolve every case of environmental anti-social behaviour, it is less likely to recur and local community pride can be fostered. (*CIEH tackling anti-social behaviour paper*).

The enforcement service is responsible for managing the boroughs environmental crime in partnership with internal services and external partners. Environmental crime covers a range of anti-social activity which if left unmanaged can quickly destroy the environment we live in and our ability to enjoy the amenity value of our public spaces.

Fly –Tipping and Dumping

Fly tipping is the illegal dumping of waste ranging from old washing machines to lorry loads of building material or abandoned piles of black refuse sacks containing trade waste. The enforcement service deals with its environmental crime through a uniformed Street Enforcement team which is supported by Street Wardens authorised to undertake street enforcement. Based on current trends, these officers serve 800 fixed penalty notices in 2006/7 for rubbish and trade waste related offences.

Despite increases in enforcement and improvements to waste collection services, overall reports of dumping within the borough have continued to increase through the period of monitoring from October 2004 to October 2006. Whilst much of this reflects the increased levels of reporting undertaken by Council officers tasked with the role of spotting dumping, it is clear that the dumping of small items and black bags on the street for collection is a significant problem. An additional problem for Haringey arises from poor waste storage and disposal in bedsit and shared housing in the private sector and the use of unauthorised waste contractors.

Data reports on the comparison between dumping and street cleansing have been used to identify borough hot spots, statistics produced by Haringey Waste contractors shows that 40% of all complaints relating to the location of dumping is within the North East of the borough in N17.

Graffiti and Fly Posting

A neighbourhood blighted by graffiti and fly posting can be visually intimidating for the community and visitors to the area. During January to June 2006 9,342m² of graffiti was removed as well 97m² of fly posting and 1 m² of paint spillage. Around two thirds of this work carried out was reactive in response to reports from council staff and the public. We know that it is unlikely that graffiti and flyposting can be eradicated from the borough it is the objective of the enforcement service and its partners to managed the problem and to work with our external partners e.g. BT and Telewest to remove graffiti from cable boxes and telephone boxes and to target graffiti hotspots with enforcement action.

Littering

Litter can be something as small as a sweet wrapper or as large as a bag of rubbish, it can include discarded cigarettes, cigars and chewing gum. *(sec 98(5A) Environmental protection Act 1990)*. The cleanliness of streets and attractiveness of the physical environment has important consequences for other areas of social life. It makes the borough a nicer place to live and for young people to grow up in. A better environment produces better citizens and vice versa. It engenders a sense of civic pride and helps to diminish the fear of crime, it benefits the local economy, making the borough a more attractive place to stay and to visit, it promotes healthy neighbourhoods and community well being. *(Report of the Street Sweeping and Cleanliness Scrutiny Review Panel)*

Data reports for Street Sweeping also highlight the boroughs problem with littering, 15% of sweeping complaints for the borough coming from the N15 postal area of the borough. *(Partnership board performance monitoring report 9th Nov 2006)*. Street cleanliness remains a priority for Haringey residents as it has once again been highlighted as a concern as part of the HSP sustainable community strategy consultation *(Aug 2006)*.

Public Eyesores and Nuisance Premises

One of the problems experienced is that significant locations and local landmarks such as abandoned sites, empty properties, Net work Rail land and trading Estates, for example, can often suffer from neglect resulting in a concentration of environmental crime issues in one place. Currently around 80 such locations are being investigated and action taken where necessary to remove these locations as eyesores.

In addition a number of premises and traders operate with a disregard for legal requirements such as planning permission and licensing. Problem garages and social clubs can often cause significant public concern and be a magnet for other criminal behaviour.

2. The Trading Environment

Haringey's economy is dominated by small business. There are about 7000 business in total in Haringey, 92% of these are small employing less than 24 people. There is a relatively high concentration of businesses involving food and drink with a total of around 2,000 registered food businesses. In terms of food manufacture, there are no national companies, but a number of local and regional businesses. Meat processing and kebab manufacture is present on estates around the borough and on the retail / wholesale side , imported food is a significant

Food Safety

The Borough is characterised by its restaurants and other caterers. In addition, as the population diversifies , there is an increasing amount of imported food coming into the borough to supply local requirements both for Haringey and the North London area generally. Businesses reflect the diverse & multicultural profile of the Borough which has a high number of proprietors whose first language is not English. There are currently 2,172 registered food businesses in Haringey. Although these frequently change ownership the total number is expected to remain the same or increase slightly. Half of all food premises are restaurants or catering premises which carry often the highest levels of risk if there is poor food hygiene.

The importation of food from non EC countries for a diverse community also introduces a risk for food safety. Sampling projects focus on ensuring that food is not contaminated with ingredients that are considered unsafe or from unauthorised suppliers. Unfit meat and bush meat has been found in the borough and the demand for products not considered fit for human consumption does exist in the borough.

Although not often considered a food, Khat is widely used within the Borough by mainly the Somali community. Its impact on health has been established causing psychological and dental problems.

Trading Standards

In order to provide effective and appropriate enforcement of consumer legislation, Trading Standards carries out inspections at retail premises such as small shops, markets, public houses, supermarkets and petrol outlets. Additionally, visits are made to industrial units such as packers and importers, food and non-food manufacturers and cash and carry warehouses. The Service's inspection plan ensures all high risk premises are visited each year and medium risk premises every two years on a rotational basis. Further, the service carries out some food standards inspections and food is sampled to ensure that it is fit for consumption and as described.

Age Restricted Products

The Service is also responsible for enforcing and advising on a wide range of legislation controlling a variety of age restricted products. The products that are dealt with include cigarettes, fireworks, knives, alcohol, spray paint, cigarette lighter gas canisters, glue and other solvents. Shops that sell age-restricted products are advised of the law and their obligations. Shops are usually visited in person and given educational material which can help with staff training. Enforcement activity involves test purchasing exercises relating to under age sales, particularly of alcohol, in partnership with the Police; this links into the crime and disorder strategy. As part of our partnership working we have been taking part in joint projects with other NW London Boroughs relating to fair trading, product safety and metrology, and we are liaising closely with the new DTI-funded Regional Scambusters team. The sale of age restricted products results in criminal activity, anti-social behaviour, solvent and alcohol abuse all of which have an impact on society. Trading Standards focus safety resources on age-restricted products to protect the health of the young and reduce anti-social behaviour, particularly in relation to cigarettes and alcohol. Trading standards work in partnership with businesses, the local community and internal services to: Reduce anti social behaviour associated with spray paints (e.g. graffiti) by restricting the sales of these products

- Reduce sales of age-restricted products to young people. This can involve Test Purchasing projects as well as advice to traders to help them comply with the law. The projects are sometimes carried out in conjunction with the Police and the advice-giving may be done in association with other organisations. This will lead to the reduction of anti social behaviour by youngsters

Counterfeited goods

Trading Standards Departments are increasingly finding inferior, illegally copied and often unsafe goods on sale to the public which have been produced or imported by unscrupulous businesses or individuals capitalising on well-known company names and brands, or the original work of others. Counterfeiting is a huge problem globally, with millions of counterfeit goods being produced and sold every year. Custom and Excise are seizing well in excess of 100m items a year and last year the EU seized about £2bn worth of counterfeit goods. Buying counterfeit goods can also have much greater consequences than people realise, with members of the public unwittingly giving money to organised crime and terrorist organisations. Counterfeiters also have a huge impact on legitimate businesses, which causes them to lose millions of pounds of revenue a year. Smuggling and buying counterfeit goods also funds organised crime and terrorist organisations. Criminals who produce counterfeit goods have a huge effect on companies often forcing them to close down.

Haringey trading standards acknowledges both the effects nationally and locally that the sale of counterfeited goods can have. The investigation into counterfeiting and its associated criminal activity is very time, cost and resource intensive. Current investigation into suspected counterfeiting by the Trading Standards team is currently developed through regional intelligence and in partnership with other multi-agencies. Future activity around counterfeiting will continue with tactical intelligence led enforcement activity.

Licensing

Haringey has produced a Statement of Licensing Policy to control the granting of Licences in line with the Licensing Objective which are:-

- the prevention of Crime and Disorder;
- Public Safety;
- The Prevention of Public Nuisance;
- The protection of Children from Harm.

Content required here

Gambling Act

Next year sees the introduction of the Gambling Act. This is new legislation controlling future gambling and provides a unified regulator for gambling, the Gambling commission which will come out of the existing Gambling Board. The Act gives responsibility for the licensing of gambling premises to local authorities who will be required to produce a Statement of Licensing Policy. As a Licensing Authority, the Council's decisions will be made in accordance with the following licensing objectives:

- Preventing gambling being a source of crime and disorder
- Ensuring that gambling is conducted in a fair and open way
- Protecting children and the venerable from being harmed or exploited by gambling

Haringey has already been very active in tackling unauthorised gambling and uses joint operations with the police to identify seize and destroy significant number of illegal gambling machines often placed into premises by organised crime groups. Gambling without cash on the table is also a significant issue in many of our social clubs.

Health and Safety

In terms of businesses, Haringey has approximately 8,000 businesses (*totals obtained from Commercial Rates*) making up a mixture of offices, factories, retail shops and food businesses. Approximately 7,000 businesses fall within the enforcement responsibility of the Local Authority. Factories and certain types of businesses are enforced by the Health and Safety Executive. It is estimated that there are approximately 5,000 non-food business that fall within Haringey' enforcement responsibility for Health and Safety.

There are a number of areas within Haringey that have a high concentration of retail shops. Haringey also has 17 industrial estates, which are mainly located to the east of the Borough. The Borough also has a sizeable consumer service-type industry that includes over 40 Launderettes, over 40 Hairdressers and Barbers and nearly 60 licensed Special Treatment Establishments of various descriptions.

It has three significant land sites, Finsbury Park and Alexandra Palace both of which cater for large events that attract people from all over the country including large Pop Music Events, Firework Displays and the Tottenham Hotspurs Football Club on the Tottenham High Road. Here, a minimum of 19 games would be played during the season, each game attracting over 30,000 people and up to a maximum capacity of over 36,000.

As well as carrying out its normal statutory responsibilities the health and safety team are committed to supporting the wider health and safety objectives set out in the community strategy, Better Haringey initiative and within the Local Area Agreement. Achieving a smoke free community is currently being supported by the Food and Health and Safety Teams. Second hand smoke is a substance hazardous to health. Adopting a smoke free policy is about protecting the health and safety of all employees. This cross cutting issue is important for health but also impacts in the reduction of street litter and detritus resulting in cleaner

Fit 3 is an enabling strategy to revitalise Health and Safety by enforcing new safety topics with the statement Fit for Work, Fit for Life, Fit for Tomorrow. Fit 3 is a joint working partnership with the HSE (Health and Safety Executive), other agencies involved in managing the programme include LACORS (Local Authorities Co-ordinators of Regulatory Services) as well as joint working partnerships with stakeholders.

3. Health and Housing

Empty Property Enforcement.

There are a substantial number of privately owned empty properties in Haringey, which is both a wasted resource for the owner and the community. With over 2,400 empty properties Haringey has the 13th highest proportion in London (June 2005). Empty properties continue to present a range of issues and can impact on neighbourhoods, communities and residents in a number of ways including:

- Devaluation of neighbouring properties leading to a loss of equity for homeowners and a disincentive to maintain their properties.
- Blight on neighbourhood - dumping ground for rubbish etc.
- Vandalism, graffiti and other crimes including anti-social behaviour activities.
- A potential for arson
- Pest infestation.

An empty property may represent a wasted opportunity to providing housing in an area of high demand or it may be symptomatic of market failure or a housing market at risk of collapse. The fact however remains that empty homes exist within communities, these vacant properties attract crime and vandalism and are an eyesore for its neighbours. There is extensive public opinion in Haringey in favour of more action on empty homes and in order to support the better Haringey initiative in building sustainable communities it is imperative that the enforcement service introduce effective enforcement methods for dealing with the boroughs long-term vacant properties.

The Council's policy is to develop initiatives to encourage owners to bring long term vacant properties back into use. Despite the general increase in capacity and willingness of some owners to invest in their homes, a minority of homeowners have continued to struggle to keep up with the work that needs to be done. The 'Right to Buy' Scheme has created a cohort of owners, many of whom lack the income or savings to tackle repairs and maintenance in the longer term.

We acknowledge that much of what is achieved in bringing empty properties back into use is based on negotiation and gaining landlords' co-operation. However those owner occupiers and landlords who fail to co-operate and who are in possession of long-term vacant properties which blight our neighbourhoods and offer a haven for criminal activity will be subjected to enforcement action.

Clear standards and criteria for when enforced sales; compulsory purchases or empty homes management order procedures should commence will be developed, to ensure a consistent and coherent enforcement tool kit for dealing with empty homes is available to enforcement staff and empty property owners. Following changes in legislation (The Housing Act 2004) the Council is empowered to impose compulsory leases and will be able to undertake repairs to any properties that had been vacant for more than six months.

Enforcement of Houses in Multiple Occupation (HMO)

HMOs form an important source of low cost accommodation and the Council realises that they will continue to provide accommodation for certain households choosing to reside with in the borough. The Government believes that safe and properly managed HMOs have an important function in the private rented housing market. Many people need access to cheap flexible accommodation and in most areas HMOs meet this need. HMOs play a valuable role In Haringey by providing affordable accommodation in areas of high housing demand where rents are high. The physical conditions

and management standards in HMOs are often worse than in other types of accommodation. Occupants are at a far greater risk of death or injury than in any other type of residential accommodation. Facilities in HMOs are often very poor and below statutory standards and in some cases fire escape arrangements are unsatisfactory or unsafe. The impact that badly managed HMOs have on the community include:

- Adverse effect on the welfare and health and safety of tenants.
- Encouraging transience and community destabilisation.
- The property become an eyesore due to neglect
- Problems with dumped rubbish and waste
- Noise and anti-social behaviour
- May attract criminal activity (e.g. drugs, prostitution etc)

Haringey's Private Sector Stock Conditions Survey highlighted the impact HMOs have in the borough and the challenges they pose. It estimated that 3,077 dwellings acted as HMOs at the time of the survey (2001). It is very likely that due to the dynamics of the borough that this is an under estimation and the more likely level is in the region of 6,000. This lack of accuracy highlights the need for proactive measures to be introduced to accurately identify the number of HMOs in the borough. The survey found unfit levels at 27.5% of all bedsit HMOs, 19.3% are in substantial disrepair and 70.5% do not have provision for escape from fire. (*Private sector stock condition survey 2001*)

It is clear that the Council needs to take a greater interest in HMOs than other forms of residential lettings because of the risks to tenants and because of the sometimes adverse impact that HMOs have on their immediate area. The Council can take action to improve the condition of premises in a poor state of repair and has legal powers to ensure that certain types of improvements are made. Private landlords are also encouraged to acknowledge their responsibilities through the Landlord Accreditation

As a number of HMOs in Haringey are of a poor standard, the Council is committed to ensuring that standards are improved to provide satisfactory living conditions, but where this is not possible, to encourage conversions back into single dwelling homes. Enforcement action can be taken where HMOs have been created without the necessary planning permission. The Unitary Development Plan (UDP) seeks to provide a sufficient amount of decent housing that meets a range of needs, which is affordable and safe. However, the UDP recognises the issues revolving around a transient population and the impact the over concentration of certain types of housing such as HMOs and hostels and a poor standard of housing can have on a local community. The preparation of a specific Planning Guidance Document (PGD) on HMOs to help guide people wishing to convert their property into an HMO and enable the Council to exert more controls is necessary and will remain a priority for both the enforcement and planning services.

Through partnership working with planning and the enforcement services, health and housing team it is our aim to control the number of new HMOs by only granting planning permission for HMOs in areas where there is no over concentration of them, and to identify areas where HMOs would not be permitted. In addition the Council will encourage sub standard HMOs to be converted back to single family dwelling houses where there is no prospect of them being brought up to reasonable standards. In this way the planning system can help ensure that only appropriate dwellings are converted into HMOs and avoid over concentration in certain areas.

Unauthorised Housing Development and Planning Enforcement

Planning enforcement investigates and resolves alleged breaches of planning controls a total of 2699 cases were registered with planning enforcement between Jan 2002 and Nov 2004, a further 885 complaints were received in 2005. In 2006 from April to October there have been 110

Enforcement Notice instructions and 16 prosecutions relating to unauthorised developments. This reflects a significant rise of enforcement activity in previous years and a 611% increase on a similar period in 2005.

Unauthorised house conversions have always been a problem for the borough and until recently were investigated by two services investigating two separate aspects of a breach in legislation. A pilot initiative to identify illegal converted dwellings into HMOs has provided evidence that illegally converted HMOs pose a huge enforcement problem for the borough.

Decent Homes

The Government has acknowledged that investment in housing is vital not only to solve the housing crises but also to meet many other social needs. Poor housing is directly linked to shorter life expectancy, poor health outcomes, child poverty, poor education attainment and crime.

Information from the Private Stock Condition Survey shows a borough-wide unfitness level of 15.7% compared to 7.5% nationally. Green Lanes, Harringay and West Green wards have the highest levels of unfitness. Additionally, 90.8% of dwellings have faults with 50% showing both internal and external faults. Many people living in poor quality housing are the elderly and lone parents. *(stock condition survey 2001)*

Private sector housing plays a major role in meeting housing need in Haringey, providing homes to over 7,000 residents, the enforcement service supports the need to have a comprehensive Private Sector Housing Renewal Strategy to encourage the sector to provide affordable, accessible and decent housing for those wishing to rent or buy. The service also acknowledges that links with other strategies and initiatives is a significant factor for successful joint working. In order to achieve homes which provide a healthy, safe and secure environment for its occupant the enforcement service recognises those strategies such as anti social behaviour strategies, the Better Haringey Initiative, Neighbourhood Renewal, sustainable communities, homelessness and the Decent Homes Standards all have a part to play in providing decent, safe and comfortable homes for people to occupy and enjoy. Along with its partners and the new enforcement powers available for assessing the health and safety of a dwelling *(Housing Act 2004 HHSRS guidance)* the enforcement service is committed to improving the environment in which people have to live.

The Housing Health and Safety Rating System (HHSRS or the Rating System) is an important enforcement tool in improving health and providing decent housing accommodation. The HHSRS is the Government's new approach to the evaluation of the potential risks to health and safety from any deficiencies identified in dwellings. The HHSRS, although not in itself a standard, has been introduced as a replacement for the Housing Fitness Standard. The HHSRS is evidence-based. It is supported by extensive reviews of literature and by detailed analyses of statistical data on the impact of housing conditions on health. The HHSRS concentrates on threats to health and safety and in some cases, the impact on a person's physical, mental health or safety in relation to poor quality, comfort and convenience of a dwelling.

The enforcement service is responsible for the delivery of decent and safe accommodation for residents within the borough through partnership work with delivery agents and through carrying out enforcement action when necessary. The service also acknowledges that there is a need to work closely with the Primary Care Trust and the Voluntary and Community Sector on the cross service agenda that housing plays on improving health and well being.

4. The Vision for Enforcement

The Public's Vision

As part of our commitment to listening and consulting Haringey residents have been asked to provide their own priorities for the borough. The following 6 priorities have been repeatedly highlighted as their main concerns within the community.

- Rubbish dumping and fly-tipping
- Traffic, speeding and road safety
- Drugs and alcohol misuse
- Youth crime and youth disorder
- Anti-social behaviour
- Personal safety and violence

(Safer Haringey partnership data report June 2006)

Haringey Councils vision (*content here to be refreshed from new strategy*)

"To measurably improve the quality of life for the people of Haringey by tackling some of our biggest problems and making it a borough we can all be proud of."

This vision is clearly described and depicted within the council's Community Strategy. The council aim to achieve this vision by concentrating on five themes which represent the challenges the council must face if they are to make real progress. The council's priorities have been set to reflect the top priorities of local residents, public service providers, community groups and voluntary organisations.

Those priorities are to:

- Improve services
- Narrow the gap between the east and the west of Haringey
- Create safer communities
- Improve the environment
- Raise achievement in education and create opportunities for life long success.

(Community Strategy 2003-2007)

The Enforcement Service Vision:

"Sustaining Communities - helping when we can, being tougher when we need to be, improving all the time".

It is the Enforcement Service vision to make the borough a better place by working together to improve local services. Within the enforcement service we want to secure a healthy, safe, fair and sustainable, quality environment for those living, working, trading and at leisure in Haringey.

5. Enforcement Priorities and Aims

The enforcement service has developed four key priorities for driving and delivering both our services aims and objectives. In achieving these priorities we will make a valuable contribution towards meeting the Haringey Strategic Partnerships priorities set out in the council's vision as described in the community strategy 2003-2007 which is currently under review.

Key Priorities

- **Producing Healthier Communities**
- **Achieving Safer and Stronger Communities**
- **Creating enterprise and economic development**
- **Provide a highly efficient and valued enforcement service**

These key priorities reflect the work of the enforcement service and provide support to the councils Local Area Agreement commitment as well as providing strong evidence to support the current community strategy's wider council objectives. It is the aim of the enforcements key priorities to remain relevant and achievable whilst community strategies alter and grow as the borough dynamics change over the coming years.

Priority One	Healthier Communities
<p>Aims:</p> <ul style="list-style-type: none"> • To enforce the standards set for Houses in Multiple Occupation • To remove hazards identified within private rented dwelling which pose the greatest risk to the vulnerable occupant • To increase the percentage of vulnerable people living in decent homes in the private sector • To control the supply of age restricted products to children – e.g. alcohol, knives, tobacco • To intervene to protect health at work; and to ensure the supply of safe food, products and services • To reduce the impact of pollution, including noise, contaminated land, tobacco and other air pollutants <p>Good Practice in Haringey</p> <ul style="list-style-type: none"> • <i>Content here</i> • <i>underage sales programme,</i> • <i>energy efficiency,</i> • <i>Mandatory HMO,</i> 	

Priority Two Safer Stronger Communities

Aims:

- To target organised criminal activity including counterfeiting and supply of other illegal and dangerous goods
- To reverse and prevent unauthorised use and non permitted development
- To implement an enforcement tool for targeting unscrupulous, failing landlords
- To promote good citizenship and reduce the fear of crime
- To promote investment in area renewal
- To stop environmental crimes and the abuse of public spaces
- To act against landowners that neglect properties and create public eyesores

Good Practice in Haringey

- *Content here*
- *Use of 215 T&C P Act*
- *Work on NR sites*
- *Group Repair*
- *Junior Wardens*
- *Telephone boxes*
- *Social Clubs*

Priority Three Enterprise and economic development

Aims

- To encourage and support good landlords
- To promote safe places of entertainment and work
- To support businesses and traders to achieve compliance with regulations affecting them.

Good Practice in Haringey

- *Content here*
- *Accreditation and forums*
- *Food Safety Training and Safer Food better Business.*

Priority Four Efficient and valued service

Aims:

- To target enforcement based on the level of risk posed to the public
 - To provide enforcement processes that ensure the reasonable needs and expectations of our communities are met
 - To produce highly trained and motivated staff who can provide a flexible approach to enforcement activity
 - To develop and enhance communication and consultation systems that improve understanding and perception of enforcement
-
- *Content Here*
 - *DVD*
 - *Inspection programme performance*
 - *Enforcement structure and tactical enforcement*
 - *Web information*

6. The Enforcement Business Unit and Tactical Enforcement

The Enforcement Business service was established in 2003 with a newly created Assistant Director appointed in September 2003. In 2004/5 the service took on responsibility for planning enforcement, the coordination of five Neighbourhood Warden schemes, and the establishment of a Heavy Enforcement Team within a new Environmental Crime Group. Further changes have established Licensing within Trading Standards and the development of a new Street Enforcement Team

In 2006 the enforcement service introduced a new structure to enhance enforcement delivery and to allow flexibility of human resources across the service as and when demand and priorities for enforcement action are required. The introduction of new tactical area based officers allows the service to remain focused on individual neighbourhoods needs as well as targeting the priorities of the borough as a whole.

The service consists of 5 operational service groups supported by a Enforcement Support Group providing business support and administrative support.

Commercial Services Group

The Commercial Services group consists of two Enforcement Teams covering Environmental Health and Trading Standards and a Publics Health Services team including pest control, animal warden, mortuary and coroners court. These teams report to a Commercial Services Manager who has additional support from a Trader Liaison Lead Officer to support compliance strategies that do not rely on enforcement interventions.

Commercial Environmental Health includes the functions of Pollution Control, Health and Safety at Work and Food Safety. The team of 8 officers operates as a pool of resources supported by one Tactical Enforcement Officers and Lead officers for each of the key functions. Inspections for Food safety and Health & Safety at Work are operated through risk based programmes and supplemented by sampling a food programme. Response work includes the investigation of complaints and formal notification of incidents and accidents.

Pollution control includes the implementation of a Contaminated land Strategy and Air Quality Action Plan.

Trading Standards includes the enforcement of fair trading and consumer protection, together with the administration of the Licensing Authority role. The team of 5 officers operates as a pool of resources supported by one Tactical Enforcement Officers and Lead Officers for Licensing and for Trading Standards. Inspections for Trading Standards are operated through a risk based programme and supplemented by a test purchasing programme aimed at enforcing age restricted sales. Response work includes the investigation of complaints and formal notification of product reports.

Health and Housing

The Housing and Health group consists of a 3 officer groups. A strategic team of 3 Lead Officers develop and coordinate Private Sector Housing development on HMO licensing, private sector housing partnerships and landlord liaison report directly to the Service Manager.

A private sector housing enforcement team of 13 officers operates as a pool of resources delivering interventions according to the Private Sector Housing Strategy. Enforcement priorities here include the enforcement of HMO standards through licensing, the return of empty properties to use and health based interventions to remedy and remove housing risks in the private sector.

The service is supported by three Tactical Enforcement Officers focussing on our most problematic landlords and empty properties. These officers also carry a case load of planning enforcement of unauthorised housing development including unauthorised HMOs and conversions.

Environmental Crime

The Environmental Crime group includes a team of 13 Street Wardens service covering 3 scheme areas. Seven Sisters NDC, Northumberland Park and West Green, Bowes Park and Noel Park. The service also operates finite deployments to other locations where there are crime or antisocial behaviour issues arising. The service provides a visible uniformed presence and works closely within scheme areas to develop close contacts with community groups and other bodies. Wardens develop local intelligence to support enforcement work and some wardens have been trained and authorised to undertake enforcement work. Wardens also undertake youth diversion projects to remove offending opportunities and develop skills and self esteem.

The Street Enforcement team includes 14 uniformed officers undertaking full time enforcement. These officers operate across the borough provide a raid response to reported incidents such a fly tipping and patrolling areas including known environmental crime hotspots. The service uses a broad range of enforcement powers including fixed penalty notices. The service enforces the following

- Street Trading
- Highways – permissions, obstructions and abuse of the highway
- Litter and fouling
- Trade Waste and carriers licensing
- Fly tipping
- Fly posting, graffiti and criminal damage
- Planning Enforcement – advertising hoardings, for sale /to let boards, satellite dishes and eyesores.

Three Tactical Enforcement Officers carry a case load of Crime and Environmental Crime matters including the Public Eyesores programme, Problem Social Clubs and Nuisance Garages. These officers also coordinate joint enforcement operations and are the main service link to a range of enforcement partners including Safer Neighbourhoods Police Teams.

Enforcement Response

Enforcement Response includes two operational groups. A team of area based tactical Enforcement Officers and a Team of officers focussed on out of hours offending.

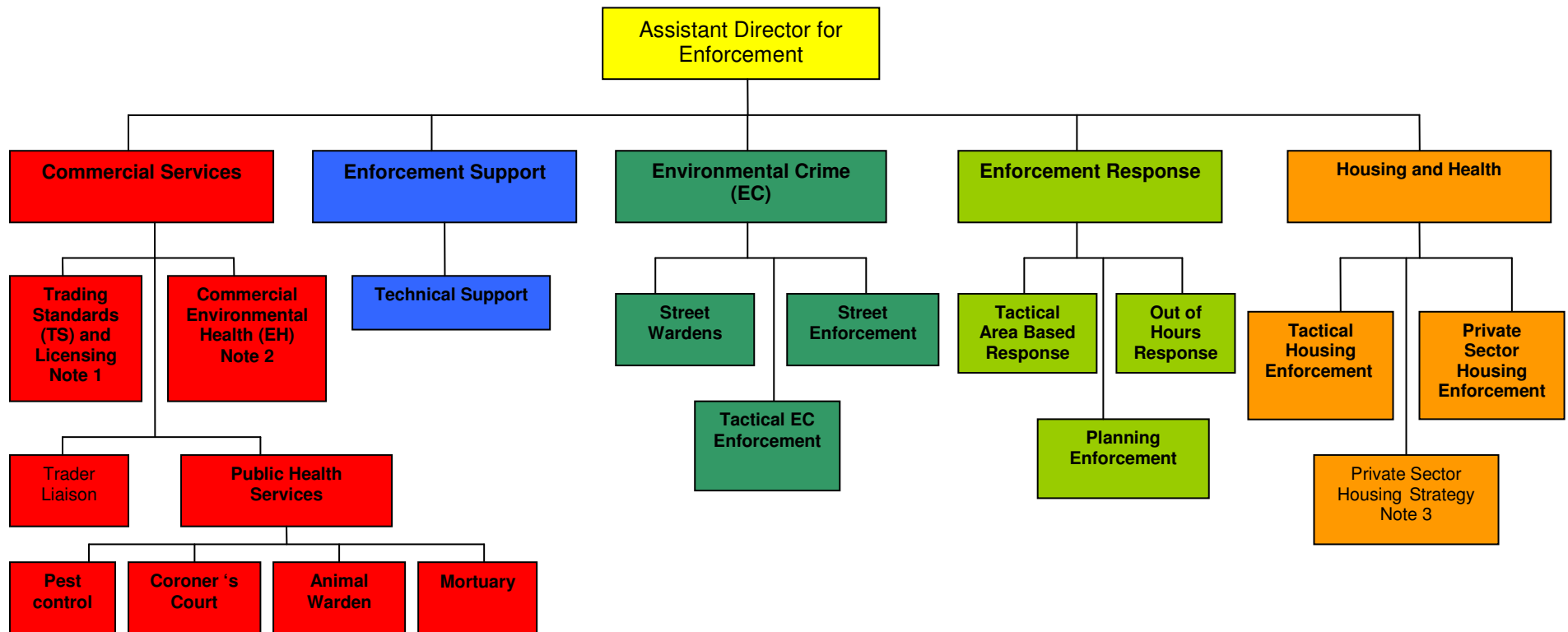
Area Based officers are responsible for maintaining the business unit links with area groups, enforcement partners such as SNT teams and other area based stakeholders. They will negotiate and commit resources for the Business unit for area based action plans. As enforcement officers they will also carry a case load of response enforcement work according to the priorities of an area including planning enforcement investigations.

Out of Office services provide a level of cover for all response work outside of normal working hours and provide additional backup to our daytime operations. The service provides a lead response on Noise and Licensing investigations but is commissioned to undertake other surveillance in support of daytime services.

Enforcement Support

Enforcement support are responsible for supporting enforcement processes and in particular training, information and intelligence sharing, trend analysis and member support.

The Enforcement Structure



Notes

1. Trading Standards include one Tactical Enforcement Officer and Lead Officers for Licensing and Trading Standards
2. Commercial Environmental Health includes one Tactical Enforcement Officer and Lead Officers for Pollution Control, Food Safety and Health & Safety at Work.
3. Private Sector Housing Strategy Team consists of Lead Officers for HMO licensing, Landlord Liaison, and Private Sector Housing Partnerships

Tactical Enforcement

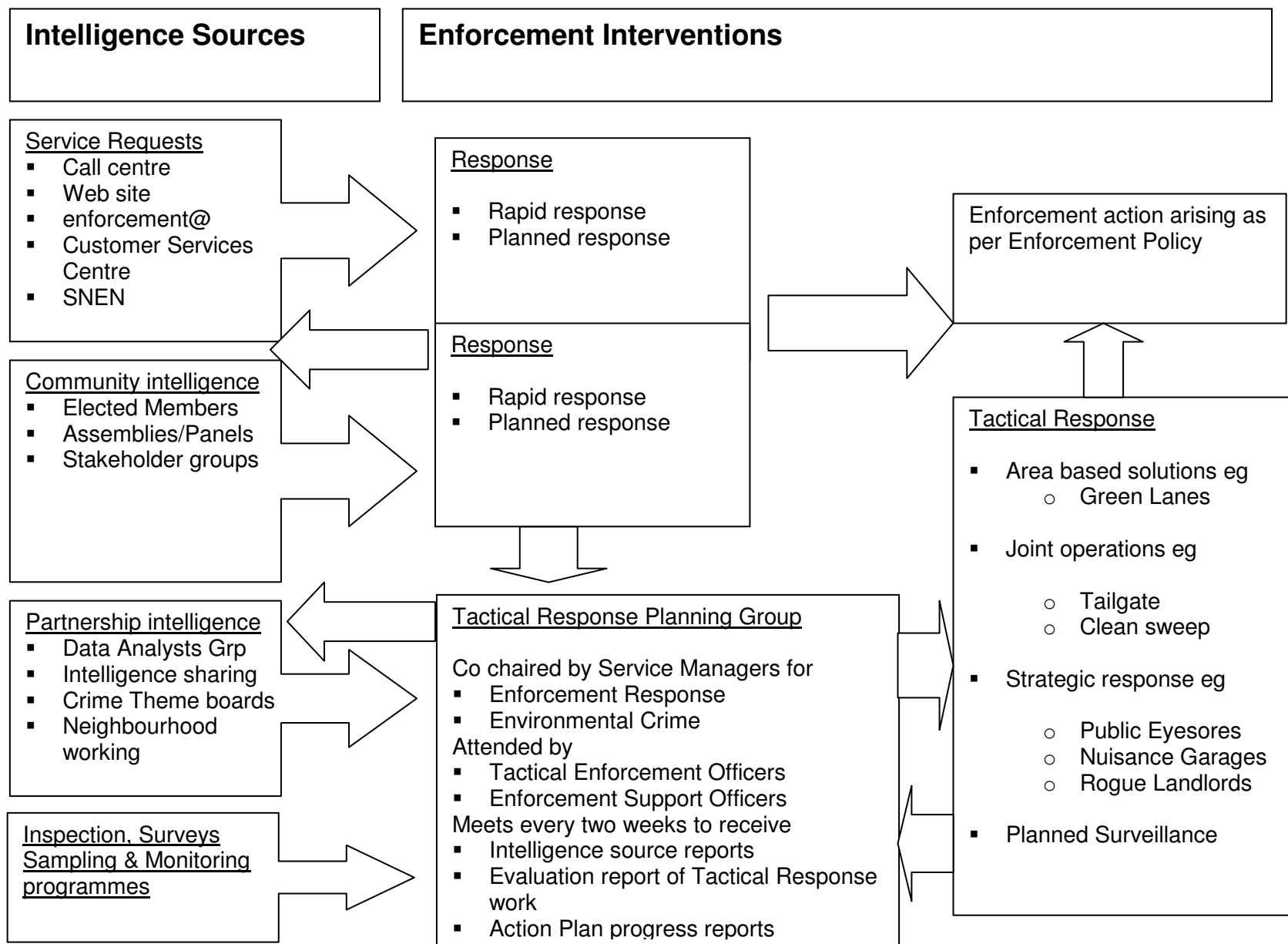
All service groups within Enforcement contain a Tactical Enforcement resource for deployment on the highest priority enforcement issues.

Organised and Prolific Offending - Some, but not all, tactical enforcement targets will reflect organised criminal behaviour and demonstrate prolific offending across crime areas. Tactical Enforcement Officers are experienced and flexible officers who are primarily tasked with specific strategic themes and who are provided with delegated authority to use a broad range of enforcement powers. Tactical Enforcement themes currently include

- Nuisance garages – dealing with motor vehicle trade offences, abuse of highway, control of waste and nuisance behaviour.
- Problem Social Clubs – dealing with licensing, planning, nuisance and illegal trading activities. Premises can become a magnet for other criminal activities.
- “Massage” premises – locations which used for illegal sexual activity
- Pirate Radio Stations – these tend stations to support organised crime and gangs. Residents in affected blocks can be at serious threat of violent behaviour.
- Public Eyesores – a programme of hotspot locations in the borough which have a detrimental impact on an area. Issues can include planning, environmental crime offences.
- Problem Landlords – dealing with landlords and letting agents that consistently flout housing standards, planning controls and which allow nuisance behaviour to exist in badly managed premises.
- Organised Crime - Traders operating in the informal economy are also often prominent and prolific offenders. They can be engaged in product counterfeiting, the introduction of illegal goods or the reintroduction of stolen goods to the market place, criminal deceptions, food adulteration, substitution and fraud or supply chain or long form frauds.
- Empty properties - persistently empty properties can become a magnet for environmental crime and ASB. Enforcement action provides a route for bringing such premises back into use.

Tactical Enforcement officers will operate from within the service groups but will also operate collectively on joint operations to establish cross service communications on enforcement targets. This will ensure that we prioritise our resources on our highest priority targets and ensure that will maximise the involvement of other enforcement partners. This tactical to approach is also called “heavy enforcement”.

A Tactical Response Planning Group exists to coordinate the use of intelligence across HSP partners and to plan joint enforcement operations. The flow of information through the service and which is used to plan tactical enforcement targets is shown in the chart below.



7. Our Approach and Enforcement Policy

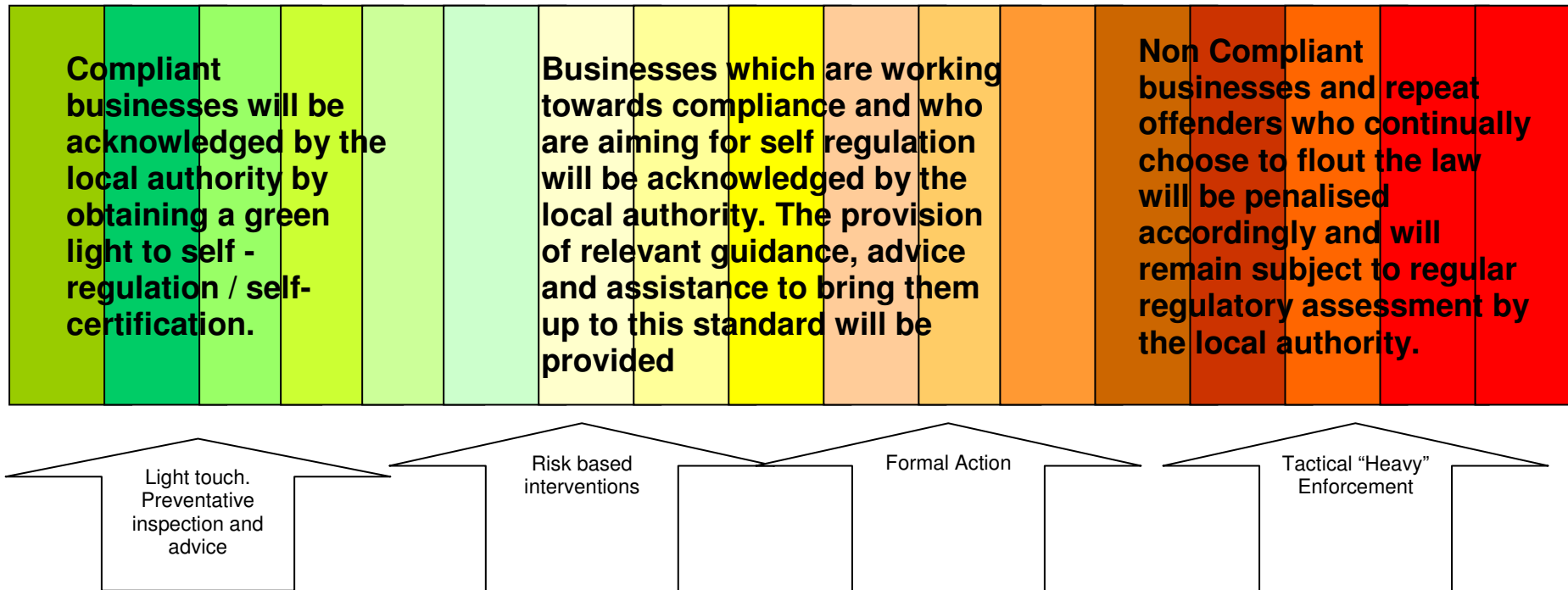
Clear Risk Assessed Interventions

It is the aim of the enforcement service to have an enforcement policy (Appendix 5) and strategy which is easily understood, easily implemented and easily enforced and which provides both quality and effectiveness in our enforcement delivery. It is our aim to provide a regulatory service based on risk assessment so that the burden of enforcement falls most on highest-risk business and individuals and least on those with the best records of compliance. This provision is part of an overall enforcement framework which should provide efficient and well focused enforcement delivery based on the principal of risk, making much more use of advice, and applying tougher and more consistent penalties where they are deserved. As a regulator providing improved advice, can lead to better regulatory outcomes, particularly in small business (*Hampton Review 2005*).

This framework which is depicted clearly within the Enforcement Policy supports some of the recommendations outlined in the Hampton review 'effective inspection and enforcement' document March 2005.

The Hampton review recommended a sliding scale of enforcement outcomes for dealing with offending. The penalty regime should be based on managing the risk of re-offending, and the impact of the offence, with a sliding scale of penalties that are quicker and easier to apply for most breaches with tougher penalties for rogue businesses which persistently break the rules.

Haringey spectrum of compliance model



Building on Good Practice

Accreditation

Accreditation is a tool which aims to provide business owners with information and professional development opportunities to allow them to operate a successful business and to provide their clients with a safe and high quality service. The aim of accreditation is to accredit the business / owner following successful completion of an approved course/inspection etc.

Accreditation is a means of providing evidence to a regulatory provider that your business has been assessed for standards of quality, by an external source. As a regulatory service the use of accreditation as a source of good quality data as part of a risk assessment is essential. Accreditations such as the British standards institute, performance in different regulatory regimes, landlord accreditation and the existence of management systems are examples of quality data that can be taken into consideration when carrying out risk based assessments

Skills Training for Support for Businesses

Content Here

Landlord Accreditation

The Government is promoting landlord accreditation schemes as an effective means of improving the private rented sector for the benefit of all. The Landlord accreditation is founded on the belief that the more knowledge and awareness landlords have regarding the key property management issues, the more likely it is that their properties will be maintained to a higher standard, their tenants' safety and health will be improved and, perhaps of equal importance to landlords, their businesses will be better protected against falling foul of the complex laws surrounding the letting of residential properties. The educational development of participating landlords is the king-pin to ensure that they fully understand their obligations not only in a legal sense, but also the more general responsibility they have to the communities in which their properties are situated. Issues such as current legislation, basic structural requirements, tenancy agreements, inventory control, gas/electrical safety, harassment and illegal eviction will be covered, as well as the delivery of comprehensive information on Housing Benefit procedures and other relevant matters.

Integral to Landlord accreditation is the 'fit and proper person' concept, introduced by the Housing Act 2004 through the provision of Licensing powers held by the local authority. Accredited landlords will be closely linked to a Code of Conduct which every accredited landlord must sign up to. Haringey council works in partnership with other London boroughs in a Pan London Landlord accreditation initiative providing landlords with guidance and training which will allow them to run their businesses compliantly.

Working with Neighbourhoods and Area Based interventions

Haringey Council as part of its community involvement plan declared seven area assemblies across the borough. As part of bringing Haringey Council services, closer to home each area has been provided with a neighbourhood manager. The managers work through the council's seven area assemblies bringing the council and other agencies together with local people to tackle local problems. Making a difference at a local level means that residents, ward Councilors and community groups can be involved with local improvement projects which really matter to local residents living in that neighborhood.

Area based working through joint partnerships with the community, police and other agencies allows for targeted, evidence based, tactical enforcement work specific to the concerns of that community group. The diversity within Haringey and the need to narrow the gap between the east

and west of the borough means that enforcement action can be tailored to a specific area targeting those problems accordingly. A problem in one ward within the borough may be very different to the problems faced in another area of the borough. This method of working allows resources to be allocated according and allows communities to feel they are being heard.

Partnership Working

Partnerships are key to the delivery of services across the local authority as a whole, the development and use of effective partnership can be seen through the work of the HSP and the Community Strategy and the work being carried out through the Local Area Agreement. The Enforcement Service has developed very successful partnerships with both internal service providers and external stakeholders. See Appendix 2 These partnerships have enabled the enforcement service to carryout successful targeted and tactical joint operations, which have been highly organised and intelligence led.




Effective partnership working is a critical element in the management of anti-social behaviour. Partnership working has been an integral tool in enforcing environmental anti-social behaviour and its relationship with other types of criminal activity.

A varied and expanding programme of joint operations has been developed over the past three years between the environmental crime group our internal and external partners such as the Police, DAAT, Safer, stronger Communities Team, Housing and ASBAT .

A series of joint operations known as “Tailgate” has been built on joint planning and high visibility in some of the boroughs crime hotspots. Tactical Enforcement are responsible for investigating, co-ordinating and targeting enforcement action on those perpetrators who continuously choose to flout the law and pose the greatest environmental risk to our communities. By working together and utilising all respective powers, operational partners and resources the heavy enforcement and environmental response team can strive to successfully target the boroughs repeat offenders and facilitate other partnerships and strategies in meeting their objectives.

Content here on Tailgate outcomes

Examples of Achievement

	Environmental Crime	
Operation 'STOP IT'	<p>A multi disciplined Enforcement operation which works along side partners. Environmental Crime Group and Police officers from the Safer Neighbourhood Team White Hart Lane have conducted Operation Stop It' in the N17 and N22 areas. The operation focuses on vehicles carrying waste, cars offered "for sale" on the public Highway (nuisance parking) and abandoned vehicles. A Operation Stop IT campaign allowed Haringey to be one of the first authorities to utilise new seizure powers that came into force in April.</p>	
Public Eyesores	<p>major clean-up operations across the borough have been carried to combat some of the publics biggest public eyesores. An example can be seen at Gourley Place, South Tottenham where public eyesore has been tackled. An area near a railway embankment that has been used as a dumping ground for up to 20 years! contained a build up of rubbish behind an old wall and fencing. Rubbish piled up to seven feet high. At least 110 tonnes of rubbish has been removed at a cost to the landowners of £28,000. Fencing collapsed during the clean-up and had to be rebuilt at a cost of £3000 to Network Rail.</p>	 
Early Bird continues to catch worms	<p>The Heavy Enforcement Team (HET) carries out work with Licensing to ensure premises who have late night business licences are complying with their conditions.</p> <p>Operation early bird targeted areas such as Green Lanes to ensure all businesses were compliant with legislation governing late night business activities.</p> <p>At the end of July, one restaurant in Green Lanes was found guilty of four separate offences for using the premises to supply late night refreshments. The license holder was fined a total of £450 and costs of £656.35.</p> <p>Another licence holder was found guilty of two separate offences for using the</p>	

	premises to supply late night refreshments. The license holder was fined £500	
Illegal gaming machine sites	At the end of July Environmental Crime Group Officers and Metropolitan Police carried out joint operation to target unlicensed gaming machines (pictured below) in the borough. 14 businesses complied with the 7 day notice and removed unlicensed gaming machines from their premises. Two businesses failed to comply therefore machines were disabled and the contents seized.	
Tottenham shops fined for under age sales	An operation to detect licensees who sell goods to underage customers resulted in Licensees of two shops pleading guilty to selling alcohol to under age test purchasers in an exercise carried out by Trading Standards in conjunction with the Police. Both were fined and charged costs. Several other cases are pending. The owner of a newsagent in Tottenham High Rd. pleaded guilty to selling alcohol to two 14 year old girls and was fined £250 with £200 costs. A Supermarket in Lordship Lane was fined £500 with £204 costs for a similar offence. These are encouraging results given that the maximum fine under the old Act was only £1000. A number of cases are pending that fall under the Licensing Act 2003, which raises the maximum fine to £5000. Alcohol was also confiscated from a business that had previously been served with a notice for selling alcohol without a license.	
Education and training achievement	<p>The Food Safety Team has run three workshops promoting “Science at Work “at Alexandra Park School for 60 students .The interactive programme was aimed at stimulating a greater interest in science for 14/15 year olds and to show the relevance of science for a range of occupations such as Environmental Health.</p> <p>The Commercial Group organised training for 22 businesses as part of a campaign to teach ‘Safer Food, Better Business” (SFBB) to small and medium sized caterers. Operators who attended an initial 3 hour session can access a free one to one coaching session at their business premises.</p>	
Empty homes brought back into use	An example of the continued partnership between the housing service, enforcement service and the North London Sub Regional Partnership saw 23 grants totalling £669,000 being given by Housing Grants and Regeneration to bring empty properties back into use, 48 units to the private sector leasing team were provided. 3 empty double fronted properties in Chandos Road N17 which previously occupied squatters and fly-tipping has been regenerated due to a grant aid and agreement between Haringey and the developer. 12 flats have been let to Council for five years to re-house homeless families	

Better shop fronts along Seven Sisters Road

A Seven Sisters road renewal project has begun which will see 19 new shop fronts constructed through funding by the NDC. The improvements will have a significant impact on both the quality of the built environment and the sustainability of small business in the area. The 11 week build will finish in mid-July. Gladesmore Community School has been heavily involved in the design process.



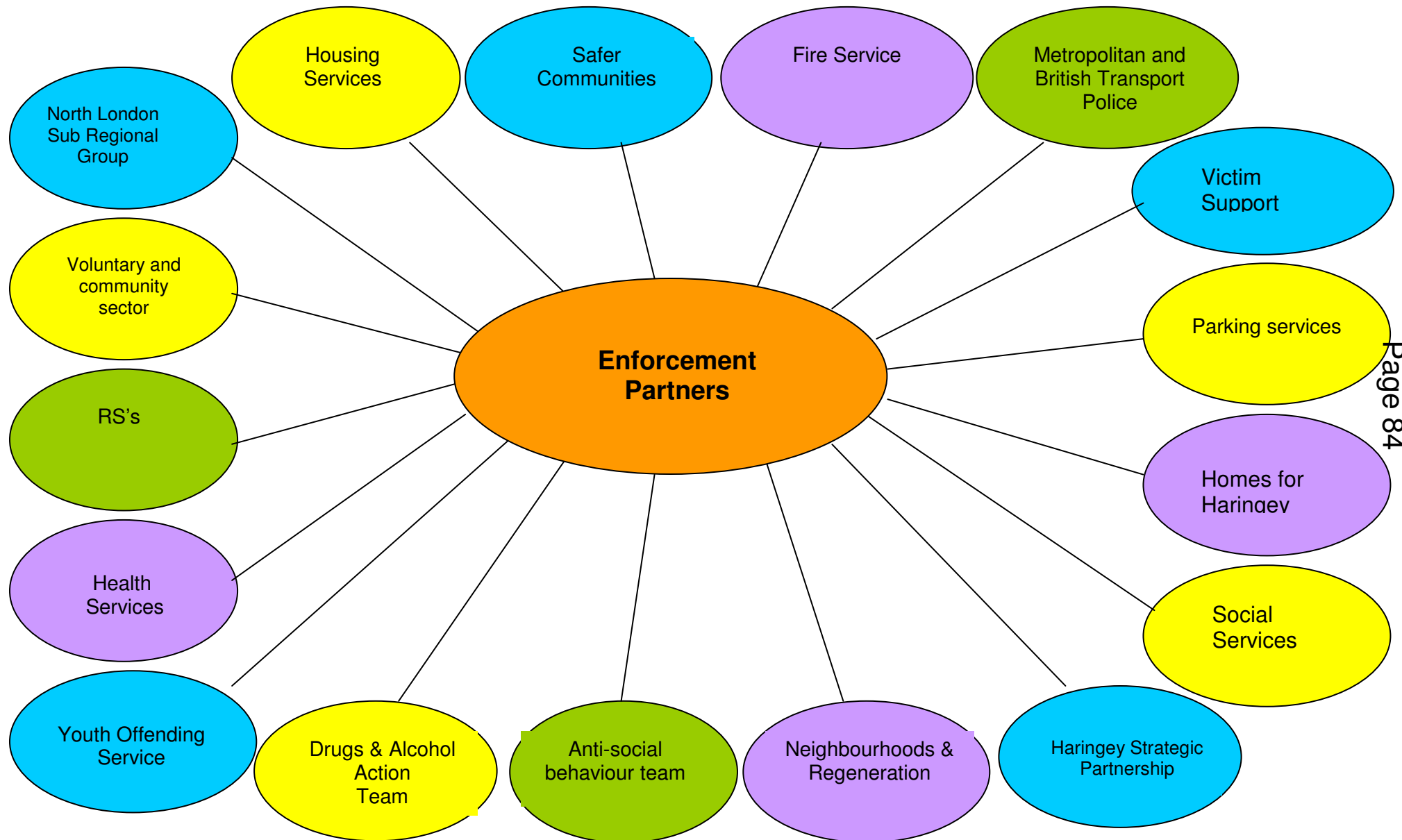
8. Strategic Implementation and Action Plan

The Enforcement Strategy will be delivered through the Enforcement Strategy Action Plan. *(to provided as Appendix3)*

Our strategic approach to delivering the strategy's main objectives will be implemented through the following:

- Ensure that we have clearly identified and agreed priorities for enforcement by adopting an enforcement policy which will provide, proportionate use of enforcement tools and ensure that we take the toughest action on issues that are a priority for Haringey. The Enforcement Policy provided as an Appendix to this strategy identifies the range of enforcement options and the decision making frame work for taking action.
- To meet our statutory responsibilities but ensure we target our enforcement action on areas where the greatest risk could come from non compliance whilst accrediting, developing and celebrating good trading practice and publicising enforcement outcomes whilst shaming its offenders. This will include testing the use of discretionary powers and byelaws.
- Ensure resources are targeted effectively by using:
 - intelligence led activity,
 - covert and overt surveillance
 - problem solving
 - joined up interventions with our enforcement partners
 - Risk based programmes of intervention
 - Out of hours activity and operations
- Ensure that our enforcement service has the correct balances in place to take into account differences in language, disabilities and culture, to engage with these communities and to enable us to listen to what they say.
- Ensure that staff are able to provide a competent and well managed enforcement service through effective training, decision making and resource planning.
- Provide a response to complaints that will deliver intervention that will catch offenders and stop nuisance as it happens as it first priority.
- Increase our profile within the borough by patrolling of public spaces and providing a visible presence within our neighbourhoods.

Appendix 1. Enforcement Service Partners



Appendix 2 DRAFT Haringey Council Enforcement Policy

1. Introduction

- 1.1. The primary purpose of this enforcement policy is to provide a framework for effective enforcement decision making by authorised officers of the London Borough of Haringey. This policy document states the principles and practices that the Council will apply when deciding on appropriate courses of enforcement action.
- 1.2. Use of the policy and its decision framework will ensure that enforcement action is directed towards the priorities of Haringey.
- 1.3. Haringey Council has both statutory duties to investigate a range of offending activities and powers to enforce standards and prosecute offending where necessary.

2. Enforcement in Haringey and Policy Scope

- 2.1. Enforcement is provided through a number of business units but mainly through the Enforcement Service. Haringey Council's Constitution and in its delegation schedules under Part F 'Decision-making' and Part F.7 Schemes of Delegation Schedule identifies the relevant delegated officers for the discharge of enforcement powers.
- 2.2. The scope of this Enforcement Policy includes all of the powers delegated and described below:-
 - Animal Welfare
 - Antisocial Behavior
 - Benefit Fraud
 - Building Control
 - Consumer Safety
 - *Children in Education*
 - Environmental Protection
 - Fair Trading
 - Fly posting
 - Food Safety
 - Graffiti
 - Highways
 - Health and Safety at Work
 - Licensing and Registration
 - Litter and waste
 - Planning
 - Private Sector Housing
 - Public Health and Nuisance

3. Strategic links for Enforcement

- 3.1. *Haringey Council's Community Strategy identifies how the borough will improve the quality of life for people living, working, learning, visiting and*

Appendix 2 DRAFT Haringey Council Enforcement Policy

investing in Haringey. The current strategy sets out the priorities of the Haringey Strategic Partnership (HSP) until 2007 and provides five priorities to make the borough a better place through working together.

- 3.2. Enforcement action taken by the London Borough of Haringey will support these priorities by
- Supporting compliant businesses and behaviour
 - Providing effective enforcement interventions that can resolve offending behaviour when it occurs.
 - Demonstrating that the reporting of offending behaviour will have a proportionate consequence.
 - Targeting offending behaviour that causes fear of crime, compromises health and safety or which degrades the environment
 - Protecting the young and the vulnerable from exploitation and harm.
- 3.3. Where enforcement powers are used we will ensure that it is targeted so that those that persistently offend, or have a disregard for safety, or who target or exploit the young or vulnerable, or that abuse our public spaces will receive the toughest penalties.

4. Hampton and Macory Reviews, and the Enforcement Concordat

- 4.1. As signatories to the Enforcement Concordat, Haringey Council is committed to applying the principles that it sets out and these have also been incorporated into this Enforcement Policy. A copy of the Concordat is provided as Appendix 1.
- 4.2. The Hampton Review, 'Reducing administrative burdens; Effective Inspection and Enforcement' has established a further set of principles for enforcement. These principles, provided as Appendix 2 are produced together with published "principles" and "characteristics" for enforcement sanctions from the Macory report of November 2006. This report was commissioned as a result of the Hampton review to report on options that would add to regulators enforcement toolbox. These principles and characteristics have been included where possible into the decision making framework provided by this policy.
- 4.3. Following the introduction of the Legislative and Regulatory Reform Act 2006 a new Regulatory Compliance Code will be published which will supersede all or part of the Enforcement Concordat. The draft contents of the code have been incorporated into this Policy.

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5. Enforcement Principles

5.1. The following principles are those that will be applied by enforcement services in the London Borough of Haringey.

5.2. Standards

5.2.1. We will consult widely with the community, businesses and other stakeholders to draw up clear standards setting out the level of service and performance we expect to provide. We will publish these standards and our performance against them.

5.2.2. We recognise that it is important that we ensure the competency and quality of our enforcement staff. All officers and elected Members of the Council, that are authorised to take delegated enforcement decisions will be able to demonstrate that they have been trained, have undergone robust peer review and hold qualifications where required. We will have in place monitoring systems that will demonstrate that all enforcement decisions taken are traceable to this policy.

5.2.3. In cases where we investigate alleged offences our enquiries will be completed promptly regardless of legal time limits for Court action.

5.3. Openness

5.3.1. We will publish information and advice about the rules that we apply and the further policies that influence decision making.

5.3.2. Where formal action is taken or under consideration, we will ensure that our reasons are clear and that any appeals procedures available are explained.

5.3.3. Where copies of notices are required to be kept on public registers we will ensure that we do this and that there is easy access to the registers.

5.3.4. Where we have undertaken a risk assessment we will be open about the methodologies we use.

5.4. Helpfulness

5.4.1. We will provide a courteous and efficient service. Our staff will identify themselves by name and provide a contact point and telephone number for further dealings with us.

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- 5.4.2. We will ensure that, wherever practicable, our enforcement services are effectively coordinated to minimise unnecessary overlaps and time delays. Where possible information collected by a Council enforcement team will be shared to avoid that business having to give the same information twice.
- 5.4.3. We believe that prevention is better than cure. We will advise on and assist with compliance and will work particularly actively with small and medium sized businesses.
- 5.4.4. We will provide information in different community languages for businesses and individuals where appropriate.
- 5.4.5. We will provide responses to requests made under the Freedom of information Act 2000 and Environment Information Regulations 2004. We will provide advice or assistance where help is requested according to our published standards.
- 5.4.6. We will aim to feedback to those that use and support our services with timely and appropriate information on the key milestones in the investigation of a case.

5.5. Feedback about our services and complaints

- 5.5.1. We will actively seek the views of those who receive our services about how we can improve.
- 5.5.2. We will provide well publicised, effective and timely complaints procedures that are easily accessible to business, the public, employees and consumer groups.
- 5.5.3. In cases where disputes cannot be resolved, we will explain any right of complaint or appeal, with details of the process and the likely time-scales involved.
- 5.5.4. We will provide access to the Council's public complaints procedure to anyone who is unhappy about our service.

5.6. Fairness, Risk and Proportionality

- 5.6.1. We will seek to advise and inform on potential offences and help individuals to avoid offending behavior.
- 5.6.2. We will work constructively with businesses that are honestly trying to comply with the law, and help them towards compliance.

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- 5.6.3. We will provide an opportunity for the party in suspected breach to discuss the circumstances of the case and try to resolve the breach. However, we will not hesitate to use powers of direct action designed to tackle offending where there is a clear and current unacceptable breach or an imminent risk. This includes the use of powers to seize, close or stop and operation, or the use of fixed penalty notices.
- 5.6.4. No matter will be taken to formal action simply to elicit a fee, penalty charge or similar payment.
- 5.6.5. We will always consider whether it is expedient to take planning enforcement in the case of unauthorised development. We will normally take enforcement action only when it is essential to protect the amenity of the area, public or highway safety, and the integrity of the development control process. We will not issue a formal notice solely to remedy the absence of a valid permission and will normally suspend enforcement proceedings whilst considering a valid formal application to remedy the matter or where there is an appeal pending, unless the breach is considered to be particularly serious.
- 5.6.6. Haringey Council believes that certain offences are unacceptable in any circumstance and will apply a "Gravity Factor" to certain matters. The areas where gravity factors are applied will be determined by Executive Member decision. Where such gravity factors apply the Council will seek to take the highest available action available, including action for first offences. Those offences where gravity factors are applied are provided as Appendix 3.
- 5.6.7. We will minimise the cost of compliance by ensuring that any action we require is proportionate to the risks and seriousness of the breach.
- 5.6.8. We will develop joint enforcement responses with our colleagues in other enforcement agencies and use these to ensure that our most persistent and prolific offenders receive the toughest outcomes.
- 5.6.9. Where the Council has to execute works in default, because a responsible person has failed to, we will recover our full economic costs either by agreement or through the courts.
- 5.6.10. As far as the law allows, we will take account of the circumstances and attitude of alleged offenders when considering action.
- 5.6.11. We will take into consideration the views of anyone who is alleged to have been injured or suffered loss. Where possible and where prosecution is successful, we will seek a court order to achieve compensation.

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- 5.6.12. We will consult with enforcement authorities with special responsibility for the decision making base of a company or the source of an offending product or service.
- 5.6.13. We will take particular care to work with small businesses, voluntary and community organisations.
- 5.6.14. Where we are successful in Court we will always apply for the full costs of that investigation and prosecution.
- 5.6.15. Where we are successful in taking prosecution cases, we will publicise these results so that we inform others about the consequences of failing to comply with legal requirements.

5.7. Consistency

- 5.7.1. We will carry out our duties in a fair, equitable and consistent manner.
- 5.7.2. We will promote consistency, and make effective arrangements for liaison with other authorities and enforcement bodies.
- 5.7.3. We will monitor the outcomes of enforcement, audit the competence of our staff and run regular training to ensure that our authorised officers are qualified and competent.
- 5.7.4. The Council supports the 'Home Authority Principle' developed by the Local Authorities Coordinators of Regulatory Services ('LACORS').
- 5.7.5. The Council has established information sharing protocols to ensure that it and its partners have access to accurate and appropriate information when taking enforcement decisions.
- 5.7.6. Where we have shared enforcement responsibilities with others we will work with them to ensure a consistent approach. This includes other enforcement agencies and other Council services.
- 5.7.7. We will take formal action only where we are sure that it is consistent with this policy.

5.8. Monitoring

- 5.8.1. We will monitor the outcomes of enforcement and compliance with this Policy.

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5.8.2. We will monitor our compliance with the Council's equalities policies and best practice.

5.8.3. We will publish reports on our compliance with this enforcement policy and any variations will be addressed in our published business plans.

5.9. Targeting

5.9.1. No inspection will take place without a reason.

5.9.2. We will use risk assessment to target our planned inspection programs and to prioritise our activities. Our greatest effort will be directed where a compliance breach would have serious consequences; and the individual business is at high risk of a compliance breach. Where the risk of an adverse outcome is low we will not automatically inspect.

5.9.3. Risk assessment will

- assess and balance the likelihood of compliance failure, the seriousness of compliance failure, the business's past performance and its current practice;
- Use all relevant, good-quality data that can be readily obtained, including that available from third parties such as independent accreditation schemes
- Not use any irrelevant, inaccurate or unreliable data

5.9.4. Our response times and inspection intervals will be traceable to an assessment of risk and seriousness of offence. We will take account of local needs including those of business owners, employees and the public in setting targets and priorities. However, our inspections intervals will not be predictable.

5.9.5. Inspection programs and information will be coordinated across agencies to ensure the burdens on business are minimised.

5.9.6. We will use problem solving techniques to develop strategies for resolving problems and ensure that available intelligence is use to inform these strategies and our tactical enforcement operations.

5.9.7. We will use information from area based groups and stakeholders to ensure that our enforcement response to problem locations is informed by local intelligence.

5.10. Human Rights

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- 5.10.1. We will always respect the rights and freedoms of individuals as set out in the Human Rights Act 1998 and we will comply with the protocols described in the Act.

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6. Enforcement Processes

6.1. Our delivery of enforcement will be based on four methods of intervention:

- **Education** - we will promote good practice, support training initiatives and provide advice where it is practicable to do so.
- **Planned Inspection** – we will operate a number of risk based inspection programs for trading regulation
- **Responding to complaints and information** - we will prioritise our response to complaints and other notifications by an assessment of risk.
- **Intelligence led** – We will monitor trends in enforcement and non-compliance and carry out targeted and tactical enforcement projects

7. Enforcement Decisions

7.1. The Council will often have a number of enforcement options for most matters ranging from verbal advice on compliance through to prosecution. The following will be used to help us determine the correct level of action in any particular case:

7.2. How serious is the matter?

- Was there disregard for the law or a published policy of the Council.
- Was there significant gain, dishonesty or intention to deceive?
- Has there been reckless disregard for safety?
- Has there been serious injury, loss or public alarm?
- Are there multiple offences?

7.3. What is the previous history?

- Is it a repeat offence?
- Has previous advice or advice made available on how to comply with the law been ignored?

7.4. What steps have been taken to get information about compliance?

7.5. Is the action proposed likely to be effective in preventing recurrence of the offence?

7.6. Will serious or irreversible consequences result from a failure to comply with a legal requirement?

7.7. Does a Gravity Factor apply?

- This will relate to issues of major area of local concern and will be subject to review by the relevant Executive Member.

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7.8. Appendix 4 contains a decision framework to determine levels of enforcement intervention based on the options available in each area of enforcement activity. This framework or an equivalent record will be used to record the reasons for a formal action or the decision to take no action where an offence has been identified. In the case of lower level offending this may be in the form of a relevant contemporaneous note or through the detail provided by a formal notice. Decisions likely to result in a formal caution or prosecution require a higher level recorded information. Formal records will be made available on request to those against whom action is taken.

8. Enforcement Options

8.1. In summary the options available fall under the following hierarchy. Each enforcement area will publish specific process information to show the detailed framework for enforcement action that it uses.

8.2. Informal action will be taken in the first instance where the matter is not serious, the past history shows no similar problems, there is no risk to health or fraud and we have confidence that compliance will be achieved. Voluntary organisations will normally be dealt with at this level.

8.3. Advice from Officers will be put clearly and simply. It will be confirmed in writing, explaining why any remedial work is necessary and over what time-scale. We will make sure that legal requirements are clearly distinguished from best practice advice.

8.4. Where advice has been given and repeat offences are found, formal action is likely to follow.

8.5. Agreements and Undertakings

8.6. Agreements and undertakings are informal procedures, aimed at stopping problem behaviour or continuing offending. Rather than punishing the offender these can be signed and agreed by an offender to record acceptable improvements that will prevent future offending. They will form a record that can be used as a record should further action be required.

8.7. Notices Requiring Improvement or Works will be used where there are recurring matters not resolved informally; or significant contraventions; or risks to health or the environment.

8.8. Once we have served a notice requiring improvement or works to be undertaken, we will continue to provide advice and support to ensure that the recipient understands it and is able to comply with it fully. We will regard failure to comply with a notice as a serious matter which will normally result

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in either a formal caution (for example in the case of a first offence) or prosecution.

- 8.9. Before formal enforcement action is taken, officers will provide an opportunity to discuss the circumstances of the case and, if possible, resolve points of difference and agree time scales for compliance. In the case of vulnerable groups we will consult with any appropriate representative bodies.
- 8.10. Fixed Penalty Notices are an alternative to a prosecution. They will be used where an offence committed does not warrant prosecution in the first instance and where the cost of prosecution and any likely fine arising makes prosecution not in the public interest.
- 8.11. Fixed penalty notices will be used as an effective warning that a matter is an offence and will result in prosecution if they are not paid and no appeal is upheld.
- 8.12. Notices Requiring Information - These will be used to help identify responsibility for matters we are investigating. Failure to comply with a notice will normally result in a prosecution because such a failure will often frustrate the progress of further and more serious enforcement action.
- 8.13. Notices Prohibiting or Stopping Activities will be used where an activity poses a significant risk to health, irreversible damage or the environment. Where the risk exists at the time of the action or is imminent we will immediately use powers available to close premises or parts of premises, seize or detain articles, equipment or food to remove the risk effectively.
- 8.14. Where Officers consider immediate notice action is necessary, they will give an explanation of why such action is needed at the time and confirm in writing in the notice served at that time. If requested, officers will provide further written explanation of their decision within 10 working days.
- 8.15. Work in Default - Where we have served a notice requiring works to be undertaken and there is not compliance, we will exercise powers available to us to arrange for the improvement work to be carried out at their expense. This is known as 'work in default' and we will always seek to recover our full economic costs from the person receiving the original notice.
- 8.16. Review of Licence and Registration Conditions - The Council has published a Licensing Policy and Gambling Policy that sets out its approach to the issue of licenses.

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8.17. Formal Cautions will be issued where there is clear evidence and acceptance of an offence by the offender. Where cautions are offered as an alternative to prosecution, we will require that the costs of that investigation are met as part of the conditions for the issue of that caution. The purpose of a formal caution will be:

- to deal quickly and simply with less serious offences;
- to avoid unnecessary appearances in criminal courts; and
- to reduce chances of re-offending.
- to deal with cases where it is not in the public interest to prosecute.

8.18. Where a formal caution is issued the Council will expect its investigation costs to that point will be met. Failure to agree an offer of formal caution will lead to prosecution.

8.19. Prosecution - we will follow the Crown Prosecution Service code for prosecutions when considering enforcement action. Details of this are provided as Appendix 6 and have been included into the decision making framework under Appendix 5.

8.20. Injunctions and Court Orders. – these will be used where an offender persistently offends and where a prosecution or threat of prosecution is unlikely to remedy the breach.

8.21. Proceeds of Crime Act 2002

8.22. Following conviction for an acquisitive crime, a court can be asked to issue a confiscation order: an order to the convicted defendant to pay a sum of money representing the defendant's benefit from crime. The sum will have been determined during the investigation, or at a later date.

8.23. Enforcement Procedures

8.24. We will maintain written enforcement procedures designed to implement this policy. Officers will be trained in the use of these procedures and will have authority to take enforcement actions traceable to them. Where enforcement results in a formal caution or prosecution, Officers will provide on request a copy of this policy and a justification for their action.

8.25. Review

8.26. We will review this policy and update it to reflect changes in its source documents and controlling bodies. We will also review its effectiveness in supporting the Council's and the Community's priorities.

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8.27. We will consult with stakeholders before and after making any significant changes to this policy.

Where other factors affect our decision to prosecute we will publish them.

Enforcement Policy Appendices

Appendix 1

The Principles of Good Enforcement:

Policy and Procedures

This document sets out what business and others being regulated can expect from enforcement officers. It commits us to good enforcement policies and procedures. It may be supplemented by additional statements of enforcement policy. The primary function of central and local government enforcement work is to protect the public, the environment and groups such as consumers and workers. At the same time, carrying out enforcement functions in an equitable, practical and consistent manner helps to promote a thriving national and local economy.

We are committed to these aims and to maintaining a fair and safe trading environment. The effectiveness of legislation in protecting consumers or sectors in society depends crucially on the compliance of those regulated. We recognise that most businesses want to comply with the law. We will, therefore, take care to help business and others meet their legal obligations without unnecessary expense, while taking firm action, including prosecution where appropriate, against those who flout the law or act irresponsibly. All citizens will reap the benefits of this policy through better information, choice and safety.

We have therefore adopted the central and local government Concordat on Good Enforcement. Included in the term 'enforcement' are advisory visits and assisting with compliance as well as licensing and formal enforcement action. By adopting the concordat we commit ourselves to the following policies and procedures, which contribute to best value, and will provide information to show that we are observing them.

Enforcement Policy Appendices

Principles of Good Enforcement: Policy

S T A N D A R D S

In consultation with business and other relevant interested parties, including technical experts where appropriate, we will draw up clear standards setting out the level of service and performance the public and business people can expect to receive. We will publish these standards and our annual performance against them. The standards will be made available to businesses and others who are regulated.

O P E N N E S S

We will provide information and advice in plain language on the rules that we apply and will disseminate this as widely as possible. We will be open about how we set about our work, including any charges that we set, consulting business, voluntary organisations, charities, consumers and workforce representatives. We will discuss general issues, specific compliance failures or problems with anyone experiencing difficulties.

H E L P F U L N E S S

We believe that prevention is better than cure and that our role therefore involves actively working with business, especially small and medium sized businesses, to advise on and assist with compliance. We will provide a courteous and efficient service and our staff will identify themselves by name. We will provide a contact point and telephone number for further dealings with us and we will encourage business to seek advice/information from us. Applications for approval of establishments, licenses, registrations, etc, will be dealt with efficiently and promptly. We will ensure that, wherever practicable, our enforcement services are effectively co-ordinated to minimise unnecessary overlaps and time delays.

C O M P L A I N T S A B O U T S E R V I C E

We will provide well publicised, effective and timely complaints procedures easily accessible to business, the public, employees and consumer groups. In cases where disputes cannot be resolved, any right of complaint or appeal will be explained, with details of the process and the likely time-scales involved.

P R O P O R T I O N A L I T Y

We will minimise the costs of compliance for business by ensuring that any action we require is proportionate to the risks. As far as the law allows, we will take account of the circumstances of the case and the attitude of the operator when considering action. We will take particular care to work with small businesses and voluntary and community organisations so that they can meet their legal obligations without unnecessary expense, where practicable.

C O N S I S T E N C Y

Enforcement Policy Appendices

We will carry out our duties in a fair, equitable and consistent manner. While inspectors are expected to exercise judgement in individual cases, we will have arrangements in place to promote consistency, including effective arrangements for liaison with other authorities and enforcement bodies through schemes such as those operated by the Local Authorities Co-ordinating Body on Food and Trading Standards (LACOTS) and the Local Authority National Type Approval Confederation (LANTAC).

Enforcement Policy Appendices

Principles of Good Enforcement: Procedures

Advice from an officer will be put clearly and simply and will be confirmed in writing, on request, explaining why any remedial work is necessary and over what time-scale, and making sure that legal requirements are clearly distinguished from best practice advice. Before formal enforcement action is taken, officers will provide an opportunity to discuss the circumstances of the case and, if possible, resolve points of difference, unless immediate action is required (for example, in the interests of health and safety or environmental protection or to prevent evidence being destroyed).

Where immediate action is considered necessary, an explanation of why such action was required will be given at the time and confirmed in writing in most cases within 5 working days and, in all cases, within 10 working days. Where there are rights of appeal against formal action, advice on the appeal mechanism will be clearly set out in writing at the time the action is taken (whenever possible this advice will be issued with the enforcement notice).

CABINET OFFICE
MARCH 1998

Enforcement Policy Appendices

Appendix 2

Hampton Report Recommendations – March 2005

- Regulators, and the regulatory system as a whole, should use comprehensive risk assessment to concentrate resources on the areas that need them most;
- Regulators should be accountable for the efficiency and effectiveness of their activities, while remaining independent in the decisions they take;
- All regulations should be written so that they are easily understood, easily implemented, and easily enforced, and all interested parties should be consulted when they are being drafted;
- No inspection should take place without a reason;
- Businesses should not have to give unnecessary information, nor give the same piece of information twice;
- The few businesses that persistently break regulations should be identified quickly, and face proportionate and meaningful sanctions;
- Regulators should provide authoritative, accessible advice easily and cheaply;
- When new policies are being developed, explicit consideration should be given to how they can be enforced using existing systems and data to minimise the administrative burden imposed;
- Regulators should be of the right size and scope, and no new regulator should be created where an existing one can do the work; and • Regulators should recognise that a key element of their activity will be to allow, or even encourage, economic progress and only to intervene when there is a clear case for protection.

Macrory Review of Regulatory Penalties – November 2006.

The final report of the Hampton Review recommended that the government establish a comprehensive review of regulators penalty regimes. Following this Professor Richard Macrory was asked to examine the current system of regulatory sanctions.

The aim of the review was to bring the penalty system into line with the risk based proportionate model of regulation laid out in the Hampton Report. The review looked at options that would add to regulators enforcement toolbox, broadening the flexibility available to both regulators and the judiciary to meet regulatory objectives better and improve compliance.

The review makes a number of recommendations that aim to ensure that regulators have access to a flexible set of modern fit for purpose sanctioning tools that are consistent with the risk based approach to enforcement outlined by Philip Hampton. The following are key to a local enforcement policy.

Six Penalties Principles

A sanction should:

1. Aim to change the behaviour of the offender

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2. Aim to eliminate any financial gain or benefit from a non-compliance
3. Be responsive and consider what is appropriate for the particular offender and regulatory issue, which can include punishment and the public stigma that should be associated with a criminal conviction
4. Be proportionate to the nature of the offence and the harm caused
5. Aim to restore the harm caused by regulatory non-compliance, where appropriate
6. Aim to deter future non-compliance

Seven characteristics

Regulators should:

1. Publish an enforcement policy
2. Measure outcomes not just outputs
3. Justify their choice of enforcement actions year on year to stakeholders, Ministers and Parliament
4. Follow-up enforcement actions where appropriate.
5. Enforce in a transparent manner
6. Be transparent in the way in which they apply and determine administrative penalties
7. Avoid perverse incentives that might influence the choice of sanctioning

Each regulator should publish a list on a regular basis of its completed enforcement actions and against whom such actions have been taken.

Draft Regulatory Compliance Code

- regulators, and the regulatory system as a whole, should use comprehensive risk assessment to concentrate resources on the areas that need them most;
- regulators should be accountable for the efficiency and effectiveness of their activities, while remaining independent in the decisions they take;
- no inspection should take place without a reason;
- businesses should not have to give unnecessary information, nor give the same piece of information twice;
- the few businesses that persistently break regulations should be identified quickly;
- regulators should provide authoritative, accessible advice easily and cheaply; and
- regulators should recognise that a key element of their activity will be to allow, or even encourage, economic progress and only to intervene when there is a clear case for protection

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Appendix 3

Gravity Factors

These gravity factors will be used to reflect changing trends in offences and priorities for the Council and will be agreed by the relevant Executive Member.

The following offences will warrant the highest level of formal action including prosecution for a first offence:

1. Assault against or obstruction of an Officer.
2. Organised, premeditated and deliberate offences.
3. Targeting of vulnerable groups.
4. Harassment.
5. Failure to comply with formal notices served by the Council.
6. Where there has been a reckless disregard for life or limb,
7. Where there has been substantial financial gain.
8. Where there has been a deliberate and significant fraud.
9. Where there is a serious pollution risk.

Enforcement Policy Appendices

Appendix 4

CPS Code for Prosecutors – Adapted for use in London Borough of Haringey

THE FULL CODE TEST

The Full Code Test has two stages. The first stage is consideration of the evidence. If the case does not pass the evidential stage it must not go ahead no matter how important or serious it may be. If the case does pass the evidential stage, Prosecutors must proceed to the second stage and decide if a prosecution is needed in the public interest. The evidential and public interest stages are explained below.

THE EVIDENTIAL STAGE

Prosecutors must be satisfied that there is enough evidence to provide a 'realistic prospect of conviction' against each defendant on each charge. They must consider what the defence case may be, and how that is likely to affect the prosecution case.

A realistic prospect of conviction is an objective test. It means that a jury or bench of magistrates or judge hearing a case alone, properly directed in accordance with the law, is more likely than not to convict the defendant of the charge alleged. This is a separate test from the one that the criminal courts themselves must apply. A court should only convict if satisfied so that it is sure of a defendant's guilt.

When deciding whether there is enough evidence to prosecute, Prosecutors must consider whether the evidence can be used and is reliable. There will be many cases in which the evidence does not give any cause for concern. But there will also be cases in which the evidence may not be as strong as it first appears. Prosecutors must ask themselves the following questions:

- Can the evidence be used in court?
- Is the evidence reliable?

- a. Is it likely that the evidence will be excluded by the court? There are certain legal rules which might mean that evidence which seems relevant cannot be given at a trial. For example, is it likely that the evidence will be excluded because of the way in which it was gathered? If so, is there enough other evidence for a realistic prospect of conviction?

- b. Is there evidence which might support or detract from the reliability of a confession? Is the reliability affected by factors such as the defendant's age, intelligence or level of understanding?

- c. What explanation has the defendant given? Is a court likely to find it credible in the light of the evidence as a whole? Does it support an innocent explanation?

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- d. If the identity of the defendant is likely to be questioned, is the evidence about this strong enough?
- e. Is the witness's background likely to weaken the prosecution case? For example, does the witness have any motive that may affect his or her attitude to the case, or a relevant previous conviction?
- f. Are there concerns over the accuracy or credibility of a witness? Are these concerns based on evidence or simply information with nothing to support it? Is there further evidence which the police should be asked to seek out which may support or detract from the account of the witness?

Prosecutors should not ignore evidence because they are not sure that it can be used or is reliable. But they should look closely at it when deciding if there is a realistic prospect of conviction.

THE PUBLIC INTEREST STAGE

In 1951, Lord Shawcross, who was Attorney General, made the classic statement on public interest, which has been supported by Attorneys General ever since: "It has never been the rule in this country — I hope it never will be — that suspected criminal offences must automatically be the subject of prosecution". (House of Commons Debates, volume 483, column 681, 29 January 1951.)

The public interest must be considered in each case where there is enough evidence to provide a realistic prospect of conviction. Although there may be public interest factors against prosecution in a particular case, often the prosecution should go ahead and those factors should be put to the court for consideration when sentence is being passed. A prosecution will usually take place unless there are public interest factors tending against prosecution which clearly outweigh those tending in favour, or it appears more appropriate in all the circumstances of the case to divert the person from prosecution (see section 8 below).

Prosecutors must balance factors for and against prosecution carefully and fairly. Public interest factors that can affect the decision to prosecute usually depend on the seriousness of the offence or the circumstances of the suspect. Some factors may increase the need to prosecute but others may suggest that another course of action would be better. The following lists of some common public interest factors, both for and against prosecution, are not exhaustive. The factors that apply will depend on the facts in each case. Some common public interest factors in favour of prosecution

The more serious the offence, the more likely it is that a prosecution will be needed in the public interest.

A prosecution is likely to be needed if:

- a. a conviction is likely to result in a significant sentence;

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- b. a conviction is likely to result in a confiscation or any other order;
- c. a weapon was used or violence was threatened during the commission of the offence;
- d. the offence was committed against a person serving the public (for example, a police or prison officer, or a nurse);
- e. the defendant was in a position of authority or trust;
- f. the evidence shows that the defendant was a ringleader or an organiser of the offence;
- g. there is evidence that the offence was premeditated; there is evidence that the offence was carried out by a group;
- h. the victim of the offence was vulnerable, has been put in considerable fear, or suffered personal attack, damage or disturbance;
- i. the offence was committed in the presence of, or in close proximity to, a child;
- j. the offence was motivated by any form of discrimination against the victim's ethnic or national origin, disability, sex, religious beliefs, political views or sexual orientation, or the suspect demonstrated hostility towards the victim based on any of those characteristics;
- k. there is a marked difference between the actual or mental ages of the defendant and the victim, or if there is any element of corruption; m the defendant's previous convictions or cautions are relevant to the present offence;
- l. the defendant is alleged to have committed the offence while under an order of the court;
- m. there are grounds for believing that the offence is likely to be continued or repeated, for example, by a history of recurring conduct;
- n. the offence, although not serious in itself, is widespread in the area where it was committed; or a prosecution would have a significant positive impact on maintaining community confidence.

Some common public interest factors against prosecution

A prosecution is less likely to be needed if:

- a. the court is likely to impose a nominal penalty;
- b. the defendant has already been made the subject of a sentence and any further conviction would be unlikely to result in the imposition of an additional sentence or order, unless the nature of the particular offence requires a prosecution or the defendant withdraws consent to have an offence taken into consideration during sentencing;
- c. the offence was committed as a result of a genuine mistake or misunderstanding (these factors must be balanced against the seriousness of the offence);
- d. the loss or harm can be described as minor and was the result of a single incident, particularly if it was caused by a misjudgement;
- e. there has been a long delay between the offence taking place and the date of the trial, unless:

Enforcement Policy Appendices

- the offence is serious;
 - the delay has been caused in part by the defendant;
 - the offence has only recently come to light; or
 - the complexity of the offence has meant that there has been a long investigation;
- f. a prosecution is likely to have a bad effect on the victim's physical or mental health, always bearing in mind the seriousness of the offence;
- g. the defendant is elderly or is, or was at the time of the offence, suffering from significant mental or physical ill health, unless the offence is serious or there is real possibility that it may be repeated. The Council where necessary, applies Home Office guidelines about how to deal with mentally disordered offenders. Prosecutors must balance the desirability of diverting a defendant who is suffering from significant mental or physical ill health with the need to safeguard the general public;
- h. the defendant has put right the loss or harm that was caused (but defendants must not avoid prosecution or diversion solely because they pay compensation); or
- i. details may be made public that could harm sources of information, international relations or national security.

Deciding on the public interest is not simply a matter of adding up the number of factors on each side. Prosecutors must decide how important each factor is in the circumstances of each case and go on to make an overall assessment.

The relationship between the victim and the public interest

The Council does not act for victims or the families of victims in the same way as solicitors act for their clients. Prosecutors act on behalf of the public and not just in the interests of any particular individual. However, when considering the public interest, Prosecutors should always take into account the consequences for the victim of whether or not to prosecute, and any views expressed by the victim or the victim's family.

It is important that a victim is told about a decision which makes a significant difference to the case in which they are involved. Prosecutors should ensure that they follow any agreed procedures.

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Appendix 5 Form ED1

ENFORCEMENT DECISION

[This form must be completed in all cases where enforcement action is available. In the case of an offence/ statutory non-compliance identified without any intermediate stage necessary to take further action – use form ED2]

CP No. *Investigating Officer*
Group

Subject of proposed action: Name* (individuals or company):
(* delete as appropriate)
Address*:
Property*
Vehicle*

Enforcement action available (incl. brief summary details):

Enforcement check-list/Summary (incl. Human Rights assessment)

Compliance with service policy: YES*

(*initial as appropriate) NO* +

+ Reasons for divergence from policy

Enforcement action available proposed to be taken? YES* [Go to page 2]

(*initial as appropriate) NO*+

+ Reasons for NOT taking available action:

Other than notifying complainant/subject, etc. of no enforcement action available, is any alternative action proposed? (state "NFA" or brief detail)

[Go to "Recommendation of Investigating Officer" at foot of page 2]

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Form ED1 (Page 2)

Enforcement action proposed

Object of proposed action:

Enforcement powers available (law or policy):

Reasons if using a subordinate power (e.g. warning rather than stat. Notice):

Other powers considered and deemed inappropriate:

Action proportionate to risk/danger/nuisance? YES*+

(*initial as appropriate)

NO*+

+ Reasons (brief):

Investigating Officer authorised to take proposed action? YES*

(*initial as appropriate)

NO*

Further relevant detail [continue on separate sheet, if necessary, but ensure sheet is referenced]:

Recommendation of Investigating Officer:

Signature.....

Date

Authorisation:

I have read the contents of this Form ED1, and believe it contains all the relevant material to enable me to make a decision. The proposals are compliant with the service's Enforcement Policy. [*The emergency nature of the action proposed necessitated my authorisation being given after the action had commenced] [* delete if appropriate].

Signature.....

Name [print].....

Designation:

Date.....

Enforcement Policy Appendices

Form ED2

**OFFENCE, ETC. REPORT
(including other Statutory non-compliance)**

[This form must be completed in all cases where an offence or other statutory non-compliance has been identified]

*CP No.
Group*

Investigating Officer

Actionable Subject: Name* (individuals or company):
(* delete as appropriate)
Address*:
Property*
Vehicle*

Offence/Statutory non-compliance

Statute(s):

Brief summary of offence, etc.:

Summary of facts (brief):

Description of Evidence:

Anticipated defence:

Mitigation:

Relevant history of subject:

Witnesses/Costs issues:

Enforcement Policy Appendices

Form ED2 (Page 2)

**Enforcement action check-list/Summary
(incl. Human Rights and CPS Guidelines assessment)**

Compliance with service policy: YES*

(*initial as appropriate) NO* +

+ Reasons for divergence from policy

Is prosecution/caution proposed for offences? YES* [Go to B]

(*initial as appropriate) NO*+

+ Reasons for NOT pursuing prosecution/caution:

Scoring check-list: YES*..... [Go to B]

Other:

[unless also scoring check-list, Go to A]

Is WID or other primary relevant action proposed for Statutory non-compliance?

(*initial as appropriate) YES* [Go to C]

NO*+

+ Reasons for NOT pursuing WID, etc.

[Go to A]

A. Other action proposed:

[Go to C]

B. Prosecution/caution

Evidence test – Admissible? (*initial as appropriate) YES*

NO*+

Comment (+ mandatory):

Reliability test - evidence reliable? (*initial as appropriate) YES*

NO*+

Comment (+ mandatory):

Public interest – factors for/against other than as per scoring check-list:

Enforcement Policy Appendices

Form ED2 (Page 3)

Human rights:

Object of proposed action:

Enforcement powers to be used:

Other powers considered and deemed inappropriate:

Action proportionate? (*initial as appropriate) YES*
NO*

Comment (+ mandatory):

Scoring check-list attached (*initial confirmation) YES*

Comment re- check-list:

[Go to D]

C. Actions re- Statutory non-compliance

With regard to any subsequent judicial scrutiny,

- 1. **Is evidence admissible?** (*initial confirmation) YES*
- 2. **Is evidence reliable?** (*initial confirmation) YES*
- 3. **Is it in public interest to pursue proposed action?**
(*initial confirmation) YES*
- 4. **What is the object of the proposed action?**
- 5. **What enforcement powers are to be used?**
- 6. **Other powers considered and deemed inappropriate:**
- 7. **Action proportionate?** (*initial confirmation) YES*
- 8. **Comments/reasons** (mandatory where "YES" NOT initialled in 1, 2, 3 and 7 above) (voluntary otherwise), and approximate cost of works (WID)

Enforcement Policy Appendices

Form ED2 (Page 4)

D. Additional information

Reported within case-type target time? (*initial confirmation) YES*
NO*+

Comment (+ mandatory):

Contentious evidence/history?

Recommendation of Investigating Officer:

The appropriate course(s) of action are initialled:

No action Written warning Formal caution
Prosecution - summary indictment
Work in default Seizure/detention Emergency closure
Other (brief description)

Signature..... Date

Authorisation:

I have read the contents of this Form ED2 [*and the attached scoring check-list], and believe it contains all the relevant material to enable me to make a decision. The proposals are compliant with the service's Enforcement Policy. [*The emergency nature of the action(s) proposed necessitated my authorisation being given after the action had commenced].

[* delete if appropriate]

NOTE - This authorisation certifies that the proposals for enforcement action are compliant with the service's Enforcement Policy. The service's requirements for the operational processing of legal proceedings, work in default, seizures of goods, etc. are still applicable, and must be followed.

Signature..... Name [print].....

Designation: Date.....

Enforcement Policy Appendices

Form ED2- Scoring Check-list

**OFFENCE REPORT
SCORING CHECK-LIST FOR PROSECUTION/CAUTION**

[This form must be completed and attached to Form ED2 in all cases where an offence has been identified and any part of section B of Form ED2 has to be completed.

Group *CP No.* *Investigating Officer*

	Enforcement Priority	2. Officer Comments	Score (0 or 5)
1.	Does a gravity factor apply?		
1.1	Describe the gravity factor and how it applies?		

	Enforcement Policy Issue	3. Officer Comments	Score (0-3)
2.	Attitude and accountability of the Offender		
2.1	Has previous advice on how to comply with the law been ignored? Include when and how.		
2.2	Was there deliberate disregard for the law?	4.	
2.3	Is the defendant vulnerable because of age, circumstances or mental state?		
2.4	What is the likelihood of re-offending? High / Medium / Low		
3.	Views of injured party		
3.1	What are the views of anyone who has been injured or suffered loss in relation to the case?		
4.	Public Perception		
4.1	<i>Has there been serious personal distress, injury, loss or public alarm?</i>		
4.2	<i>Is the case connected with a major area of local concern?</i>		
5.	Was there significant economic advantage?		
5.1	What is the estimated monetary value of this advantage?		
6.	Has there been deliberate dishonesty or an intention to deceive?	6.	
6.1	<i>Is the offence fraudulent?</i>		

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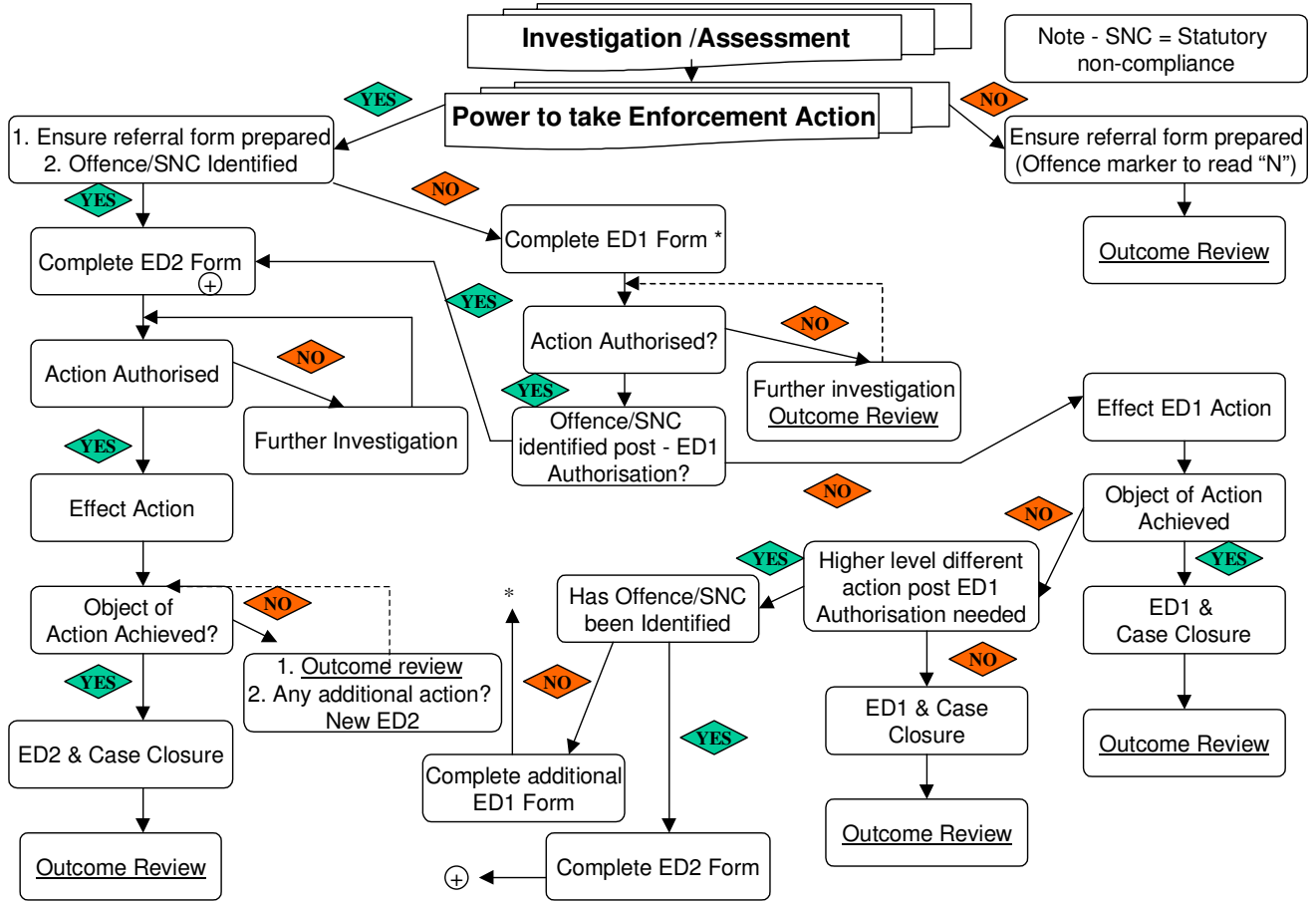
6.2	<i>Is there a pattern to the offences that suggests that it have been planned?</i>		
7.	<i>Vulnerability of the Victim or intended victim?</i>		
7.1	<i>Is the offence more significant due to the vulnerability of the victim?</i>		
7.2	<i>Have vulnerable groups been targeted?</i>		
8.	<i>Previous History</i>		
8.1	Is it a repeat offence?		
8.2	What formal action has previously been taken and when?		
8.3	If a new trader what efforts have they made to get information about how to comply?		
9.	<i>Consequences</i>		
9.1	Has there been reckless disregard for safety?		
9.2	What serious consequences resulted or could have resulted from a failure to comply with a legal requirement?		
10.	<i>Are there multiple offences to be brought at the same time?</i>		
	<i>Total Score</i>	Add up the eight highest scores	

NOTE - FORM ED2- SCORING CHECK-LIST COMPRISES 2 PAGES OF WHICH THIS IS THE SECOND PAGE.

Enforcement Policy Appendices
ED2-Scoring Check-list

**ENFORCEMENT ACTION DECISION-MAKING
& OFFENCES, etc. REPORTING**
PROCEDURE FLOW DIAGRAM

Enforcement Action Decision - Making & Offences Reporting



ES/Enfs/AFW 07.03.05

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Scrutiny Services

Report of the Scrutiny Review on the Community Safety Role of CCTV

January 2007

Executive Summary

The use of CCTV cameras within the Borough has increased during the last decade and there are now a number of different systems that have some role in addressing community safety issues. It is used to deter and detect crime as well as to direct an effective response to it when it occurs. It is clear that CCTV makes people feel safer and can be effective in helping to catch offenders. However, CCTV systems have their limitations and should be seen as a useful tool, alongside other measures, in the fight against crime rather than a complete solution.

CCTV coverage across the Borough is variable. A particular cause for concern is the CCTV system used in the shopping areas of Muswell Hill and Crouch End, where coverage is clearly inadequate. Additionally, CCTV needs to have a sustainable infrastructure to support it if its benefits are to be maximised and this requires further development within Haringey. The Borough's CCTV systems need improved co-ordination to ensure the most efficient and effective use of the cameras and the images that they generate.

The CCTV system that has probably the most overall significance in addressing crime is the Community Safety system that is based on a network of fixed cameras that cover the Borough's main high streets, particularly as it is the only system that is monitored for 24 hours per day. Due to its strategic importance, the Safer Communities Partnership should have more direct input into its operation. The Community Safety Control Room spends 90% of its time supporting the Police and this link is critical to its effectiveness. Better communication and stronger links should be developed including the provision of regular briefings for Control Room staff by the Police.

The CCTV Control Room will be moving to new premises shortly which will facilitate closer working between Traffic Enforcement and Community Safety staff. The contract for the operation of the community safety CCTV cameras is also due for renewal in June 2007. These events provide an ideal opportunity to review management arrangements to ensure that they are sufficiently robust to meet the objectives of the community safety system and that operational practices and procedures are in line with best practice.

The Panel was pleased to hear how well the Traffic Enforcement team was regarded and how successful they had been. However, this work will never gain great popularity with the public and the unfortunate side effect of this success is the apparent widespread perception that CCTV is used merely to make money for the Council, to the detriment of community safety. In addition to improving the CCTV systems used for community safety, there is a clear need to address the negative perception that the public and traders have of the Borough's CCTV systems and, in particular, the purposes of the different systems.

Recommendations

Community Safety CCTV Cameras:

Recommendation 1:

That the Head of Safer Communities Unit be given a specific role in the strategic management of the community safety CCTV function and that, as part of this, consideration be given to bringing the CCTV strategic management post under Community Safety line management.

Recommendation 2:

That, following the move to the new Control Room and prior to the renewal of the CCTV operating contract, a full management review be undertaken on the operation of community safety CCTV function and that this specifically considers:

- Practices and procedures
- The option of the merging the traffic enforcement and community safety functions
- Improved co-ordination with the traffic enforcement
- Appropriate management structures including the need for a separate manager for the community safety function

Recommendation 3:

That, in order to ensure the ongoing effectiveness of the Community Safety CCTV system, regular performance monitoring be undertaken by the Safer Communities Partnership and annual independent reviews be commissioned on its overall effectiveness

Recommendation 4:

That the Safer Communities Partnership takes specific action to develop further the working relationships between the Police Service and the Community Safety CCTV control room and, in particular, the provision of regular and scheduled briefings by the Police Service for operators and inviting and encouraging the Police Service to play a more active role in the CCTV control room.

Recommendation 5:

That urgent bids for appropriate funding by the Council and its partners to upgrade replace and upgrade relocatable CCTV cameras be strongly supported and that the Executive makes this a priority.

Recommendation 6:

That the priority of community safety over parking enforcement be clearly articulated to operators and included in the written procedures of the control room.

Recommendation 7:

That the Head of Parking Services, in liaison with appropriate officers from the Community Safety Team, be requested to enter into discussions with Transport for London to explore the feasibility of their cameras being accessed by Haringey's Community Safety CCTV operators.

Recommendation 8:

That, subject to the strict maintenance of appropriate security standards, work be undertaken by relevant Control Room staff with appropriate stakeholders to increase awareness of the procedure for obtaining images and consideration given to making the process simpler.

Video Sentry:

Recommendation 9:

That the Safer Communities Partnership considers the creation of a sustainable support system for Video Sentry.

Strategic Issues:

Recommendation 10:

That all proposals for the purchase of CCTV cameras by the Council and the key strategic partners represented on the CCTV Steering Group be routinely referred to it for comment prior to approval.

Resident and Trader Organisation Views:

Recommendation 11:

That the CCTV Steering Group be requested to develop a communication strategy in order to develop greater public awareness of the various CCTV systems in place and their purposes and that consideration be given within this to;

- The involvement of Area Assemblies and the Police Safer Neighbourhood Teams
- The option of setting up a CCTV Lay Visitor Panel
- Appropriate signage

Recommendation 12:

That the appropriate Neighbourhood Managers be requested to work with Town Centre Managers and traders to develop options for improving the operation of the radio links between traders.

1. Background To Review

Introduction

- 1.1 The proposal to undertake a scrutiny review on the community safety role of CCTV was originally made by Members of the Overview and Scrutiny Committee. In addition and independently, the Executive Member for Crime and Community Safety, Councillor Nilgun Canver and the Deputy Police Commander for Haringey, Gerry Leitch requested that the Community Safety Team undertake a review of CCTV. They felt that it should include an independent element so that it could be seen to be impartial. It was therefore agreed that the two reviews would be developed so that they complemented each other, with the scrutiny review providing the element of independent challenge.
- 1.2 The objective for the scrutiny review of CCTV was to determine:
- Whether it was working as effectively as it could towards enhancing community safety; and
 - If it was providing value for money.
- 1.3 The Scrutiny Review Panel undertook the following;
- Interviews with relevant stakeholders to obtain their views
 - Consideration of relevant documentary and research evidence
 - A visit to key locations such as the CCTV control room
 - Reference to best practice elsewhere to ensure that CCTV is being used in the most effective manner.
- 1.4 Whilst this has been in progress, the Community Safety Team has been undertaking detailed work of their own which has included:
- Canvassing the views of CCTV providers, users, tasking group, Members and the public, including a questionnaire for users of systems.
 - An audit of the coverage, purposes and uses of existing CCTV systems.
 - An evaluation of the effect of CCTV on deterring and detecting crime and reducing fear of crime.
- 1.5 The outcomes and recommendations of the scrutiny review aim to complement this work and assist the Safer Communities Partnership in making decisions about future installations, development and resourcing.

Terms of reference

- 1.6 “To consider the effectiveness and value for money of CCTV in contributing to community safety and to make recommendations on options for improving co-ordination between different systems, future installations and maximising its effectiveness”.

Members of Review Panel:

- 1.7 Councillors Matt Davies (Chair), Alan Dobbie, Fiyaz Mughal and Justin Portess

Advisers to the Panel

- 1.8 Expert independent advice was provided to the scrutiny review by Perpetuity Research & Consultancy International (PRCI), who are a “spin off” company from Leicester University. They have also been providing general support for the evaluation and review being undertaken by the Community Safety team.
- 1.9 PRCI conducted the national evaluation of CCTV effectiveness for the Home Office. Dr Tim Pascoe and Mr Malcolm Brown provided information and advice to the review panel on behalf of PRCI. Dr Pascoe is the Head of Business Development at PRCI and specialises in carrying out qualitative and quantitative research investigating community safety issues and crime prevention measures. Mr Brown worked for the police for 31 years and was responsible for the North Lynn CCTV initiative in 1986 which became the model for many UK city and town centre schemes. He is also a regular lecturer at the Home Office Crime Prevention Centre on ‘The Co-ordinated Approach to CCTV’. He has extensive experience of all aspects of managing CCTV from overseeing the technical specifications to the management of the solutions.

2. Effective CCTV Use

Introduction

- 2.1 The use of CCTV as a tool to deter, detect and assist operations against crime has grown enormously in recent years. There were now over 4 million CCTV cameras in operation within the UK and this number has trebled within the last 3 years. Whilst there were great expectations about the dramatic effect that they were likely to have on crime when they were first introduced during the early 1990s, there now appears to be a more realistic view of their likely contribution to reducing crime.
- 2.2 CCTV has been shown to have greater preventative effects on some types of crimes than others. It is far more effective in deterring premeditated crime, such as car park crime, than impulsive crime. It has little effect in deterring disorder but can be effective in assisting an effective response to it. It is most beneficial when used in conjunction with other crime reduction measures and tailored to the local setting. It also appears to have a life cycle as a crime prevention measure. It is necessary to renew and update systems from time to time and to market them rigorously so that the public is aware of their existence otherwise deterrent value will be lost.

Benefits of CCTV

- 2.3 Despite these qualifications, there is still clear evidence that CCTV makes people feel safer and that they have considerable faith in its deterrent value. In addition, it can;
- Prevent crime from occurring by impacting on risk and opportunity and the early identification of potential trouble spots.
 - Lead to an increased rate of offenders being caught where crime does take place. CCTV pictures can, for instance, be used as evidence for prosecution of offenders.
 - Provide “added value” to other measures that are in place.

Effective Systems

- 2.4 The recent Home Office National Evaluation of CCTV helped contribute to this greater sense of realism. It showed that CCTV could work but in a lot of cases it did not work as well as it should. The view of PRCI was that for schemes to be fully effective, the following were required;
- Clear objectives for projects. The existence of specific funding for CCTV had created pressure to bid during its early years, often in the absence of reliable intelligence indicating where CCTV would be likely to have the most effect. Its use needs to be supported by a strategy outlining the objectives of the system and how these will be fulfilled. This needs to take account of local crime problems and prevention measures already in place.
 - Good management including;
 - Access to technical expertise
 - The full engagement of end-users
 - The appointment of a suitable project manager. There is a shortage of suitably qualified people to manage schemes

- Independence. This is of particular importance as there can often be tensions between partners involved in schemes.
 - Effective operation of the control room.
 - Good camera positioning and coverage. Too little coverage tends to prevent efforts to track offenders for detective and evidential purposes. However, systems with a high density of cameras do not necessarily produce a greater reduction in crime. Camera coverage is linked to positioning and needs to take account of the nature of the area to be monitored and the objectives of the system. Police intelligence is invaluable when positioning decisions are taken as well as the input of the operators who are to monitor them.
 - “Future proofing” of systems e.g. having sufficient capacity and capability for switching from analogue to digital recording methods. In addition, there needs to be proper maintenance to ensure that cameras continue to work effectively and are not obstructed.
- 2.5 Regular independent review of schemes is also felt to be important in order to ensure that CCTV systems are as effective as they can be and to help guide future investment. CCTV cameras are expensive and need to be operating to their full potential in order to provide value for money.

3. Community Safety CCTV Cameras

Introduction

- 3.1 The CCTV system that has the most significance for community safety within the Borough is the network of community safety cameras which are monitored and recorded for 24 hours per day and 7 days per week. Wood Green and Tottenham high streets are covered by a total of 33 CCTV cameras. In addition, two housing estates are also covered. Relocatable camera systems are in place in Crouch End and Muswell Hill, which are situated near what have been identified as possible trouble spots. Although these systems are called "relocatable", in reality they are fixed cameras and only one in each system can be viewed or recorded at any time.
- 3.2 The budget for the management and operation of the Community Safety CCTV Control Room is £253,000. The funding for this comes mainly from the Environment Service who also manage the service. This includes fibre transmission services, power to the cameras and the control room. There is also a budget for the maintenance of the cameras. However, there is no mainstream budget for the post of CCTV Co-ordinator, which provides strategic management for the systems and is currently funded by the Community Safety Team using NRF funding. There is also no budget for a specific Community Safety CCTV Manager nor is there sufficient budget for the maintenance of the cameras. A review of the financing if the service is currently being undertaken as part of the Pre Business Plan Review process and a bid has been made for additional resources to establish a post of Community Safety CCTV Manager.

CCTV Control Room

- 3.3 The current CCTV Control Room is split between traffic enforcement and community safety, with separate teams working on each area and occupying different offices within the same building. The current set up reflects the way that the service has always operated, with community safety outsourced and traffic enforcement undertaken in-house. Monitoring of CCTV cameras is typically undertaken by security firms and all operators have to be licensed. The current contract is with Reliance Security but re-tendering is due in June 2007. Bringing it "in house" would have cost implications for the Council and there are currently no plans to consider such action. The two roles were considered by the Head of the Parking Service to be separate disciplines and staff undertake different forms of training. Traffic enforcement focuses on evidence collection whilst community safety focuses more on prevention.
- 3.4 Operators look for well known offenders and scan areas looking for suspicious activity. They exchange information with police officers but it was felt by the CCTV Coordinator that more information would help them to target their work better. In particular, regular daily briefing documents could be shared with the Control Room to enable operators to better target their observation. The Panel heard that the system works better when police officers are present in the control room to assist in directing operations. Police officers can often predict where criminals will go next and have a feel for the way they behave.
- 3.5 Police officers that work with the police video sentry system visit the CCTV control room from time to time and use images gathered by the fixed cameras. They have worked with the Control Room to encourage operators to actively patrol locations. They stated that it is very rare for them to obtain images of sufficient quality from a

fixed camera to be used in a prosecution but the Panel was informed that such experience is not uncommon with fixed CCTV systems. Police officers interviewed felt that the system did not always provide good quality pictures when “zoomed in” on targets. Images can also be too wide and individuals too small and therefore difficult to identify. Police officers also felt that operators could also improve their responsiveness to the police radio that is in the control room. However, it was recognised that the work undertaken by operators was difficult and that it was particularly challenging to maintain concentration during shifts.

- 3.6 It has been recognised that any instances of any cameras not recording could undermine confidence in CCTV and therefore all CCTV cameras must be fully operational. The cost of additional CCTV cameras needs to be justified by current crime levels in the area in question. In addition to the cost of the cameras, there are limits to how many cameras can be monitored by the control room. Housing estates are difficult to cover effectively and a large number of cameras are generally needed. In addition, private windows have to be blocked out.

Traffic Enforcement

- 3.7 In addition to the community safety CCTV cameras, there are a total of 11 traffic enforcement cameras in place. These are used during the daytime or parking regulation hours. The cameras had originally focussed only on bus lanes but the Council has now taken on responsibility for enforcing box junctions. Whilst the main purpose of these is not community safety, they can be used for this out of hours, although this rarely happens. The Police can also take tapes from parking operators for evidence if required. Parking staff can access community safety cameras and tapes but have to obtain permission first. Sometimes the Police use parking cameras for direct surveillance.
- 3.8 There are also 9 Transport for London (TfL) cameras whose function is to enforce parking regulations. These cameras currently work during bus lane hours before being shut down. The Panel noted that it is possible that agreement could be reached to use these for community safety purposes in their down time.
- 3.9 The use of CCTV cameras for traffic enforcement has been very successful and there are now relatively few people who drive or park in bus lanes. The success is shown by the high number of tickets that were issued at the start of the initiative compared with the considerably lower level the following year. They are felt to be very efficient and can capture detailed images of moving cars. The additional income that comes from enforcing these regulations is approximately £3 million but it is not possible to disaggregate the contribution made to this purely by the cameras.
- 3.10 The traffic enforcement cameras cost £23,000 per year plus maintenance of £20,000. Operators are directly employed by the Council. Consideration had been given to outsourcing the service but it was kept in-house as it was felt to be performing very well. Operators are all fully trained up to BTEC standard and have a dedicated supervisor, who has also assisted with the community safety team from time-to-time. The Police commented that the parking staff was particularly well trained and effective.

Radio Links

- 3.11 The Control Room has police radio so operators can hear and communicate with police officers. Amongst other things, this allows officers to direct cameras to a

particular incident. Town centre radio systems also work alongside CCTV. These are funded by traders and enable shop keepers to contact each other as well as the Control Room. They are operational in Crouch End, Wood Green and Tottenham.

Feedback from Community Safety Review

3.12 In addition to their work in advising the Panel, PRCI have also, been undertaking detailed work for the Community Safety Team on behalf of the Safer Communities Partnership. Although this element of PRCI's work has focussed more on operational issues, it has also referred to some of the key strategic issues. Their preliminary conclusions on the operation of the community safety CCTV system were shared with the Panel. They felt that it would benefit from the following:

- A specific and bespoke procedural manual for Haringey as well as more explicit targets and performance indicators.
- Improved strategic management to assist in ensuring that the control room is to implement such procedures effectively.
- Improved coordination between the community safety and traffic enforcement functions.
- The development of improved links with the Police. This could be facilitated by regular briefings so that operators have a clearer idea of what they should be looking for.

3.13 They also commented on the inadequacy of the relocatable cameras that are currently in operation in some areas of the Borough, including Crouch End and Muswell Hill. PRCI also commented that the parking camera team were very highly regarded and appeared to be highly successful in their work.

Enhancing Performance

3.14 The effectiveness of community safety CCTV cameras is very much dependent on the effectiveness of the Control Room. It will be moving to new premises in Ashley Road in the spring. Staff from the two functions – traffic enforcement and community safety - will be working alongside each other in shared offices. This will facilitate closer working and better communication between the two teams as well as the sharing of resources and good practice. It will also enable better access to traffic enforcement cameras by community safety operators. In addition, the current community safety CCTV contract is due for renewal in June 2007. These two events will provide a very useful “window of opportunity” to address many of the issues that have been raised and improve the effectiveness of the community safety system.

3.15 The purpose of the community safety CCTV cameras is to reduce crime and the fear of crime. The Panel therefore feels that there is a clear need for a management structure that better reflects this and ensures that the system is best able to meet the strategic objectives of the Safer Communities Partnership. The Panel considers that there is a particular need for the Head of the Safer Communities Unit to have some strategic ownership of the community safety system. This will enable the Safer Communities Partnership to have a more direct input into its operation as well as greater accountability.

Recommendation:

That the Head of Safer Communities Unit be given a specific role in the strategic management of the community safety CCTV function and that, as part of this, consideration be given to bringing the CCTV strategic management post under Community Safety line management.

- 3.16 The community safety operators currently appear to not be equalling the same outstanding levels of performance as the traffic enforcement team. One particular issue appears to be job design. It was acknowledged that the work is challenging due to its monotony and provides a low level of job satisfaction. Operators are often temporary or agency staff so it is difficult to develop them.
- 3.17 The Panel noted the suggestion made as part of the stakeholder consultation by PRCI that the new control room should be staffed by a single team of operators who rotate either through the day or day by day, from a community safety to traffic enforcement role. The Panel feels that the feasibility of this suggestion should be explored. Combining the two roles could provide an opportunity to take greater advantage of the proven skills of the traffic enforcement operators although it is acknowledged that the different shift patterns worked by community safety operators in order to provide 24 hour cover could be an obstacle to complete integration. Although this option may have cost implications for the Council, it may have the potential to provide better value for money if it means that the cameras can be used more effectively. The set up in the new Control Room will entail staff from the two teams working alongside each other on different terms and conditions and employment. The desirability and sustainability of this may also need to be considered.
- 3.18 The present system where the traffic enforcement manager has been "loaned" to community safety and where there is no mainstream permanent budget for the post of CCTV Co-ordinator must be a short term arrangement. CCTV is likely to be an important part of action against crime for the foreseeable future and a more permanent structure that provides stability and meets the needs of the service on a long term basis is required. The Panel notes that a bid has been made, as part of the budget process for 2007/8, for the creation of a post of Community Safety CCTV Manager. In the event of a decision being taken to continue with separate teams for community safety and traffic enforcement, the Panel would support the creation of such a post.
- 3.19 The Panel feels that there should be a full management review of the operation of the community safety CCTV team. This should be undertaken only once the control room move has taken place so the effect of joint location with traffic enforcement can be taken fully into account. This review should address fully the issues highlighted in the final outcomes of the detailed operational review that has been undertaken by PRCI and which is due to be reported to the Safer Communities Executive Board in February. It should also examine all possible options for development, including the possible combining of the two teams and feed into the procurement process. In addition, the Panel feels that there is a need for regular and independent review of the community safety CCTV system in order to ensure that it is meeting the needs of the Partnership.

Recommendations:

- **That, following the move to the new Control Room and prior to the renewal of the CCTV operating contract, a full management review be undertaken on the**

operation of community safety CCTV function and that this specifically considers:

- * Practices and procedures
 - * The option of merging the traffic enforcement and community safety functions
 - * Improved co-ordination with the traffic enforcement function
 - * Appropriate management structures including the need for a separate manager for the community safety function
- That, in order to ensure the ongoing effectiveness of the Community Safety CCTV system, regular performance monitoring be undertaken by the Safer Communities Partnership and annual independent reviews be commissioned on its overall effectiveness

3.20 The Panel feels that there is a clear need for better communication between the Police Service and the Control Room. 90% of the Control Room's work involves supporting the Police Service and therefore the quality of the interaction with them is crucial to its effectiveness. In particular, regular briefings should be given by the Police to the CCTV operators as this will enable them to be proactive in the use of cameras and have a clear idea of what they should be looking for. This in turn will enable the operators to better support the Police Service.

Recommendation:

That the Safer Communities Partnership takes specific action to develop further the working relationships between the Police Service and the Community Safety CCTV control room and, in particular, the provision of regular and scheduled briefings by the Police Service for operators and inviting and encouraging the Police Service to play a more active role in the CCTV control room.

3.21 It appears clear from the evidence received from several sources that the relocatable cameras that are in operation in the Borough are not satisfactory. These, as previously mentioned, are in place in Crouch End and Muswell Hill, where they are the main CCTV cameras addressing community safety. In addition, there are also some in place in Green Lanes and Seven Sisters. The need to upgrade them has been recognised by the Council and its partners and a bid has already been made for external funding resources to replace them. In addition, a bid has been made by the Environment Service as part of the budget process for 2007/8 to upgrade these cameras.

Recommendation:

That urgent bids for appropriate funding by the Council and its partners to upgrade replace and upgrade relocatable CCTV cameras be strongly supported and that the Executive makes this a priority.

3.22 The Panel feel that it is important that the use of CCTV cameras already in place is maximised. In particular, traffic enforcement cameras are should fully utilised for community safety purposes outside of their normal working hours. We also note that these cameras can also be used for community safety purposes during the hours when they are normally being used for traffic enforcement, if required. The Panel was pleased to hear that community safety issues should always take priority in the event of any conflict and feel that it is important that this is strictly adhered to.

Recommendation:

That the priority of community safety over parking enforcement be clearly articulated to operators and included in the written procedures of the control room.

3.23 The Panel feel that it is important that the TfL cameras should also be used to assist the local community outside of their working hours rather than simply being switched off. We would therefore recommend that the Safer Communities Partnership enter into discussions with TfL to explore the possibility of their cameras being accessed by Haringey's community safety CCTV operators.

Recommendation:

That the Head of Parking Services, in liaison with appropriate officers from the Community Safety Team, be requested to enter into discussions with Transport for London to explore the feasibility of their cameras being accessed by Haringey's community safety CCTV operators.

3.24 The new Control Room will use digital technology and the Panel considered the suggestion from the Police that community safety CCTV images be networked into their video sentry systems. They felt that, if this was not done, there is a danger that the service will be inundated with requests for images. The Panel felt that, although this was an interesting suggestion, this might detract from the building of a stronger working relationship between control room staff and the Police Service. The level of requests for images should, however, be closely monitored and this suggestion considered further should the need for action become apparent.

3.25 The Panel noted that not all stakeholders who were allowed access to community safety CCTV images found the process for obtaining relevant footage straightforward. The Panel feels that work should be undertaken by the Control Room with relevant stakeholders to increase awareness of the procedure for obtaining images and consideration given to making the system more "user friendly". However, this would be with the proviso that security levels must be maintained so that only those specifically authorised have access.

Recommendation:

That, subject to the strict maintenance of appropriate security standards, work be undertaken by relevant Control Room staff with appropriate stakeholders to increase awareness of the procedure for obtaining images and consideration given to making the process simpler.

4. Other CCTV Systems

Introduction

- 4.1 The Panel also looked at other CCTV systems that have some relevance to community safety. These are separate self-contained systems and are not linked in to the Control Room. They are generally used, in conjunction with other measures, to act as a deterrent and gather evidence against offenders.

Police video sentry system.

- 4.2 The police video sentry CCTV system is unique to Haringey and captures activity on the footway. Cameras are not monitored but film from them can be picked up and reviewed. It covers the whole of the Borough and works alongside the local authority CCTV system. There are currently 130 cameras in place, which have been installed within the past five years. They are relatively cheap in comparison to fixed cameras, which can cost as much as £25,000 per camera. The overall cost of the system has been £400,000 in total. The Council has contributed £180,000 of this. The cost of the equipment is coming down in price – the local authority has now spent £50,000 on obtaining 100 more cameras for the west of the Borough where there are concerns about the effectiveness of CCTV coverage.
- 4.3 The cameras have very large hard discs which can store a huge amount of information. They are located in shops, offices and storerooms and cover a range of locations including cash points and road junctions. In areas where it is operational, there is an 80% chance of an offender being caught on a camera walking to or from an incident. There are approximately 50 in Wood Green and 60 in Tottenham. The cameras are now being extended to Crouch End and Muswell Hill.
- 4.4 Evidence collected by the cameras has been used to identify and successfully prosecute over 600 offenders during the past 5 years. These are often serious offences such as robbery, assault, rape and murder. This has coincided with a 50% reduction in street crime in these areas. The scheme, although not monitored, provides very useful intelligence and complements well the local authority system. Its main use is to gather evidence after a crime has been committed. Posters with images of individuals who had been caught committing offences by the system are regularly displayed on Arriva buses in order to encourage people to help in their identification and deter individuals from committing offences.
- 4.5 The system allows photos of offenders to be obtained and circulated very fast, thus enabling quicker arrests. In addition, the improved evidence that the images provides now means that it is rare to have a not guilty plea - 95% of offenders are now pleading guilty. This is enabling large savings to be made in court costs, which can be £10,000 per day. The system has some limitations – it is not monitored and therefore ineffective in enabling a response to an incident and images are also not centrally recorded. One side effect of the cameras has been that a high percentage (up to 40%) of robbery allegations had been shown to be bogus.
- 4.6 The Panel was very impressed with the operation of this system and its clear and demonstrable effectiveness in collecting evidence and convicting offenders. It should therefore continue to be an integral part of the Boroughs crime and community strategy. However, it noted the views of PRCI concerning the fragility of the system. It is staffed by three officers but there is always the possibility that they will be called elsewhere on other police operations. In addition, extending it to areas

of the Borough with lower crime rates than the areas where it currently operates will dilute its cost effectiveness. The Panel is nevertheless convinced by its effectiveness and therefore feels that the Safer Communities Partnership should consider the setting up of a more sustainable structure to support it.

Recommendation:

That the Safer Communities Partnership considers the creation of a sustainable support system for Video Sentry.

Police overt surveillance

- 4.7 This has been used in a number of locations such as Tottenham Hotspur, Finsbury Park and around schools at the end of the school day. The rationale behind its purchase was to provide public reassurance and reduce crime and anti social behaviour. The use of the van is therefore primarily to deter disorder and robbery. It is felt to be a very effective deterrent and can cause potentially troublesome groups of people to disperse quickly. There have not been any prosecutions that have relied solely on evidence collected in this way but it has been a contributory factor in many cases.
- 4.8 When the van was bought, the intention was for it to be used 24 hours per day but, in practice, 6 hours a day had proven to be more achievable. It was generally used at peak times – early evenings and weekends. It was bought by the Safer Communities Partnership but has been used almost entirely by the Police. It can be booked by other partners but the Police have priority use and bookings cannot therefore be guaranteed. It cost £75,000 to purchase and £25,000 to maintain over a 5 year period. This works out as being cheaper than the cost of one police constable. It is used sometimes as a replacement for manpower when action is urgently needed.

Anti Social Behaviour Team (ASBAT)

- 4.9 The team use CCTV cameras to collect evidence in cases of anti social behaviour. The system has been in operation for four months now and is heavily used, proving to be effective. It has been particularly helpful in closing down several brothels and gathering sufficient evidence to enable an ASBO to be obtained. It has also been used to address fly tipping and has enabled perpetrators to be identified. The service works closely with partners, particularly the police. The use of evidence obtained using CCTV considerably strengthens cases, is often crucial in obtaining ASBOs and helps to prevent the need for residents to go to court. The cameras also save the Council money by helping to prevent vandalism by identifying perpetrators.
- 4.10 The covert nature of the surveillance helps to protect witnesses. The van that belongs to the Safer Communities Partnership would not have been suitable for this purpose as it is designed for overt surveillance, with its main function being to deter crime rather than to collect evidence.
- 4.11 The van and all the associated equipment cost £142,000 to buy. The software is easy to update and action is to be undertaken to double the size of the memory. The only ongoing costs associated with the system arise from staffing costs, particularly overtime and regular maintenance of the van. The service is to be marketed to Registered Social Landlords (RSLs) and it is hoped that it will ultimately become self financing.

- 4.12 Images captured through their surveillance operations can be shared with partners such as the Environment Service and Homes for Haringey. The ASBAT team do not normally get access to images captured by other CCTV systems. However, images would need to be of good quality if they were to be of use to them. They had tried to obtain images captured by the fixed CCTV cameras on one occasion but had found the process to be difficult. This may be due to their lack of familiarity with the procedure as this is something that they do not do very often. The Panel noted that there was currently no dedicated CCTV officer in post and the service currently relied on the goodwill of its staff to continue surveillance work.

Environment Service

- 4.13 They have 9 mobile cameras that are used to address environmental crime. They are generally located within a particular hot spot for two weeks and used to gather evidence. The equipment is intended to act as a visible deterrent to continuous dumping of waste at known problem areas.
- 4.14 Prior to 2006/07, cameras were deployed at a number of known dumping hotspots. Reductions in the quantity and frequency of dumping were recorded but regular instances still continued. It was felt that there had not been enough follow up after surveillance to sufficiently deter people. Following the launch of the Street Enforcement Team in September 2005 and a planned recall of the camera systems for necessary maintenance between February and March 2006, the camera systems available have been used in conjunction with a series of proactive projects focussed on reducing hotspots. The equipment has now proven to be a much more effective tool when used in conjunction with proactive work rather than a stand alone deterrent.
- 4.15 Before September 2005, no formal action had yet been taken using evidence gathered from these camera systems. Since the launch of the newly configured Street Enforcement Teams, in excess of 50 reported dumping hot spots have been removed from the hot spot list following intensive surveillance, waste removal and education of the local community. Intelligence gathered from some of these locations have contributed to seven formal investigations concerning alleged fly tipping offences, five of which were being prepared for prosecution and two which had resulted in the offenders receiving written formal cautions.
- 4.16 The system cost £412,000 to purchase, which was funded by NRF monies. This included both capital and revenue costs. General maintenance of the equipment costs approximately £6,500 per annum. All systems are now outdated and would benefit from upgrade to current technology available. Systems do not necessarily require replacing to do this but an upgrade to the current systems would still cost in excess of £30,000.
- 4.17 Images captured during an investigation are subject to the usual rules of evidence and generally depict a specific alleged act or offence which is dealt with by the service. However, any images caught while filming that might be of interest to partner enforcement agencies are made available at the time they were captured. It was the intention of the Environment Services to seek ASBOs against offenders found guilty of more serious environmental crimes such as large scale fly posting, fly tipping and graffiti vandals. Images captured through surveillance were made available to the Council's Anti Social Behaviour Team who were keen to support this approach.

- 4.18 Recent discussions with the Police Safer Neighbourhood Teams had shown an opportunity for further joint working in areas where cameras were to be deployed. If, for instance, a camera had been deployed to detect fly tipping, it might also cover an area affected by anti social behaviour and could therefore also provide support to the Police and the ASBAT.
- 4.19 The use of cameras reduces the need to have officer time used for surveillance, freeing up time to carry out other duties whilst the cameras recorded incidents for later investigation. Cameras can be used to detect “trends” at a given location to either show no investigation was required or resources should be used to pursue an investigation in this area. The equipment can be used to provide a deterrent similar to having a uniformed street enforcement officer patrolling an area.

Strategic Issues

- 4.20 Management and coordination of key CCTV installations within the Borough are undertaken by a CCTV Steering Group chaired by the Executive Member for Crime and Community Safety. In addition, there is a CCTV Tasking Group that is responsible for looking at how the cameras were used.
- 4.21 CCTV systems have generally proven to be valuable tools for a range of services but in order for them to be fully effective they require an appropriate and sustainable support structure, included staffing. The experience of the Environment Service clearly showed the considerably improved outcomes from using cameras in conjunction with effective support and follow up.
- 4.22 Although systems have brought clear benefits, the Panel is of the view that the value for money that has been obtained has been variable. It feels that a more robust system needs to put in place to monitor proposals to extend the use of CCTV by the Council and its partners in order to ensure that value for money is obtained. Particular consideration should be given to:
- The setting of clear objectives for projects
 - Cost/benefit analysis
 - Maximisation of opportunities for sharing of resources
 - Compatibility of systems and “future proofing”
 - Ensuring that sustainable structures are in place to support systems, including staffing

Recommendation:

That all proposals for the purchase of CCTV cameras by the Council and the key strategic partners represented on the CCTV Steering Group be routinely referred to it for comment prior to approval.

5. Resident and Trader Organisation Views

Introduction

- 5.1 The Panel received evidence from a number of local residents and traders from three locations within the Borough – Muswell Hill, Green Lanes and Tottenham.

Green Lanes

- 5.2 Residents and traders from Green Lanes felt that they had been misled about the purpose of CCTV cameras that had been installed in the area. They stated that they had been told that their purpose was to help keep bus lanes clear and to promote community safety. Since their installation, people had stopped abusing bus lanes but the cameras were now being used to enforce yellow box junction offences. They said that the camera near Endymion Road was now the 6th. highest earning camera in London. They felt that the cameras were not there for community safety purposes but solely to raise money for the Council.

Tottenham

- 5.3 In respect of Tottenham, traders and residents also felt that cameras were just being used to raise revenue. They had originally been told that cameras would be used for community safety purposes after 7:00 p.m. and at weekends and that they could also be used to monitor any incident that took place during the day. This did not appear to be happening as cameras appeared to be switched off after hours. Cameras that had been placed in car parks had nevertheless proven to be very successful and made people feel safer. Not all cameras were felt to be situated in ideal locations and better positioning would enable greater usage. There had been a noticeable beneficial effect in the West Green Road area although it was possible that some crime had been displaced to side streets. They felt that some of the revenue generated through parking cameras could be used to improve the community safety function.
- 5.4 The radio link between shops and the CCTV control room was considered to be inefficient and it was stated that it could be difficult to get hold of anyone. The system needed good management with operators being more proactive in their approach. They felt that having CCTV cameras was of benefit but community safety needed to be a highest priority and determine their use.

Muswell Hill

- 5.5 The Panel noted that there had been ongoing pressure from residents for action to be taken and the Muswell Hill and Fortis Green Association had met with officers and contacted the Executive Member for Crime and Community Safety and the Borough Commander. Crime had increased in the area and it was felt that CCTV cameras would provide reassurance, act as a deterrent and help direct Police operations. The current community safety system that operated in the area only allowed the use of one camera at any particular time. This was not satisfactory and it was known that the Police did not feel that it was adequate either. The current system had not met their expectations and had not helped to reduce crime. However, they felt that CCTV should be capable of making a contribution. Not everyone knew that the cameras were there and this meant that people were less likely to be reassured by them or deterred from committing crimes. Amongst those that did, it was felt that the current outcome had represented a missed opportunity

Communication and Information

- 5.6 Residents and traders requested that there be better information about the various systems. They felt that there needed to be far greater clarity as well as consultation with residents, although that it was recognised that some information might have to be withheld for security reasons. Information could be given out via Area Assemblies and through Safer Neighbourhood Teams. Residents and traders felt that signage was important so that people knew that the systems were working. In addition, it was important to traders that their radio system worked properly.

Focus Groups

- 5.7 In addition to the work by the Panel, PRCI undertook focus groups with members of the public. They reported that people were generally unaware that the traffic enforcement and community safety were different CCTV systems. Members of the public also believed that the CCTV system was used purely for traffic enforcement purposes in order to generate income through fines that are issued. They felt that community safety CCTV was of secondary importance to traffic enforcement.

Conclusions

- 5.8 It is clear that there is an need to improve communication with members of the public and traders on CCTV systems. CCTV can only continue to act as both a deterrent and a reassurance if public awareness is maintained and measures need to be put in place to ensure that this occurs. In particular, the community need to be made more aware of the existence of the various different schemes and the demarcation between community safety and traffic enforcement. Although the use of CCTV for community safety purposes is effective, there are limitations to it and it would also be of benefit if a realistic awareness of the potential benefits was generated.
- 5.9 One option that the Panel would like to see explored is the setting up of a CCTV Lay Visitor Panel. This currently exists in Wycombe and has been tried in the London Borough of Lambeth. There have been mixed results to date but such a mechanism has the potential to assist in helping to better inform the public and monitoring performance so consideration should be given as to whether this is a suitable option for Haringey.

Recommendation:

That the CCTV Steering Group be requested to develop a communication strategy in order to develop greater public awareness of the various CCTV systems in place and their purposes and that consideration be given within this to;

- **The involvement of Area Assemblies and the Police Safer Neighbourhood Teams**
- **The option of setting up a CCTV Lay Visitor Panel**
- **Appropriate signage**

- 5.10 The radio systems that are in operation between traders and linked into the CCTV Control is in need of review. They are funded by traders and tend to work better where there are larger retailers who are able to employ their own security guards. The Panel feels that the Neighbourhood Management should be requested to work with Town Centre managers and traders to develop options for how the system can be made more effective. Individual networks each have their own frequencies which

mean the Control Room staff have three different radios to monitor. One option that could therefore be explored is placing the systems on the same frequency.

Recommendation;

That the appropriate Neighbourhood Managers be requested to work with Town Centre Managers and traders to develop options for improving the operation of the radio links between traders.

APPENDIX A

The following people gave evidence as part of the review:

Dr. T. Pascoe (PRCI)
Mr. M. Bagnall (Anti Social Behaviour Team),
Mr. S. Sweeney, Mr. I. Kibblewhite, Mr. B. Jones, Mr. I. Martin and Mr. H. Clues
(Metropolitan Police)
Mr. M. Pollak (CCTV Coordinator)
Ms. R. Fraser (Data Performance Manager, Safer Communities Team)
Ms. A. Cunningham and Mr. T. Chapman (Environment Service)
Mr. N. Price and Mr. C. Lane (Tottenham Traders Association)
Mr. S. Mehmet (Green Lanes Traders Association)
Mr. I. Sygrave (Harringay Community Safety Partnership),
Mr. P. Matebele (Garden residents Association)
Ms. D. Miles and Mr. J. Hadju (Muswell Hill and Fortis Green Association)

The following documents were considered as part of the work of the review Panel:

Assessing the Impact of CCTV – Home Office Research Study 292 (Martin Gill and Angela Spriggs)
Scrutiny Review of CCTV and Community Safety – Final Report and Recommendations (Bexley Council)
Review of CTV in Birmingham (Birmingham City Council)
Crime and Criminal Justice Research Findings No. 30 – The Effect of CCTV on Recorded Crime Rates and Public Concern About Crime in Glasgow (The Scottish Office Central Research Unit)
Evaluation of King's Cross CCTV System – Dr. M. Pollak

**MINUTES OF THE OVERVIEW AND SCRUTINY COMMITTEE
WEDNESDAY, 10 JANUARY 2007**

Councillors Councillors Bull (Chair), Cooke (Vice-Chair), Davies, Jones, Newton and Winskill

Apologies Councillor Bevan

Also Present: Indu Shukla

MINUTE NO.	SUBJECT/DECISION
OSCO110.	<p>WEBCASTING</p> <p>The meeting was not being web-cast.</p>
OSCO111.	<p>APOLOGIES FOR ABSENCE</p> <p>Apologies for absence were received from Councillor John Bevan.</p>
OSCO112.	<p>DECLARATIONS OF INTEREST</p> <p>Councillor Winskill – user of Fortis Green Clinic Councillor Davies - in respect of items five to seven, in being an employee of the Healthcare Commission. Councillor Cooke – in respect of item eight, Deputy Executive Member Crime & Community Safety</p>
OSCO113.	<p>DEPUTATIONS/PETITIONS/PRESENTATIONS/QUESTIONS</p> <p>There were four deputation requests which the Chair granted. These were:</p> <ul style="list-style-type: none"> • Muswell Hill & Highgate Pensioners' Action Group • Muswell Hill & Fortis Green Association • Save Hornsey Central Hospital Campaign • Sue Horne <p>All four deputations sought to raise issues in respect of the relocation of services from Fortis Green Clinic which was Item 6 on the Agenda (minute number 115).</p> <p>The Chair thanked the speakers for their attendance.</p>
OSCO114.	<p>HARINGEY TEACHING PRIMARY CARE TRUST (HTPCT) BUDGET 2006/7</p> <p><i>This was taken as part of item OSCO115 below.</i></p>

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<p>OSCO115.</p>	<p>RELOCATION OF SERVICES FROM FORTIS GREEN CLINIC</p> <p>The Committee received a presentation on the redevelopment of the Hornsey Central Hospital site which outlined the vision and benefits, trade offs, and the history of the redevelopment and consultation. The presentation sought to respond to a number of questions posed by the Overview and Scrutiny Committee in respect of the redevelopment plans.</p> <p>Officers from the PCT stated that there were some technical issues to overcome in respect of the funding bids for the HCH, and thus it was not possible to update the Committee. The PCT will respond more fully to these concerns in due course. The PCT confirmed that it would develop a comprehensive, cohesive consultation strategy in response to a number of concerns raised.</p> <p>The Committee considered in detail four deputations from local residents concerning the proposals by the Primary Care Trust (PCT) to relocate services from Fortis Green Clinic, In addition, they received an update from the PCT on the proposed relocations and noted the amended proposals which included moving clinics to Northbank House and Rutland House Health Centre.</p> <p>The Committee noted the amended and updated proposals. PCT representatives present at the meeting agreed that any further proposals to relocate services on the redeveloped Hornsey Central Hospital site would be the subject of full engagement with the local community and the Overview and Scrutiny Committee. The PCT also agreed that it would look at how it could improve dialogue with local people when consulting on proposed service changes and stated its commitment to open dialogue with residents.</p> <p>The PCT explained that it was proposing to relocate services due to changes in the way in which health services were delivered, which meant that FG Clinic was now under utilised. In such circumstances, the PCT had to consider the best use of its resources. It was of the opinion that disposing of the building would enable more efficient service provision. If the proposal was not agreed, it would put further pressure on the PCT's budget for the forthcoming financial year and may result in less desirable options to be considered.</p> <p>The PCT, in response to a number of questions from members of the public and Overview and Scrutiny Committee Members, stated that some services would be housed temporarily until HCH had come online. The PCT stated that Rutland House and North Bank would continue to be used at least until the re-developed Hornsey Central Hospital (HCH) had become operational.</p> <p>The PCT gave a presentation to the Committee on the proposal to relocate services from Fortis Green Clinic which outlined what the current service provision was and the reasons for the proposed</p>	

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	<p>changes – highlighting that under the current arrangements there were 14 out of 32 sessions being utilised and that this represented poor value for money. The presentation also outlined the potential savings from the closure of the Fortis Green Clinic and gave details of the availability and suitability of the proposed venues to be used post closure, namely Rutland House and North bank House. The presentation ended by outlining the timetable for decisions to be made about the proposed change – the PCT Board meeting on 24 January 2007 for final the decision.</p> <p>The PCT informed the Committee that health equality within the borough was central to the PCT's objectives but that in the west of the borough, there were significant physical resource obstacles. The solutions to some of these problems would be identified by the Primary Care Strategy in March 2007. In respect to concerns over the impact on the most vulnerable people within the communities over the proposed changes, the PCT responded that each individual patient would be given advice and guidance once services began to move. In respect of a call to allow more time for discussion, the PCT stated, whilst it would be happy to receive additional views and could assist on this, it would not be feasible to delay the final decision by the PCT Board.</p> <p>In response to further questions, the PCT confirmed that there was no intention at this stage of closing the Crouch End Clinic and there was nothing to suggest that this would be the case.</p> <p>The PCT agreed to undertake a robust consultation once the HCH was online in order to ascertain views on any relocations that might be proposed at that stage. There was also a commitment to develop ongoing dialogue with local people. The Chair of the Overview and Scrutiny Committee (OSC) encouraged members of the public to write directly to the OSC if they have any further concerns over the PCT's consultation process in future.</p> <p>RESOLVED</p> <ol style="list-style-type: none"> 1. That the proposals by Haringey Teaching Primary Care Trust to relocate services from Fortis Green Clinic to alternative accommodation within the Muswell Hill area be noted. 2. That any proposals to move, in due course, relocated or other services to the redeveloped Hornsey Central Hospital site or other alternative venues outside of the Muswell Hill area, be subject to full engagement with the local community and the Overview and Scrutiny Committee. This commitment be confirmed in writing by the Primary Care Trust.
OSCO116.	<p>BARNET, ENFIELD AND HARINGEY CLINICAL STRATEGY</p> <p>The Chair, along with Councillors Jones and Newton, Gill Prager and the Principal Scrutiny Support Officer agreed to meet separately to</p>

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	deal with this Strategy and to feedback to the Committee in due course.
OSCO117.	BUDGET SCRUTINY - COMMENTS FOR THE EXECUTIVE The Committee considered the addendum before them and highlighted a number of budget lines from the financial planning 2007/8 – 2010/11 schedule. The Committee agreed to raise a number of concerns over the schedule before it was considered by the Executive on 23 January 2007. The Chair would approach the Leader about this. RESOLVED The recommendations of the report were agreed and referred to the Executive Committee meeting on the 23 January 2007.

Councillor GIDEON BULL

Chair, Overview and Scrutiny Committee 2006/7

Date: _____

URGENT BUSINESS SHEET

Report Title: SCRUTINY REVIEW OF HOUSING LETTINGS POLICY

Committee: Overview & Scrutiny Committee

Date: 29 January 2007

The report is late because the Panel was anticipating updated guidance from the Information Commissioner's Office on the secondary use of personal data as part of a general view to the use of personal information by public bodies. This guidance could have implications for recommendations contained in the report.

The report is too urgent to await the next meeting because this phase of the review builds on original report that was agreed by Overview & Scrutiny Committee in September 2006 and it is important that the report and recommendations are considered by the Committee for consideration by the Executive.

The Head of Member Services concurs with the admission of this item.

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Agenda item:

OVERVIEW & SCRUTINY COMMITTEE
On 29 JANUARY 2007

Report Title: Scrutiny Review of Housing Lettings Policy

Report of: The Chair of the Scrutiny Review Panel – Councillor John Bevan

Wards(s) affected: **All**

Report for: **Key Decision**

1. Purpose

To report to the Committee the Scrutiny Review Panel recommendations regarding the new Housing Lettings Policy and to seek the Committee's endorsement of the recommendations contained in the report of the Scrutiny Review Panel

2. Recommendations

That the Committee consider and agree the recommendations of the Scrutiny Review Panel, as outlined in the attached report.

Report Authorised by: Councillor John Bevan

Contact Officer: **Sharon Miller, Principal Scrutiny Support Officer**
Telephone: 020 8489 2928

3. Executive Summary

3.2 The Review was commissioned by the Overview & Scrutiny Committee as part of its work programme for 2006/07 with the aim of examining the proposed housing allocations and lettings policy, following challenges raised by the Audit Commission.

3.3 The Review Panel produced an initial report and recommendations which were considered and endorsed by the Overview and Scrutiny Committee at its meeting on 12 September 2006. At that time the Committee also agreed to vary the terms of reference of the Review to enable the Panel to ensure that the Lettings Policy is implemented successfully and fit for purpose. As part of this exercise the Panel met on a number of occasions and received progress reports on the implementation of the recommendations of the Review.

4. Reasons for any change in policy or for new policy development (if applicable)

4.1 A new policy reflecting the legal requirements placed on the Council and Councils preferred, but limited Lettings priorities and the need to work with private sector partners to tackle homelessness and overcrowding, was required.

5. Local Government (Access to Information) Act 1985

The background papers relating to this report are:

The DWP HB/CTB Guidance Manual (C8.90):

Housing Allocations & Lettings Policy Report September 2006

Minutes of the Allocations & Lettings Scrutiny Review Panel

6. Consultation

N/A

7. Summary and Conclusions

Please refer to the Scrutiny Review Report (attached)

8. Recommendations

Please refer to the Scrutiny Review Report (attached)

9. Legal and Financial Comments

9.1 There are no legal implications arising from the recommendations contained in this report save for recommendation 4.

9.2 Recommendation 4 suggests that a form of wording should be included on the Housing Registration Form to ensure that when applying for housing, applicants are aware of, and give consent to, the sharing of information between Council Departments, in particular Council Tax data, as a means of preventing and detecting fraud to protect public funds. It is expected that consideration would be given to any new guidance due to be issued at the end of January 2007 by the Information Commissioner's Office and any implications for the Authority.

9.3 Full legal and financial comments will be sought to recommendations agreed by the Executive in the Executive Response.

10. Equalities Implications

Equalities implications will be sought to recommendations agreed by the Executive in the Executive Response.

11. Use of Appendices

Please find attached the Scrutiny Review report.

SCRUTINY REVIEW OF HOUSING ALLOCATIONS AND LETTINGS POLICY

This phase of the review concentrated on monitoring the implementation of the recommendations made in the main report of the panel. The Recommendations contained in the main report was presented to the Executive on 12 September 2006. The Panel was pleased to note progress made to date, however the following issues needed to be addressed.

1.0 FEEDBACK FROM CONNEXIONS DIRECT

1.1 The panel first met with representatives of Connexions Direct on 12 August 2006 where they reported the issues facing vulnerable young people seeking accommodation in Haringey. Members wanted to find out how the new lettings policy would impact on this group and it was agreed that Connexions Direct would report back to the panel at the end of the year with their comments and experience of the policy.

- Connexions reported their findings and suggestions in a report to the Panel on 19th December 2006, Helen Wilson and Hilda Djada addressed the panel and outlined their concerns. The key observations included issues relating to the provision of emergency accommodation and the time gap in arranging interviews for this group when they present as homeless and in need of emergency accommodation. For example:
- Young people approaching Station Road are given P&O appointments several weeks after the initial approach date. This can mean that the situation becomes urgent in that the young person requires emergency accommodation before the appointment date.

1.2 Young people approaching Prevention and Options Service, who have been picked up by the Social Services out of hours Service, sometimes on several occasions, are not provided with emergency accommodation.

1.3 It was clear that effective joined up working is needed between Connexions, Social Services and Housing to ensure appropriate referrals are made and an adequate support package put into place. This is in the process of taking place in conjunction with relevant services. Clarity is needed around what constitutes an emergency.

1.4 It is the view of the Panel that the situation could be made less demanding if youths are placed in bed and breakfast accommodation for a longer period of time; say three days, during which time they would be interviewed and their housing needs assessed.

1.5 Out of Hours Service

1.6 The Council's Out of Hours Service team provides an emergency service outside of normal business hours when council offices are closed. The panel was informed that the procedures for the Service are currently under review and recommend that the new procedures should incorporate measures on how staff within the Service deal with vulnerable young people who need

emergency accommodation and that literature about the Prevention & Options Services should be made available and explained to them.

- 1.7 It was agreed that the Re-Housing Service would make contact with Connexions Direct to arrange delivery of P&O leaflets to Connexions' offices and that leaflets would also be made available in Bed and Breakfast accommodation used by the Council. It was also agreed that Connexions Direct should make arrangements to meet with officers in the Re-housing Service to discuss other outstanding issues.

Recommendations:

- (1) Consideration should be given to increasing the length of time a young person is booked into bed and breakfast accommodation, where they are vulnerable, in exceptional circumstances for more than 24 hours.
- (2) Staff in the Out of Hours Service should explain the Prevention and Options (P&O) Procedures when they are in contact with vulnerable young people seeking emergency accommodation. Provisions should be made to ensure that a supply of P&O leaflets is available to the Out of Hours Team to hand out to young people who come in contact with the service.
- (3) The Re-housing Service should ensure that Prevention & Options leaflets are made available in Bed and Breakfast accommodations as well as in the offices of Connexions Direct.
- (4) The Housing Service to meet with Connections to discuss outstanding issues raised by Connexions Direct relating to their dealing with vulnerable young people.

2.0 HOUSING REGISTRATION FORM

2.1 Housing Registration Form and Housing Benefits

- 2.2 The Panel is keen to ensure that the Council is taking steps to address weaknesses in the administrative systems to tackle and manage homelessness in the borough more efficiently. Where the administration of housing benefit and the provision of housing assistance are dealt with by different departments of the Council, it will be necessary for the Services to ensure that effective liaison arrangements between departments are in place.

- 2.3 Members acknowledge the data protection restrictions around the sharing of information electronically held in various databases. Nevertheless they expressed strong concerns regarding insufficient sharing of customer information between council departments. As a result, they sought clarification from the Benefits and Local Taxation Service who informed the Panel that at the present time, Council Tax data cannot be used for any other purpose unless specific statutory permission exists that allows secondary disclosure. Legal Services have also issued guidance which backs up this stance. Information given by, or held about, a member of the public should be used only for the purpose it was obtained or given. Local Authorities are expected to make information given to them for Housing Benefit or Council Tax purposes available

to those officers within the Authority who need it to administer or audit claims for benefit. Local Authorities may use Housing Benefit or Council Tax information for other purposes (.e.g. to assess entitlement to free school meals), but only if the claimant consents. This is specified on the relevant Claim form.

- 2.4 It was also noted that the Information Commissioner's Office (ICO) was reviewing the issue of secondary (data) use and revised guidance is imminent. The Quality Assurance and Data Manager explained that the Data Protection issues could be overcome provided the Re-Housing Service provide a written statement documenting exactly which team/section required access to the data and the reasons why the sensitive personal data is being requested. It was agreed that once the guidance from the Information Commissioner's Office has been issued, a briefing should be produced for Members, outlining the implications for the Housing Service.
- 2.5 Draft copies of the new Housing Application Forms were distributed to the Panel Members wish to ensure that new tenants are required to indicate the likelihood of claiming housing benefit when they apply to Homes for Haringey and that the application form includes the necessary permissions required for the release of electronic data.
- 2.6 The Panel is aware that the Housing Services in other local authorities have overcome the Data Protection issues which served to convince that this was achievable. They were pleased to learn that the Housing Service was in the process of redesigning the Housing Registration Form and wished to ensure that all the necessary permissions required to carry out data checks on applicants are included on the new form and recommend that subject to legal advice, the following statement should be included on the form: *"The Council need to protect the public funds we handle, and we may use the information you have provided on this form to prevent and detect fraud. We may also share this information for the same purposes with other organisations that handle public funds. We may take steps to confirm the information you have given us and check that you do not owe the council money by looking at other relevant information available to the council (for example council tax, electoral register, benefits, or council tenancy records) or through an external agency on a confidential basis. We may also visit you in your home before making an offer."* (Subject to the necessary legal approval).
- 2.7 The Housing Register**
- 2.8 As documented elsewhere the Housing Register had not been reviewed for a number of years and needed to be re-evaluated. The purpose of the re-evaluation was to ensure that the register was up to date and reviewed on a regular basis thereafter. Letters were sent to all tenants on the Housing Register; the closing date for response from tenants was 8th October 2006. Tenants were asked to respond to the letter indicating whether they wished to remain on the Housing Register and to enable the Re-housing Service to check that the correct awarding of priority points and accurate matching of individual housing needs. The introduction of the new Choice Based Lettings scheme also provided the Service with the right opportunity to refresh the register.

- 2.9 The Policy and Procedures Manager gave a verbal update on the outcome of the review. It was noted that a more rigorous approach will be taken to verify the details of all tenants. The register now stands at approximately 10,230 applicants (reduced from 24,000), however the final figure could be in the region of 11,300 once all outstanding issues are dealt with.

2.10 Equalities Impact Assessment

- 211 Members are keen to ensure that the new Housing Registration Form includes information to capture data on ethnicity to ensure monitoring targets are achieved for all lettings.

Recommendations

- (5) That the following statement be incorporated onto the new Housing Registration Form: *“The Council need to protect the public funds we handle, and we may use the information you have provided on this form to prevent and detect fraud. We may also share this information for the same purposes with other organisations that handle public funds. We may take steps to confirm the information you have given us and check that you do not owe the council money by looking at other relevant information available to the council (for example council tax, electoral register, ,benefits, or council tenancy records) or through an external agency on a confidential basis. We may also visit you in your home before making an offer.”* (Subject to the necessary legal approval).
- (6) That the new Housing Registration Form be explicit in asking whether applicants are like to apply for housing benefit, so that officers in the Re-Housing Service are able to be better prepared to assist applicants in their claims and to reduce the risks and level of housing arrears.
- (7) The new Housing Registration Form will capture sufficient information to ensure compliance with the Equalities Impact Assessment criteria.

3.0 GOOD NEIGHBOUR TRANSFERS

- 3.1 During the course of the scrutiny review, the Panel sought legal advice about the inclusion of “good neighbours” transfers in the policy and was informed that whilst this is a legitimate aim of the Council, those applying for a transfer must be treated on the same basis as other applicants. The allocations scheme must reflect a sensible balance between meeting the housing needs of existing tenants and new applicants, whilst ensuring the efficient use of the housing stock. The panel wanted a greater degree of weighting to be given to this category in the new policy. Members are extremely disappointed to note that after the Executive agreed to this recommendation the matter was reconsidered by Officers and the Executive Member for Housing. They decided that the recommendation that the Good Neighbour Transfer factor is not appropriate and it was therefore deleted from the policy The Panel feel very strongly that this should be reinstated into the policy as originally agreed by the Executive in September.

Recommendation:

- (8) That the 'good neighbour' factor of the allocations and lettings policy should be reinstated.

4.0 CUSTOMER CALL CENTRE

- 4.1 Members of the Panel visited the Customer Service Centre in Wood Green and witnessed interviews by officers. It was unclear to Members whether there was a target timescale between initial inquiry and formal interview. The Panel was of the view that targets should be introduced and monitored on a regular basis to ensure that applicants are not left waiting for long periods of time before being interviewed. The Panel suggested a target of ten working days.

Recommendation

- (9) That a target of 10 working days be introduced and monitored appropriately to ensure that applicants are not left waiting for long periods of time between making an initial housing inquiry and formal interview.

5.0 DRAFT LEAFLET – YOUR CHOICE, YOUR MOVE

- 5.1 With reference to the 'points' leaflet, the Panel was satisfied that on-line self assessment will be made available for applicants to calculate the number of points allocated, and agreed that this recommendation should not be pursued.

Recommendation:

- (10) In view of the fact that on-line self assessment will be made available for applicants to calculate the number of points allocated, the original recommendation should be deleted.