

Shropshire Council
Legal and Democratic Services
Shirehall
Abbey Foregate
Shrewsbury
SY2 6ND

Date: Tuesday, 23 November 2021

**Committee:
Cabinet**

Date: Wednesday, 1 December 2021

Time: 10.00 am

**Venue: Shrewsbury Room, Shirehall, Abbey Foregate, Shrewsbury,
Shropshire, SY2 6ND**

You are requested to attend the above meeting. The Agenda is attached

Members of the public will be able to access the live stream of the meeting by clicking on the link below and a recording will be made available afterwards

<https://shropshire.gov.uk/CabinetMeeting1December2021>

There will be some access to the meeting room for members of the press and public but this will be limited for health and safety reasons.

**If you wish to attend the meeting please e-mail
democracy@shropshire.gov.uk to check that a seat will be available for you.**

Tim Collard
Interim Assistant Director – Legal and Democratic Services

Members of Cabinet

Lezley Picton (Leader)

Gwilym Butler

Dean Carroll

Rob Gittins

Kirstie Hurst-Knight

Simon Jones

Cecilia Motley

Ian Nellins

Ed Potter

Your Committee Officer:

Amanda Holyoak

Tel: 01743 257714 Email: amanda.holyoak@shropshire.gov.uk

AGENDA

1 **Apologies for Absence**

2 **Disclosable Pecuniary Interests**

Members are reminded that they must not participate in the discussion or voting on any matter in which they have a Disclosable Pecuniary Interest and should leave the room prior to the commencement of the debate.

3 **Minutes** (Pages 1 - 4)

To approve as a correct record the minutes of the previous meeting held on Wednesday 10th November 2021

4 **Public Questions**

To receive any questions from members of the public, notice of which has been given in accordance with Procedure Rule 14. Deadline for notification is not later than Monday 29th November 2021

5 **Members Question Time**

To receive any questions from members of the council. Deadline for notification is not later than Friday 26th November 2021

6 **Scrutiny Items**

7 **Adult Social Care Winter Plan** (Pages 5 - 106)

Lead Member – Councillor Simon Jones – Portfolio holder for Adult Social Care and Public Health

Report of Tanya Miles, Executive Director of People – attached

Tel: 01743 255811

8 **Children's Services Key Performance Data** (Pages 107 - 124)

Lead Member – Councillor Kirstie Hurst-Knight – Portfolio Holder for Children and Education

Report of Tanya Miles, Executive Director of People – attached

Tel: 01743 255811

9 Gambling Act 2005 Policy Statement (Pages 125 - 272)

Lead Member – Councillor Ed Potter – Portfolio Holder for Deputy Leader and for Economic Growth, Regeneration and Planning

Report of Mark Barrow, Director of Place – attached

Tel: 01743 258919

10 Procurement of Highways Professional Services Contract

Lead Member – Councillor Dean Carroll – Portfolio Holder for Physical Infrastructure

Report of Mark Barrow, Director of Place – TO FOLLOW

Tel: 01743 258919

11 Financial Monitoring 2021/22 Quarter 2 (Pages 273 - 308)

Lead Member – Councillor Gwilym Butler – Portfolio Holder for Resources

Report of James Walton, Executive Director Resources – attached

Tel: 01743 258915

12 Treasury Management Update 2021/22 Quarter 2 (Pages 309 - 336)

Lead Member – Councillor Gwilym Butler – Portfolio Holder for Resources

Report of James Walton, Executive Director Resources – attached

Tel: 01743 258915

13 Performance Monitoring Report 2021/22 Quarter 2

Lead Member – Councillor Rob Gittins – Portfolio Holder for Digital/Technology/Data and Insight

Report of James Walton, Executive Director Resources – TO FOLLOW

Tel: 01743 258915

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Committee and Date

Cabinet

1 December 2021

CABINET

**Minutes of the meeting held on 10 November 2021
In the Shrewsbury/Oswestry Room, Shirehall, Abbey Foregate,
Shrewsbury, Shropshire, SY2 6ND
10.00 - 10.35 am**

Responsible Officer: Ashley Kendrick
Email: Ashley.kendrick@shropshire.gov.uk Tel: 01743 257714

Present

Councillor Lezley Picton (Chair)
Councillors Rob Gittins, Kirstie Hurst-Knight, Simon Jones and Cecilia Motley

47 Apologies for Absence

Apologies were received from Councillors Dean Carroll, Ian Nellins, Ed Potter. Apologies were also received from Councillor Gwilym Butler who joined via video link and did not vote.

48 Disclosable Pecuniary Interests

None were declared.

49 Minutes

RESOLVED

That the minutes of the meeting held on 20 October 2021 be approved as a correct record.

50 Public Question Time

A question was submitted by Robert Jones regarding Baschurch Railway Station which was read aloud by the Legal Services Manager.

The full question and response provided by the Portfolio Holder for Communities, Culture, Leisure & Tourism, Transport, are attached to the webpage for the meeting

[Agenda for Cabinet on Wednesday, 10th November, 2021, 10.00 am – Shropshire Council](#)

51 **Members Question Time**

Member questions were received as follows:

Councillor Rob Wilson – regarding acceptable percentage increases in traffic levels.

By way of supplementary question, Councillor Wilson questioned what the plans were for traffic reduction in the LTP4. Leader, Councillor Lezley Picton, advised that a written response would be provided.

Councillor David Vasmer – regarding the Smithfield Development Framework and the Big Town Plan initiative.

Councillor David Vasmer – regarding the school meals service.

By way of supplementary question, Councillor Vasmer questioned whether the Council would consider delaying the implementation of proposals to increase costs and whether there was the option to secure funding from alternative sources. Portfolio Holder for Children and Education, Councillor Kirstie Hurst-Knight, confirmed that Councillor Vasmer's comments had been taken on board and would be raised at a meeting being held shortly.

52 **Scrutiny Items**

There were no scrutiny items for consideration.

53 **Adoption Service Annual Report 1st April 2020 - 31st March 2021**

Portfolio Holder for Children and Education, Councillor Kirstie Hurst-Knight, presented a report which provided members with an overview of the activity, data and performance of Shropshire Adoption activity as part of Shropshire Council's Regional Adoption Agency Together 4 Children (T4C) from the 1st April 2020 to 31st March 2021.

Members queried the challenges that had been faced over the past 12 months. Members were advised that challenges included covid pressures on staff, remote working and cultures across different local authorities.

Thanks were given to the team for their hard work.

Executive Director of People, Tanya Miles, encouraged anyone interested in adoption to contact 0300 1118044.

RESOLVED:

That Cabinet confirms its support for the work of T4C Regional Adoption Agency as set out in the Annual Report in fulfilling the Council's statutory and regulatory requirements

54 Fostering Service Annual Report 1st April 2020 - 31st March 2021

Portfolio Holder for Children and Education, Councillor Kirstie Hurst-Knight, presented a report which provided members with an overview of the activity, data and performance of Shropshire Council's Fostering Services from 1st April 2020 to 31st March 2021.

Members were advised that the service has succeeded in recruiting more mainstream foster carers to provide care for children looked after in comparison to last year.

Placement stability and permanency for children looked after continues to be a key focus of activity.

Further information on ensuring child placement stability was sought. Councillor Hurst-Knight advised that there are now clear pathways for communication in place, with a focus on supporting children's individual needs.

Executive Director of People, Tanya Miles, encouraged anyone interested in becoming a foster carer to contact 0800 783 8798.

RESOLVED:

That Cabinet confirms its support for the work of Shropshire's Fostering Services as set out in the Annual Report in fulfilling the Council's statutory and regulatory requirements.

Thanks were given to the team for their hard work which had delivered positive outcomes for the children of Shropshire.

55 Local Authority Designated Officer (LADO) Annual Report

Portfolio Holder for Children and Education, Councillor Kirstie Hurst-Knight, presented a report which provided members with an overview of the activity, data and performance of Shropshire's Local Authority Designated Officer from the 1st April 2020 to 31st March 2021 whose

role is to review allegations against professionals who work with children.

Members were advised that a new layer had been added to the ability to report which checks the suitability to work with children within the county. This came into effect in December 2020 under the Working Together to Safeguard Children.

Members queried whether further training was anticipated for LADOs, as it had been reported that training had been limited. It was confirmed that training would return to normal post-covid.

Members were advised that there was a robust system in place to protect the children of Shropshire which included a follow up and review process and a LADO being on duty every day.

RESOLVED:

That Cabinet supports the work of the Local Authority Designated Officer in fulfilling the Council’s statutory and regulatory requirements.

Signed (Chairman)

Date:



<u>Committee and Date</u>
Cabinet 1 st December 2021

<u>Item</u>
<u>Public</u>

Adult Social Care Winter Plan 2021/22

Responsible Officer:

Tanya Miller, Executive Director of People
 email: tanya.miller@shropshire.gov.uk

1. Synopsis

The Adult Social Care (ASC) Winter Plan describes how ASC, Housing and Public Health teams will work with partners to support residents to stay independent and well. The plan builds on last winter’s activity, showing how we will use the resources of our health and care system.

2. Executive Summary

- 2.1. The Department of Health & Social Care published its ASC Covid-19 Winter Plan 2021/22 in November. It builds on last year’s ASC Winter Plan and sets out the key elements of national support available for the social care sector for winter 2021 to 2022, as well as the principal actions to take for local authorities, NHS organisations and social care providers across all settings, including those in the voluntary and community sector.
- 2.2. The Shropshire ASC Winter Plan 2021/22 uses these national actions to set out how – by working together as a health and care system - we will ensure that high-quality, safe, and timely care is provided to everyone who needs it, while we continue to protect people who need care, their carers and the social care workforce from COVID-19 and other respiratory viruses.
- 2.3. This Winter Plan provides updates on our activity in winter 2020/21, reflects our experiences of responding locally to the challenges we faced and describes how we are building on last year’s activity to respond to this year’s current and predicted challenges, e.g., levels of Covid-19 infection rates and a stretched ASC and carer workforce.
- 2.4. Over the winter months, pressures build within our local health and care system as a result of the significant rise in the number of people admitted to hospital. The increased incidence of infectious diseases and conditions such as asthma, are exacerbated during the winter months. In the run up to this winter we have experienced increased numbers of people with complex care and support needs seeking support.

- 2.5. The challenge of managing the impact of Covid-19 when the health and care system is at its busiest continues to require an effective, robust, and co-ordinated effort to ensure that the local system is able to provide high-quality care and support to meet the increased demand and complexity of needs.
- 2.6. The Winter Plan, and the accompanying Action Plan plays an important role in describing how we will respond to our local demands and challenges. It describes our close working relationship with our care and support providers and the ways we will support people in Shropshire this winter.

3. Recommendations

Members are asked to:

- 3.1. Consider the plans and actions detailed in the Winter Plan and Winter Action Plan to ensure that high-quality, safe and timely care is provided to everyone who needs it, and we continue to protect people who need care, their carers and the social care workforce from COVID-19 and other respiratory viruses.

REPORT

4. Risk Assessment and Opportunities Appraisal

(NB This will include the following: Impact on Children and Vulnerable Adults, Risk Management, Human Rights, Equalities, Community and other Consultation)

- 4.1. The risks and opportunities relating to the activity within the ASC Winter Plan are recorded on a number of risk registers and are regularly reviewed and updated.
 - The Corporate Risk Register
 - The Health and Care System Risk Register
 - The ASC Operational Risk Register
- 4.2. A Risk Register specific to the ASC Winter Plan is attached as Appendix 3.
- 4.3. There is no new activity, or changes to activity that requires new Equality, Social Inclusion Impact Assessments or consultation.

5. Financial Implications

- 5.1. The activity described in the Winter Plan will be delivered directly by our staff, through ongoing commissioned activity and through short-term commissioned activity designed to tackle the specific challenges of winter.
- 5.2. The activity is funded through core budgets, short-term funding streams and grant funding.

6. Climate Change Appraisal

6.1. Energy and fuel consumption

- i. Adult Social Care, Public Health and Housing continue to deliver a significant number of appointments virtually, which reduces the need for staff or resident travel.
- ii. Adult Social Care, Public Health and Housing, and commissioned activity promote the council's energy saving and Warm Home schemes through conversations with residents and support them to take advantage of these opportunities to reduce energy use.

ASC is committed to ensuring that there are energy and fuel savings in our future activities and quantifying the outcome of these.

- 6.2. **Renewable energy generation:** The decision does not include any opportunities to generate renewable energy.
- 6.3. **Carbon offsetting or mitigation:** The decision does not create any opportunities to offset or mitigate carbon emissions through measures such as tree planting or peat soil enhancement.
- 6.4. **Climate change adaptation:**

The Winter Plan confirms that ASC, Public Health and Housing is connected into the council-wide Flooding Action Plan, e.g., the locations of residential homes and where domiciliary care is being delivered have been overlaid with flood level predictions to enable us to plan, prepare for and avoid the potential impact of flooding on our vulnerable residents.

We are creating Winter Well resources focused on the top 5 things we can all do to keep well and increase our resilience to the impact of the extremes of winter weather, including –

- Vaccinations
- Infection control and testing
- Staying physically active
- Mental well-being
- Where to go to seek advice and support for a wide range of issues that could affect people more in the winter months, e.g., fuel poverty, affordable food, welfare benefits.

7. Background

- 7.2. Everyone living and working in Shropshire continues to be affected in some way by Covid-19, ranging from a radical change in day-to-day life and how services are delivered, through to a direct experience of the virus.
- 7.3. Periods of self-isolation and regular testing to protect others has become the norm and there continues to be significant numbers of people in Shropshire experiencing the effects of the virus. Thanks to the high uptake of vaccination in Shropshire, the impact on personal health and our health services has reduced, but the virus is proving to have a number of impacts on our care and health system.
- 7.4. 2021 has been another tough and challenging year, and for the people who provide support and care to others it continues to be particularly difficult. Care and health teams have worked hard to protect vulnerable people, provide care, and support colleagues. At the same time, they have been affected by increased numbers of Covid cases, the impact of long Covid, juggling home schooling and caring responsibilities.
- 7.5. We have refreshed and updated our Winter Plan 2021/22 to reflect what we learnt and developed last winter. Many areas of activity, such as our Winter Support Scheme are in a stronger position as we have been able to build on what worked well, but there are areas of concern, such as care workforce fragility where we must focus our efforts across all sectors and organisations to ensure some of our most vulnerable residents are receiving the care and support that they need.
- 7.6. The health and care system could not have coped without the efforts of the Covid-support or mutual aid groups that continue to enable people to remain well and independent at home. The system also would not have coped without the thousands of unpaid and family carers who have had to dig deep into their resilience reserves during lockdown. Positive things like our resilient communities, our strong voluntary and community sector, and our dedicated workforce will help all of us maintain our wellbeing through this winter.
- 7.7. Within our care and health organisations there are many sources of advice and support to help staff look after their mental and physical health. We are encouraging staff to make use of these, as well as supporting them to receive Covid boosters and 'flu vaccinations at the earliest opportunity.
- 7.8. The activity described in this plan that many staff will be involved in, is invaluable to people staying well this winter.

8. Additional Information

- 8.2. The ASC Winter Plan Action Plan brings together the key actions in the DHSC Plan and Shropshire's local actions. These are organised under the following headings –

Preventing and controlling the spread of infection in care settings

PPE

- Covid-19 and flu testing
- Covid-19 and seasonal flu vaccinations
- Infection prevention and outbreak management
- Visiting in care homes

Collaboration across health and care services

- Preventing avoidable admissions
- Technology and digital support
- Safe discharge from NHS settings
- Social prescribing

Supporting the people who provide care

- Unpaid carers and respite care
- Workforce wellbeing
- Workforce capacity
- Social work and other professional leadership

Supporting the system

- Funding
- Market and provider stability
- CQC's regulatory model
- Local, regional and national oversight and support

- 8.3. Shropshire's local actions will be reviewed regularly to identify barriers and opportunities associated with their successful delivery.

9. Conclusions

- 9.2. The ability to manage the presence of Covid-19 in our communities and provide care and support for those who need it this winter will depend on collaborative working within Shropshire's health and care system. ASC will work with its partners so that we are best prepared to face this winter's challenges, including:

- an increasingly stretched adult social care workforce, with recruitment continuing to be difficult in many places
- the infection risk posed by the possibility of a new COVID-19 variant of concern, as well as other respiratory viruses

- 9.3. Shropshire's ASC Winter Plan 2021/2022 and accompanying Action Plan covers a wide range of activity designed to ensure that people are supported to be healthy, independent and safe, that our care settings provide excellent care for the people they support, and that our staff remain well and resilient.

- 9.4. We are providing a range of support, services and activity for our staff to support their mental and physical health and wellbeing. These include online wellbeing assessments, counselling, Winter Wellness resources, bereavement support, Mental Health First Aiders and support to receive Covid and flu vaccinations.
- 9.5. Effective partnership working within our health and care system, as we move towards integration, will benefit the people looking to us for care and support. Close working and good communication is particularly important to ensure people leaving hospital have the support to recover at home and avoid needing to go back to hospital.
- 9.6. Much of this activity involves Shropshire's voluntary and community organisations, community groups, volunteers, and unpaid carers. Their knowledge, skills and experience is a vital element of our health and care system, and the importance of their continued support for our communities should not be underestimated. We are sincerely grateful to our voluntary organisations, community groups and everyone who gives their time and energy to support others.

List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)

DHSC – Adult Social Care: Covid-19 winter plan 2021 to 2022

<https://www.gov.uk/government/publications/adult-social-care-coronavirus-covid-19-winter-plan-2021-to-2022/adult-social-care-covid-19-winter-plan-2021-to-2022>

Cabinet Member (Portfolio Holder)

Cllr Simon Jones, Cabinet Member, ASC and Public Health

Local Member

All

Appendices

1. Appendix A - ASC Winter Plan 2021/2022
2. Appendix B - ASC Winter Plan Action Plan 2021/2022
3. Appendix C - ASC Winter Plan 2021/2022 Risk Register

Shropshire Council

Adult Social Care

Winter Plan 2021/22



A winter's view of Shropshire's Area of Outstanding Natural Beauty

Introduction

Everyone living and working in Shropshire continues to be affected in some way by Covid-19, ranging from a radical change in day-to-day life and how we do our work, through to a direct experience of the virus.

Periods of self-isolation and regular testing to protect others has become the norm and there continues to be significant numbers of people in Shropshire experiencing the effects of the virus. Thanks to the high uptake of vaccination in Shropshire, the impact on personal health and our health services has reduced, but the virus is proving to have a number of serious effects within our care and health system.

2021 has been another tough and challenging year for us all, and for those of us whose job it is to provide support and care to others it continues to be particularly difficult. We have worked hard to protect vulnerable people, provide care, and support our teams. At the same time, we have been affected by increased numbers of Covid cases, the impact of long Covid, juggling home schooling and caring responsibilities whilst trying to find time for much-needed breaks to rest and recharge.

We have refreshed and updated our Winter Plan 2021/22 to reflect what we learnt and developed last winter. Some areas of activity, such as our Winter Support Scheme are in a stronger position as we have been able to build on what worked well last year, but there are areas of concern, such as care workforce fragility where we must focus our efforts across all sectors and organisations to ensure some of our most vulnerable residents are receiving the care and support that they need.

The health and care system could not have coped without the efforts of the Covid-support or mutual aid groups that continue to enable people to remain well and independent at home. The system also would not have coped without the thousands of unpaid and family carers who have had to dig deep into their resilience reserves during lockdown. Positive things like our resilient communities, our strong voluntary and community sector, our excellent services and committed workforce will help all of us maintain our wellbeing through this winter.

Within care and health there are many sources of advice and support to help us look after our mental and physical health, such as <https://staff.shropshire.gov.uk/policies-and-guidance/coronavirus/> and we would encourage you to make use of these. We also strongly encourage you to receive your 'flu vaccination at the earliest opportunity.

Shropshire will continue to work through these challenging times together and by looking out for each other. The activity described in this plan that many of us will be involved in, is invaluable to people staying safe and well this winter.

With best wishes,





Tanya Miles
Executive Director of People

Councillor Simon Jones
Cabinet Member for ASC, Public Health

Background

The Department of Health & Social Care published its ASC Covid-19 Winter Plan 2021/22 in November. It builds on last year's adult social care winter plan and sets out the key elements of national support available for the social care sector for winter 2021 to 2022, as well as the principal actions to take for local authorities, NHS organisations and social care providers across all settings, including those in the voluntary and community sector.

The Shropshire ASC Winter Plan 2021/22 uses these national actions to set out how – by working together as a health and care system - we will ensure that high-quality, safe, and timely care is provided to everyone who needs it, while we continue to protect people who need care, their carers and the social care workforce from COVID-19 and other respiratory viruses

This Winter Plan provides updates on our activity in winter 2020/21, reflects our experiences of responding locally to the challenges we faced and describes how we are building on last year's activity to respond to this year's current and predicted challenges, e.g., levels of Covid-19 infection rates and a stretched ASC and carer workforce.

Over the winter months, pressures build within our local health and care system as a result of the significant rise in the number of people admitted to hospital. The increased incidence of infectious diseases and non-infectious conditions such as asthma, are exacerbated during the winter months. In the run up to this winter we have experienced increased numbers of people with complex care and support needs seeking support from care and health services.

The challenge of managing the impact of Covid-19 when the health and care system is at its busiest will continue to require an effective, robust, and coordinated effort to ensure that the local system is able to provide high-quality care and support to meet the increased demand and complexity of needs.

The Winter Plan, and the accompanying Action Plan plays an important role in describing how we will respond to our local demands and challenges. It describes our close working relationship with our care and support providers and the ways we will support people in Shropshire this winter.

Our Partnerships

Shropshire Council continues to work closely with its neighbouring local authority of Telford and Wrekin Council. We are partners in one Integrated Care System (ICS) along with Shropshire's Clinical Commissioning Group (CCG), the Shrewsbury & Telford Hospital Trust (SaTH), other health services providers and the voluntary and community sector. Partner organisations continue to closely monitor and follow national guidelines and putting appropriate support in place. This, along with our effective processes to plan, action and respond to issues as they arise is resulting in a high level of confidence in our winter period system response.

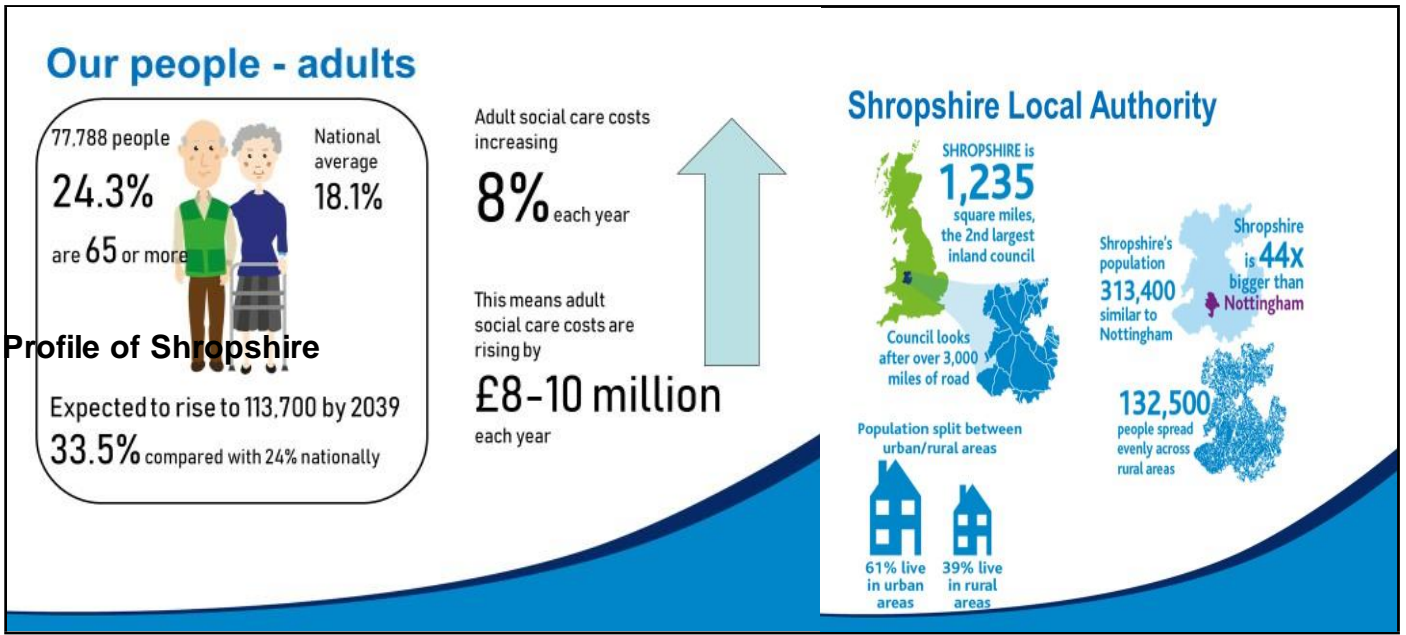
Shropshire Council has its own comprehensive approach to winter planning which includes -

- This local Winter Plan
- A Winter Plan action plan.
- Shropshire's Local Outbreak Management Plan
- Shropshire and Telford & Wrekin ICS Winter Plan

Shropshire is fortunate to have a strong and resilient voluntary and community sector, which complements the activity of statutory health and care organisations. The Shropshire Voluntary and Community Sector Association (VCSA) is effective in how it represents the sector and regularly works in partnership with the council to achieve shared objectives and common goals.

We commission and grant fund a number of voluntary and community organisations and consortiums to deliver local wellbeing, independence and preventative services and this activity is a cornerstone of the Adult Social Care delivery model based on people being able to stay well and independent at home supported by staff and volunteers from their communities.

We are committed to involving the people who make use of services in their design and delivery. We engage, consult, collaborate and co-produce services and practice the principles of Think Local, Act Personal. We have a Making It Real Board and a variety of themed Partnership Boards, with expert by experience members, who work alongside us to develop policy and strategy. Current examples of our co-production approach are the transformation of Direct Payments and the development of our Supported Living framework.



Shropshire is the second largest inland rural county in England, and one of the most sparsely populated. Shropshire is approximately ten times the size of all the Inner London Boroughs put together (31,929 hectares; source: ONS Census 2011).

There is just one person per hectare (1.02 persons; 325,415 population; source: ONS mid-year estimates 2020), for a terrain covering 319,736 hectares. 97.5% of Shropshire is classified as rural with around 57% of Shropshire's population living in rural areas. 2.5% is classified as urban and contains 43% of the population. For comparison England consists of 84.6% rural and 15.4% urban.

There are 17 market towns and key centres of varying size, including Ludlow in the south and Oswestry in the north. Shrewsbury, the county town, is in the central band and has the largest population. An additional dynamic is that unlike for example Cumbria, the population is dispersed across the entire county rather than there being any large areas where no one lives.

24.9% of the population is aged 65+ significantly higher than 18.5% for England

3.3% of the population is aged 85+ compared to 2.5% for England

By 2043 it is forecast that 33.2% of the population will be aged 65+ compared to 23.9% for England.

There are 3233 miles of highways in Shropshire of which 2944 miles (91%) are classed as rural. Residents have a greater reliance on access to their own transport. 84.8% of households have 1 or more car/van per household compared to 74.4% in England and Wales.

There is an even greater reliance for own transport in the rural households of Shropshire – 89% of rural households have access compared to 78.3% urban.

Key challenges of winter 2020/21

- More people needing to go into our hospital setting, meaning that on discharge, more people needed adults social care support.
- Our care and support providers, experienced difficulties in staffing, as the need for track and trace, saw staff self-isolating.
- Care homes having to change the home environment to support people who had been tested positive with Covid 19.
- Adults Social Care resources, at times, being stretched, often working five days over seven days, through our hospital discharges support.
- Pressures on our mental health services, as more people experiences mental health.
- Severe flooding incidents for the second year in a row



Shropshire experienced severe flooding in February 2021

Drivers for change this winter

The White Paper, Integration and innovation: working together to improve health and social care for all (Feb 2021) highlights the demand pressures that we face, which will impact on service delivery going forward.

Shropshire is moving towards the creation of an overarching structure which supports a single system wide ICS as described in the White Paper. Pathways provided within the following service areas, each with separate processes, are sometimes fragmented not aligned.

- Integrated Care Services (ICS) Acute and Community Hospital Team
- Short Term Assessment and Reablement Team (START)
- Admission Avoidance (Pilot and Countywide)
- Sensory Services

ICS is future-proofing the way in which it delivers the operational elements of the service and enable the service to achieve excellent outcomes. There has been a reconfiguration of the service, which provides an efficient and collaborative approach to hospital avoidance, discharge planning and intermediate care. This has been a joint and collaborative approach, with reference alongside our health and system partners.

Examples of what worked well in 2020/2021

Shropshire's vaccination programme

Vaccine roll-out has been led by the NHS but Public Health, Social Care and other council, departments have provided active support to the programme in particular to ensure equitable uptake of vaccine roll-out across all population groups. Council departments supported the NHS in establishing vaccination services in a range of community settings across the County – for example through providing logistical and project management support.

A council run call centre was established to support the local population in booking and re-arranging vaccination appointments as required and had a role in providing advice to the public. A bespoke transport offer was provided by the council to ensure that those unable to reach vaccination services – particularly the old and vulnerable – were supported in doing so. The communications team have reinforced NHS promotion of vaccine roll-out using a vast range of channels and data insight colleagues have worked closely with NHS colleagues in refining the data such that uptake could be more closely monitored by populations of interest.

Through evidence from other vaccination programmes, it was recognised that certain population groups would be less likely to benefit from vaccination than the rest of the population. This includes individuals from lower socio-economic groups, ethnic minority populations, and certain vulnerable groups such as the homeless, those with mental illness or a learning disability. A joint programme of work to tackle vaccine hesitancy has been taken forward across Shropshire, Telford and Wrekin focussing on the need to build confidence in the vaccine, reduce complacency (the belief that COVID is not a threat) and increase convenience so that all population groups can benefit.



Vaccination clinic at the Prince Rupert Hotel

Shropshire Public Health and Social Care have worked together with NHS colleagues to directly support Health Care Workers, those with a Learning Disability or Autism and those with Mental Illness bringing NHS colleagues and third sector organisations together to identify problems and find solutions to enable access to vaccinations. Outreach work has been undertaken by the Community Reassurance team with community groups across the county providing information about the benefit of vaccinations and dispelling myths.

This has been taken forward through close liaison with representatives of target communities – for example by working with ‘champions’ from Eastern European communities.

In order to increase convenience in accessing vaccination services a mobile vaccination service has been established (‘Bob the Bus’). Regulatory services colleagues led conversations with employers in the first instance – particularly those employing populations known to be more vaccine hesitant and more recently the mobile service has been deployed in a range of community settings always targeting support on those groups known to be under-vaccinated. The bus has been used at Shrewsbury Town’s first football match of the season and is being used at other events, particularly those that attract young and/or ethnic minority groups. Plans are currently being taken forward to deploy the bus to support venues operating in the night-time economy incentivising young people to take up their vaccination (e.g., Free night-club entry for those vaccinated).

Provision of Personal Protective Equipment (PPE)

As a result of the Covid-19 pandemic, the requirements of Personal Protective Equipment (PPE) were ever more important. Care providers were anxious about managing Infection Control and relied on the reassurance of knowing how to access the PPE they required and frequent, ongoing supplies. In a very short space of time, Adult Services recognised the need to make urgent contact with the care provider market to establish their requirements and potential levels of use of PPE, to predict demand moving forward.

To facilitate the management of PPE requests and stock levels, an online platform was developed using a range of Microsoft products that enabled the Shropshire Council ICT team to rapidly implement a solution. Through the Local Resilience Forum (LRF), Shropshire Council were able to secure regular supplies of a range of PPE that were available through the online platform, to the provider market.

Having quickly identified a core working group consisting of the Shropshire team, members from our neighboring local authority and members from local health authorities, we were able to plan, design and review. This process continues today to ensure that we are continually evaluating and making adjustments where required. We agreed on the core aims of the project:

- To enable providers to make a request for PPE
- To efficiently respond to all requests – within 24hrs
- To maintain PPE stock levels
- To have clear reporting on demand and distribution
- To be reactive to all Government guidance and changes
- To provide mutual aid to health partners

- To meet regularly to support and review stocks.

We engaged with providers and issued a questionnaire to establish the PPE needs for each provider, capturing information such as no of staff members and users of their service. Using this data, we were in a strong position to predict future PPE demand and the stock levels required to ensure sufficient supplies to the provider market.

The online system collates the requests, enabling us to allocate collective supplies and generates automated notifications to the provider confirming their supply collection dates and times. We facilitated collections twice weekly and engaged with the charity Blood Bikers to action emergency requests for out of hours deliveries.

This approach and system continues today, providing access to PPE to the care provider market, personal assistants, and also unpaid carers.

Supporting Shropshire residents during the pandemic

- Testing systems were set up and run to deliver a locally responsive cross partnership Covid-19 testing.
- Cross border working was active throughout the pandemic particularly with Public Health Wales and Powys Public Health teams
- Establishment of a comprehensive local testing strategy including lateral flow testing (LFT) was set up and run to deliver a locally responsive cross partnership approach.
- The council developed a multi-agency Covid-19 Health Protection Cell to support the Test and Trace system locally, and to provide Covid-19 health protection support to partners and our residents.
- A Contact Tracing Partnership was put in place with national contact tracing partners.
- Effective management of outbreaks in various setting including care homes, schools, and local businesses with multi-disciplinary teams to support a specialist response.
- Successful implementation of a local vaccination programme to vaccinate priority groups, including local solutions to increase uptake such as bespoke transport offers for residents.
- A Covid-19 Infection Prevention Control service was put in place by the CCG to support partners.
- A PPE system was set up and now includes a multi-agency reporting dashboard to manage risk.
- A Shropshire-wide Community Reassurance Team and Covid-19 helpline was put in place to support people who were shielding and particularly vulnerable members of the community to access food, medicines, and other support.
- Covid-19 information for the public, including current guidance, sources of support, a business re-opening toolkit and a suite of resources for community use including posters in multiple languages.
- Support for looking after our mental health and bereavement support increased across the County
- A successful Step up for Shropshire communication campaign.

Shropshire's approach to Hospital Discharge to Assess (D2A)

Covid-19 challenged the way in which we work and our delivery of services. In March 2020, as a response to the national Covid-19 pandemic, the Government directed that all health and social care systems were required to implement changes to the complex hospital discharge pathway to support rapid step down to community services in line with a Discharge to Assess model. Government guidance stated that systems must implement a Discharge to Assess (D2A) model to speed up hospital discharge times, helping patients get home quicker.

Development of the Integrated Discharge Hub (IDH)

The Integrated Discharge Hub (IDH) was set up in March 2020 in response to the National Requirements for Discharge. The IDH brought together personnel from different parts of the system to implement the requirements and implement fast tracked changes that otherwise may have taken the system longer to achieve.

The IDH ensured that once a patient is ready for discharge, all discharge arrangements were organised by the multi-professional team, with the patient, family and carers all being informed. The aim is to discharge on the same day, with the focus being to support patients to return home first, whenever possible.

Covid-19 caused personnel who would normally be practicing through face-to-face contact with other professionals to be immobilised and find other ways to communicate and make decisions. Some of these have been successful such as the use of virtual meetings to enable team members to access each other in a time efficient way, others have been less successful such as much reduced interaction with discharge experts within the ward environments.

All partners working as part of the IDH were initially either co-located at the Royal Shrewsbury Hospital, or worked remotely, providing a seven-day service.

In July 2020, the government released further requirements stating that following the success of the changes made to complex discharge pathways nationally all local systems now need to stabilise their improvements to secure ongoing delivery as we enter Winter 20/21.

A gap analysis of the IDH was undertaken in December 2020 and the key areas highlighted were

- Focus on ward-based processes and supporting discharge
- Further development of integrated commissioning for Pathway 1
- Reviewing of Pathway 2
- Focus on reablement and recovery on Pathway 3
- Workforce development relating to upskilling and interdisciplinary

For the system, there was a total of 6,714 Fact Finding Assessments (FFAs) that were completed in 2020/21.

- June 2021 saw 771 FFAs completed, which is an increase of 294 in comparison to June 2020 and an increase of 81 from the previous month.
- 60% of all completed FFA's in June 2021 resulted in a Pathway 1 discharge.

A System Discharge Alliance group was set up in March 2021 to identify and improve issues that impact on safe and timely discharges and those that affect patient experience. The group meets at three weekly intervals with membership from system partners and part of the role of the group is to monitor discharge performance metrics using data to drive improvements.

Shropshire responsible patients account for 61% of all completed FFA's, an increase of 6.27% in the number of FFAs received in 2021 against the same period in 2020.

Overall, the Length of Stay has **decreased by 22.40%** (17.68 days vs 21.64 days) in 2021 against the same period in 2020.

A number of working groups and Task and Finish groups are in place to address the key issues, and they report into the System Discharge Alliance group, which in turn reports to the Urgent Care Operational Group.

The group monitors the progress of these groups and manages escalations and risks identified from the associated action plans.

Homelessness and Rough Sleepers



All those sleeping rough were provided with hotel accommodation early in the pandemic as per 'Everyone In'. Shropshire Council's Rough Sleeper Team worked with the Prince Rupert Hotel and Shrewsbury Ark to ensure that every Rough Sleeper was in accommodation before lockdown hit.

As well as a safe warm bed, we provided food and support and ensured that clients (or guests- as the hotel called them) were able to access Mental Health and Substance Misuse support. The guests were able to access GP services via 'Zoom', they were supported by the team that comprised of public, private and charity workers. The 5 * hotel was staffed 7 days a week 24 hours a day.

The work of the Rough Sleeper Team has been recognised by the MJ Achievement Awards 2021 with the team reaching the finals of the Best Council Services Team category.



Work of the Rough Sleeper Team Winter :

Our support for care homes

At the start of the pandemic, in recognition of the challenges that care providers would be likely to face, Shropshire Council wrote to all providers to offer assurance, support and flexibility in how care could be delivered. Since this time and as set out in various sections of this document significant levels of support have been given to the market to help them manage through this challenging time.

In summary –

- Shropshire Council has given significant levels of financial support to the care market.
- We have ensured that communication is clear and consistent and in a way that busy market providers are able to focus on the most important messages.
- We have created specific support teams for the individual elements of the market: there are teams who are specifically supporting domiciliary care providers, care home providers, day services providers and the voluntary sector. Providers have named individuals that they can go to with any issues or support needs.
- We have ensured that providers have access to PPE
- We have ensured that providers are fully informed about how they can access testing and we make sure that we escalate any issues that they are experiencing.
- We have created specific system-wide care sector group that escalates and resolves any care market issues that occur and we work closely with CQC, Healthwatch and our system partners to ensure that there is wrap around support for the market.

Community Reassurance Team

At the start of the Covid-19 pandemic the council swiftly created a Community Reassurance Team (CRT) from staff who would usually be working in services across the organisation, including ASC and Housing. Many team members came from our Culture & Leisure services, which had to suspend their activities during lockdown. The team has provided crucial support to vulnerable residents to ease the impact of lockdown and the virus itself.

The activity of the CRT included –

- Creating and maintaining a digital directory of community support groups and activity
- Working closely with over 480 local community groups, town councils, parish councils and businesses to provide crucial support to vulnerable residents.
- Creating partnerships that help the council reach vulnerable people countywide and ensure everyone has access to the support they need
- Running grant funding programmes for the voluntary and community sector
- Running the Food Hub to deliver top up supplies to the vulnerable, including those with special dietary requirements. The Food Hub will also deliver food parcels for people who are newly unable to afford food due to the impact of coronavirus and works closely with Shropshire's Food Poverty Network.
- Buying and delivering food and essential supplies to vulnerable residents
- Providing practical support to communities affected by Covid outbreaks
- Running information, advice, and reassurance events in our communities
- We also created a Telephone Reassurance Team to proactively phone residents who we felt could be vulnerable, along with those on the Clinically Extremely Vulnerable (CEV) list. Where the need for support was identified this was passed to the CRT to action.

The CRT is moving into a new Community Wellbeing Team and continues as a vital element of Shropshire's response to the pandemic and has been making plans to support our most vulnerable residents over winter. The team works closely with the voluntary and community sector to ensure complementary activity

and avoid duplication or gaps and is a huge support to those working in specialised parts of health and care system when they are seeking support for the vulnerable people they are working with.

Enabling people to stay well and independent at home

During winter 2020/21, Shropshire Council, in partnership with its health colleagues commissioned a Winter Support Service that supported vulnerable, and potentially vulnerable Shropshire residents. The service aimed to prevent residents from experiencing a health and care crisis over the winter period and worked by connecting local residents to a range of support offered locally by the voluntary and community sector.

The service was an enhancement of the current well-being and independence service commissioned by the council and delivered by the Wellbeing & Independence Partnership, Shropshire (WIPS).

The provision offered assessment and ongoing support for 166 people identified as needing assistance with matters of both a practical and/or emotional nature.

The service wasn't placed to provide a crisis response or personal care but functioned as a conduit into the health and social care system, ensuring that people were connected to the support that they need through appropriate referrals and signposting.

Following an evaluation of the service, data collected demonstrated a positive impact on the wellbeing of vulnerable and frail people living at home.



The Winter Support Service - CUSTOMER Service - REFERRER FI

Support for Unpaid and Family Carers

In February 2021 the Carer Support Service was brought into the council and the Shropshire Carers Support team was created. The team delivers the service throughout Shropshire providing individual support in a variety of ways - phone, email and digitally as appropriate.

In February 2021 the call for unpaid carers to receive their Covid-19 vaccination was issued, which led to unprecedented levels of telephone calls to the team during February and March.

While speaking with carers during this period - many unknown to any services - permission was obtained to put their names into our developing Carers Register. The register enables us to share information quickly with unpaid carers quickly by their preferred method of communication and to receive a carer ID/emergency card, information, support to complete an emergency plan and the option to complete an email carers course, a guide to getting the basics right as a carer, delivered by Mobilise.

Shropshire's plan for winter 2021/2022

As described in the plan overview, the council works closely with its ICS partners - our neighbouring authority in Telford and Wrekin, the CCG, the acute hospital trust and community health trust. The ICS is strong and robust, and partners are working together effectively through the pandemic. As statutory partners and commissioners, the councils and CCG have closely followed guidelines and put support in place in line with these, which in some cases has been above and beyond expectations. This gives us a good level of confidence in our system response, and we have effective processes in place to plan, action and respond to issues as they arise, particularly in relation to the county's care homes. A joint action plan and risk management process has been agreed system-wide and is a clear and practical guide to wrap around market support.

Winter beds to facilitate and support hospital discharges

This winter we will be commissioning winter beds again to support hospital discharge, we continue to have discharge to assess beds where people can be assessed safely for their ongoing needs in a supportive care home environment and we are also currently considering whether designated setting beds are going to be needed for the coming winter. The Adult Social Care Winter Plan 2020-21, published on 18th September 2020, set out a requirement for local authorities to identify 'designated settings' for people being discharged from hospital who are Covid-19 positive. The requirement also requires local authorities to notify the Care Quality Commission (CQC) of the settings in each area, and work with CQC to assure their compliance with standards through an Infection Prevention Control inspection.

We are enhancing the existing Discharge-2-Assess (D2A) bed-based provision for Shropshire Council by providing county-wide provision of up to 16 winter pressure stand-up beds and social workers to maintain throughput and flow.

This scheme is in line with community demand and capacity modelling which shows the need for additional capacity over the winter period to support flow from hospitals. The scheme will comprise of a block contract arrangement that is open to the provider market to tender with the CQC standard of the home provider level 3, good. These commissioned bed-based provision will be procured across different settings to mitigate risks caused by outbreaks. This will enable us to have the commitment from home providers to transfer the patient/s from the acute hospitals within 3 hours in line with the Discharge to Assess process.

The plan is to have a varied number of block-contracted beds across the county to support patients closer to their own homes. This also offers more flexibility rather than have one home provider, which supports the acute hospitals patient flow.

In order to support this model, there will be a requirement for additional social care staff who will be aligned to the additional beds to manage patient flow.

Scheme objectives

The scheme contributes to the following health and care system priority areas -

- Alternatives to A&E or admission
- Support for discharge from acute hospital
- Respiratory
- Frailty
- Support to primary care

The expected impact of the scheme: -

- To track the patient on admission with an exit plan
- To reduce the patient length of stay in hospital and on the Medical Fit for Transfer list.
- To support reduction in the length of stay
- To avoid unnecessary hospital admissions
- Once medically optimised to achieve the timely and safe discharges within three hours.
- To manage and maximise throughput in the block contracted beds.
- To continue to achieve good outcomes for patients.

Integrated Community Services

The Integrated Community Service (ICS) is county-wide and offers a service to adults (aged 18 years or over) to safely discharge people from hospital and maintain people safely in the community. The service also deals with emergency and non-emergency situations to promote hospital avoidance.

The team ensures that any Shropshire resident who is admitted into an acute or intermediate care/enhanced assessment setting, is discharged with appropriate support in a timely manner. Relevant and proportionate assessments are undertaken to establish the most appropriate support on discharge.

ICS works alongside system partners to provide a range of high quality approaches which support people to: -

- Avoid unnecessary hospital admissions (Admission Avoidance),
- Adopt the discharge to assess (D2A) model to facilitate hospital discharges
- Ensuring that people access short term interventions for regaining independence (Reablement).

These approaches enable people with short or long term conditions the opportunity to maximise their recovery and regain competence and confidence to promote independence at times of transition in their health and social care needs.

Support for domiciliary care and care homes (residential and nursing) providers

In partnership with the CCG, we have been supporting the comprehensive vaccination programme across our market. We have high rates of vaccination uptake in our care market and people have worked really hard to understand the benefits of vaccines in protecting vulnerable people and having them to keep themselves their families and the people they care for safe. For care homes legislation was approved by Parliament on 14.07.2021 and will come into force on 11.11.2021 for all employees and professional visitors to have received both doses of the vaccine.

The new regulations apply to all workers employed directly by the care home or care provider, agency workers deployed to the care home and volunteers.

The regulations will also include people entering care homes to carry out other work such as healthcare workers, trades people, hairdressers, beauticians and CQC inspectors, unless they have medical exemption.

Shropshire currently have only 4 homes who are under 85% for all staff to have received their first dose and this is constantly increasing. The STW update on 10.09 showed a 1.5% increase for Shropshire who are now at 95.6% of staff having received their first dose.

All Shropshire homes who have under 90% uptake in staff and residents for dose one of the vaccines will be contacted by 16.09.2021.

Information will be collected and we will specifically ask how many staff and residents are exempt (where these staff are working) how many have refused the vaccine and the reasons for refusal and what mitigations and contingencies are in place.

Information has and will be continued to be gathered to support homes to encourage staff to have the vaccine - myth busting comms and webinars and continued promotion for completion of the National Capacity Tracker.

The impact of the vaccine to the workforce sector is significant with providers across the whole care market (inc. Dom Care) seeing staff leaving their jobs and the care sector. We are working closely with providers and partners to specifically focus on recruitment and retainment with events through September and a wider project in development.

Additionally, we will be asking providers through welfare calls about their protocols and diligence around ensuring allowing people into the building have received both doses of the vaccine and asking them to feedback if they have any concerns.

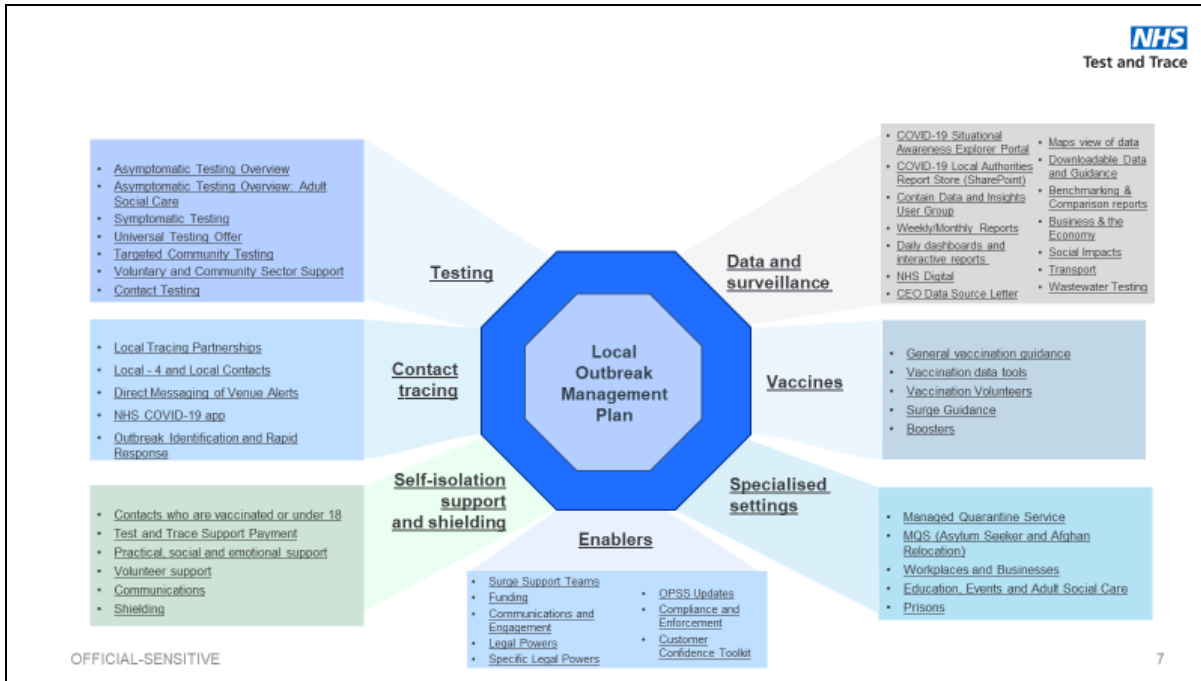
Arrangements for testing in care homes

Residential and nursing homes in Shropshire are conducting both PCR & LFT tests in accordance with government guidance.

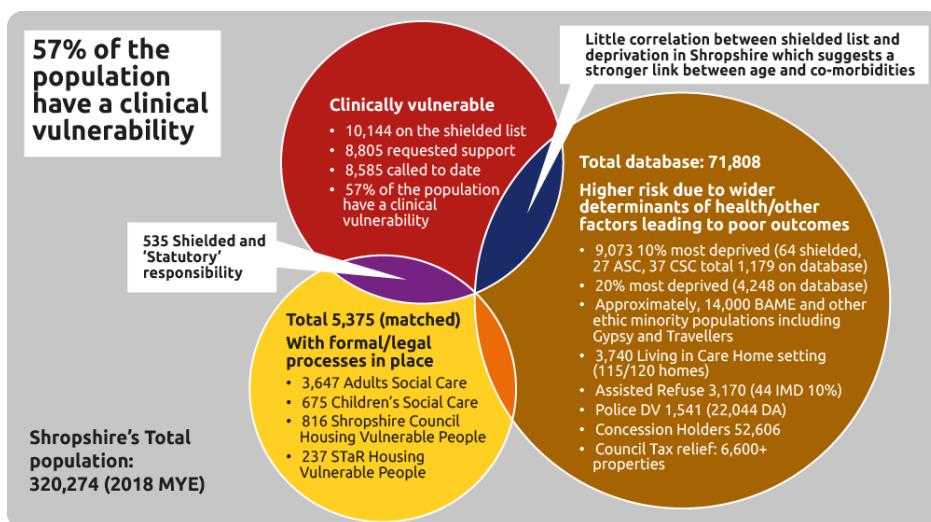
Advice on how to access test kits and step-by-step guides on how to use PCR and rapid lateral flow test kits for regular and outbreak testing of residents, staff and visiting professionals is available here.

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/999240/02-020721_Adult_Social_Care_Testing_Guidance_visual_DIGITAL.pdf

Shropshire's Covid outbreak management plan



Covid-19 has been of particular concern to the significant numbers of our population over 65 and the nursing and residential homes in Shropshire. Significant effort has been made across all sectors to keep people as safe as possible. Through the pandemic, Shropshire infection rates tended to lag behind other more urban parts of the country and did not have as high numbers of both cases and mortality. The diagrams below provide an idea of vulnerability and the covid numbers to 5th September.



Number of cases

24, 605 cases to September 5th 2021
1,070 cases in the last 7 days from here

Number of deaths

647 hospital deaths to 5th September 2021
6 deaths in the last 7 days from here

Long Covid

3,690 Shropshire residents are estimated to have Long Covid (1 in 6 or 15% of cases)

Number of contacts with Shropshire Council

Covid Cell: 2,094 enquiries

Covid helpline: over 14,000 calls

Regulatory services: 4000+ service requests & 5000 advisory visits

Outbreaks to week ending Sunday 05 September 2021

Summary

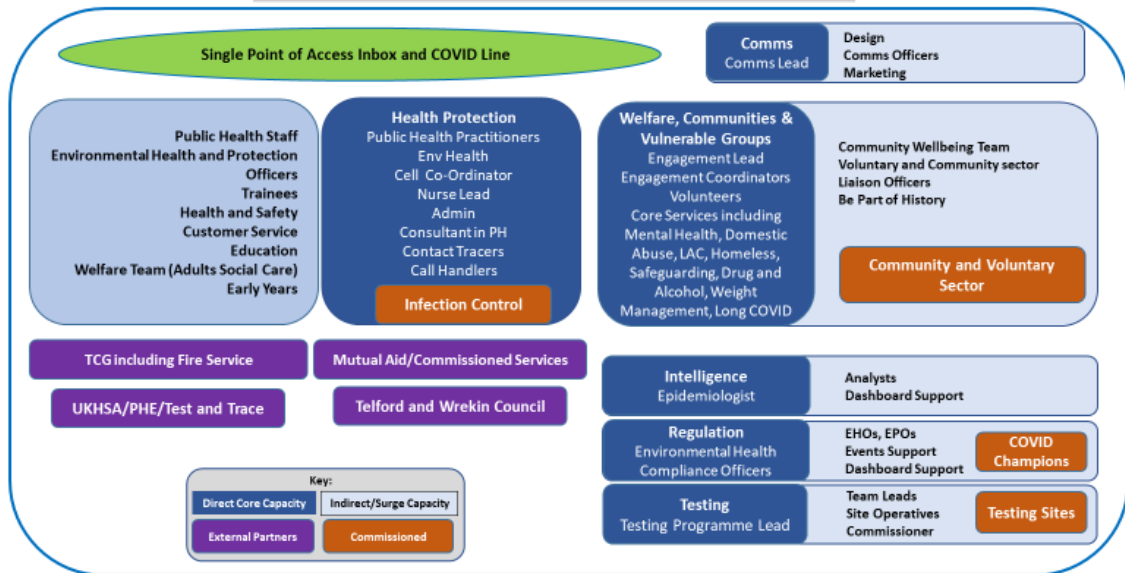
Setting	New Exposure	New Outbreaks	Total
Care Home	67	152	219
Workplace	35	152	187
School	37	90	127
Children's Home	9	18	27
Hospital	4	19	23
Other	4	11	15
Total	156	442	598

The Covid-19 pandemic confirmed that community groups, volunteers and residents, and community activity both old and new, are able to provide the bulk of the support needed, in local communities. The pandemic also resulted in Shropshire Council and partners working in different ways to ensure that community groups and people living in Shropshire had what they needed to keep safe. The response to the pandemic demonstrated that as a Council area, we have a wealth of good will and support for people and we are flexible, agile and are stronger by working together (across directorates, and across organisations and community groups).

As we emerge from the pandemic much of the infrastructure created to support people, remains in place. The diagram below highlights the continued effort and investment as part of 'Living with Covid, and forms part of our Outbreak Management Plan.

There is significant focus on health protection, community and welfare, communication, data and intelligence, regulation, vaccination, and testing.

Shropshire Council: Living with COVID Capacity



Covid-19 testing in Shropshire

Shropshire has a comprehensive testing offer to ensure that people are regularly testing. It can be fund through the following link:

[COVID-19 testing in Shropshire | Shropshire Council](#)

Rapid access to high quality testing at scale it vital to containing and controlling the spread of coronavirus. The local approach to testing is described in this plan and outlined in Shropshire's local testing strategy; delivery is through the Testing Cell. For both PCR and LFD tests, the access locations are targeted to provide maximum accessibility across the Rural County of Shropshire, targeted to areas of greatest need though local governance. Additionally, postal testing is a vital channel in Shropshire with over 40% of tests accessed this way.

Testing is available for individuals with symptoms, for testing contacts without symptoms (asymptomatic) as part of outbreak management and for routine asymptomatic testing.

Symptomatic PCR Testing is available through two routes Pillar 1 and Pillar 2.

Pillar 1: Outbreak management, NHS Providers. Through Public Health England (PHE) labs or in Shropshire, through Shropshire Health Community. Swabs are processed in the SaTH lab and the results fed into the national testing portal. Positive cases of COVID are contact traced.

Pillar 2: wider population, follows Government guidance, booked online at www.gov.uk or via 119. In Shropshire, Telford and Wrekin is delivered by a Regional Testing Unit (RTU), two Mobile Testing Units (MTUs), Local Testing Sites (LTS) and via Postal Testing Kits. Positive cases of COVID are contact traced

Lateral Flow Testing (LFD)

Around 1 in 3 people with COVID-19 having no symptoms, it's essential that those who have to go out to work are regularly tested with rapid Lateral Flow Tests.

Shropshire Council offer Lateral Flow testing through Community sites, pop up sites, pharmacies, libraries, leisure centres and other places. The Council also supports, Extra Care and Supported Living, Support for schools and Early Years and Schools and early years settings.

Supply of PPE

The national PPE portal will continue to deliver supplies to care providers who signed up for it until March 2022 and the council will also continue to manage our emergency supply portal.

Social work and other professional leadership

Our social work and occupational therapy teams have been responding to a surge in demand that began as lockdown restrictions eased. The teams are also responding to changes in the domiciliary care and care home market as we have moved from a position of our providers having capacity to a situation of staff shortages and some challenges in sourcing care to support people at home.

We have strengths and value-

based practice embedded across the teams. We have a loyal and dedicated workforce who are both flexible and open to change. New ways of working have been adopted, such as undertaking remote assessments through the use of a range of technology and IT has been provided to staff enabling them to work from home. Measures have been put in place to track both workforce availability and service demand.

Social work and occupational therapy teams are experienced at applying legislative frameworks to their practice. The paperwork processes direct practitioners to work in a legal and strengths-based manner and there are quality assurance processes in place to measure this, e.g., assessments have to be approved by the worker's line manager. Thematic audits are carried out of practitioners' work and action is taken to address any areas for improvement.

The principles are –

- Respect
- Reasonableness
- Minimising harm
- Inclusiveness
- Accountability
- Flexibility
- Proportionality
- Community

Social work practice recognises inequality, oppression and discrimination and aims to challenge, address and where possible redress this. All social workers commit on an annual basis to working to the standards of the regulator which includes 'Recognise differences across diverse communities and challenge the impact of disadvantage and discrimination on people and their families and communities.' Quality assurance processes are in place to measure the quality of social work practice within adult services.

The council works in partnership with health and care system colleagues to support the best outcome for individuals. The local system also works together to ensure data intelligence about the sufficiency, suitability and sustainability of care and health services to maximise the effectiveness of services, outcomes for individuals and populations and the overall use of resources.

Our ASC teams work from a person centred approach and we seek to get the best outcome for individuals.

Winter Support Service

For the second year ASC will be commissioning and funding a **Winter Support Service** delivered by Wellbeing & Independence Partnership Shropshire (WIPS) and connecting with the British Red Cross Home from Hospital Teams. The Winter Support Service is designed to support people to stay safe and well at home by providing practical support, friendship networks and social activities. In turn, this can lower their need to ask for help from their GP or even unexpectedly be admitted to hospital. The service can also support people when they are discharged from hospital to ensure they are able to settle back home again.

Building on the success and learning from last winter's pilot, the WIPS led provision for 2021/22 can be seen as both a consolidation and enhancement of the winter 2021/22 service.

The design of this updated service will enable us to:

- work in partnership with British Red Cross ICS Co-ordinators and Home from Hospital volunteers to directly connect it with hospital discharge and admission avoidance activity.
- strengthen the links into primary care to ensure people at risk of falling into crisis and acute care are referred to the service for support that will keep them well at home
- increase the number of connections made between people receiving support from the WSS and community groups within their community so some of their ongoing support is local and sustainable
- place emphasis on supporting Shropshire's vulnerable residents to maintain their physical and emotional wellbeing throughout the winter period, by addressing matters such as:
 - Shopping and delivery of essential supplies
 - Connecting people to local support groups (e.g., hot meal delivery)
 - Collecting and delivering medications
 - Telephone companionship for isolated or lonely people

The expected impact of the scheme:

- Increase the number of people discharged from SATH on Pathways 0 and 1 to be supported at home in the community
- Greater numbers of residents being offered this service and taking up the offer of support
- Ongoing support from VCS organisations for individuals where needed beyond the 31st March 2022 (self-funded or free of charge)
- Improved wellbeing for residents in receipt of the service
- Reduction in the instances of unpaid/family carer breakdown
- Reduced demand from residents requiring support from ASC/primary care/A&E
- People feeling more knowledgeable and confident about knowing where to turn in the future for support and guidance



Support for unpaid and family carers

The council now has its own **Carers Support Team**, which has close connections with community activity and assets. We are supporting local carer support groups to start meeting again in person. Unpaid and family carers and professionals looking for information, advice or support can contact the Shropshire Carers Support Team on **01743 341995** or by email shropshire.carers@shropshire.gov.uk

We have continued to commission Mobilise, an online carers support service that provides light touch, preventative support for carers. In the past year we have worked in partnership to complete joint pieces of work, such as the email course for the register; a joint Q&A of most often asked questions from carers in Shropshire hosted on our individual websites; training for teams, as well as continue our individual support work to help carers. Mobilise provide us with oversight of the most pressing current issues concerning carers who access their service through their monthly Mobilise Moments giving us valuable information so that we can adapt our services to provide the best support. For more information visit <https://www.mobiliseonline.co.uk/>

The Carers Support Team is ascertaining how carers feel about meeting face to face to provide peer support and are encouraging carers to think about digital as well as traditional methods of keeping in touch and establishing groups to reduce isolation and ensure that carers are better placed to receive support by a variety of methods in the future.

The Carers Support Team work closely with the Integrated Care Services (ICS) hospital carer support workers, who are included in our team meetings and updates, to ensure we have a two-way sharing of information and we are all aware of best practice and the issues carers are experiencing. We also meet, on a bi-monthly basis, with the Lead for Patient Experience at SaTH to ensure that carers, whose cared for person is in the hospital setting, have access to the information and support they need and to raise awareness of carers and the support available with hospital staff.

In our promotion of Carers Rights day (25th November) we will be encouraging carers to enrol on the Carer Register as the best way to stay in the know and keep in touch, as well as promoting our Preparing for Winter guide, which will include a wide range of information from contingency planning and obtaining PPE to self-care.

Day Opportunities



Our day opportunities services for adults with learning disabilities and older people continued all the way through the pandemic, albeit in different ways, and we are very happy to see people returning to groups in person. The pandemic has changed everyone in some way and it has given us the opportunity to think about what day opportunities should be like in the future to ensure we're all doing the things that are right for us, in the right way.

Enjoying the cycle track at Greenacres Farm

Community Wellbeing Team

This winter, the Community Wellbeing Team (formerly the Community Reassurance Team) will work to support communities remain as healthy and well as possible. The team is central to our success, in connecting families and carers with practical support, advice and access to resources, activities, groups and other community programmes that will sustain, as far as is possible, peoples' independence, promoting healthy lifestyle and relationships.

The team will act as a local resource for organisations working with people who are disadvantaged (for example those living with mental health or other health condition); helping organisations to build the right support for local need.

The team will work closely with First Point of Contact, Social Care, the Voluntary and Community Sector to support people, and also to deliver a range of innovative community outreach and engagement activities around Shropshire local communities.

Social Prescribing

Throughout the pandemic, and planned for this winter, social prescribing has been receiving referrals from GP practices, social care, DWP, Shropshire Customer Services, the VCSE and other partners. Individuals are offered a personalised approach to working through and improving their wellbeing. The Social Prescribing Advisors have worked closely with primary care to support the Clinically Extremely Vulnerable, and in the wake of Covid 19 those who might have concerns or anxiety about venturing out again.

Voluntary & Community Sector activity

Adult Social Care (ASC) and Public Health continues to commission and fund Voluntary & Community Sector organisations to deliver community based activity that supports people to remain well and independent at home. The **Wellbeing & Independence Partnership Shropshire (WIPS)** – led by Age UK, and the **Advice, Advocacy & Welfare Benefits (AAWB)** service – led by Citizens Advice Shropshire have worked tirelessly throughout the pandemic to ensure that our more vulnerable residents are supported and are adapting the ways they work to ensure they are connecting with people in different ways. ASC and Public Health are staying connected with the **community groups and the Covid Mutual Aid Groups** that sprang to life during the pandemic – the RCC is providing infrastructure support to them and we are looking for further opportunities to provide small grants to support their important work in communities.

ASC and Public Health are working very closely with Shrewsbury Food Hub and have also been able to provide small amounts of funding to our community-based food banks and hot meals groups. The availability of affordable, nutritious food and the delivery of home-cooked hot meals is so important to people's wellbeing, especially during the winter.

Let's Talk Local - Shropshire's Front Door into Adult Social Care

ASC is committed to working from spaces within our communities and we do this through Let's Talk Local. The pandemic has completely changed the way ASC works locally and telephone/video calls have replaced the local face to face appointments. These have been working well but we want to go back to having local places that people can come to. We are looking at a different way of doing this that could involve voluntary and community groups.

In Shropshire, residents can be supported by adult services in a number of ways. Upon calling First Point of Contact, highly skilled Advisors will be able to determine the most appropriate next steps for a resident or their

carer to take. Broadly speaking these options fall into three categories, which is sometimes referred to as our 'three conversations model'. This includes:

1. Phase 1: Advice and information – provided by a FPOC Advisor. This may include a referral or signpost into the community, which will be followed up after 14 days.
2. Phase 2: Let's Talk Local – if a resident requires more support with their enquiry or particular circumstances then they will be offered a virtual Let's Talk Local appointment. This will be conducted by a Social Care Practitioner, ideally within a 2-week period. Additionally, a phase 2 intervention could include a referral to the Carers Support Team or Shropshire's Social Prescribing service.
3. Phase 3: - if a resident's needs are thought to be of greater complexity and/or of a more urgent nature then they may be referred directly through to the relevant locality team for further triage and subsequent assessment of care needs.

In addition, residents can seek information and guidance independently via [Shropshire's Support Finder brochure](#) or via the relevant webpages hosted within the council website - <https://www.shropshire.gov.uk/adult-social-care/>

Safeguarding

Shropshire's Safeguarding Adults service will continue to work as business as usual. We are a small countywide service that receives on average 125 -175 referrals each month over the winter.

The team itself is relatively small but works closely with all partnership agencies to respond in an effective, timely manner to ensure people with care and support needs feel that their experience with the service is personal to them and tailored to their wishes and strengths.

Homelessness, Rough Sleepers and Temporary Accommodation

Shropshire Council will continue to operate 'Everyone In' for verified rough sleepers over the winter months and will where necessary and safe to do so also operate a Severe Weather Emergency Provision. Those that have refused offers of accommodation will continue to be supported via outreach to access permanent housing as well as support for substance misuse and physical and mental health.

The Shropshire Council Rough Sleeper Team, alongside Shrewsbury Ark, will complete outreach support daily across the county ensuring ongoing support for those who have refused offers of accommodation. The team respond within 24 hours to any reports of new rough sleepers.

Housing Services will work jointly with a number of agencies to ensure Covid and 'flu vaccinations for those who are at risk of rough sleeping and in temporary accommodation are carried out.

Housing Services has tripled the size of their support team to ensure additional support to those in temporary accommodation, recognising that the use of B&B presents its own challenges, both to services and to the individuals accommodated.

The council has established a Temporary Accommodation Programme Board to explore a range of different temporary accommodation options to provide better outcomes for clients requiring temporary accommodation as well as a more cost effective way of the Council meeting their statutory duty. There are 3 projects in the pipeline that will help meet approx. 50 bedspaces by the end of 2021.

Mental Health Social Work Team and Advanced Mental Health Practitioners

As we head into winter months different pressures arise. Mental Health is impacted in many ways by many factors. The tipping point is different from one person to another.

People generally come in to contact with Mental Health services when they have experienced trauma either an episode or enduring period of trauma.

Our services and interventions from mental health social work team range from preventative work, through to short-term support, through to longer term work. Mental health social work's role with individuals referred into our team is about promoting resilience and social inclusion, but primarily the provision of the statutory functions of the local authority.

We will ensure we have appropriate level of staffing over the winter period to maintain Shropshire councils duty to carry out Mental Health Act assessments.

We will continue to work proactively to prevent deterioration of our current people with who we work with and engage at the earliest opportunity new referrals.

Social prescribing

Social Prescribing in Shropshire is a positive collaboration between the council, Primary Care Networks, and the Voluntary & Community Sector. The service has been well evaluated and demonstrates positive outcomes for people along with a reduction in the use of primary care services. During the pandemic the service has been adapted to continue to support people in the safest way.

The service is for –

- Individuals aged 18 years or over
- Shropshire residents
- Those who would benefit from regular and on-going support to cope with their anxieties and concerns caused by social isolation and Covid-19
- Those who require more time and support from a Link Worker to plan how their practical needs will be met during social distancing
- Those who require additional support to help and motivate them to take action to improve their health and wellbeing and adhere to social distancing requirements.

Over the winter the Link Workers will be -

- checking clients have access to and understand the latest Covid-19 advice and provide information where needed.
- discussing how people are managing practically with shopping and medication and helping them to find support from family, friends, and their community.
- helping them to plan how they will deal with their practical and emotional concerns, link with family, neighbours, friends, and local groups.
- helping with motivation to build and maintain different forms of social support e.g., phone, digital, face to face
- discussing people's needs for emotional support and wellbeing advice
- offering advice and motivation to be physically active within guidelines and according to capabilities
- making sure they have numbers for support e.g., Age UK, Mind, 111, pharmacy for medication

Supporting the well-being of the workforce

Health and social care staff are being encouraged to have a Covid and flu vaccination and ASC staff have been issued with flu vouchers to facilitate this. There continues to be a range of wellbeing services on offer to council staff to support their health and wellbeing.

All staff can access free and confidential counselling for any concerns or support they may require through the Increasing Access to Psychological Therapies (IAPT) service.

Cari is a wellbeing tool that offers wellbeing support in a range of ways. Staff complete a free, confidential Cari consultation to access tailored free support.

'Togetherall' is an online community for anyone aged 16 and above to share experiences about their mental and emotional health in confidence, offer peer to peer support, utilise creative tools and is accessible 24/7 with trained professionals always available. There are also options to participate in a range of free self-guided courses to do at your own pace covering topics such as managing sleep problems, stopping smoking, stress and worry, social anxiety, and anger management as well as access to self-assessments and resources to help people look after themselves, take control and feel better.

Our bereavement support offer is free for anyone who lives in Shropshire and has experienced a bereavement (whether recent or previous), including bereavement by suicide. There are online resources including a booklet exploring what is bereavement and grief along with a secondary booklet outlining the practical steps that need to be completed following a death and how this has changed during Covid-19.

The council has Mental Health First Aiders to support and signpost staff to resources.

The STP is coordinating a range of wellbeing support measures for health and care staff. Cohorts of employees are being trained as TRiM practitioners to support the workforce.

Trauma Risk Management (TRiM) is a proactive, peer delivered, cognitively based, human resource management initiative for supporting individuals following exposure to traumatic events. Its purpose is the early identification of the symptoms of stress. TRiM is not a treatment for stress, however, processing and talking about the event has a therapeutic advantage.

In addition to this, virtual support sessions are available weekly via MIND Shropshire and a number of staff wellbeing resources are hosted on the SPiC website <https://www.spic.co.uk/resource-category/resources-for-staff/>

Winter flooding preparedness and resilience

We are working closely with colleagues across the council and the Environment Agency to ensure that our action plans for times of flooding are joined up with, and part of the wider response. Shropshire has experienced significant flooding for the past 2 years and we now have a well-developed approach to mapping the locations of potentially vulnerable people using forecasting data and contacting them to check their own preparation plans and any support needs they have.

Winter Well Campaign and Communications

We are creating Winter Well communications focused on prevention and wellbeing and early intervention – the top 5 things to keep well over winter.

This will include –

- Vaccinations
- Infection control and testing
- Staying physically active
- Mental well-being
- Where to go to seek advice and support for a wide range of issues that could affect people more in the winter months and with the impact of the pandemic, e.g., fuel poverty, affordable food, welfare benefits.

Communications

We continue to communicate well with the care market with regular Frequently Asked Questions (FAQ) bulletins now available on the SPiC website. We send out weekly briefings to the whole provider market and in response to information requests from the market we are holding virtual provider forums, which draw in expertise from various system partners. We will continue to communicate through emails and newsletters with the people who are part of specific services, e.g., carers, Direct Payment recipients and day services. We will continue to send fortnightly updates to the Covid- support groups and use the excellent Voluntary & Community Sector Assembly newsletter to share updates and information. We will encourage people to sign up to the .GOV email service. As a wider council we will continue to explore the range of ways we can effectively communicate with our residents. We have a lot of information on the council's website, we use social media to dynamically share information and have a good relationship with our media partners who support us in getting important messages to residents and businesses.

Summary

Shropshire's ASC Winter Plan 2021/2022 and accompanying Action Plan covers a wide range of activity designed to ensure that people are supported to be healthy, independent, and safe this winter, that our care settings provide excellent care for the people they support, and that our staff remain well and resilient.

Effective partnership working within our health and care system, as we move towards integration, will benefit the people looking to us for care and support. Close working and good communication is particularly important to ensure people leaving hospital have the support to recover at home and avoid needing to go back to hospital.

Much of this activity involves Shropshire's voluntary and community organisations, community groups, volunteers, and unpaid carers. Their knowledge, skills and experience is a vital element of our health and care system and the importance of their continued support for our communities should not be underestimated. We are sincerely grateful to our voluntary organisations, community groups and everyone who gives their time and energy to support others.

If you need specific advice from Shropshire Council, you can contact us in the following ways
General enquiries – 0345 6789000

ASC First Point of Contact (including the Care Home Support Team and Safeguarding) –
0345 6789044

Emergency Duty Team – 0345 6789067

Remember to [Step Up Shropshire](#) to keep yourself safe and well and to protect others. Find out more about what you can and can't do during the coronavirus outbreak by following [the government guidance](#).

Stay safe, be responsible and together we can reduce the spread of coronavirus.

END

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	DHSC Winter Plan workstream	Element within workstream	DHSC Covid-19 Winter Plan action	Shropshire Winter Plan	Shropshire action	Responsible Officer / Lead	Delivery time line												Progress Update Green - on track to complete Amber - progress, some issues Red - delivery risks identified n/a - timescale not yet applicable Blue - action completed
							Nov-21	Dec-21	Jan-22	Feb-22	Mar-22								
Preventing and controlling the spread of infections in homes																			
1		PPE	Promote use of the PPE portal for CQC-registered care providers	Care and care home providers	Encourage providers to continue to use the PPE portal through regular comms and welfare calls encouraging providers to complete their PPE status on the national capacity tracker. Escalate any actions or concerns with PPE supplies.	Deborah Webster													
2			Maintain a system for provision of free PPE to non CQC-registered providers, either directly or through the LRF	Supply of PPE	To continue to provide PPE portal for providers, DP recipients and unpaid carers to have access to emergency PPE should their usual supply chains and the NHS weekly supply be unavailable	Michelle Davies													
3			Report any shortages of local authority and LRF PPE supplies to DHSC	Supply of PPE	To take regular stock takes of PPE available and ensure plenty of supplies are in stock. To order any additional PPE stocks well in advance working with procurements colleagues and neighbouring local authorities and colleagues in Health. To provide and make use of mutual aid as required	Michelle Davies													
1		Covid-19 and flu testing	Make sure providers, as far as possible, carry out COVID-19 testing in line with guidance for COVID-19 testing for adult social care	Care and care home providers	Residential and nursing homes in Shropshire are conducting both PCR & LFT tests in accordance with government guidance. The requirement is, weekly PCR tests and twice weekly LFT's for staff and 28 days for residents unless the home in outbreak testing or have had a single case. With Public Health colleagues we continue to support homes reporting any issues or concerns with testing. Sharing the most recent guidance through regular comms and calls from the welfare team. Escalating an issues or concerns with testing to the HPC or 119 support line.	Deborah Webster													
2			Provide local support for testing if needed, working with local NHS organisations as required	Covid-19 testing arrangements	Pathways remain in place to facilitate local testing as required as part of SOP	Health Protection Cell													
3			Monitor their local COVID-19 testing data to identify and act on emerging concerns as advised by public health authorities, including following up with care settings that are not undertaking regular testing	Covid-19 testing arrangements	Through close working with IPC and PH teams and contracts, regular meetings and communications are held to discuss homes of concerns and through discussions with the provider appropriate actions taken.	Deborah Webster													
4			Pass on the Infection Control and Testing Fund (ICTF) to care homes and parts of the wider adult social care sector, and report regularly on how this funding is being spent by providers	Care and care home providers	Ensure providers who are entitled to the grant receive it. Providers must have signed their agreement and returned within the deadline. We ensure providers continue to complete what is required to enable payment, returns and reporting are completed on time. Chase providers as required to ensure the above.	Deborah Webster													
5			Support providers in managing multi-virus testing (including for influenza) where need is identified by the HPT	Covid-19 testing arrangements	Winter preparedness exercise taken place. Pathways identified and agreed.	Health Protection Cell													
1		Covid-19 and seasonal flu vaccines	Support communications campaigns encouraging eligible social care workers, unpaid carers and people who receive care to receive a free COVID-19 vaccine, and flu vaccine, as appropriate	Winter Wellness campaign Communications	Communications created and cascaded through teams. Support from Occupational Health in place. Flu jab vouchers circulated.	ASC SMT													
2			Work with local NHS partners to facilitate and encourage the delivery of COVID-19 vaccines (and flu vaccines where appropriate), in line with the UKHSA HPT standard operating procedures, to social care workers, unpaid carers and residents in care homes	Supporting the wellbeing of the workforce	Partnership structure with health colleagues in place to enable a joint approach. Communications created and circulated along with information about how people can get their vaccination.	Health Protection Cell													
3			Provide consolidated information on vaccination uptake via the national Capacity Tracker	Support for domiciliary care and care homes	Daily monitoring of information pulled into the report. Homes and providers of concerns are contacted to check for risk and mitigations. Fortnightly report/update produced for DMT.	Deborah Webster													

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Supporting the people who provide care																			
1		Unpaid carers and respite care	Make sure carers, and those who organise their own care, know what support is available to them and who to contact if they need help. Local authorities have a duty under the Care Act 2014 to provide or arrange services that meet the social care needs of the local population	Support for family and unpaid carers	Work with health, voluntary and community partners to ensure they have the information to refer to Shropshire Carers Support team and signpost carers to the Carer Register. CSP to maintain contact with C&CC's and use all opportunities to promote services. Promote service within PCN's; community groups and carer networks.	Kate Garner/Margarete Davies													
				Support for family and unpaid carers	Preparing for winter guide for carers - information in one guide that links carers to support and practical tips. Launch Carer Rights day, press release; send through Carer Register and out to all contacts in health; voluntary and community sector. Regular facebook messages and tweets.	Kate Garner/Margarete Davies													
2			Ensure that carers' assessments are reviewed and updated to reflect any additional needs of both carers and those in need of social care	Support for family and unpaid carers	When there is a carer supporting an assessed individual assessment of their needs offered and supported. Signposting for additional support to Carers network provided.	Carole Croxford/ Gary Heap/ Beverley Hull													
3			Continue to follow the direct payments guidance, ensuring that they take a flexible approach so that those receiving all forms of direct payments continue to have flexibility in how they receive their care and support	Social Care Practice	Launch of direct payments website. Continued focus on provision of support to enable direct payments to become the first choice when funded support is required.	Carole Croxford/ Gary Heap/ Beverley Hull													
			Continue to work with day and respite service providers to ensure the safe re-opening and extended opening of their services, where appropriate, and continue to support those who require services to ensure identified needs are met in the interim of some services re-opening	Day Opportunities	Ensure that all day services carry out Covid-19 testing in line with the guidance on Covid 19 testing strategy for ASC. Support communication campaigns, encouraging staff and people who receive our services to receive a free Covid 19 vaccine and flu vaccine, as appropriate. Work with all the relevant partners to control local outbreaks in our day services. Ensure all staff have ongoing training on infection prevention and control, and the appropriate use of PPE.	Kate Garner/ Mihaela Richardson													
1		Workforce wellbeing	Maintain, where possible, the additional staff support services that they put in place during the first wave of the pandemic	Supporting the wellbeing of the workforce	Continue to raise awareness and promote the mental and emotional health support activity available within the council, e.g. Cari and Togetherall	ASC SMT													
2			Review current occupational health provision with providers in their area and highlight good practice	Support for domiciliary care and care homes	Focus on staff wellbeing in the sector, Regular comms to focus on services available. Promotion of TRIM through the providers and work with SPIC to highlight the service and offer available to both management and staff.	Deborah Webster													
3			Promote wellbeing offers to their staff and allow staff time to access support, as well as promoting to providers in their area	Supporting the wellbeing of the workforce	Winter Well Campaign and Communications - we are creating Winter Well communications focused on prevention and wellbeing and early intervention – the top 5 things to keep well over winter.	ASC SMT													

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		Workforce capacity																	
1		Workforce capacity	Use the workforce recruitment and retention funding to support local authorities and providers to recruit and retain sufficient staff over winter, and support growth in workforce capacity of the existing workforce. This will be subject to conditions that will be published shortly	Support for domiciliary care and care homes	Work with local colleges and schools and teams to promote opportunities and paid work experience in the care sector. Explore a site such as job box where all providers can promote their vacancies and training for Managers/staff to promote their vacancies and business through Social Media.	Deborah Webster													
2			Continue to work with local providers, partners and the NHS to take a whole-system approach to promoting careers in adult social care, and support retention of the existing workforce. This could include, for example, running local recruitment campaigns or administering shared wellbeing and occupational health schemes. Skills for Care provide resources to help local authorities improve workforce capacity and resilience	Support for domiciliary care and care homes	Work with comms teams, local providers and START to actively promote the care sector through videos. Ensure that following the recruitment focussed provider forum in September recruitment and retention stays as a agenda item on future provider forums. Focus on employee and Manager wellbeing with TRIM, through the forum and promotion with SPIC.	ASC SMT													
3			Work with local providers and partners, including the NHS, to ensure they have robust contingency arrangements in place to help manage any staffing shortages through the winter. Contingency plans should set out how workforce capacity pressures will be monitored, what the contingency measures are and what their triggers will be, and which organisations are responsible for implementing them. Plans should describe the point at which the relevant LRF is notified of workforce capacity pressures, and where intervention from other partners may be required. DHSC's regional assurance team will work with local and national partners to understand the current and potential risks to adult social care delivery and planned mitigations	Support for domiciliary care and care homes	Close monitoring of providers through welfare calls and data from the national capacity tracker. Targetted calls will be made to providers who express concerns or difficulties with staffing and absence to check on their contingency. A risk assesment completed as required and shared to allow for action/escalation if required. Ensure the provider agency contact list is upto date and can be shared with providers if required.	Deborah Webster													
4			follow the guidance on deploying staff and managing their movement, and support providers in their area to access other initiatives using best practice examples and case studies of local authority workforce capacity measures, such as the Bringing Back Staff programme	Support for domiciliary care and care homes	Ensure that providers are working to and are familiar with the current guidance and best practice. Use case studies from the IPC funding reports to look at best practice examples of minimising staff movement and how that has been acheived. Monitor providers capacity to reduce staff movement through the national capacity tracker.	Deborah Webster													
5			support providers in their area to update their adult social care workforce data set (ASC-WDS) records, to help ensure effective local capacity monitoring and planning, and manage data requests to local providers to avoid duplication with the information already being provided through the Capacity Tracker and ASC-WDS	Support for domiciliary care and care homes	Active promotion of provider requirements through the sharing of information, in care sector comms, SPIC and through welfare calls. Promotion and awareness of information available to operational teams to reduce the ammount of calls and contact with providers.	Deborah Webster													
6			where appropriate, consider logistical support to care providers – such as help with cleaning, transport and maintenance – to free up frontline care staff	Support for domiciliary care and care homes	Consider a joint approach with health colleagues for a "standby" LA/system team that could be deployed to care providers in need.	Deborah Webster													

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							#####	Dec-21	Jan-22	Feb-22	#####								
		Social work and other professional leadership																	
1		Social work and other professional leadership	Ensure that social work teams are applying legislative and strengths-based frameworks, and support partner organisations such as the NHS to do the same.	Social Care Practice	The Council is undertaking some research with the University of Birmingham on strengths based practice with the aim of identifying areas which we are doing well and areas for improvement. Strengths based practice is a key value which informs all of our work. We run some training sessions on it, especially for newly qualified social workers and students. It also informs our assessments and support planning. We are currently reviewing paperwork to ensure that strengths based practice is evident. Adult Social Care workers can access training on legislation; in particular the Care Act and the Mental Capacity Act. We have a lead officer for the Mental Capacity Act and we also have a Mental Health Act lead. All Approved Mental Health Professionals and Best Interests Assessors access annual training on their role. We run thematic audits every two months and do audit legislative and strength based frameworks	Tamsin Waterhouse													
2			Continue to ensure social work practice is fully cognisant and acts on the issues of inequality and deprivation, and the impact this has on communities and people's access to health and social care services	Social Care Practice	We have a strong expectation that social workers and social care practitioners will practice in an anti-oppressive manner. Anti-oppressive practice is a key part of social work practice and sits within the regulatory framework. We expect our workers to identify, challenge and address discrimination and inequality. We have an active Black, Asian and Minority Ethnic forum within the council which focuses on racial inequality. We offer training on this to staff. We also celebrate diversity and recognise the benefits of diversity to the organisation. We are currently part of a research project with the University of Birmingham looking at the experience of lesbian and gay people receiving social care services.	Tamsin Waterhouse													
3			Understand and address health inequalities across the sector, and develop actions with partners, where required, considering the implications of the: higher prevalence of COVID-19 in Black, Asian and minority ethnic communities and inequalities experienced by people with learning disabilities, autistic adults, people with mental health difficulties and people who provide unpaid care	Social Care Practice Community Wellbeing Team	Social work teams connected into the work of the Community Wellbeing Team to understand the intelligence being gathered from minority ethnic communities.	Tamsin Waterhouse													
4			Consider a review of their current quality assurance frameworks and governance oversight arrangements to ensure that winter and COVID-19 pressures do not reduce the ability to deliver high-quality practice	Social Care Practice	Ongoing review of pressures on team workloads and regular review of risk registers to ensure that practice remains high quality. Governance arrangements adapting as required.	Lorraine Goude/ Tamsin Waterhouse													
5			Develop and maintain links with professionals across the health and care system to ensure joined-up services	Our Partnerships	Shropshire council has a strong partnership with health. Both will continue to develop work at both strategic and operational levels to ensure pathways and resources are all aligned to support the residents across the county.	Laura Tyler/ Lorraine Goude												Action being implemented with all partners working collaboratively together to target and focus resources to support the system.	
6			Lead local application of the ethical framework for adult social care, ensuring that NHS partners fully understand their responsibilities to apply the ethical principles and values as part of discharge delivery	Social Care Practice	Ethical framework embedded in social work practice, including in the work of ICS.	Tamsin Waterhouse													

4																						
5																						

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							Nov-21	Dec-21	Jan-22	Feb-22	Mar-22								
			Supporting the system																
1		Supporting the system	Local authorities should continue to meet the conditions of the extended ICTF, including ensuring providers in receipt of funding continue to complete the Capacity Tracker, provide timely reports to DHSC on spending of the grant, and repay any unspent amounts by the deadline set out	Support for domiciliary care and care homes	Engagement with providers from Commissioning officers to ensure providers are aware of deadlines and completion of reports. Support from the care market support team to encourage providers to complete the capacity tracker as required and make targeted calls to providers who are not compliant.	Deborah Webster													

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							Nov-21	Dec-21	Jan-22	Feb-22	Mar-22									
Market and provider sustainability																				
1		Market and provider sustainability	Continue to work to understand their local care market; and to support and develop the market accordingly including promoting financial support available	Support for domiciliary care and care homes	Working closely with care provider market, holding quarterly provider update and more regular meetings specifically with providers who are struggling. Keeping an up to date risk register. Working Closely with Shropshire Partners in care to share information with the market. Providing additional support to providers around recruitment and retention	Deb Webster/Michelle Davies/Kate Garner														
2			Continue to work to understand consumer demand and need, and where there are potential stresses in the market	Support for domiciliary care and care homes	Continuous data collection and analysis, regularly updating market position statement and communicating with providers through various channels	Deb Webster/Michelle Davies/Kate Garner														
3			Make full use of tools developed by the CHIP to identify, understand and assess risks in their local markets, and draw on CHIP support as needed	Support for domiciliary care and care homes	Take part in regional CHIP workshops to understand the tools available and how to utilise them as required	Deb Webster/Michelle Davies/Kate Garner														
4			Continue to review and update contingency plans for managing service interruptions, including those that arise if a provider is unable to carry on because of business failure	Support for domiciliary care and care homes	Strategic and operational risk registers reviewed and updated with mitigating actions in place	Deb Webster/Michelle Davies/Kate Garner														
5			Try to identify and communicate key issues affecting the industry and the market in their local area, and draw any concerns to the attention of regional and national DHSC representatives	Support for domiciliary care and care homes	Regular provider forums, regular meetings with SPIC, care home support	Deb Webster/Michelle Davies/Kate Garner														
3																				

This plan will be reviewed and refreshed on a monthly basis

ID	DHSC Winter Plan workstream	Element within workstream	DHSC Covid-19 Winter Plan action	Shropshire Winter Plan element	Shropshire action	Responsible Officer / Lead	Delivery time line												Progress Update Green - on track to complete Amber - progress, some issues Red - delivery risks identified n/a - timescale not yet applicable Blue - action completed			
							Nov-21	Dec-21	Jan-22	Feb-22	Mar-22											
Local, regional and national oversight and support																						
1		Local, regional and national oversight and support	Continue to engage with DHSC regional assurance teams and NHS partners, where appropriate, on contingency planning	Support for domiciliary care and care homes	Work with system partners to support on contingency planning and escalation levels to co-ordinate resources as required.	Lorraine Goude/ Laura Tyler	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Structure in place through system escalation with resources agreed and target actions proposed and implemented.
2			Continue current oversight processes, including delivery of care home support plans and engagement with regional feedback loops	Support for domiciliary care and care homes	Engage with regional groups across both NHSE and ADASS to escalate areas of concern and share best practice	Lorraine Goude/ Laura Tyler	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	Green	System and structures in place with representation attending regional groups to enable to escalate and share good practice.
3			Continue to champion the Capacity Tracker and promote its importance as a source of data to local providers and commissioners	Support for domiciliary care and care homes	Promotion of the functions of the NCT through routine calls to providers. Encouragement of useage through forums and SPIC. Encourage CQC to make completion a requirement of registration to ensure compliance??	Deborah Webster	Green															
4			Establish a weekly joint communication from local DASSs and DPHs to go to all local providers of adult social care, as a matter of course, through the winter months	Support for domiciliary care and care homes Communications	Increase frequency of care sector comms from fortnightly with a section for DASS' and DPH' to add pertinent issues/information/requests?	Deborah Webster	Green															
3																						
4																						

5																			

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Description of Risk

Despite the size and high quality of the market in the region, brokerage and social work teams are currently reporting delays in care being picked up by the market when brokered, limited care availability in some areas and increases in complexity and size of packages of care and demand. We have also recently seen an increase with providers handing packages back. Generally, they cite staff shortages as the reason. Market report significant issues with recruitment and retention. These are both hospital discharge and community POC and are spread throughout both authorities; availability issues are not following any predictable pattern at present however the overall picture is concerning as we have not previously had this number of packages of care outstanding in the market. This had led to increases in residential placements being made in care homes whilst people await appropriate care packages, (increases in costs and increases in wait times.

Risk of flooding affecting access to the homes of people receiving care and support

Risks to the staffing Team when office working during the COVID pandemic

Risk to workers from the Public while Lone working

Insufficient staff to deliver operational service and statutory duties/ responsibilities resulting from COVID shielding, sickness or staff vacancies

Data Protection Breach

Care market closures or contract cancellations which disrupt care to vulnerable people

Serious incident/accident for client/s in care of an external provider

Care market closures or contract cancellations which disrupt care to vulnerable people

Serious incident/accident for client/s in care of external provider

Domiciliary care market capacity not able to respond adequately to current demand for care at home due to post Covid-19 issues affecting providers (this is a national issue)

Increase in use of temporary accommodation and Bed & Breakfast due to increase in homelessness numbers

Increase in the use of temporary accommodation due to the current economic climate places a greater demand and therefore costs on Housing Service Budgets.

Due to the current Covid pandemic and economic climate there is an increase in the numbers of people at risk of serious harm or death from poor property conditions in the owner occupied sector.

Removal or reduction in funding for HeatSavers and other affordable warmth projects; combined with an increase in the numbers of people in fuel poverty and at risk of excess winter death due to the current Covid pandemic and economic climate.

Rough Sleeper Outreach Service

Four Rivers Nursing Home - inability to cover nurse shifts due to impact of coronavirus, staff sickness and general leave cover.

Failure to adhere to legislation applicable to service i. CQC, health and safety, adult protection

That there will be Insufficient AMHPs to ensure provision of statutory LA function.

START - reduced staffing due to sickness of staff. Less capacity to take new cases, existing staff travelling further which can lower morale and increase sickness.

START - risk of not maintaining CQC standards and resulting reputational effect for Council. A potential risk being growth of support staff without effective management structure.

Responsible Officer

Deborah Webster

ASC Service Managers

Operational ASC Service Managers

Operational ASC Service Managers

Operational ASC Service Managers

Operational ASC Service Managers

Abigail Butters;#376

Abigail Butters;#376

Gavin Bayliss;#109

Gavin Bayliss;#109

Gavin Bayliss;#109

Laura Fisher;#292

Laura Fisher;#292

Laura Fisher;#292

Laura Fisher;#292

Laura Fisher;#292

Christine Thomas;#103

Christine Thomas;#103

Fiona Williams;#265;#Jill Bates;#382

Amy Tipton.Start;#118

Amy Tipton.Start;#118

Current Controls In Place

- Full report with analysis of risk and mitigation is in place in both authorities and slide version shared on a wider basis with partners
- The brokerage teams are diligently working to support the uptake of care package demand; packages of care are being brokered daily using incentives, enhanced rates, POC combinations etc but demand is still outstripping capacity in the market.
 - through brokerage and wider council colleagues (e.g. key worker housing project, promoting third sector and alternative housing offers emergency response options etc) Developing a broad recruitment programme with the internal communications team promoting social care as a career to support the Domiciliary Care Market.
 - Series of webinars, apps and forums to take place to ensure the market has all the available information to support their recruitment. Working with Skills for Care, SPIC and System Colleagues.

Mapping of properties of people receiving care over the areas at risk of flooding complete, and properties identified. Contact details recorded to enable contact to be made at the earliest point when there is a risk of flooding to ensure residents and care providers are aware and contingency plans are in place.

All staff work from home wherever possible

Team Manager has gained permission from Director from those who need time in the office space at Castle view

Risk assessment for office working completed by Manager and provided to the team

Lateral Flow Test to be taken before office arrival

Use of PPE and high level of hygiene while in the office

Limited numbers of staffing to ensure maximum social distancing

All staff have been offered COVID vaccine

Localised Lone working Policy in place

All workers to be fully appraised of team lone working processes along with Corporate Health and Safety Policies

All workers aware of the need to look for LAS warnings prior to visiting

Team Manager to add LAS warnings once alerted to risks and regularly review

To re-prioritise work based on risk.

Team Manager to Alert Service Manager for discussion with Directors and to consider moving staff temporarily from other area teams and request budget for temporary agency worker if no existing resources elsewhere

Team Manager/Admin Officer to continue to complete daily SIT REP

Training updates and regular discussion about Data Protection

Provider risk matrix monitoring

Contractual requirement for provider contingency planning

Risk sharing with CCG, other LA's, CQC

Care market support team regular calls

NHS capacity tracker updates

Grant allocations to care providers

Regular updates on four weekly returns status

Market stewardship

Inflationary uplift support

PPE support

Contracting monitoring on priority risk basis
Risk sharing updates with local stakeholders inc CQC
Contract includes detailed health and safety, training and recruitment requirements
Social work teams enter concerns on LAS
Suspension and improvement plans where quality concerns exist

Provider risk matrix monitoring
Risk sharing with CCG, other LA's, CQC
Care market support team regular calls
NHS capacity tracker updates
Grant allocations to care providers
Regular updates on ISF reconciliation status
Market stewardship
Inflationary uplift support
PPE support
Recruitment support through Care Friends app

Contract monitoring on priority risk basis
Risk sharing updates with local stakeholders inc CQC
Contract includes detailed health and safety, training and recruitment requirements
Social work teams enter concerns on LAS
Suspension and improvement plans where quality concerns exist

Domiciliary Care Market, a full analysis of the issues has taken place and a robust action plan to mitigate the current issues is in place and monitored on a weekly basis. Action Plan is live in SharePoint.

Domiciliary Care Group in place to monitor and ensuring progress is being made against actions. Reported to Executive Director.

Temporary accommodation board set up to explore cheaper more suitable temp options. Increase prevention work within team.

The use of temporary accommodation and Bed & Breakfast is agreed by senior officers and Housing Managers. Temporary accommodation Board in place. Discussions with Housing Associations and other housing providers to see how we can all work differently to provide essential accommodation.

Continue to deliver an effective property condition service to address health inequalities, improve wellbeing and reduce demand/costs on Adult Social Care, Health Services (NHS) and society.

Continued funding for the HeatSavers Scheme, which provides a range of interventions, including advice and financial assistance to vulnerable households.

A new Council led rough sleeper initiative has been developed to provide a comprehensive inreach/outreach service across Shropshire to identify and support rough sleepers. Funding in place until 31.03.2022

Staff turnover low. Experienced Senior care assistants trained in delivery of clinical skills to support nursing staff. Current staff group are very flexible in covering gaps in rota.
Nurse vacancy currently live.

Staff are trained in health and safety and adult protection. Necessary risk assessments in place for specific health and safety risks. This includes fire, manual handling, falls. Residents have individual care plans and risk assessments that detail how care needs and individual risks are to be managed.

There are currently sufficient AMHPS on the rota although some have recently left. There are permanent AMHPs now on the rota. Succession planning in place and needs to continue

Use of existing resource/staff to cover shift, by working across county, maintaining safe service delivery. Regular team meetings. Sickness absence management in process, Occupational health referrals.

CQC inspection has taken place October 2018. Quality assurance in place. START structure is monitored and the support staff are taken into consideration with Quality assurance.
SharePoint system in place to support quality assurance.

Risk Likelihood Rating

3

3

2

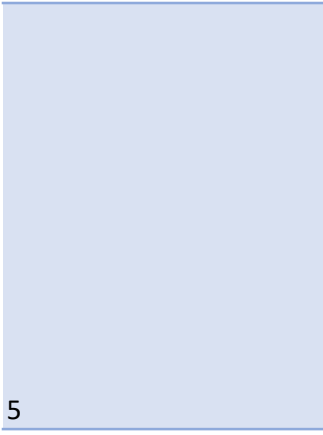
2

3

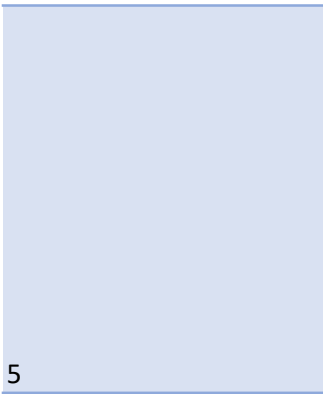
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5

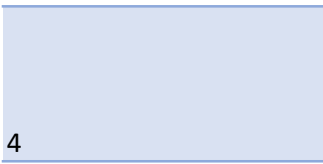
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2



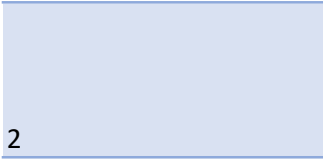
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2



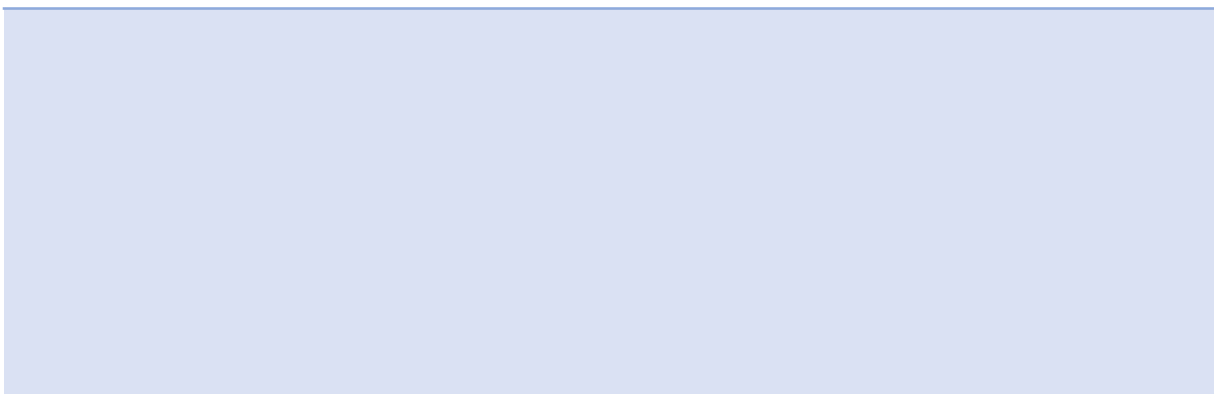
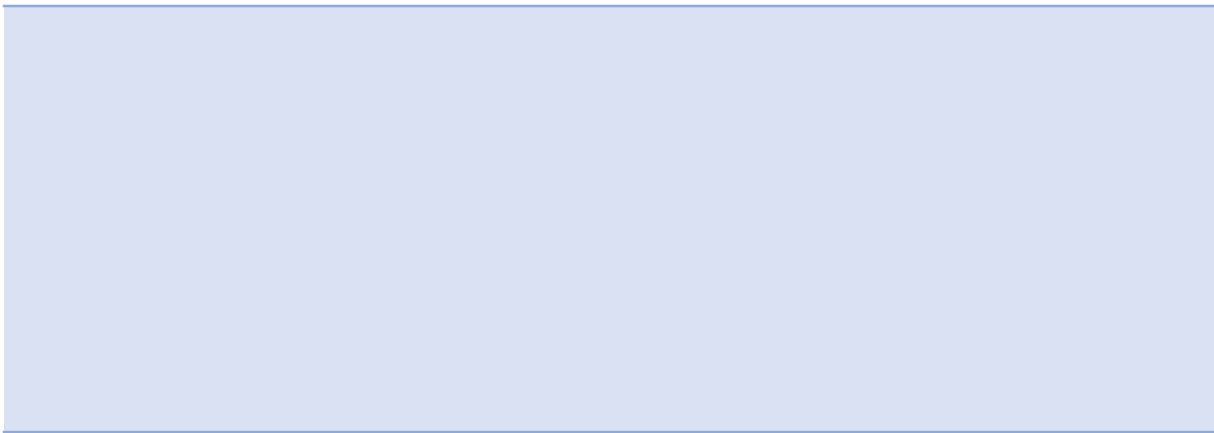
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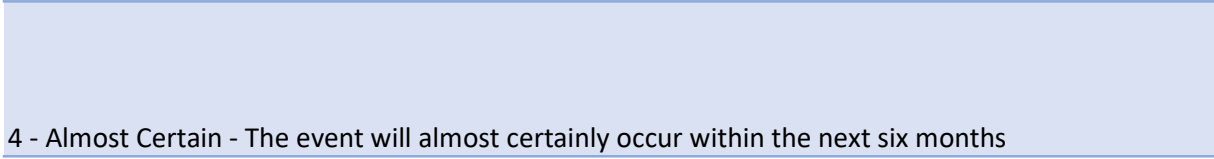
Risk Likelihood Definitions - FYI

3 - Likely - There is a fair chance (50:50) that this event will occur within the next year

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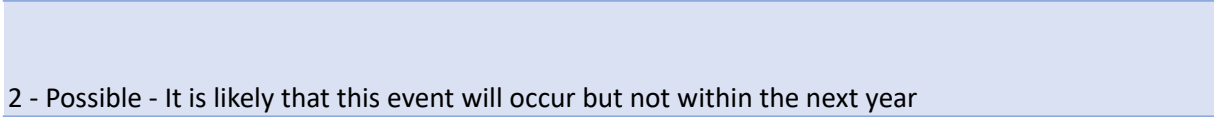


4 - Almost Certain - The event will almost certainly occur within the next six months



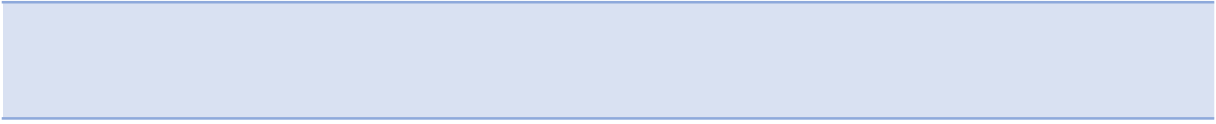
4 - Almost Certain - The event will almost certainly occur within the next six months

2 - Possible - It is likely that this event will occur but not within the next year



2 - Possible - It is likely that this event will occur but not within the next year

3 - Likely - There is a fair chance (50:50) that this event will occur within the next year



Residual Risk Impact Rating

3

3

4

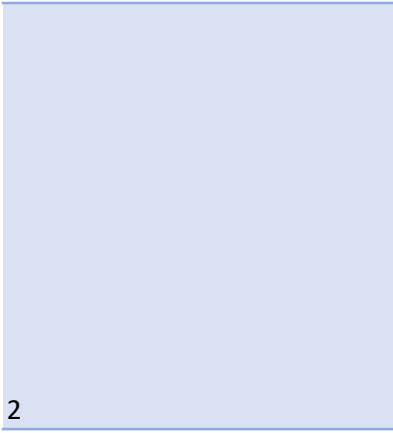
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4

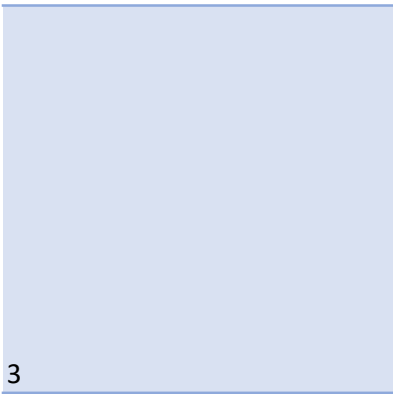
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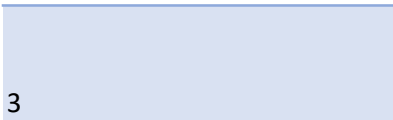
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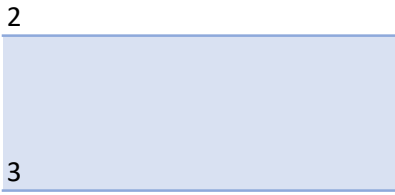
4



3



3



3 -Significant

2 - Significant

[Redacted]

[Redacted]

4 - Major

[Redacted]

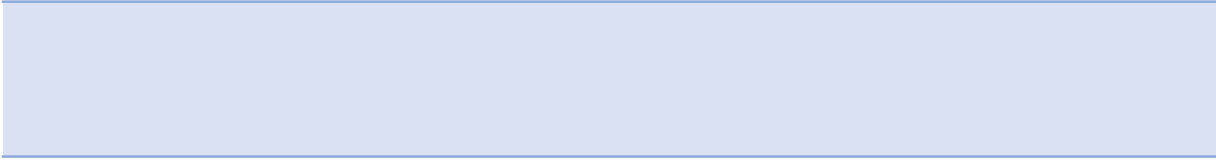
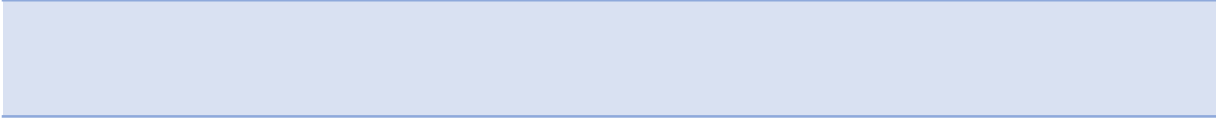
4 - Major

3 - Significant

[Redacted]

3 - Significant

3 - Significant



Risk Rating (E*F)	Risk Status
9	Medium

9	Medium
8	Medium

8	Medium
12	Medium

8	Medium
10	Medium

9 Medium

10 Medium

6 Low

15 High

16 High

16 High

6 Low

6 Low

9 Medium

4 Low

3 Very Low

3 Very Low

6 Low

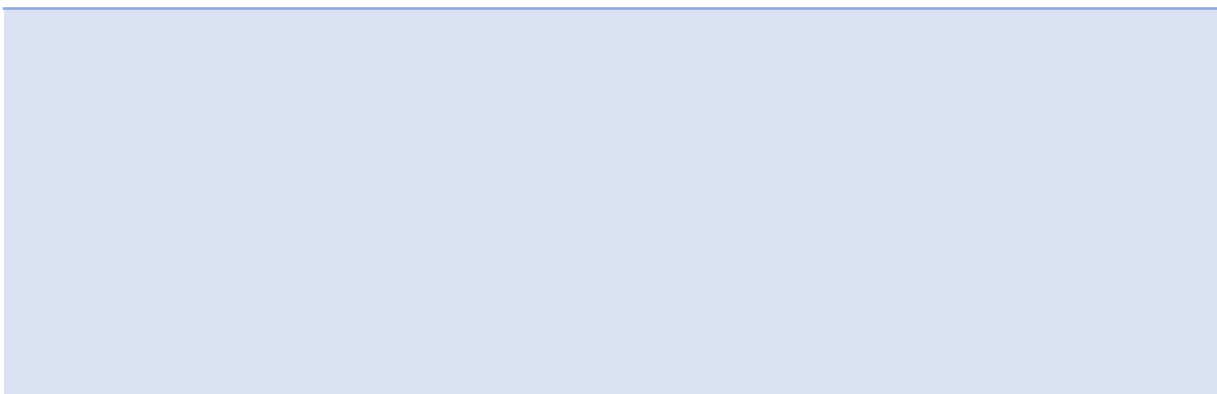
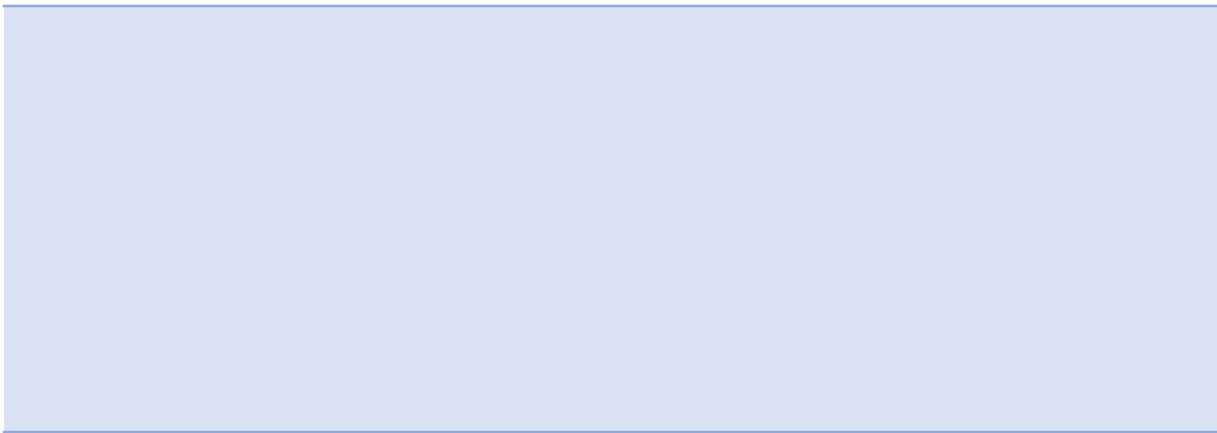
6 Low

Rationale for risk changes

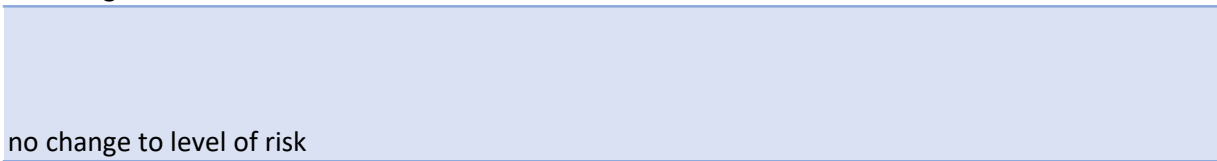
Significant and recent changes to the care market workforce

Risk reduced as a result of partnership work with Emergency Planning and WSP colleagues

New risk register

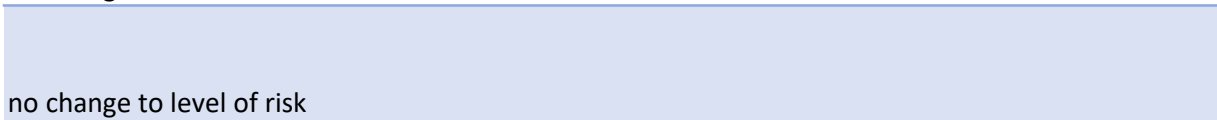


no change to level of risk



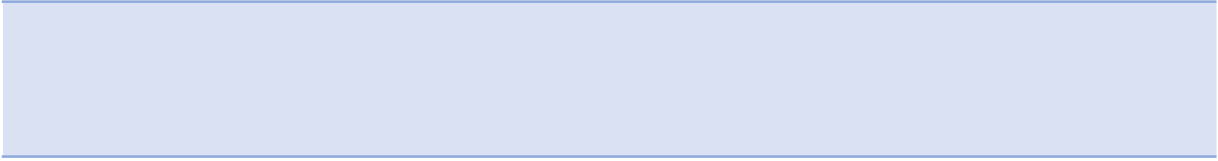
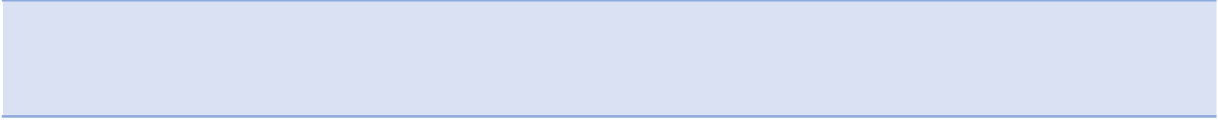
no change to level of risk

no change to level of risk



no change to level of risk

no change to level of risk



Additional Controls / Actions Required

Team Manager to continue to monitor and update risk assessment end June 2021

Health and Safety/Lone Working to remain on monthly team meeting agenda

Any incidents/near misses to be reported on ERP

Lone Working Policy to be reviewed quarterly by Team Manager

Team Manager to continue to attend ASC Health + Safety Meetings

Team Manager is creating casual worker posts to enable cover at shorter notice and at lesser cost to the organisation

ensure all staff have training 1:12 months. Ensure computers are encrypted

admin to check training has been undertaken

Full report with analysis of risk and mitigation is in place and will be shared on a wider basis with partners to highlight level of risk. DW August 2021
Developing a broad recruitment programme with the internal communications team promoting social care as a career to support the Domiciliary Care Market. DW/ MJ September 2021.
Series of webinars and forums to take place to ensure the market has all the available information to support their recruitment. Working with Skills for Care, SPIC and System Colleagues. Deborah Webster September 2021
Grant sector funding for employees referral app to support recruitment currently rolling out. DW Ongoing 2021

Ensure full Homelessness Prevention Grant continues to be allocated to Housing Options.

Review of Housing Allocations Policy. Continue discussions with social housing providers and private sector landlords to find alternative ways of reducing the use of temporary accommodation and Bed & Breakfast.

Continually review and monitor service delivery in line with

Ensure that existing funding streams from internal departments and external partners are maintained or increased.

Ongoing consultation with advisor at MHCLG regarding ongoing funding options.

New IT system pending to assist with compliance, care planning and documentation.

New AMHP lead to review succession planning

Further audits have been introduced to enhance quality assurance and medication error reporting

Timescale for implementation of additional controls/actions required	Risk O/C
	Open
30 June 2021	Open
31/07/2021	Open
31/05/2021	Open
4/8/21	Open
n/a	Open

n/a	Open
n/a	Open

n/a	Open
ongoing	Open

30/04/2022	Open
30/04/2022	Open

30/04/2022	Open
30/04/2022	Open

30/04/2022	Open
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25.11.20

Open

28.07.21

Open

30/04/2020

Open

30/04/2020

Open

30/04/2020

Open

Area	Sub-Area
Commissioning & Governance	

Adult Services	
Adult Services	

Adult Services	North West Social Work Team
Adult Services	North West Social Work Team

Adult Services	South Social Work Team
Commissioning & Governance	Commissioning/Care Homes

Commissioning & Governance Commissioning/Care Homes

Commissioning & Governance Commissioning/Domiciliary Care

Commissioning & Governance Commissioning/Domiciliary Care

Commissioning & Governance Commissioning/Domiciliary Care

Housing Housing

Housing Housing

Housing Housing

Housing Housing

Housing Housing

Operations

Four Rivers

Operations

Four Rivers

Operations

MHSWT

Operations

START

Operations

START

Team Leader	Director	Last Reviewed Date	Item Type
Deborah Webster;#114	Tanya Miles	01/11/21	
Kate Garner	Tanya Miles	01/11/21	
Lynne Gargiulo;#388	Tanya Miles	06/05/21	Item
Lynne Gargiulo;#388	Tanya Miles	30/04/21	Item
Lynne Gargiulo;#388	Tanya Miles	06/05/21	Item
Alison Toulson;#385	Tanya Miles	04/08/21	Item
Deborah Webster;#114	Tanya Miles	19/05/21	Item

Deborah Webster;#114	Tanya Miles	19/05/21 Item
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Deborah Webster;#114	Tanya Miles	18/05/21 Item
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Deborah Webster;#114	Tanya Miles	18/05/21 Item
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Deborah Webster;#114	Tanya Miles	23/08/21 Item
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Laura Fisher;#292	Tanya Miles	01/11/21 Item
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Laura Fisher;#292	Tanya Miles	01/11/21 Item
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Laura Fisher;#292	Tanya Miles	01/11/21 Item
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Carole Croxford;#115;#Christine Thomas;#103 Tanya Miles 04/08/21 Item

Carole Croxford;#115;#Christine Thomas;#103 Tanya Miles 04/08/21 Item

Fiona Williams;#265 Andy Begley Item

Patricia Blackstock;#274;#Amy Tipton.Start;#118 Tanya Miles 10/05/21 Item

Patricia Blackstock;#274;#Amy Tipton.Start;#118 Tanya Miles 10/05/21 Item

Path
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<u>Committee and Date</u>
Cabinet
1 December 2021

<u>Item</u>
<u>Public</u>

CHILDREN'S SERVICES KEY PERFORMANCE DATA

Responsible Officer

email:

tanya.miles@shropshire.gov.uk

Tel: 01743 255811

1. Synopsis

Children's Social Care is a priority for Shropshire Council, and to monitor our performance a comprehensive suite of performance data used on a daily through to annual basis is assembled to track and monitor performance. This report shows performance up to quarter 2 2021/22

2. Executive Summary

- 2.1 This report summarises the key performance indicators within Children's Social Care (CSC) at the end of quarter two 2021/22. CSC has a number of statutory key performance indicators which are collated nationally and this report focuses on these. The Local Government Association good practice guidance advises that Cabinet has regular oversight of CSC performance. This is the first time in recent years that CSC performance has been presented to Cabinet and regular updates will be part of the forward plan.
- 2.2 The Children and Young People's performance data set aims to evidence performance in line with statutory responsibilities, demonstrate the 'safety of the system' and identify key areas of declining or improving performance. It is important to note that the activity of Children's Social Care relates to statutory intervention under the Children Act 1989 relating to Children in Need of support and Children at risk of significant harm.
- 2.3 This report is one of a comprehensive suite of performance data that are used daily, weekly, monthly, quarterly and annually to track and monitor performance. It also forms part of the CSC Quality Assurance framework where we link performance data with audit activity to identify learning and areas of improvement required, as well as areas of good practice.

- 2.4 The performance report follows 'the journey of the child' through the system, taking the reader through the statutory points from the 'Front Door' to assessment, child protection, children looked after and Care Leavers.
- 2.5 For some indicators, where available the benchmarking data nationally and across Statistical Neighbours is included. This benchmarking data is 2019/2020, updated benchmarking data is due to be published, therefore our performance variations re the impact of covid 19 are included but the benchmarking data does not include any of those variations.
- 2.6 The key messages from this performance report are detailed as well as any implications and where appropriate what is being done to address any variations. 2.7 Points 2.7 through to 2.12 highlight the main performance areas to highlight to cabinet; further narrative and next steps is provided in the main body of the report. Page numbers referenced refer to the performance dashboard pages (Appendix 1).
- 2.8 A contact is where there is an enquiry, information shared or requested, or a concern is reported from any partner agency, a family or a member of the public. Continuing high levels of contacts and referrals, indicating sustained high demand for social care services continues. (Page 2 of Appendix A)
- 2.9 A referral is where information shared relates to a concern about a child's welfare and further information or action is required. Referrals from schools now back to pre-covid levels following reductions during the pandemic.
- 2.10 Re-referrals into CSC remain low, suggesting that children requiring support are new to social care, or have not been supported in some time.
- 2.11 Social Work Assessment timeliness has decreased, this was anticipated and a result of high levels of Covid-related sickness in Q4 20/21. It is an improving trajectory.
- 2.12 There has been a decrease in children subject to child protection plans, in line with trends seen nationally.
- 2.13 The increase in children looked after supported by the Council has continued during Q2. This includes an increase in Unaccompanied Asylum-Seeking Children in this quarter.

3. Recommendations

Members are asked to:

- 3.1. Note the issues raised in the report and consider the impact of sustained increased demand on both the Council and children and young people in the county.
- 3.2. Review the performance information and identify any areas that they would like to consider in greater detail or refer to the Performance Management Scrutiny Committee.

REPORT

4. Risk Assessment and Opportunities Appraisal

- 4.1. Poor performance could have implications for vulnerable people (including children) who are supported by Council services and economic growth in Shropshire. In turn, there may be significant financial, legal and reputational risk to the Council, Schools (and Academies), and partners from across the public and voluntary and independent care sectors.
- 4.2. Effective monitoring and follow-up against key measures of success provides the opportunity to manage risks and ensure that Children and Young People and in Shropshire remain safe and achieve the desired outcomes.

5. Financial Implications

- 5.1. This report does not have any direct financial implications but presents service and financial information to support decision making. Accountable officers and senior managers may use the information to inform actions or interventions for improving service performance and the prioritisation and use of resources.
- 5.2. The impact of delivering these performance indicators is an overspend of £2.5m at quarter 2.

6. Climate Change Appraisal

- 6.1. Whilst this report does not have any direct climate change or carbon management implications, vulnerable children and adults are most likely to be adversely affected by the environmental and health impacts of climate change. The delivery of CSC services contributes to the Council's corporate carbon footprint through staff

travel, the operation of social care buildings and through the carbon impact of commissioned services. Together with Adult Social Care Services, this represents around 25% of the Council's gross carbon footprint. It will be important in future to collect and report more detailed information about the carbon and climate change impacts of the delivery of CSC services to inform actions or interventions for improving service performance.

7. Report

- 7.1. Contacts to the 'front door' of children's social care are an important measure of demand. During 2020/21, 12,833 contacts were received by Children's Services during 2020/21. This was an increase on 2019/2020 and expected in response to Covid 19.

During 2021/22 to date, 6430 contacts have been received by Children's Services, suggesting similar levels of contacts are being made. However, in 20/21 around 800 contacts were updates on existing cases, the process for managing these has now changed and they are no longer included in this data. This suggests demand from contacts regarding new children has slightly increased this year.

Contacts data includes the rate of NFA – this number include the requests for information, signposting etc.

Benchmarking data for contacts is not collected as part of the annual statutory returns, due to the varied approached LAs take to managing their social care front door, therefore comparator data is unavailable.

- 7.2. A referral to social care is the next step following a contact, where it is suspected that a child may need additional support or there is concern about harm. In 2020/21 there were 2029 referrals to CSC, which represents a 7.8% increase on the 1882 received during the previous year.

In 2021/22 to date, there have been 968 children referred to social care, which is 5.6% higher than the same period last year, when there were 917 referrals.

Latest available benchmarking data for 20/21 indicates that Shropshire's referral levels are below most of its statistical neighbour (SN) group. The average for the group being 396 referrals for every 10,000 U18 residents, where Shropshire's y/e 20/21 figure gives a rate of 336. Nationally the rate is 494.

Benchmarking for 20/21 indicates that referral rates have fallen across all comparator groups with England falling from 535 to 494, SN from 423 to 396 and West Midlands from 529 to 495. This suggests that the rising referrals in Shropshire are not being seen universally in other local authorities. We are of the view that families have found it difficult to cope through lockdowns and the impact has been significant. Many support services in Shropshire saw staff re-deployed especially in Health or services closed with limited face to face contact.

Most referrals (93.6%) go on to receive a social work assessment, with only 4.3% requiring no further action. Of those progressing to assessment, 55.4% require a Strategy Discussion to be held, which indicates the child may be at a potentially higher level of risk.

During 20/21, the main referral source was the police (28%), and this has been maintained during 21/22 to date; indicating that the police are the first point of identifying harm to a child, often when responding to another issue. Referrals from schools, which dropped during the pandemic, have now returned to expected levels. Referrals from Health colleagues remain low, and this is being discussed with Health partners as to why.

- 7.3. At the end of 20/21 the proportion of children being re-referred to social care within 12 months of a previous referral was 15%.

During 21/22 to date, re-referrals represented 13.1% of all referrals received, which is an increase against the Q1 position of 9.8%, though still lower than the 20/21 year-end position.

Shropshire has comparatively low levels of re-referrals, with the 20/21 SN average being 20% and the England average being 23%.

Low levels of re-referrals are interpreted as intervention having been effective in making changes in a family and those changes being sustained. In this instance low % is positive, if this key measure increases significantly at all it is a key indicator that can signpost changes in practice and is immediately investigated through audit. Dip sample audits are regularly undertaken, sometimes with partners, to understand which children and families are in the re-referral cohort and why.

- 7.4. On average during 2020/21, 316 social work assessments were completed each month, though this figure includes review assessments, as well as those following on from referral. During 2021/22 to date, there were 1976 assessments, or 329 per month on average, which is slightly higher than 20/21.

At Q2, 76.5% of assessments had been completed within the required 45 working days. This is a decrease against the 87.3% at

Q4 20/21. Shropshire is now performing slightly below both statistical neighbours (86%) and the England average (88%), based on their 20/21 year-end positions.

Some decrease was predicted, following on from the impact of increased Covid related sickness in Q4 and lockdown, and a focus on completing the out of date assessments caused by this. This measure is tracked weekly and monthly by Service Managers and close management oversight is maintained. We are clear this measure will demonstrate improvement in Q3. The measure covers all social work assessments completed in the service. We know that the completion rate of assessments in timescales in the assessment teams is higher and is consistently in the high 90's % range.

- 7.5. Page 4 and 5 - The rate of children subject to Child Protection Plans (CPPs) has decreased during 21/22 against year-end 20/21. At the end of March 2021 there were 281 children subject to a plan, which has decreased to 221 at the end of September 2021. This gives a rate per 10,000 0-17 years olds of 36.7.

Shropshire has a slightly lower rate than the 2020/21 national average (41.4) and is in line with statistical neighbours (36.6). Both nationally and within Shropshire's SN group, rates of child protection plans fell during 20/21.

- 7.6. Of the active CPPs at the reporting date, 41.6% have neglect listed as their primary category of abuse. 49.8% have emotional abuse, 3.6% sexual abuse and 5% physical abuse. This means that the use of neglect as a primary category of abuse, which has historically been higher in Shropshire than comparators, has fallen. We are currently investigating through audit what the reasons for this are.
- 7.7. Nationally, the categories of abuse are identified as: neglect 47%, emotional abuse 40%, 4% sexual abuse and 6% physical abuse. Some authorities also report against multiple categories, nationally this is reported at 2%.
- 7.8. Child protections plans that are open for over 2 years can be an indication of drift in casework. Benchmarking for this measure compares the proportion of ceasing CPPs that had been open for 2 years or longer at the point of closure.

At the end of Q2, 4.5% of CPPs ceasing had been open for two years or longer. This is lower than the year end 20/21 position of 6.3%, though remains above the SN average (3.7%) and the national average (3.7%) for 20/21. However, this is a cumulative measure, and the trend appears to be moving closer to the national average. It has been affected by large sibling groups being subject to a child protection plan.

- 7.9. A Child in Need (CiN) is one that has been assessed by social care to need a service. The rate of CiN in Shropshire decreased during Q2 21/22 to 307.1 children per 10,000 U18s.

Shropshire's rate is above its SN group (277), though has fallen below the England average (322).

- 7.10. Page 4 and 6 - At year end 2020/21, there were 504 looked after children in Shropshire.

This was an increase of 26% from the 399 children looked after at the end of 19/20.

During the year 21/22 to date, there has been a further increase in the number of children looked after to 571 at the end of Q2, representing a 13.3% increase against year-end 20/21.

Page 6 - During 21/22 to date, 133 children started to be looked after, this is 46% greater than the 91 children starting in the same period in 20/21. However, ceasing levels have also increased, with 66 children ceasing in 21/22 to date, 57% higher than the 42 who ceased during the same period last year. This measure is important to understand how many children become looked after but also how many children leave our care either by returning home, becoming 18 or having permanent plans with extended family that mean they don't remain a looked after child or are adopted.

In Q2 we have had an increased number of Unaccompanied Asylum-Seeking Children as we have been proactive in supporting the National Transfer Scheme, this contributes to the 23% of children becoming looked after being 15 +years.

The rate of children looked after has increased to 94.7 children per 10,000 U18s. This is higher than the 2019/20 SN average (60.4) and England average (67).

There are a range of reasons for the increase in children looked after, including large sibling groups in 2021 into 2022, increase in serious neglect, delays in court proceedings being completed and delays to exiting children's care plans being finalised, increase in Unaccompanied Asylum-Seeking Young People.

- 7.11. The age profile of Shropshire's current looked after children (at the end of Q2) is evenly distributed, with 51% of children under 10 and 49% over 10. This is contrasted with the age range of those children who became looked after during the year. Here, the age profile is skewed towards younger children, with the highest proportion (64%) aged between 0 and 9, with 41% age 0 to 4. This indicates that it is more often younger children who are becoming looked after.

The age profile of those children exiting care suggests that 50% are age 15+, with many of these being young people turning 18. This has decreased during Q2, suggesting a wider age range of children ceasing to be looked after, indicating a wider range of children having leaving care for other reasons than being 18 yrs old. Which is positive.

7.12. Fostering placements make up the highest proportion of looked after placements in Shropshire, with 72.3% of children placed with foster carers. 11.4% of children are placed in homes/hostels and 8.6% are placed with their parents. 0.7% of Shropshire's children looked after are placed for adoption. This supports good practice that evidences that children are best cared for and grow up in a family environment, if they cannot live with their own birth family. We have a higher-than-average proportion of children cared for by Connected Carers – i.e., members of their extended family who care for them as foster carers or are subject to a Special Guardianship Order. As a local authority we continue to support these families both practically and financially.

7.13. Most looked after children in Shropshire (87.3%) are subject to a court order, which are usually sought by a local authority in respect of children who they believe are suffering or are likely to suffer significant harm.

55.7% are subject to a full care order (meaning they have a plan to be in our care long term), 28.4% subject to an interim care order (their final plan is not yet determined), and 3% subject to a placement order (have a plan for Adoption agreed by the court).

12.8% are looked after under section 20 of the Children's Act 1989, which means that the parents have agreed for their child to live elsewhere for a period, either to provide time to make changes in their circumstances or to facilitate further investigation.

Unaccompanied Asylum-Seeking children are also accommodated under this legal category.

7.14. The remainder of this report discusses performance relating to care leavers. Benchmarking for care leavers is a new development and focuses only on those young people whose 19th, 20th or 21st birthday occurs in the reporting period. For Q2, this means that all young people having a 19/20/21 birthday in April - September are included. This means each quarter the cohort of young people changes.

For care leavers in this cohort, there is a duty on the local authority to proactively keep in touch with care leavers. Shropshire Council is in touch with 90% of all care leavers in this cohort. This is slightly below the 19/20 national average (93%). Why we are not in touch with a young person is monitored and tracked by the Team Manager

and usually relates to the choice of the young person or they have been reported as missing.

7.15. 91% of the care leavers in the reporting cohort are living in suitable accommodation, which can include independent living, supported accommodation or living with parents. The 19/20 national average for this measure is 85%.

7.16. 50% of care leavers in the reporting cohort are in education, employment, or training. This is slightly below the 19/20 national average of 53%. This varies Quarter to Quarter and is often lower in quarter as some young people have yet to start/return to college.

8. Conclusions

- 8.1. Children's Social Care is under increasing pressure from rising demand at many points in the system.
- 8.2. Overall performance remains strong and where there have been variances this is understood, and actions been taken to address issues. This contributes to us ensuring we know ourselves well.
- 8.3. There is a proactive effort to work with Legal Services, the courts and families to progress the children's plans that were delayed in being finalised through Covid 19. Especially those that will be living with extended family through a Special Guardianship Order or are living back at home and are placed with their parents. This progress should see a reduction in the numbers of children looked after. The increase in Special Guardianship Orders is significant and is placing a demand pressure on the fostering team.
- 8.4. There has been an overall increase in work through the system as a result of Covid 19 response during March 2020 to date. It will take time to see this demand work through and for us to be able to understand what the new normal levels of work will look like longer term.

List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)

Cabinet Member (Portfolio Holder)

Cllr Kirstie Hurst Knight

Local Member

All Members

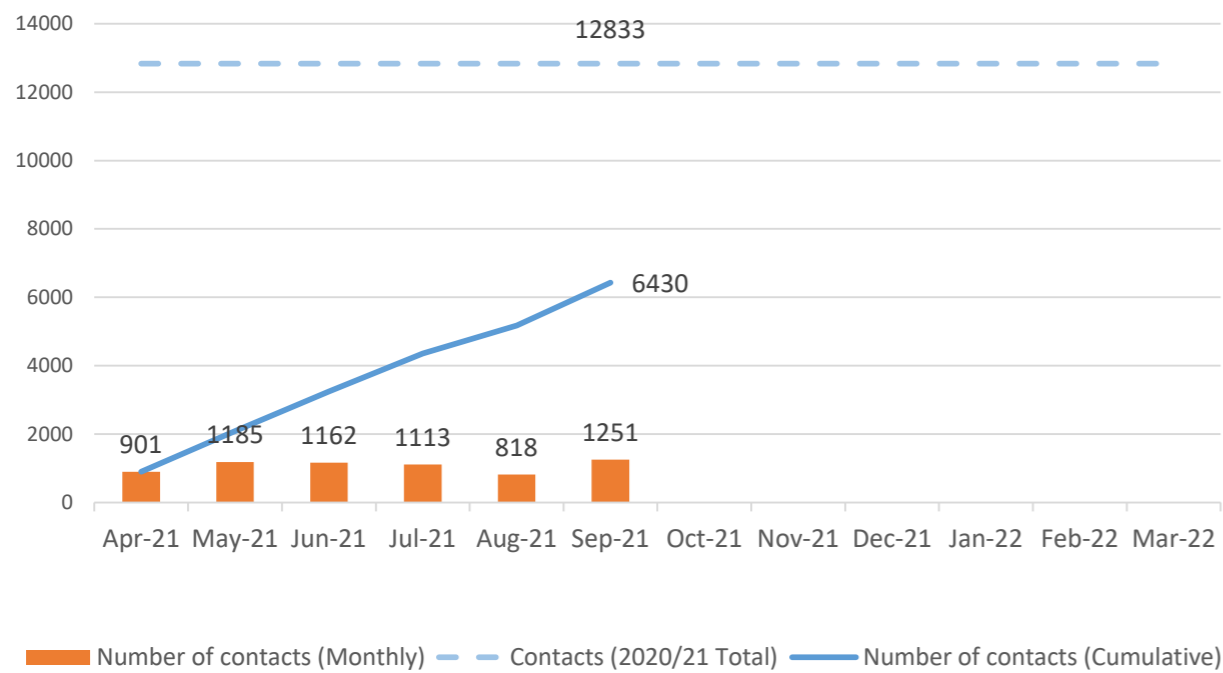
Appendices

Appendix 1 Children and Young People's Services Performance Report Q2 2021-22

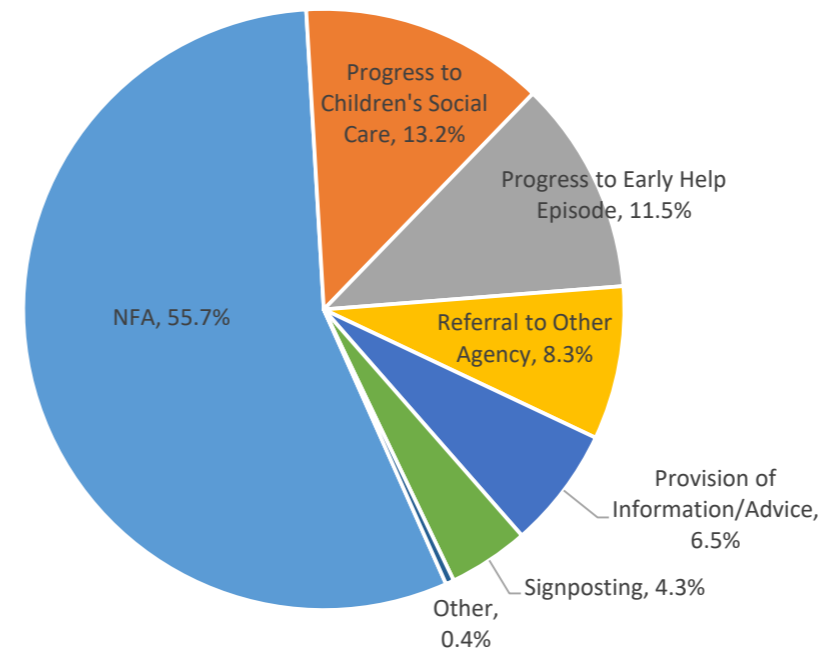
Children and Young People's Services

Performance Report
Quarter 2 2021/22

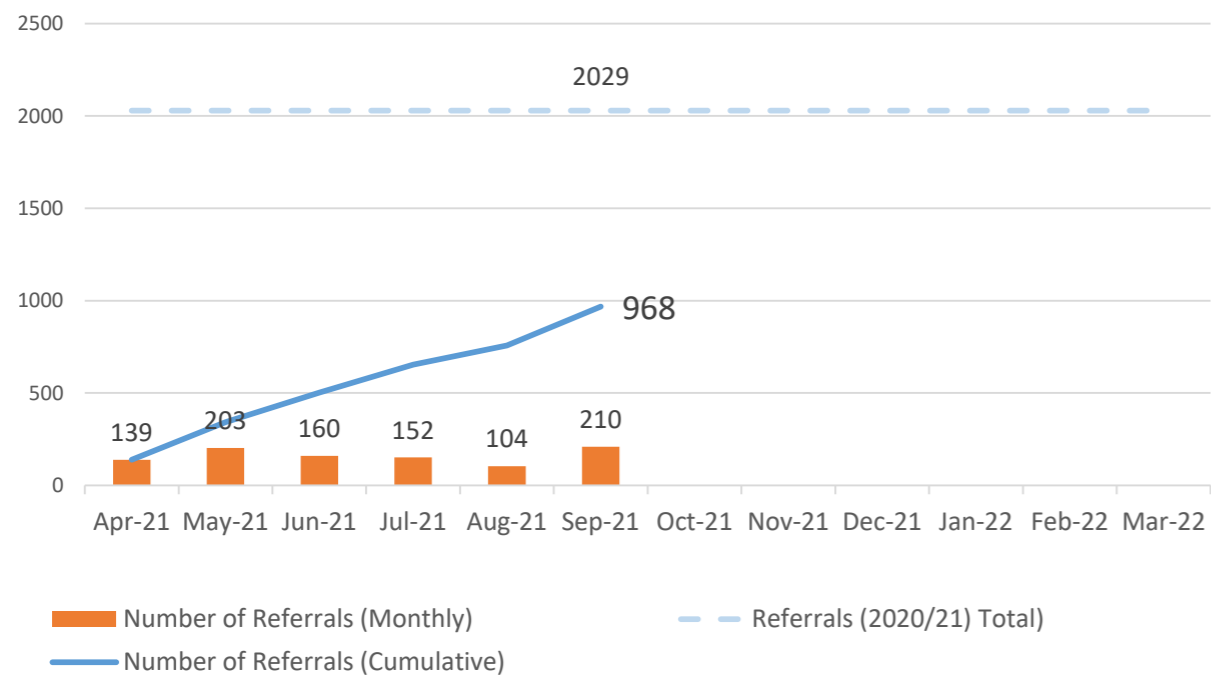
1: Total contacts received



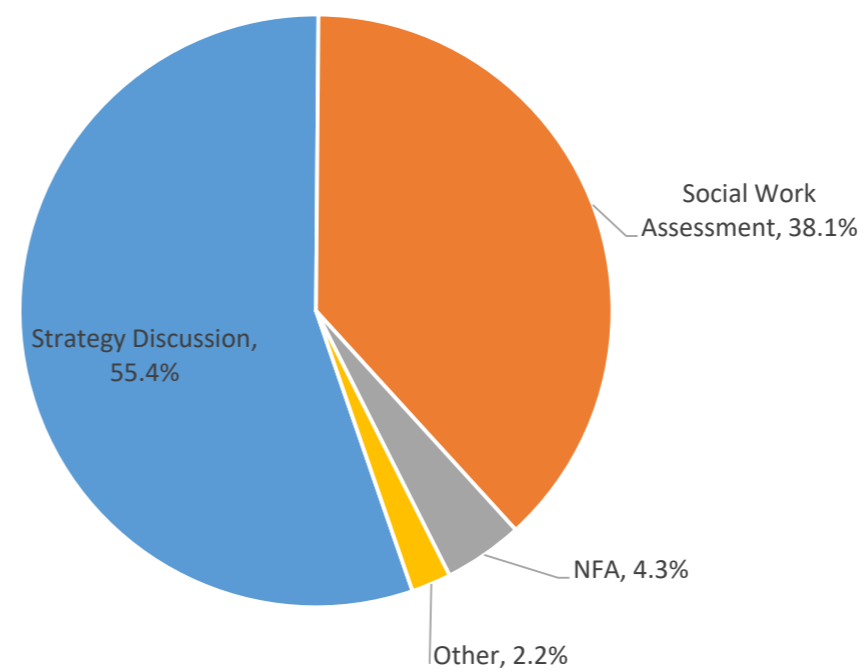
2: Contact outcomes -2021/22



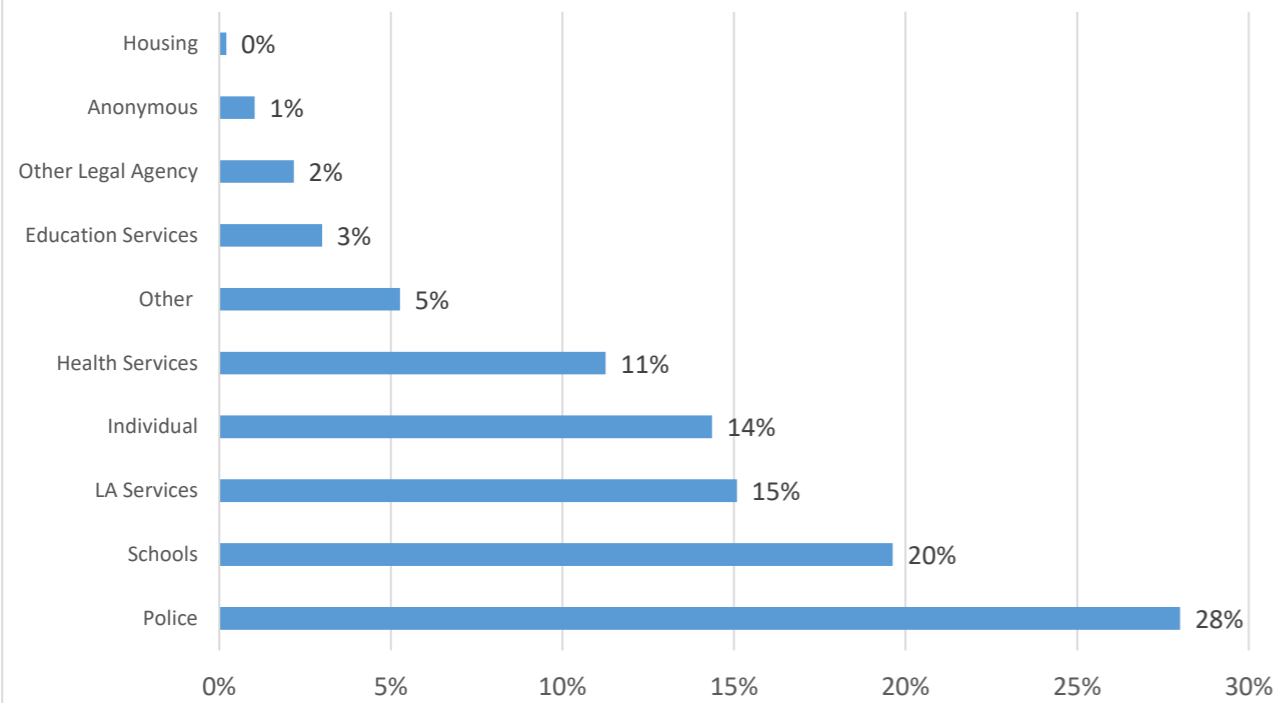
3: Referrals to Children's Social Care



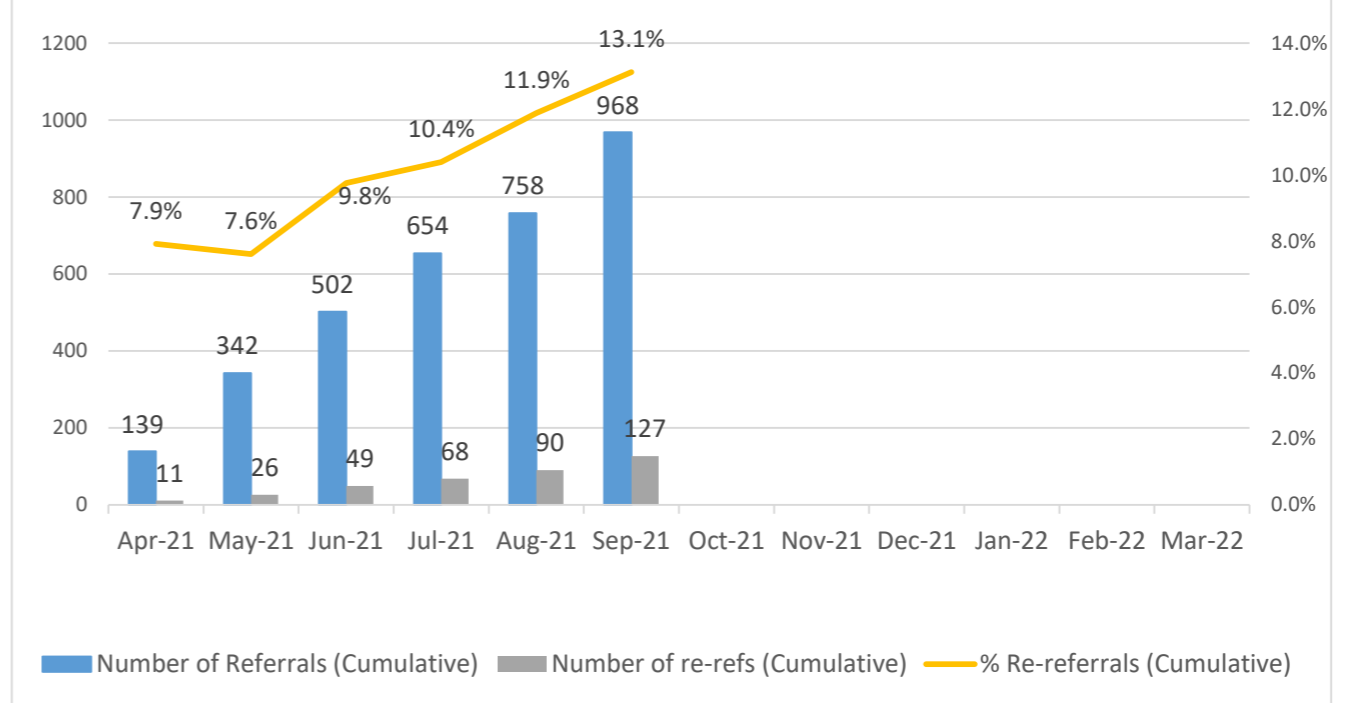
4: Referral outcomes - 2021/22



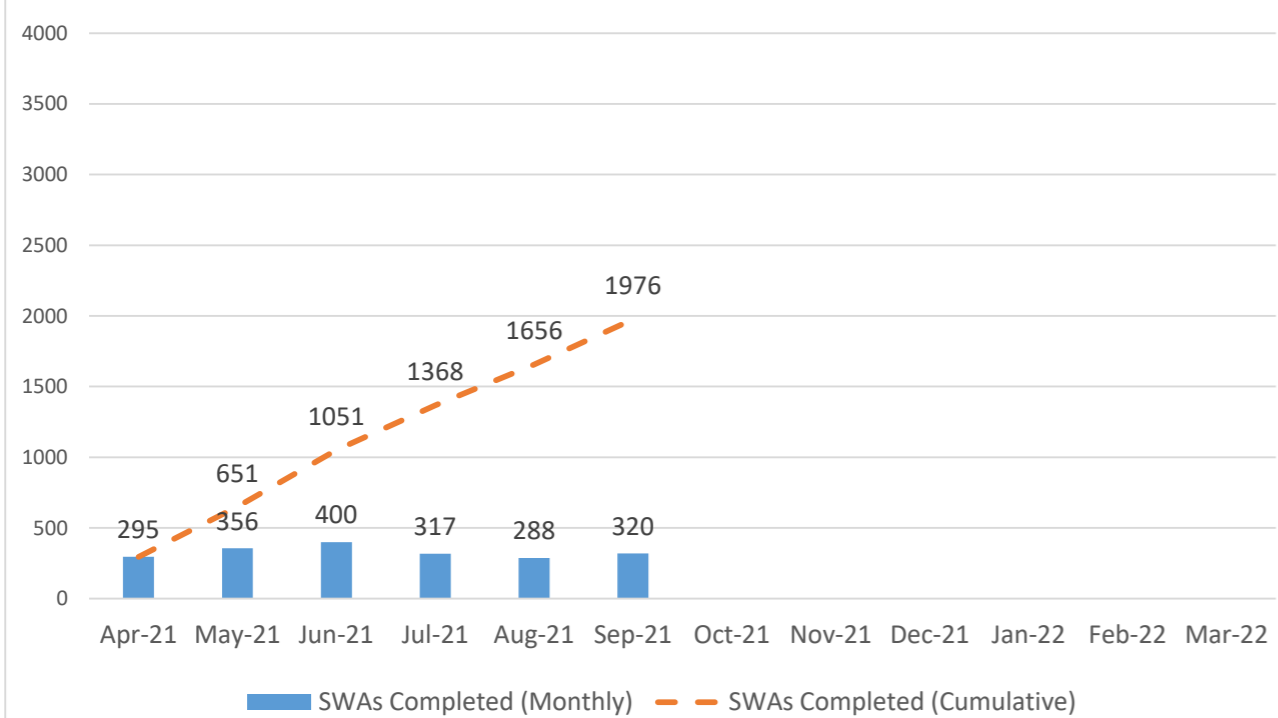
5: Referral sources - 2021/22



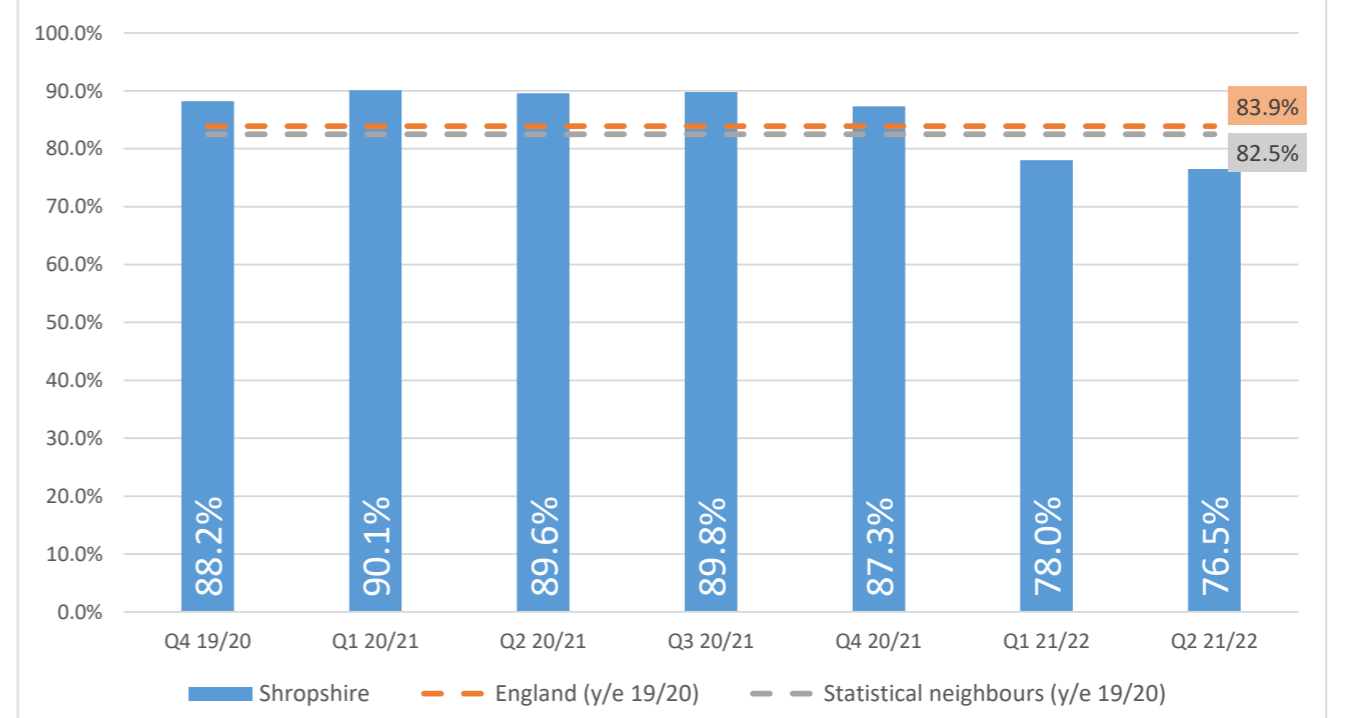
6: Re-referrals to Children's Social Care (cumulative year to date)



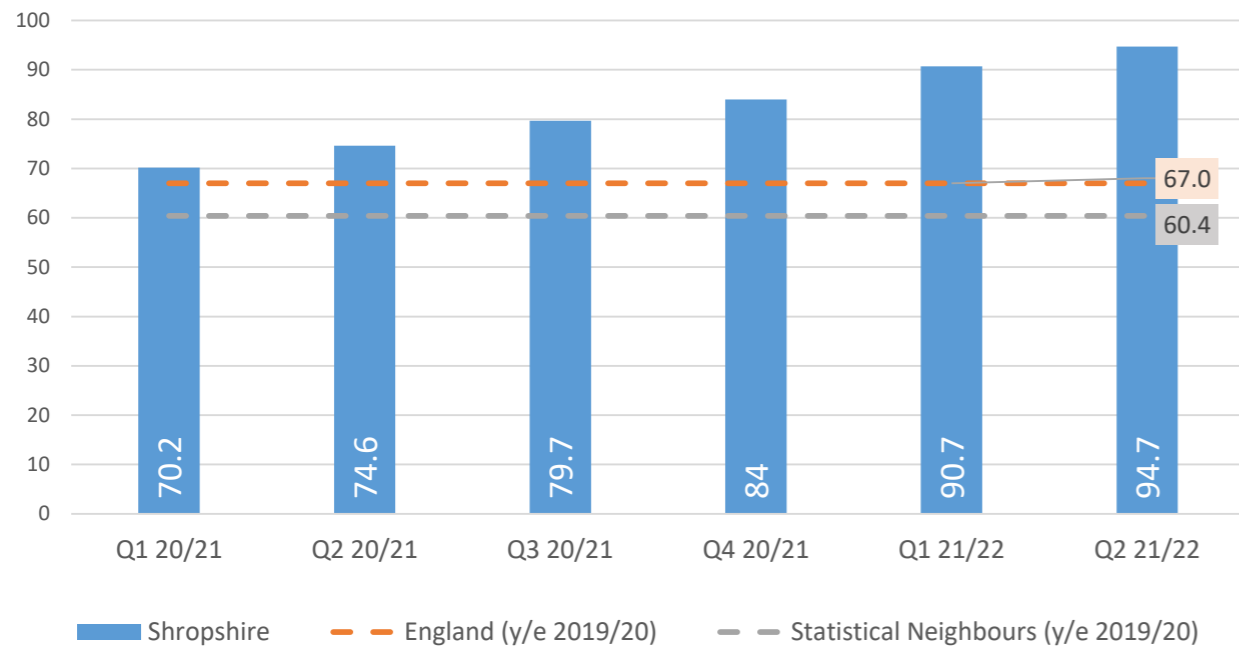
7: Social work assessment completed - year to date



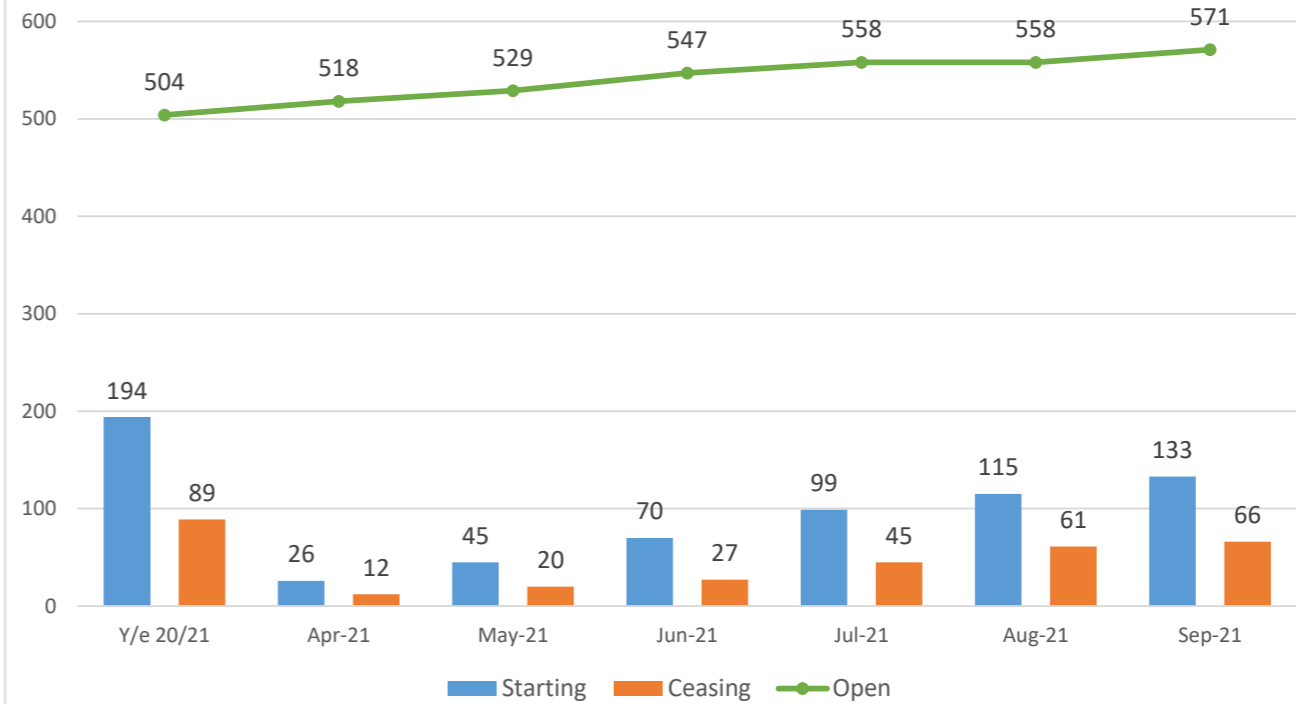
8: % Social work assessments within 45 working days



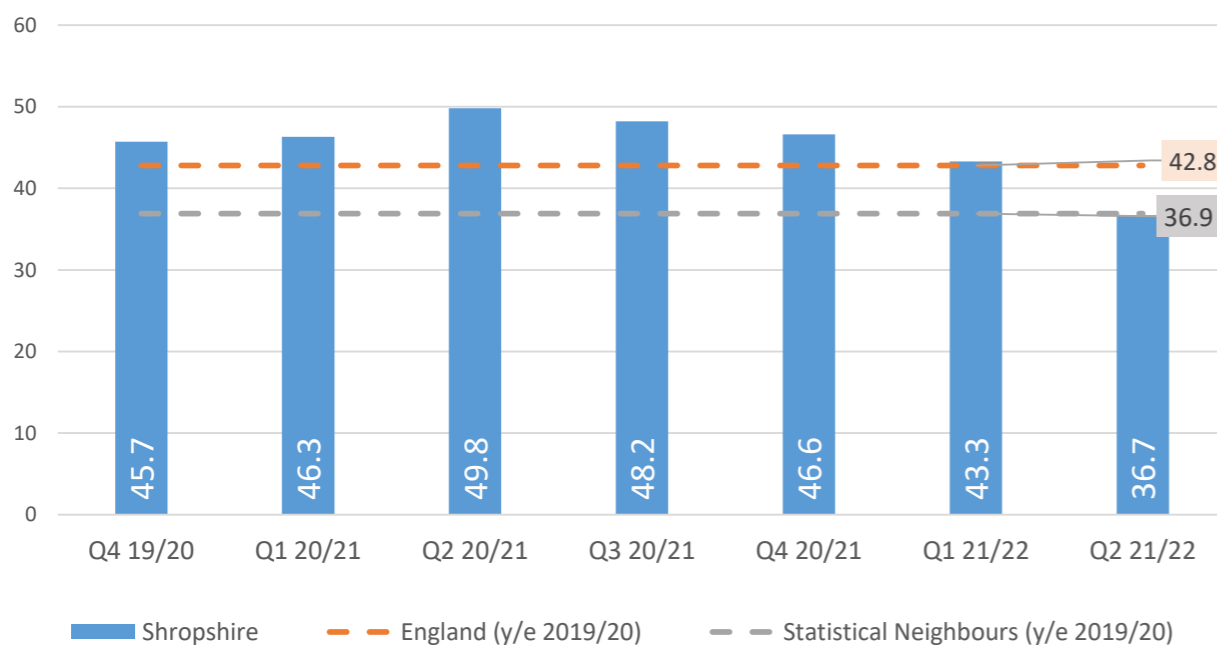
9: Children Looked After - rate per 10,000 U18



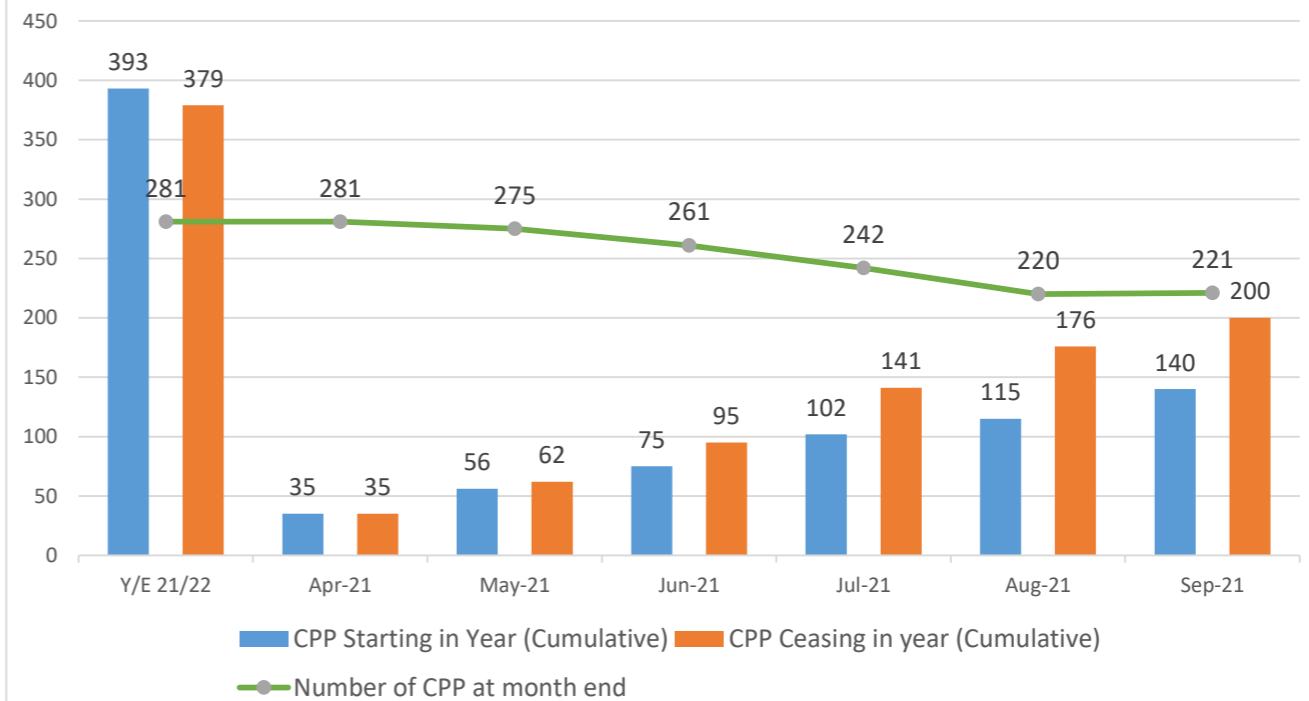
10: Children Looked After - starting, ceasing and number at month end



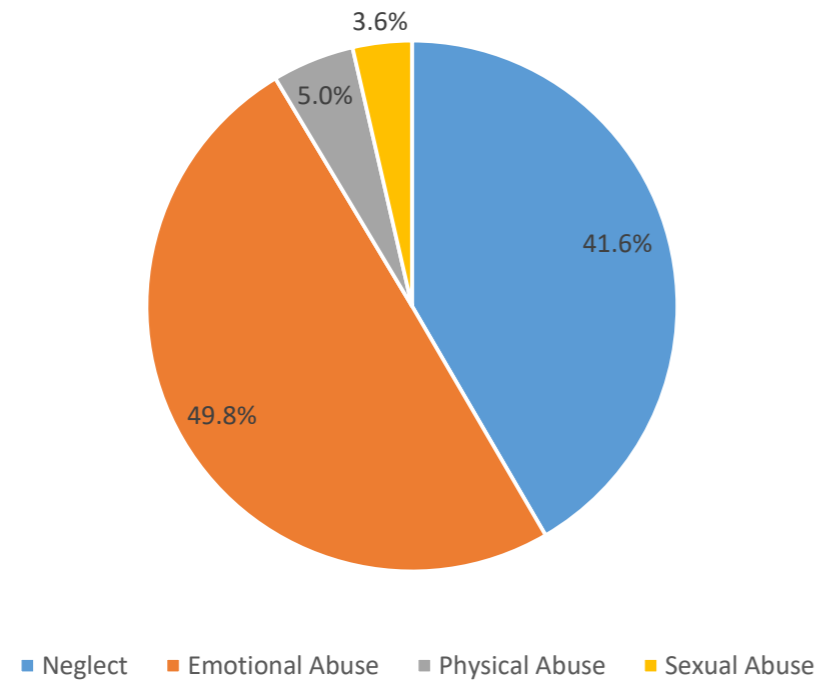
11: Child Protection Plans - rate per 10,000 U18



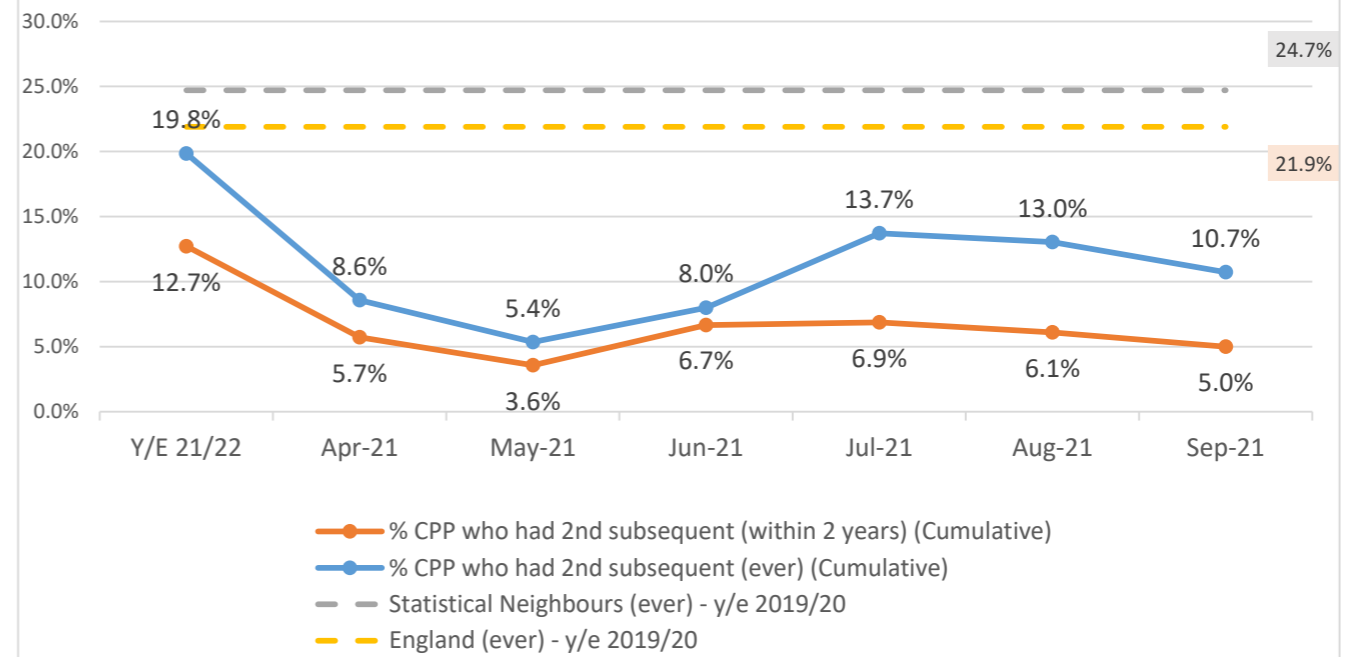
12: Child Protection Plans - starting, ceasing and number at month end



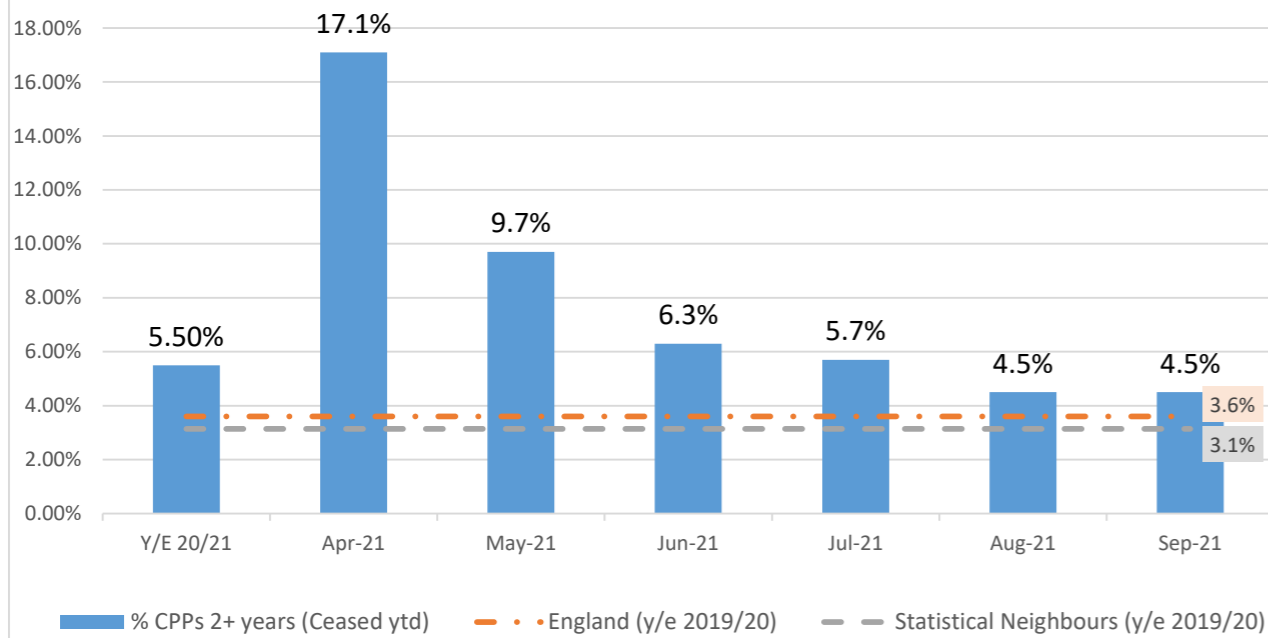
13: Current CPP - latest category of abuse (30/09/21)



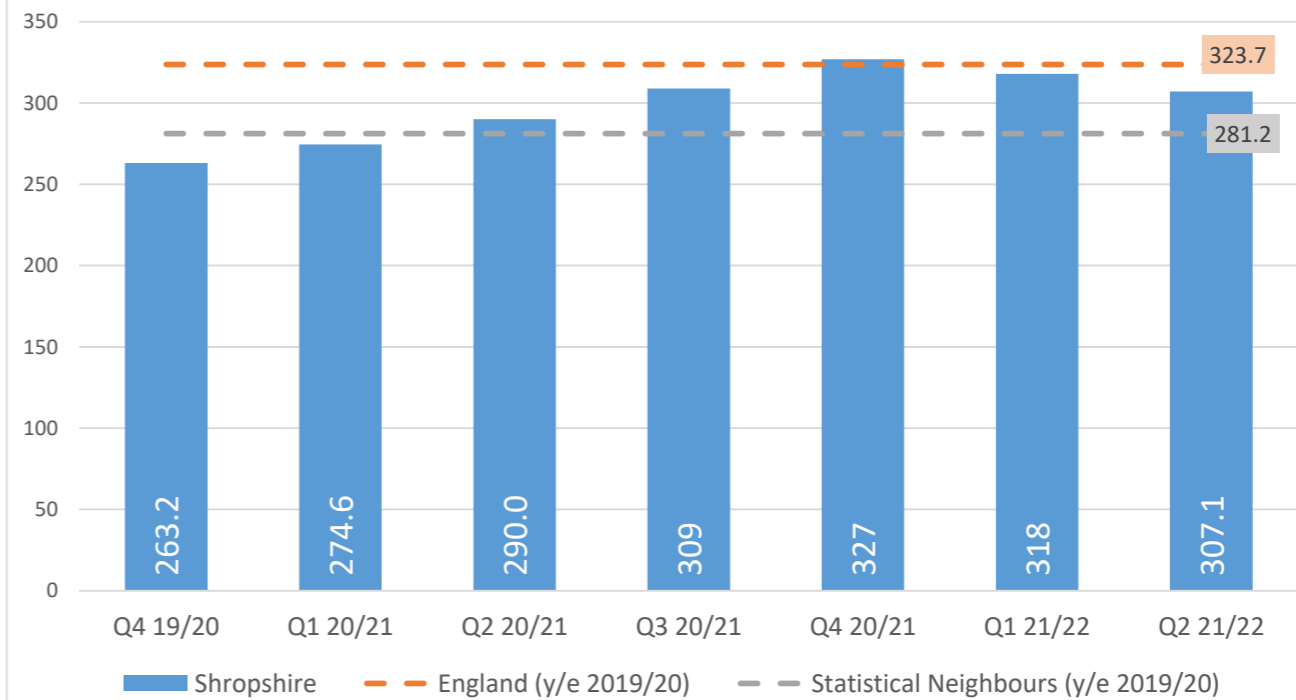
14: % of children who became the subject of a plan for a second or subsequent time

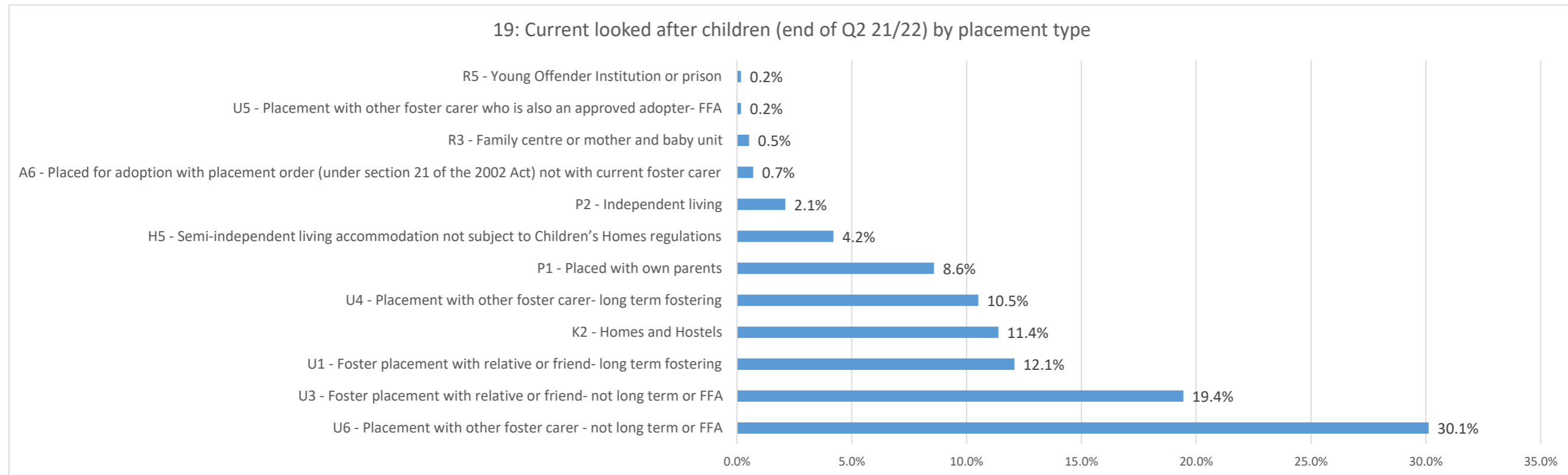
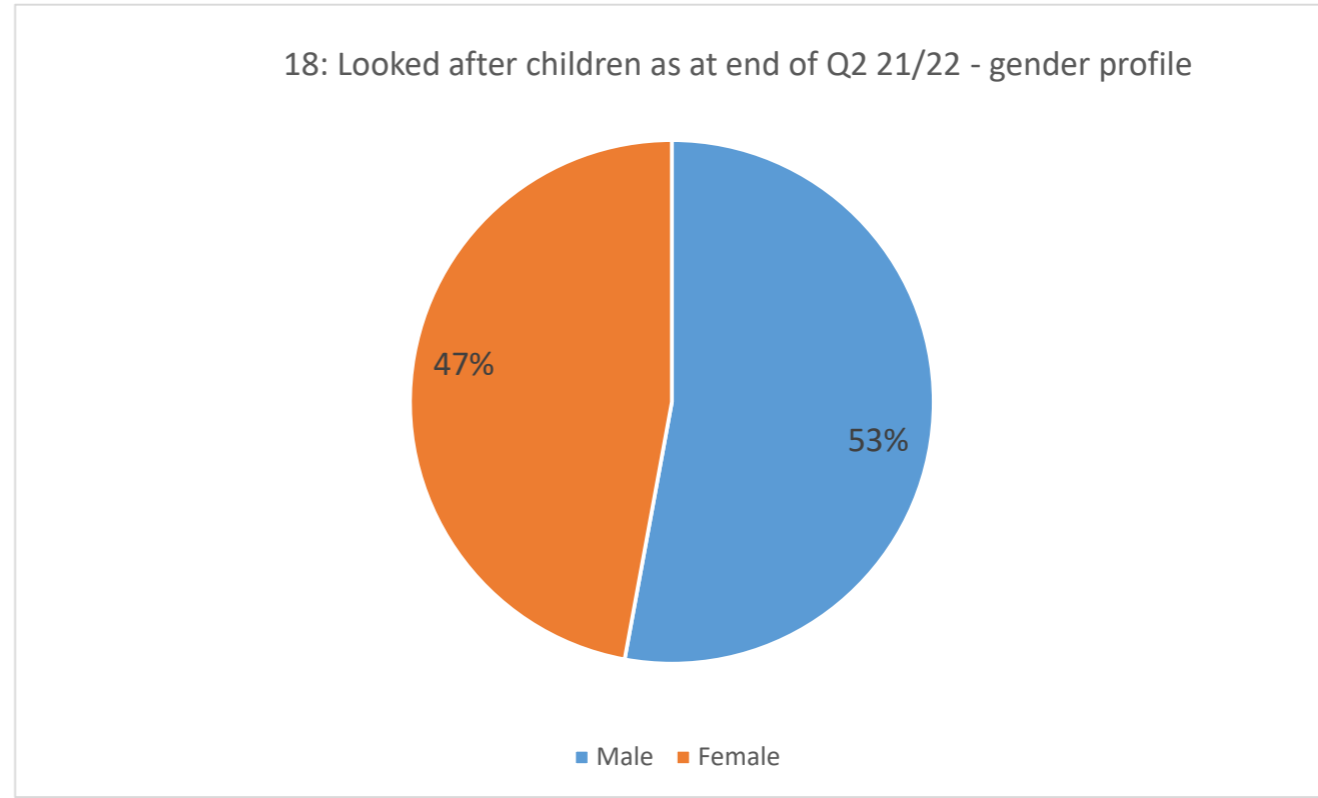
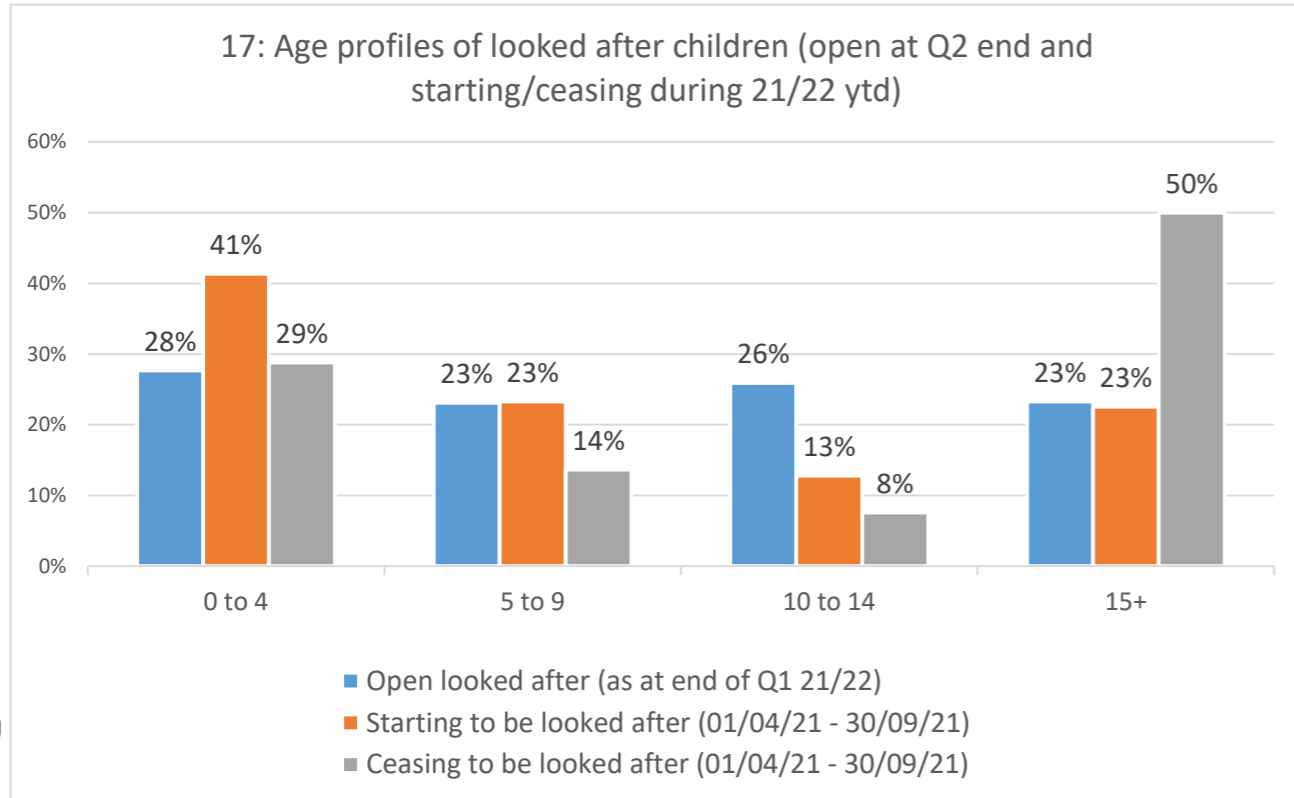


15: % of child protection plans open 2+ years at closure

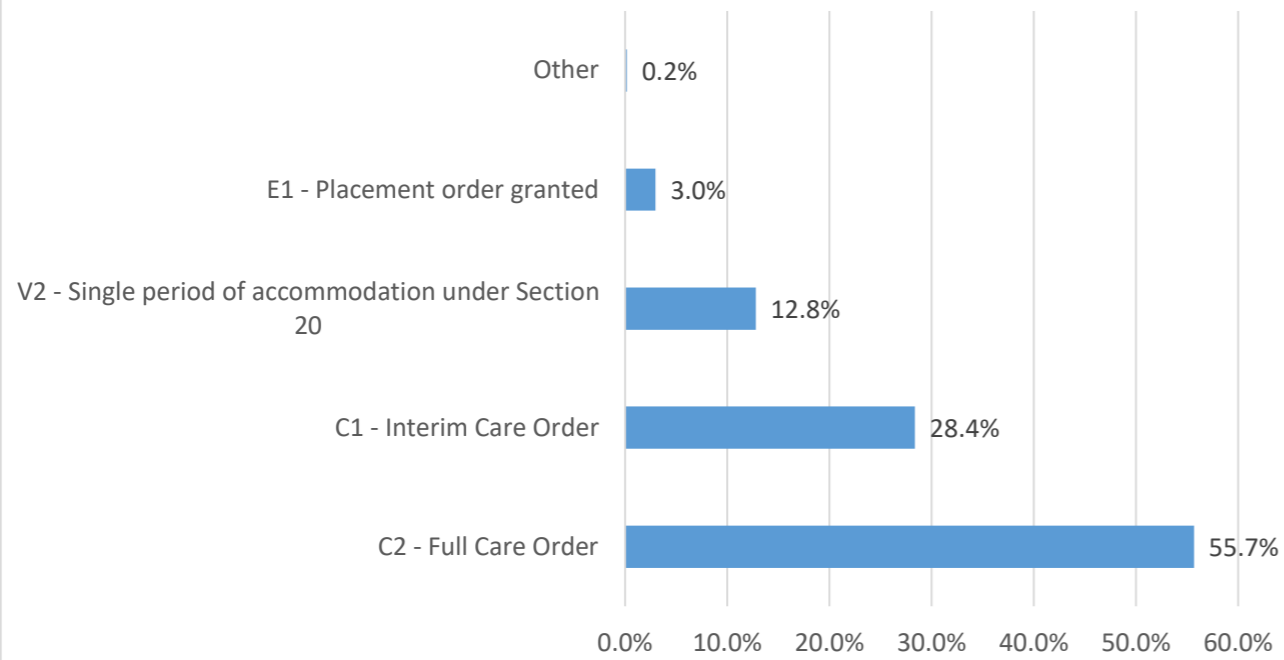


16: Children in need (national definition) - rate per 10,000 u18

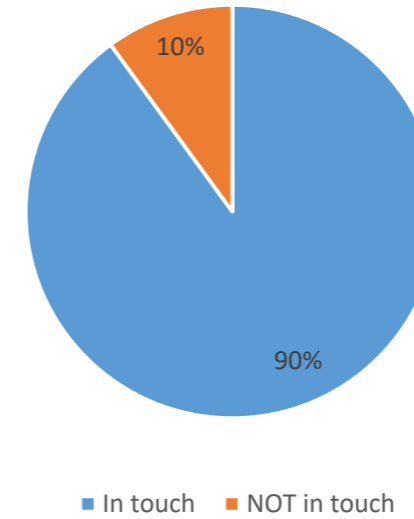




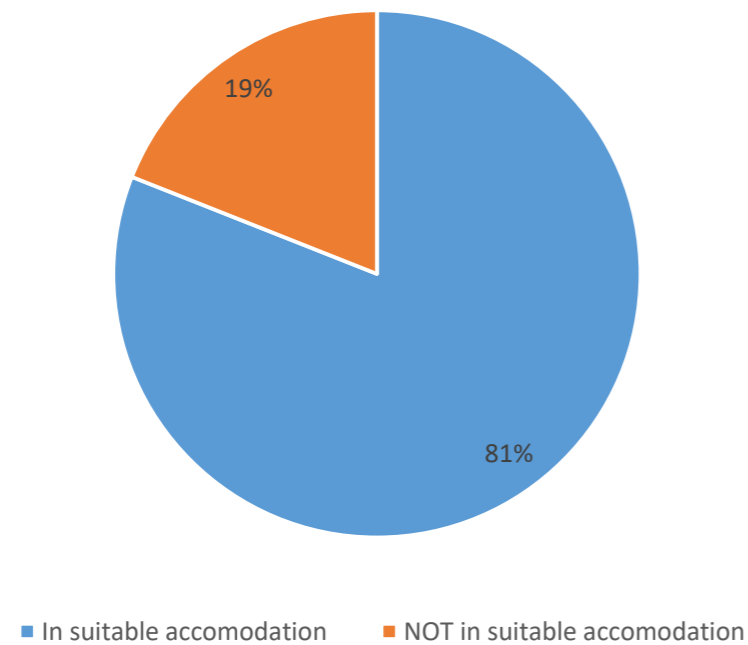
20: Current looked after children (End of Q1 21/22) - current legal status



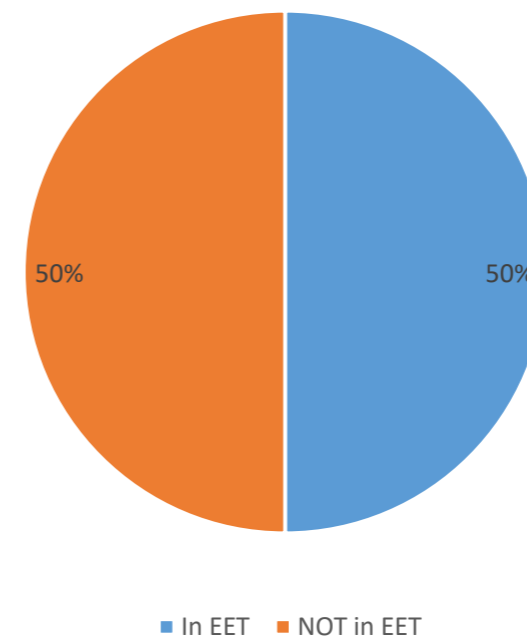
21: Care leavers 19-21 the LA is in touch with
(all care leavers data in this report uses the West Mids benchmarking definition of those CL who have had their 19/20/21 birthday in reporting period (ytd))



22: Care leavers 19-21 in suitable accommodation



23: Care Leavers 19-21 in Employment, Education or Training



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<u>Committee and Date</u>
Cabinet
1 December 2021

<u>Item</u>
Public

Gambling Act 2005 Policy Statement 2022 to 2025

Responsible Officer Mark Barrow, Executive Director of Place
e-mail: mark.barrow@shropshire.gov.uk Tel: 01743 256876

1. Synopsis

The approval and adoption of the Council's Gambling Act 2005 Policy Statement for 2022 to 2025 in accordance with the statutory responsibilities placed on the Council by the Gambling Act 2005.

2. Executive Summary

- 2.1. The Gambling Act 2005 ('the Act') requires the Council to prepare and publish a statement of the principles that it proposes to apply in exercising its functions under the Act ('policy statement').
- 2.2. The policy statement under the Act lasts for a maximum period of 3 years but can be reviewed and revised by the Council at any time.
- 2.3. The Council's Strategic Licensing Committee has agreed the proposed policy statement and recommends that it is approved by Cabinet.

3. Recommendations

- 3.1. That Cabinet agrees the proposed Gambling Act 2005 Policy Statement 2022 to 2025 as set out in Appendix 1 and delegates authority to the Head of Business and Consumer Protection to publish the policy statement and to advertise it in accordance with the provisions of the Gambling Act 2005.
- 3.2. That Cabinet agrees that the Gambling Act 2005 Policy Statement 2022 to 2025 will be adopted with effect from 31 January 2022.

REPORT

4. Risk Assessment and Opportunities Appraisal

- 4.1. The preparation and publishing of the policy statement is a legal requirement under the Gambling Act 2005 ('the Act').
- 4.2. If the Council fails to prepare and publish the policy statement the Council may be challenged when exercising its functions under the Act through a number of routes, e.g. service complaints to the Local Government and Social Care Ombudsman and judicial review. Conversely, by preparing and publishing the policy statement, the Council is complying with its legal obligation. In addition, the Council provides a defined framework within which to exercise its functions and makes it clear to all stakeholders the manner by which the Council intends to exercise its functions.
- 4.3. The development of the policy statement was overseen by the Council's Strategic Licensing Committee and considered on the 9 July 2021 and 6 October 2021. The relevant reports and associated appendices can be found on the Council's website at:
- Agenda Item 6 of the July 2021 meeting [Agenda for Strategic Licensing Committee on Friday, 9th July, 2021, 2.00 pm – Shropshire Council](#)
 - Agenda Item 5 of the October 2021 meeting [Agenda for Strategic Licensing Committee on Wednesday, 6th October, 2021, 10.00 am – Shropshire Council](#)
- 4.4. The Strategic Licensing Committee agreed the recommendations as set out in both the reports referred to in paragraph 4.3 above, i.e. the Committee agreed an initial draft of the policy statement to go out to consultation and then considered the consultation feedback and agreed the final draft of the policy statement that is now presented to Cabinet for final approval and adoption.
- 4.5. The recommendations are not at variance with the Human Rights Act 1998 and are unlikely to result in any adverse Human Rights Act implications. The recommendations are in line with relevant legal procedures prescribed by the Act and with guidance issued by the Gambling Commission.
- 4.6. The policy statement does not breach any individual or group's human rights; it sets out processes and procedures that aim to protect human rights, in particular those rights that relate to a right to a fair trial, no punishment without law and right to respect for

private and family life. If the policy statement were not followed, there is a risk that human rights may be breached.

- 4.7. The Act requires the Council to consult when preparing its policy statement and this has been undertaken with relevant stakeholders. A full list of consultees is included as part of the policy statement (see pages 81 and 82 of **Appendix 1**).
- 4.8. Formal consultation was undertaken over a ten-week period between 12 July 2021 and 19 September 2021. Five formal responses were received as part of the consultation and these, together with officer comments, including any changes made to the policy statement and, where relevant, the reasons why changes have not been made, are available within the Strategic Licensing Committee reports referred to in paragraph 4.3 above.
- 4.9. It can be noted from the officer comments to the consultation responses that the majority of responses referred to matters that were either adequately addressed within the policy statement or related to legal requirements that the Council has no power to amend. The amendments that were made to the policy statement clarify the way in which operators are expected to identify risks and put in place measures to sufficiently mitigate these risks and also to remove specific references to concerns about the impact of fixed odds betting terminals (FOBT) due to positive changes that were implemented at a national level in April 2019.
- 4.10. No feedback was received regarding Equality and Social Inclusion Impact issues for Protected Characteristic groupings during the consultation. Consequently, the Equality and Social Inclusion Impact Assessment (ESIIA) has been updated only to clarify the specific consultation period. The ESIIA document can be found at **Appendix 2**. The groupings for whom there will be direct impacts, and with whom there will continue to be efforts made to ensure that impacts are kept under review, as:
- Age, in relation to children and young people;
 - Disability, in relation to vulnerable adults; and
 - Social Inclusion, in relation to the above and to those whom we may describe as vulnerable, including armed forces and ex-armed forces service personnel.
- 4.11. It continues to be the case that, across all nine national Protected Characteristic groupings and our tenth grouping in Shropshire of social inclusion, based on feedback from the formal consultation, the impact is predicted to be 'low positive'. The impact in reality is anticipated as being neutral – neither positive nor negative – with no anticipated need to take specific actions to mitigate or enhance the impact.

5. Financial Implications

- 5.1. Whilst there are costs incurred in terms of staff resources and the associated and necessary overheads to develop the policy statement, the only direct financial cost associated with the recommendations is the cost that will be incurred to place the required legal notice in the Shropshire Star newspaper in order to satisfy the requirement to advertise the fact that the policy statement has been published. This cost will be approximately £500 and is recoverable over subsequent years through relevant licensing fees and in the first year will be funded from existing budgets.

6. Climate Change Appraisal

- 6.1. There are no anticipated climate change or other environmental impacts associated with the recommendations in this report.

7. Health in All Policies

- 7.1. Reducing gambling related harm to residents is addressed in both the Gambling Act 2005 Policy Statement 2022 to 2025 and the ESIIA Gambling Act Policy Statement 2022 to 2025.

8. Background

- 8.1. Under the Gambling Act 2005, the Council is the licensing authority and is responsible for licensing and overseeing local gambling establishments. Part of this responsibility is the duty to prepare and publish a statement of the principles that the Council proposes to apply in exercising its functions under the Act.
- 8.2. The Council's current Gambling Act 2005 Policy Statement came into effect on the 31 January 2019 and will cease to have effect on the 30 January 2022. The Council must be in a position to formally adopt a revised policy statement with effect from 31 January 2022.
- 8.3. There are legally prescribed procedures that the Council must follow before the policy statement can take effect. This involves making the statement publicly available by a variety of means for at least 4 weeks and by advertising that it has been published.
- 8.4. The policy statement must be approved by Cabinet. To allow sufficient time for the necessary publication and advertising to take place prior to the 31 January 2022, the approval process must be completed by the end of December 2021.
- 8.5. The formal consultation was publicised through the 'Get Involved' pages of the Council's website. In addition, direct emails, providing a link to the Council's web page consultation, were sent to key

stakeholders. Part 5 of the policy statement includes a list of the stakeholders that were consulted.

9. Additional Information

9.1. Unless there are specific reasons for an earlier review and publication of a revised policy statement, the Council will be required to undertake the next consultation process under the Act in the latter part of 2024 with the aim of a revised policy statement being effective from an agreed date in 2025.

10. Conclusions

10.1. The required work has been undertaken to prepare the Council's Gambling Act 2005 Policy Statement for 2022 to 2025 in accordance with the provisions of the Gambling Act 2005 and it is now ready for approval and adoption by Cabinet.

List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)

- The Gambling Act 2005 (2005 Chapter 19), as amended
- The Gambling Act 2005 (Licensing Authority Policy Statement) (England and Wales) Regulations 2006 (SI 2006 No. 636)
- Shropshire Council's Gambling Act 2005 Policy Statement 2019 – 2022 (effective 31 January 2019) ([gambling-act-2005-policy-statement-2019-to-2022.pdf \(shropshire.gov.uk\)](#))
- Guidance to Licensing Authorities published by the Gambling Commission April 2021 ([Guidance to licensing authorities - Gambling Commission](#))
- Gambling Regulation Councillor Handbook (England and Wales) published by the Local Government Association March 2018 ([Gambling regulation: Councillor handbook \(England and Wales\) \(local.gov.uk\)](#))
- Tackling gambling related harm - A whole council approach published by the Local Government Association and Public Health England November 2018 ([Tackling gambling related harm a whole council approach \(local.gov.uk\)](#))

Cabinet Member (Portfolio Holder)

Councillor Ed Potter, Deputy Leader, Economic Growth, Regeneration and Planning

Local Member

The recommendations have county wide application.

Appendices

Appendix 1 - Gambling Act 2005 Policy Statement 2022 – 2025

Appendix 2 – ESIIA Gambling Act Policy Statement 2022 - 2025



Gambling Act 2005 Policy Statement 2022 to 2025

Date policy adopted:

Policy adopted by:

Date policy formally published:

Date policy implemented:

Next review period:

Executive Summary

The Policy is divided into six parts with five supporting appendices.

Part 1

Under Section 349 of the Gambling Act 2005, Shropshire Council is required to prepare a statement of principles that it proposes to apply in relation to its regulatory responsibilities pertaining to gambling. This legal duty is fulfilled through this Gambling Policy Statement ('the Policy'). Gambling is unlawful in the UK unless permitted by the measures contained in the Gambling Act 2005 (with the exception of the National Lottery and spread betting which over controlled under other legislation).

The Policy sets out the regulatory and policy framework within which the Council will operate. It describes the geographical area to which the Policy relates and includes a local area profile that maps areas of concern, including actual and emerging risks. The local area profile will need to be reviewed and updated on a regular basis to reflect changes to the local landscape and environment. The Council's position concerning consultation and communication and the process for reviewing the Policy are also set out.

The Policy makes it clear that the Council will proactively promote the three Gambling Act 2005 licensing objectives, namely:

- preventing gambling from being a source of crime or disorder, being associated with crime or disorder, or being used to support crime;
- ensuring that gambling is conducted in a fair and open way; and
- protecting children and other vulnerable persons from being harmed or exploited by gambling.

These objectives underpin the functions that the Council perform. The Council will also aim to permit the use of premises for gambling providing that it is consistent with these licensing objectives.

The Policy describes the regulating bodies relevant to the licensing of gambling premises and activities and their primary responsibilities, together with the scope and purpose of the Policy. In particular, the Policy is concerned with the authorising of and regulatory controls associated with betting shops, bingo halls, adult gaming centres, family entertainment centres, casinos, tracks, alcohol licenced premises and clubs (members' clubs, miners' welfare institutes and commercial clubs) that have gaming ('fruit' machines), prize gaming and small society lotteries.

The Policy acts as the primary vehicle for setting out the Council's approach to gambling regulation having taken into account public interest, local circumstances, issues, data, risk and the expectations that the Council has of operators who either currently offer gambling facilities or may do so in the future. This provides greater scope for the Council to work in partnership with operators and other local businesses, communities and responsible authorities to identify and proactively

mitigate local risks to the licensing objectives. The Policy also provides guidance to interested parties; in particular, with regard to the fundamental principles that the Council is particularly minded to ensure are covered.

The fundamental purpose of the Policy is to reduce the harm and exploitation that is caused by problem gambling; in particular, to safeguard children, young persons and vulnerable adults, and to reduce crime and disorder associated with gambling, whilst simultaneously recognising the contribution that responsible gambling brings to supporting local businesses and the growth and prosperity of Shropshire's economy. The Policy sets out the type of people that the Council considers are likely to be vulnerable.

The Policy also sets out the Council's position with respect to the application of licensing conditions and the code of practice requirements that flow from the Gambling Act 2005 provisions. Specific reference is made to the matters that will be considered when dealing with applications for self-service betting terminals (SSBT). It is also made clear when the Council cannot attach conditions to a premises licence. With respect to the codes of practice requirements, the Policy sets out the Council's expectations, particularly with regard to the 'ordinary provisions' and the requirement for future and existing licensees to assess local risks to the licensing objectives and to have policies, procedures and control measures in place to mitigate these risks.

Part 2

The second part of the Policy focusses on the functions that the Council undertakes and the principles the Council will follow when administering applications, reviewing conditions and setting fees. Overarching principles, together with specific principles relating to each of the licensing objectives are set out. The Council expects compliance with these principles to assist applicants and licence holders to meet the statutory licensing objectives when undertaking gambling activities that are regulated by the Council. This part also explains the roles and duties of the Strategic Licensing Committee, the Licensing Act Sub-Committee and officers of the Council. The Council's powers and decision-making processes are clearly set out, together with details relating to rights of appeal and the review of premises licences, including the making of representations.

Responsible authorities are listed, together with their roles and responsibilities. It is also made clear that the Council has designated the Shropshire Safeguarding Children Board as the body competent to advise about the protection of children from harm and by doing so confirms that this body is also a designated responsible authority under the Gambling Act 2005. The Council also sets out the parameters it considers relevant when determining who is an 'interested party' under Section 158 of the Act.

The second part of the Policy also sets out the principles that the Council will apply in relation to the exchange of information with the Gambling Commission, other enforcement and government persons/bodies, other organisations and operators. Also included is the Council's position with respect to the disclosure of information

under the Freedom of Information Act 2000 and with respect to the confidentiality of anyone making representations as part of the licensing and/or review process.

The final elements of this part confirm the Council's commitment to partnership working and the position with respect to the setting of fees.

Part 3

The third part of the Policy focusses on the specific activities that are subject to authorisations and sets out how applicants obtain and hold a licence, permit or registration and, where relevant, how they provide notifications. These steps will include the standards that applicants must attain and the conditions that apply.

There are a number of general principles that apply to all licence types, together with guidance on the meaning of 'premises' and the principles that the Council will apply in relation to the meaning of premises. In addition, the Policy sets out the circumstances where it will consider the suitability of the applicant and where a criminal records disclosure is, therefore, required.

This part of the Policy confirms that the Council has not passed a resolution not to issue a casino premises licence. It then sets out, in relation to each licence/permit/notice/registration type (as appropriate and where relevant), the following matters:

- description of the licence/permit
- principles that will be applied by the Council
- period of the licence/permit
- application or notification process (new and renewal)
- objection process
- conditions
- right of appeal
- processes relating to changes to permits, including variations, transfer, lost, stolen or damaged
- returns to the Council
- annual fee (renewal)
- decisions of the Council

The final element of this part of the Policy sets out those activities that do not require specific permissions.

Part 4

This part of the Policy addresses inspection, compliance, enforcement and complaints; in particular, the principles that will be applied when the Council carries out the inspection of premises and when it institutes criminal proceedings in respect of specified offences under the Act. Within this part, the Council addresses test purchasing and age verification and the publication of information relating to the Council's regulatory function.

Part 5

This part provides a summary of the consultation process that was undertaken prior to the Policy taking effect, together with a list of the consultees.

Part 6

This part sets out the contact details for information, advice and guidance relating to the Policy and the licensing and permitting of gambling premises and activities. It provides a link to the relevant website pages for information and the contact details in respect of licence fee payments via the telephone and online.

Appendices

The appendices include a map of the geographical area to which the Policy applies; the Council's local area profile; further information concerning child sexual exploitation and trafficking of children and young people; safeguarding adults; an extract from the Council's constitution setting out the delegations; and the criteria that the Council will apply in respect of assessing the suitability of an applicant.

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PART 1

INTRODUCTION

CABINET VERSION

PART 1 – INTRODUCTION

1.0 Background

- 1.1 Under Section 349 of the Gambling Act 2005 ('the Act'), licensing authorities are required to prepare a statement of principles that they propose to apply in relation to their regulatory responsibilities pertaining to gambling. Shropshire Council ('the Council') is the Licensing Authority for the county of Shropshire (excluding the area that is the responsibility of Telford & Wrekin Council) and is fulfilling its legal duty to prepare a statement of principles through this Gambling Policy Statement ('the Policy').
- 1.2 The Council is required to publish the Policy at least every three years. It will also review the Policy from time to time and revise it when appropriate to do so. Any amendments to the Policy must be the subject of further consultation and the Policy, or relevant parts of the Policy, must then be re-published.

2.0 County area

Geographical profile

- 2.1 The geographical area to which this Policy applies is the administrative area of Shropshire Council as outlined in the map produced at **Appendix A**.
- 2.2 Shropshire is a diverse, predominantly rural, inland county, situated on the far western edge of the West Midlands region. Shropshire borders Wales to the West, Telford and Wrekin and Staffordshire to the North East, Worcestershire and Herefordshire to the South and Cheshire to the North.
- 2.3 Based on the Mid 2016 Population Estimates published by the Office for National Statistics, the population of Shropshire is 313,400 and has 0.98 persons per hectare (319,730.32 hectares), compared to a national figure for England of 4.24 persons per hectare (13,027,843 hectares). The County is one of the most sparsely populated local authorities in the country with approximately 540 settlements widely dispersed and only five settlements have a population of over 10,000 (Shrewsbury, Oswestry, Ludlow, Bridgnorth and Market Drayton).
- 2.4 The Sub-national Population Projections (2014) published by the Office for National Statistics show that the population of Shropshire continues to grow and is projected to rise to 335,700 by 2035 (a 7% rise 2016-2035). The number of households is projected to rise to 152,900 by 2035 (a 13% rise 2016-2035). The Shropshire Core Strategy 2011 has planned for 25,700 new homes in Shropshire between 2006 and 2026. Shropshire Council are currently undertaking a Partial Review of the Local Plan which will determine the future housing requirement in Shropshire to 2036.

Local area profile

- 2.5 The Council has updated the assessment of the local environment that was originally undertaken in 2015 to map local areas of concern, including actual and future emerging risks. The outcome of the latest assessment is produced at **Appendix B**.
- 2.6 The assessment will continue to be reviewed and updated to reflect changes to the local landscape and environment, particularly as the process to undertake the assessment and the techniques by which it can be made more effective are more fully understood and developed by the Council. Formal consultation will be undertaken where changes to the profile are likely to have a significant impact on stakeholders and the areas of concern and risks associated with the local area; otherwise changes will be highlighted on an ongoing basis on the Council's website. The risks identified in the local area profile are evidence (not perception) based.
- 2.7 The profile takes account of a range of factors, data and information held by the Council and a wide range of partners and has been brought together through proactive engagement with both responsible authorities and other relevant organisations.
- 2.8 The profile aims to increase awareness of local risks and improve information sharing in order to facilitate constructive engagement with licensees and a more coordinated response to local risks. The Council encourages operators to use the local area profile to help inform them of specific risks that need to be considered in local risk assessments prior to submitting any new or variation to a premises licence application.
- 2.9 The profile aims to:
- enable the Council to better serve the Shropshire community by more accurately reflecting the community and the risks within it;
 - provide greater clarity for gambling premises operators as to the relevant factors in the Council's decision-making process;
 - improve premises licence applications as operators will be able to incorporate necessary controls and measures to mitigate relevant risks in their applications;
 - enable licensing authorities to make robust and fair decisions, based on a clear, published set of factors and risks, which are therefore less susceptible to challenge; and
 - encourage a proactive approach to risk that is likely to result in an increase in compliance and a reduction in enforcement action.

Estimated prevalence of problem gambling in Shropshire

- 2.10 The purpose of this estimate is to quantify the scale of problem gambling among Shropshire residents to inform local strategies and plan to manage the problem. The estimates can be found at **Appendix C**.

3.0 Consultation and communication

- 3.1 In determining the Policy the Council has consulted as set out in Part 5 of this Policy.
- 3.2 In order to deliver a transparent, accountable and efficient licensing service the Council is committed to proactive engagement, ongoing communicating and consultation with all stakeholders, specifically including local operators. The Council wants to facilitate an open and constructive partnership with all stakeholders in order to improve compliance and reduce regulatory costs.
- 3.3 In particular, the Council welcomes the opportunity to communicate and consult with representatives of the gambling trade to enable and encourage the exchange of views and information in relation to the Policy, to mitigate risks to the licensing objectives, to ensure conditions are relevant, proportionate and necessary, to ensure changes in the law are widely communicated and understood and the need for licence reviews are reduced to a minimum. The specific methods to achieve this communication and consultation will be determined as required.

4.0 Gambling Act 2005

- 4.1 The Act consolidated and updated previous gambling legislation and created a framework for three different types of gambling: gaming, betting and lotteries. The Act contains the regulatory system that governs the provision of all gambling in Great Britain, other than the National Lottery and spread betting.
- 4.2 It contains three licensing objectives which underpin the functions that the Gambling Commission ('the Commission') and licensing authorities will perform. These objectives are central to the Act and are:
- preventing gambling from being a source of crime or disorder, being associated with crime or disorder, or being used to support crime;
 - ensuring that gambling is conducted in a fair and open way; and
 - protecting children and other vulnerable persons from being harmed or exploited by gambling.
- 4.3 The Council will proactively promote these licensing objectives through the adoption, implementation and enforcement of this Policy. The Council, in accordance with Section 153 of the Act, will also aim to permit the use of premises for gambling providing that it is consistent with the licensing objectives.

5.0 Regulating bodies

Lead Government Department

- 5.1 The Department for Culture, Media and Sport (DCMS) is the lead government department for gambling issues. The government wants to ensure that the

gambling industry is run responsibly so that it provides a safe and enjoyable leisure activity and continues to be an important source of revenue and jobs. It wants to keep gambling crime-free, make sure that gambling is fair and open and protect children and vulnerable adults.

Gambling Commission

- 5.2 The Commission is an independent non-departmental public body and is the main advisory body to national and local government on gambling. It is sponsored by the DCMS and the Chair of the Commission is appointed by the Culture Secretary. It is the unified regulator for gambling in Great Britain and is responsible for regulating gambling in accordance with the Act.
- 5.3 The Commission has responsibility for granting operating and personal licences for commercial gambling operators and personnel working in the industry. It also regulates certain lottery managers and promoters. To help fulfil its role, the Commission issues codes of practice for the gambling industry about the manner in which gambling facilities should be provided and guidance to licensing authorities on how to implement their responsibilities under the Act.
- 5.4 The Commission is required to aim to permit gambling, providing that it is consistent with the licensing objectives.
- 5.5 For further information about the Gambling Commission refer to the website <http://www.gamblingcommission.gov.uk/Home.aspx>

Licensing Authorities

- 5.6 The Council is, by definition, the Licensing Authority for the purposes of the Act for the administrative area of Shropshire Council. Licensing authorities play a vital role and are key partners in gambling regulation, with a responsibility for overseeing gambling that takes place in gambling premises (non-remote gambling) in their local areas. This involves:
- setting the local framework for gambling through their statement of principles;
 - considering applications and issuing licences for premises where gambling takes place, with conditions where appropriate;
 - reviewing or revoking premises licences;
 - issuing permits for some forms of gambling; and
 - undertaking inspection and enforcement activities, including tackling illegal gambling.
- 5.7 Licensing authorities licence gambling premises within their area, as well as undertaking functions in relation to lower stake gaming machines in clubs and miners' welfare institutes.
- 5.8 In addition, local authorities deal with the system of temporary and occasional use notices. These notices authorise premises that are not generally licensed

for gambling purposes to be used for certain types of gambling for limited periods.

- 5.9 Licensing authorities do not have any regulatory responsibilities in relation to remote gambling, i.e. gambling that is typically undertaken by phone or online; this is the responsibility of the Commission

6.0 Scope

6.1 This Policy supersedes all previous Council policies relating to gambling. Any application determined on or after the date that this Policy takes effect will be administered under the requirements set out in this Policy irrespective of the date the application was submitted to or received by the Council.

6.2 The Policy forms the Council's mandate for managing local gambling provision and sets out how the Council views the local risk environment and therefore its expectations in relation to operators with premises in the administrative area of Shropshire Council.

6.3 In particular, the Policy is concerned with the licensing/permitting of and regulatory controls associated with betting shops, bingo halls, adult gaming centres, family entertainment centres, casinos, tracks¹, alcohol licenced premises and clubs (members' clubs, miners' welfare institutes and commercial clubs) that have gaming ('fruit' machines), prize gaming and small society lotteries.

6.4 The Policy does not override the right of any person to make an application and to have that application considered on its own merits. In addition, it does not undermine the right of any person to make representations on an application or to seek a review of the licence where a legal provision is made for them to do so.

6.5 The Policy does NOT attempt to explain all the requirements of the Act for each type of gambling premises and the associated gambling activities. The requirements of the Act are detailed and complex; consequently, to ensure the provisions are fully understood, potential applicants and existing licence/permit/registration holders are strongly encouraged, with respect to the type of premises and activity being considered to:

- make themselves familiar with the relevant provisions of the Act, regulations and orders;
- consult the guidance available on the Commission's website;
- seek advice from appropriate legal experts; and
- discuss specific requirements with the Council's licensing team.

¹ Examples of tracks include: horse racecourses, greyhound tracks, point-to-point horserace meeting, football, cricket and rugby grounds, athletics stadium, golf course, venues hosting darts, bowls, or snooker tournaments, premises staging boxing matches, section of river hosting a fishing competition, motor racing events.

6.6 The Policy is not a stand-alone document and must be read in conjunction with relevant legislation, codes of practice and guidance. Whilst the Policy sets out the Council's position with respect to the Gambling Act 2005, the legal interpretation and application of the Act is ultimately a matter for the Courts.

7.0 Purpose

7.1 The Policy acts as the primary vehicle for setting out the Council's approach to gambling regulation having taken into account public interest, local circumstances, issues, data, risk and the expectations that the Council has of operators who either currently offer gambling facilities or may do so in the future. This provides greater scope for the Council to work in partnership with operators and other local businesses, communities and responsible authorities to identify and proactively mitigate local risks to the licensing objectives.

7.2 The fundamental purpose of the Policy is to reduce the harm and exploitation that is caused by problem gambling; in particular, to safeguard children, young persons and adults with care and support needs, and to reduce crime and disorder associated with gambling, whilst simultaneously recognising the contribution that responsible gambling² brings to supporting local businesses and the growth and prosperity of Shropshire's economy.

7.3 For the purposes of this Policy, the Council considers that vulnerable persons³ include people who gamble more than they want to, people who gamble beyond their means and people who may not be able to make informed or balanced decisions about gambling. The Act makes it clear, through the third licensing objective that children are vulnerable and there is an expectation that steps will be taken to prevent them from being harmed or exploited by gambling. However, this objective also refers to 'other vulnerable persons' and whilst the Act does not define 'vulnerable person' the Council considers that these may include, but is not limited to:

- young persons including students
- adults with care and support needs
- homeless persons
- persons who are affected by mental health, learning disabilities/difficulties, social isolation and constrained social and economic circumstances
- low educational attainment
- persons who are affected by substance misuse relating to alcohol or drugs
- first generation immigrants
- persons from ethnic minority groups

² Responsible gambling occurs where operators provide socially responsible gambling products and players are able to control their play.

³ Exploring area-based vulnerability to gambling-related harm: Who is vulnerable? Findings from a quick scoping review. Heather Wardle, Gambling and Place Research Hub – 13 July 2015.

- persons who are affected by multiple deprivation
- ex-service and serving armed forces personnel
- offenders

7.4 The Policy provides guidance to any person with an interest in the licensing and permitting of gambling activities; in particular, but not restricted to:

- persons who wish to apply for gambling licences and permits;
- persons who hold existing licences and permits, including those that are the subject of review;
- the Council, in its capacity as the licensing authority, including licensing officers and members of the relevant licensing committees;
- the Gambling Commission;
- licensing consultants, solicitors and barristers advising and/or representing applicants and licence/permit holders; and
- magistrates and judges hearing appeals against Council decisions.

7.5 The Council is committed to the licensing objectives set out in the Act and is particularly concerned to ensure:

- that the action to promote the welfare of children and to protect them from harm is everyone's responsibility, in particular, prospective and existing proprietors of gambling premises who will have dealings with children and families have a duty to report matters of concern that could relate to the safety of children, young persons and adults with care and support needs to the relevant authorities (refer to **Appendix D** for further information);
- that the public are safeguarded from dishonest persons;
- that gambling premises and associated gambling activities are lawful;
- that premises used for gambling activities are safe and fit for the purpose for which they are licensed;
- that gambling activities do not lead to crime and disorder;
- where the Council has responsibility for determining the suitability of the applicant that they are a fit and proper person to hold the relevant gambling permit; and
- that regulation is not aimed at preventing legitimate gambling.

7.6 The Council will aim to ensure that its regulatory approach imposes the minimum burden necessary to promote the licensing objectives in the Act, having regard to its impact on different types and sizes of licence/permit applicants and holders, and does not unduly hinder economic growth.

8.0 Review of the Policy

8.1 The Policy will be prepared and published every three years. However, it will be the subject of continuous evaluation and from time to time reviewed and, where necessary, revised and published before any revision is given effect. At the time of review all relevant stakeholders will again be consulted. Any gambling trade representative may request a review of the policy at any time.

9.0 Regulatory and policy framework

9.1 The operation of the Council’s licensing service, as it relates to the licensing of gambling activities, is undertaken primarily in accordance with:

- the Gambling Act 2005, as amended;
- regulations and orders made under the Act;
- guidance issued by the Gambling Commission to local authorities; and
- the principles of better regulation, particularly as set out in the Regulators’ Code (BRDO 14/705 April 2014)⁴.

9.2 In addition, the service is provided in accordance with all relevant Council policies, duties and responsibilities; in particular, those relating to:

- Protection of children, young persons and adults with care and support needs
- Better regulation and enforcement
- Access to information
- Public sector equality duty
- Human rights⁵

9.3 So far as is reasonable practicable the Council will avoid duplication with other regulatory regimes. In particular, this Policy and associated conditions do not address health and safety at work, fire safety or planning requirements. Gambling trade representatives are required to ensure all relevant provisions are satisfied in these respects.

10.0 Licensing conditions and codes of practice requirements

Conditions and authorisations by virtue of the Act

10.1 There are specific sections of the Act that provide for conditions to be attached automatically to premises licences and for authorisations to be granted automatically in relation to:

- number of gaming machines
- betting on virtual events
- gambling in addition to casino games
- access by children and young persons
- giving of credit
- door supervision
- pool betting
- Christmas day

⁴ Regulators’ Code (previously the Regulators’ Compliance Code), Department of Business, Innovation and Skills, 2014, issued under section 23 of the Legislative and Regulatory Reform Act 2006.

⁵ Human Rights Act 1998, in particular, Article 1, Protocol 1 – peaceful enjoyment of possessions (a licence is considered a possession in law and people should not be deprived of their possessions except in the public interest); Article 6 – right to a fair hearing; Article 8 – respect for private and family life (in particular, removal or restriction of a licence may affect a person’s private life); Article 10 – right to freedom of expression.

10.2 The Secretary of State may make regulations requiring these conditions to be set out on the premises licence. The Council has no discretion to decide not to include them or to modify them. The table below summarises which sections of the Act apply to which types of premises licences (excluding casinos) and applicants/licensees are encouraged to make themselves familiar with the requirements of the relevant sections in relation to the particular type of premises and activity for which they are responsible.

Premises Licence Type	Section of Gambling Act 2005						
	S.172	S.173	S.177	S.178	S.179	S.182	S.183
All	X			X			X
Bingo			X				
Betting		X					
Betting in respect of a track					X	X	

Licensing conditions

- 10.3 The Act sets out mandatory conditions and default conditions and also permits the Council to attach further conditions or exclude any default condition.
- 10.4 The Council will clearly apply the mandatory conditions in all relevant circumstances.
- 10.5 Where there are regulatory concerns of an exceptional nature the Council may impose additional individual conditions in relation to matters that are already dealt with by mandatory conditions; however, these will relate to the licensing objectives.
- 10.6 The Council will apply the default conditions unless the Council is aware of, or made aware by a third party, of circumstances that indicate such conditions would be inappropriate or the applicant can demonstrate to the satisfaction of the Council why the conditions ought to be excluded. Where the Council excludes a default condition it will generally replace this condition with an alternative condition that achieves the desired outcome. Where the alternative condition is more restrictive than the excluded condition the Council will ensure that it sets out the regulatory reasons for doing so.
- 10.7 The Council may also apply further conditions. Conditions on premises licences will only be applied where there is evidence of a risk to the licensing objectives that requires the mandatory and default conditions to be supplemented and as considered appropriate in light of the overarching principles to be applied by the Council. Where the Commission's Licence Conditions and Codes of Practice (LCCP) or other legislation places particular responsibilities or restrictions on an applicant or licence/permit holder, the Council will not impose the same responsibilities or restrictions through conditions on a premises licence.
- 10.8 Decisions on individual conditions will be made on a case by case basis and will only be applied where it is legally permissible, evidence based,

proportionate and necessary to do so; in particular, but not limited to, ensuring that gambling trade representatives:

- comply with the fundamental purpose of the Policy set out above;
- provide only socially responsible gambling products;
- take appropriate steps that are within their control to help players control their play;
- take proactive steps to promote and achieve the three Gambling Act licensing objectives; and
- comply with all relevant legislative requirements.

10.9 In particular, the Council will ensure that premises licence conditions are:

- relevant to the need to make the proposed building suitable as a gambling facility;
- directly related to the premises (including the locality and any identified local risks) and the type of licence applied for;
- fairly and reasonably related to the scale and type of premises; and
- reasonable taking into account all the circumstances associated with the particular licence application or variation.

10.10 The Council has considered the local area profile. Given the current position demonstrated by the profile there are wards within the Shropshire Council administrative area where it may be considered necessary to include specific conditions in relation to premises licences. Where specific risks associated with a particular locality emerge, the Council will consider the need for additional conditions on any premises licence.

10.11 With respect to self-service betting terminals (SSBT), the Council has the power to restrict the number, their nature and the circumstances in which they are made available by attaching licence conditions to a betting premises licence. When considering whether to impose a condition to restrict the number of SSBT in any particular premises, the Council amongst other things, will take into account the ability of employees to monitor the use of the machines by children and young persons or by vulnerable people, the size of the premises and the number of counter positions available for person-to-person transactions.

10.12 Where SSBT include the functionality to be marketed or presented in foreign languages, the Council will seek to ensure that the operator has considered the ordinary code provision about making the following information also available in those languages:

- the information on how to gamble responsibly and access to help referred to in the LCCP;
- the players' guides to any game, bet or lottery required to be made available to customers under provisions in LCCP; and

- the summary of the contractual terms on which gambling is offered, which is required to be provided to customers as a condition of the licensee's operating licence.

10.13 The Council cannot and will not attach conditions to premises licences that:

- makes it impossible to comply with an operating licence condition
- relate to gaming machine categories, numbers, or method of operation
- requires membership of a club or body
- imposes conditions in relation to stakes, fees, winnings or prizes

Codes of practice requirements

10.14 The Gambling Commission issue codes of practice under Section 24 of the Gambling Act 2005. Codes of practice include **social responsibility provisions** that must be adhered to by all licence/permit holders and **ordinary provisions** that are not compulsory but failure to take account of them can be used as evidence in criminal or civil proceedings.

10.15 Clearly licence/permit holders must adhere to all social responsibility provisions in full. In addition, the Council expects licence/permit holders to adhere to all ordinary provisions unless the Council is aware of, or made aware by a third party, of circumstances that indicate such provisions would be inappropriate or the applicant can demonstrate to the satisfaction of the Council why the provisions are not applicable or that they have satisfied the provisions by suitable alternative means that are equally effective and acceptable to the Council.

10.16 Specific attention is drawn to the provision that formalises the requirement for future and existing licensees to assess (and also review and update as necessary) local risks to the licensing objectives posed by the provision of gambling facilities at each of their premises, and have policies, procedures and control measures to mitigate those risks. In undertaking risk assessments, licensees must take into account relevant matters identified in this Policy.

10.17 Licensees are also expected to share their risk assessments with the Council when applying for a premises licence or applying for a variation to existing licensed premises, or otherwise on request. Under the code of practice, the requirement to share risk assessments with the Council is not mandatory; however, the Council will expect licensees to do this unless there are exceptional circumstances that are accepted by the Council and which would exempt a licensee from the requirement to share their risk assessment.

10.18 The relevant mandatory and default conditions can be found in the Gambling Act 2005 (Mandatory and Default Conditions) (England and Wales) Regulations 2007 (SI 2007 No 1409) and within the document entitled '**Licence Conditions and Codes of Practice**' (LCCP) issued by the Gambling Commission.

PART 2

LICENSING PRINCIPLES, PROCESS AND DELEGATION

PART 2 – LICENSING PRINCIPLES, PROCESS AND DELEGATION

11.0 Introduction

- 11.1 This part of the Policy focusses on the functions that the Council undertakes and the principles the Council will follow when administering applications, reviewing conditions and setting fees. The Council expects compliance with these principles to assist applicants and licence holders to meet the statutory licensing objectives when undertaking gambling activities that are regulated by the Council.
- 11.2 This part also explains the roles and duties of the Strategic Licensing Committee, the Licensing Act Sub-Committee and officers of the Council.

12.0 Council licensing functions

- 12.1 The Council seeks to ensure that gambling facilities are suitable and that gambling activities are conducted in such a manner to minimise the risks to the licensing objectives. The specific regulatory functions of the Council, including the activities that the Council is able to licence, as it relates to the licensing of gambling establishments and activities for which it has responsibility are:

- licensing premises where gambling activities take place by issuing premises licences, including provisional statements
- regulating gaming and gaming machines in members' clubs and miners' welfare institutes by issuing club gaming permits and/or club machine permits
- regulating gaming machines in commercial clubs by issuing club machine permits
- granting permits to family entertainment centres for the use of certain lower stake gaming machines
- regulating gaming and gaming machines on alcohol licensed premises by receiving notifications for the use of two or fewer gaming machines
- regulating gaming machines on alcohol licensed premises by issuing gaming machine permits where there are more than two gaming machines
- granting permits for prize gaming
- registering societies to allow them to hold small society lotteries;
- receiving and endorsing temporary use notices
- receiving occasional use notices
- providing information to the Gambling Commission regarding details of licences/permits issued (see information exchange)
- maintaining registers of the licences and permits issued
- setting and collecting licence/permit fees
- inspection, compliance and enforcement locally in relation to licences, permits and permissions issued under the above functions

- 12.2 With respect to premises licences and permits, the Council also has the regulatory responsibility for dealing with variations, change of circumstances,

transfers, reinstatements and producing copies of lost, stolen or damaged licences in accordance with specific regulatory provisions that relate to each licence or permit type.

- 12.3 The Council does not license operators of gambling establishments or individuals who work in the gambling industry. It also does not regulate the National Lottery. These licences are the responsibility of the Gambling Commission. A person considering becoming involved in the provision of gambling establishments and/or activities must ensure they have the appropriate operator and personal licences in place (or confirmation that such licences are not required) prior to approaching the Council for a premises licence and/or permit.

13.0 Overarching licensing principles

- 13.1 The Council aims to provide a clear, consistent and responsive service to prospective and current licence/permit holders, members of the public and other relevant stakeholders.
- 13.2 The Council will seek to build and maintain good liaison and working relationships with the Commission, other regulators and law enforcement bodies, including sharing relevant information and, where appropriate, investigating offences.
- 13.3 In accordance with Section 153⁶ of the Act, the Council will aim to permit the use of premises for gambling, i.e. it will seek to regulate gambling by using powers to moderate the impact on the licensing objectives rather than by starting out to prevent gambling altogether, providing it is:
- in accordance with the relevant code of practice issued by the Commission under Section 24 of the Act;
 - in accordance with any relevant guidance issued to local authorities by the Commission under Section 25 of the Act (Guidance to licensing authorities 5th Edition September 2016, which can be found at <http://www.gamblingcommission.gov.uk/PDF/GLA5-updated-September-2016.pdf>;
 - reasonably consistent with the licensing objectives; and
 - in accordance with this Policy.
- 13.4 Whilst the Council will aim to permit the use of premises for gambling, as set out above, it will not grant a licence/permit/registration if it believes that to do so will mean taking a course of action that does not accord with any relevant Commission code of practice or guidance, the licensing objectives or this Policy.
- 13.5 When considering any application, the Council will grant the application subject to the mandatory and default conditions providing these are sufficient to ensure the gambling operation is consistent with the licensing objectives.

⁶ References are made throughout this Policy to Section 153 of the Gambling Act 2005. In all cases, such references relate to the requirements set out in paragraph 13.3.

- 13.6 When determining whether to grant a licence/permit, the Council will not have regard to the expected demand for the gambling facilities that it is proposed to provide or whether the application is to be permitted in accordance with law relating to planning permission, building regulations approval or building consent. However, the Council, in terms of both the licensing and planning regimes, will consider carefully any conflict that may exist between licence conditions and planning/building regulation restrictions and will work with applicants and licence/permit holders to resolve such conflicts.
- 13.7 The Council will be mindful of the needs of the applicant but this will be balanced against the clear duty that the Council has to take account of the over-riding principles set out in Section 153 of the Act and the Council's desire to ensure the overall purpose of this Policy is delivered.
- 13.8 In all cases, licence/permit applications will be considered and determined on their own individual merits.
- 13.9 The Council will make general advice, relating to its functions under the Act, available through its website. In addition, on request, the Council will provide specific advice about compliance to prospective and actual licence/permit/registration holders and will, in partnership with the Commission, advise the public on what activities they may undertake without the need for specific permissions.
- 13.10 The Council will employ or otherwise source staff with the necessary skills and knowledge and will delegate to them the necessary powers they need to carry out licensing, compliance and enforcement functions.
- 13.11 In the event that the Council perceives a conflict between a provision of a Commission code of practice or guidance and this Policy or view as to the application of the licensing objectives, the Commission's codes and guidance will take precedence.
- 13.12 The Council will have regard to any other codes of practice or guidance that may from time to time be issued by the Gambling Commission and other relevant stakeholders.
- 14.0 Principles adopted specifically in relation to the licensing objectives**
- 14.1 The general principles that the Council will apply when considering whether the licensing objectives are being met are set out below in relation to each of the objectives in turn. As there will inevitably be overlap between the objectives, the Council will apply the principles widely and across all the objectives where this is appropriate to do so. Applicants and licence/permit/registration holders will be expected to apply the same approach when considering the way in which the operation of their particular gambling activity will satisfy the licensing objectives.

14.2 In particular, in relation to all three licensing objectives, the Council is likely to apply relevant conditions where these are determined necessary by the Council's local area profile. The Council expects operators to submit their own risk assessments which identify risks and put in place measures to sufficiently mitigate them. Where operators fail to satisfy the Council that identified risks are sufficiently mitigated, the Council may conduct a review of the premises licence.

15.0 Objective 1: Preventing gambling from being a source of crime or disorder, being associated with crime or disorder or being used to support crime

15.1 The Council's licensing, compliance and enforcement processes are designed to ensure that:

- only appropriate premises are granted premises licences for gambling activities;
- the appropriateness of premises licences to continue will be reconsidered in the light of any subsequent criminal and/or disorder activity or in connection with such activity;
- where it is within the control of the Council, i.e. with respect to certain permits and registrations, only suitable applicants are granted and allowed to retain such permits and registrations;
- compliance activity at licenced premises is targeted at those premises where there is the greatest risk of crime and disorder.

15.2 Whilst each case will be considered on its merits, where it is the responsibility of the Council to assess the suitability of applicants, it is likely to refuse an application or review a licence where there is evidence of convictions for relevant offences. Where such evidence is known to the Council and relates to persons who hold operator and personal licences, the Council will inform the Commission.

15.3 Whilst it is recognised that there is no clear line between nuisance and disorder, the Council considers disorder as activity that is more serious and disruptive than nuisance. The Council is more likely to consider disorder to be behaviour that others, who have seen and heard the disorder, feel threatened by and/or that requires police assistance. The Council cannot address concerns about nuisance under the Gambling Act.

15.4 The Council has specifically considered the location of premises and the controls that are necessary to prevent premises being associated with or used to support crime. In this respect, the Council has not, at this time, prohibited any specific areas where gambling premises may be located on the basis that there is no evidence to support such an approach. If this position changes, the Council will update this Policy accordingly. Nevertheless, the Council is likely to refuse an application for a premises licence if the premises is in an area associated with unacceptable levels of crime that are creating burdens for the police and other enforcement agencies where there is evidence that the crime is a risk to the licensing objectives. However, where the applicant

can sufficiently demonstrate, by way of their risk assessment and proposed conditions and/or agree to the imposition of additional conditions proposed by the Council, to ensure the premises would not further increase the current levels of crime, the Council is likely to grant an application.

- 15.5 Where the Council determines it is necessary, the Council will give serious consideration to including a condition requiring door supervision to prevent disorder. Any person employed on door supervision will be required to hold a licence issued by the Security Industry Authority (SIA) unless the persons carrying out the door supervision are in-house employees at casino and bingo premises.
- 15.6 Where door supervision is being carried out by in-house employees at casino and bingo premises, the Council will expect a minimum of one supervisor for every 100 persons (or part thereof) to be in place. This is to take account of the nature of the door supervisor role that such employees will have to undertake, including the difficult tasks of dealing with potentially aggressive customers and searching individuals for the presence of offensive weapons.
- 15.7 In relation to fixed odds betting terminals (FOBT), the Council's local area profile has not highlighted this as either an existing or emerging risk in local communities. However, if this position changes, the Council will give due consideration to the need to apply conditions to betting shop premises licences including, but not limited to, recording and reporting all attacks on FOBT to the police and/or the Council.
- 15.8 Where there are voluntary initiatives/schemes aimed at addressing issues such as underage access, staff safety and security, the Council will expect applicants and licence/permit holders to have, as a minimum, considered the value that such initiatives/schemes would bring to the licensed premises and, where appropriate, to subscribe and actively promote the initiatives and schemes, e.g. The Safe Bet Alliances Voluntary Code on Safety and Security National Standards for Bookmakers
- 15.9 Where there are persistent or serious disorder problems or other evidence or information concerning criminality that causes the Council to question the suitability of an applicant, e.g. an operator is failing to act on the advice of officers of the Council to prevent crime and disorder occurring, the Council will bring this to the attention of the Commission without delay so that the Commission can consider the continuing suitability of the operator to hold an operating licence.
- 15.10 The adoption of these principles also support the Council's duty under Section 17 of the Crime and Disorder Act 1998, i.e. to exercise its functions with due regard to the likely effect of the exercise of those functions on, and the need to do all it reasonably can, to prevent crime and disorder in Shropshire.

16.0 Objective 2: Ensuring that gambling is conducted in a fair and open way

- 16.1 The Council is unlikely to deal with issues of fairness and openness on a frequent basis as these are likely to be matters for either the way specific gambling products are provided and, therefore, subject to the operating licence, or will be in relation to the suitability and actions of an individual and, therefore, subject to the personal licence. These are matters for the Gambling Commission.
- 16.2 However, where the Council suspects that gambling is not being conducted in a fair and open way the Council will bring this to the attention of the Commission so that it can consider the continuing suitability of the operator to hold an operating licence or of an individual to hold a personal licence.
- 16.3 In relation to the licensing of tracks, the Council's role is different from other licensed premises in that track owners will not necessarily have an operating licence. In these circumstances, the Council is more likely to apply conditions to the premises licence to ensure that the environment in which betting takes place is suitable; in particular to ensure that:
- rules are transparent to those who may wish to bet and that they know what to expect;
 - rules are fair;
 - easily understandable information about the rules is made available by licence holders to those who wish to bet, e.g. the rules are prominently displayed in or near to betting areas or distributed by other appropriate measures; and
 - the terms and conditions on which bets are made are clear.

17.0 Objective 3: Protecting children and other vulnerable persons from being harmed or exploited by gambling

- 17.1 The Council considers this objective to include preventing children and vulnerable persons from taking part in gambling as well as restricting advertising so that gambling products are not aimed at, or are made particularly attractive to, children and vulnerable persons. Consequently, the Council is likely to reject an application or revoke an existing licence/permit where there is insufficient emphasis placed on⁷:
- explaining precisely what activity/activities the Council is being asked to authorise
 - explaining the way in which gambling facilities will be managed/operated, including relevant plans
 - determining the need for separate premises licences to ensure clarity of responsibilities
 - staff training
 - staff ability to adequately supervise entrances, whether directly or by CCTV or other means

⁷ This list is not mandatory in its entirety, but operators are expected to have considered these matters and made positive decisions on the need (or not) for specific actions. The list is also not exhaustive; it provides indicative measures that operators ought to consider.

- staff ability to adequately supervise gaming machines in non-adult gambling specific premises, whether directly or by CCTV or other means
- physical segregation of gambling and non-gambling areas frequented by children
- physical segregation of adult gambling areas from those areas suitable for children
- appropriate notices and signs for adult only areas
- with respect to tracks, distinct entrances to each type of premises
- excluding children from gambling areas where they are not permitted to enter
- the employment of door supervisors
- verifying the age of customers
- measures to deal with suspected truanting school children
- the location of entry
- the location of gaming machines and betting machines
- specific opening hours
- the provision of information to support vulnerable persons and problem gamblers, including helpline contacts for organisations that provide support
- self-exclusion schemes, where customers ask operators to refuse to accept their custom

17.2 This is particularly relevant to tracks that may be subject to one or more premises licences where each licence relates to a specified area of the track. The Council will work with operators to consider how any impediments to the supervision of premises might be most appropriately remedied.

17.3 Where the Council considers the structure or layout of premises to be an inhibition or potential inhibition to satisfying this licensing objective, the Council will expect the licensee to consider what changes are required to ensure the risk is mitigated. The Council will expect the licensee to consider the positioning of staff or CCTV, the use of floorwalkers and the relocation of the staff counter to enable direct line of sight. The Council will not unnecessarily expect licensees to make changes to the physical layout but will consider the proportionality of this against other measures that could be put in place.

17.4 Where category C or above gaming machines are on offer in any premises to which children are admitted (including buildings where multiple premises licences apply), the Council expects:

- all such machines to be located in an area of the premises which is separated from the remainder of the premises by a physical barrier that prevents access other than through a designated entrance;
- only adults are admitted to the area where the machines are located;
- access to the area where the machines are located is supervised;
- the area where the machines are located is arranged so that it can be observed by staff or the licence holder; and
- at the entrance to and inside any such area there are prominently displayed notices indicating that access to the area is prohibited to persons under 18.

- 17.5 The Council has specifically considered the location of premises and the controls that are necessary to protect children and other vulnerable persons from being harmed or exploited. In this respect, the Council has not prohibited any specific areas where gambling premises may be located on the basis that there is no evidence to support such an approach. If this position changes the Council will update this policy accordingly. Nevertheless, the Council is likely to refuse an application for a premises licence if it is located close to a mainstream school or a residential school for children with truanting problems or a hostel for vulnerable persons or a centre that provides support for problem gamblers where there is evidence that the proximity to such establishments is a risk to the licensing objectives. However, where the applicant can sufficiently demonstrate, by way of their risk assessment and proposed conditions and/or agree to the imposition of additional conditions proposed by the Council, how they would ensure the proximity would not undermine the licensing objectives, the Council is likely to grant an application.
- 17.6 Where there is a need and/or requirement to ensure under 18-year olds do not access gambling premises or make use of adult gaming machines or under 16 year olds do not sell or purchase lottery tickets, the Council expects applicants and licence/permit holders to:
- introduce a policy linked with effective ID challenges and proof of age schemes (the preferred policy is 'Challenge 25'; however, it is recognised that the Gambling Commission's Ordinary Code provisions requires staff to check the age of any customer who appears to be under 21)
 - use a 'challenge log' to record all age restriction challenges (where this information is recorded for either the Gambling Commission or any other party this record will satisfy this requirement)
 - ensure a system is in place to ensure that the circumstances in which a customer may or may not be permitted access is understood and consistently applied
 - have a mechanism in place to inform customers of the law and policies/procedures that are in operation at the premises
 - train staff to ensure the law and policies/procedures are understood, up-to-date and applied consistently, including setting out how staff knowledge and understanding will be assessed.
- 17.7 The Council will pay significant regard to any guidance and codes of practice provisions, issued by the Commission, in relation to how gambling premises ought to be presented in order to prevent access by children.
- 17.8 Although the Council's role does not extend to the treatment or care of those who have gambling problems, the Council does have an interest in keeping up to date with developments and trends in work of this kind, in particular, to inform its local area profile.
- 17.9 Whilst the Act does not seek to prohibit vulnerable groups of adults from gambling in the same way that it prohibits children, the Council has considered the need for special considerations in relation to the protection of

vulnerable persons. This has been balanced against the Council's objective to aim to permit the use of premises for gambling. The Council has concluded that, in general, no special considerations are required and that the considerations in relation to protecting children will apply.

17.10 The Council will give due consideration to the need to apply conditions to betting shop premises licences including, but not limited to, setting out minimum staffing levels to ensure sufficient staff are on the premises to enable staff to comprehensively promote responsible gambling, adequately protect players, particularly in relation to players who are deemed to be vulnerable (as defined within this Policy) and to prevent under 18 year olds accessing gambling facilities. Additional conditions will only be applied on the basis that there is evidence of a risk to the licensing objectives.

18.0 Delegation of Council licensing functions

18.1 Licensing of the gambling industry, as set out at paragraph 12.0, is a Council function that is delegated to the Strategic Licensing Committee. The Strategic Licensing Committee has delegated this function to the Licensing Act Sub-Committee and to officers of the Council who will determine all applications in accordance with this Policy.

18.2 The specific delegations are set out in the Council's Constitution, which is available at <https://shropshire.gov.uk/committee-services/ecCatDisplay.aspx?sch=doc&cat=13331&path=0%20>. The relevant extract from the Constitution is produced at **Appendix D** of this Policy.

18.3 Officers and the Licensing Act Sub-Committee may elect not to exercise their delegated decision-making authority in respect of any particular licence/permit application. This is likely to be the case where delegation may give rise to a risk of judicial review challenge, particularly on the basis of appearance of bias.

18.4 Whilst officers and the relevant committees will, in the majority of cases, follow the Policy, there may be specific circumstances where the Council believes it is right to depart from the Policy. This may also be the case in relation to the Gambling Commission Guidance to Licensing Authorities 5th Edition (September 2016). In either case, the Council will take account of the implications of any departure from the Policy and/or the Guidance and shall ensure there are strong reasons for such departure. In all cases, these reasons will be clearly expressed and explained.

19.0 Committees

Strategic Licensing Committee

19.1 This Committee is made up of 15 members of the Council. It deals with policy issues, including the setting of gambling licence fees where this is required and/or permitted by relevant legislation.

Licensing Act Sub-Committee

- 19.2 This Committee is made up of a selection of Members from the Strategic Licensing Committee. Three Members will sit on hearings to determine new applications, variations, transfers, provisional statements and club gaming/club machine permits. In all cases, the Sub-Committee will only be convened where, in respect of the various applications, representations have been received and not withdrawn. In addition, Members will sit on hearings to deal with the decision to give a counter notice to a temporary use notice and in respect of any licence review. With respect to all other applications, officers have the delegated authority to make the necessary determinations.
- 19.3 Members on the Sub-Committee, when determining applications, making a decision to give a counter notice to a temporary use notice or hearing a licence review, will have regard to relevant gambling legislation, in particular the Gambling Act 2005 and associated regulations and orders, this Policy, the Gambling Commission Guidance to Licensing Authorities 5th Edition (September 2016), the Human Rights Act 1998, the Equality Act 2010, any relevant legal case law, other relevant Council policies and any other relevant guidance that may from time to time be made available by the Gambling Commission or other appropriate organisations or stakeholders.
- 19.4 Decisions**
- 19.5 The Council will ensure that licensing and regulatory decisions are properly reasoned and evidence-based and taken at the most appropriate level. The Council will adopt a presumption in favour of decisions being made at the lowest appropriate level within the Council so that decisions of similar complexity and impact are generally made at similar levels within the Council.
- 19.6 The decisions that the Council can take, either by way of a Licensing Act Sub-Committee hearing, including where the hearing is for the purposes of a premises licence review, or by an officer under delegated authority, are dependent on the type of licence or permit being considered and the specific circumstances associated with the licence/permit.
- 19.7 However, broadly, the Council has the power to:
- grant or reject/refuse new and renewal applications
 - grant or reject/refuse applications for variations and transfers
 - revoke or cancel existing licences/permits under certain circumstances, including for the non-payment of fees
 - suspend a premises licence
 - add, remove, amend and exclude licence/permit conditions
 - review premises licences
- 19.8 In addition, the Council may choose to issue written warnings and prosecute (including offering a simple caution) in respect of specified criminal offences. Further details, in this regard, are provided in Part 4 of this Policy.

- 19.9 Any decision to grant, reject/refuse, revoke, cancel or suspend a licence/permit or to add, remove, amend or exclude conditions or to issue a written warning will be made in accordance with relevant legislative provisions, the Council's scheme of delegation and any other appropriate procedures. The Council will base any decision to reject/refuse, revoke or suspend on reasons that demonstrate that the licensing objectives are not being, or are unlikely to be, met, and/or objections do not relate to the licensing objectives.
- 19.10 When applications are to be determined, the officer and/or Licensing Act Sub-Committee will take into consideration the facts of the application, any information and evidence provided by the responsible authorities, any information and evidence from other interested parties, together with the options set out in the licensing officer's report. The licensing officer will not normally make a specific recommendation but may do so in exceptional circumstances.
- 19.11 In order to provide applicants with the opportunity to consider and respond by way of written and/or verbal representations, as appropriate, the Council will provide the relevant details that have given rise to the need for an officer decision and/or hearing.
- 19.12 The Council will not turn down applications for premises licences where relevant objections can be dealt with through the use of conditions. Equally the Council will not attach conditions that limit the use of premises for gambling unless it is necessary to do so in accordance with the requirements set out in Section 153 of the Act. In determining applications for premises licences and permits, the Council will request as much information as it requires to satisfy itself that all the requirements set out at Section 153 of the Act are met.
- 19.13 Following the determination of an application by the Council (or any other regulatory enforcement decision), the applicant or licensee and any other relevant party will receive a copy of the decision in writing. The reasons for the decision will be clearly set out and will reflect the extent to which the decision has been made with regard to the Council's Policy and any Commission guidance. It will be delivered as soon as is practicable after the decision has been made. This will include information on the right of appeal, where this is relevant.
- 19.14 The Council will publish a register of licensing decisions. It may also publish details of licence applications that were refused, or withdrawn before they were determined, where it considers it is in the public interest to do so. Such information will be published as soon as practicable after a decision has been taken, whether or not the decision is the subject of an appeal.

20.0 Appeals

- 20.1 Parties aggrieved by a decision of the Council have a right of appeal to the Magistrates' Court. Appeals must be lodged with the Court in accordance

with the relevant statutory provisions. The Council strongly advises parties to promptly seek appropriate independent legal advice if they wish to consider pursuing an appeal.

20.2 With respect to premises licences, parties aggrieved by a decision may further appeal to the High Court; however, this is only in respect of a point of law.

20.3 Any party to a decision may apply for judicial review (although the Court may decline an application) and ask the Court to grant a particular type of order if they believe that the decision taken by the Council is:

- illegal, i.e. beyond the powers available to the Council;
- subject to procedural impropriety or unfairness with a failure in the process of reaching the decision; or
- irrational such that no sensible person could have reached that decision.

21.0 Responsible authorities

21.1 The Act requires applicants to give notice of premises licence applications to certain public bodies - 'responsible authorities' - that are listed in Section 157 of the Act. This requirement also applies to certain permit applications; however, the extent of the notice requirements applicable to permits are generally less onerous and are different depending on the individual permit type.

21.2 Responsible authorities have the right to make representations, in writing, in relation to premises for which applications for gambling licences/permits have been submitted to the Council and in relation to any licence review. They may also apply to the Council for a review of an existing licence.

21.3 The responsible authorities are:

- The Council in its capacity as the licensing authority, the planning authority and the authority which has functions in respect of minimising or preventing the risk of pollution of the environment or of harm to human health
- Gambling Commission
- Chief Officer of Police for West Mercia Police
- Shropshire and Wrekin Fire & Rescue Authority
- Shropshire Safeguarding Children Board
- Her Majesty's Revenue and Customs (HMRC)
- In relation to a vessel (including pleasure boats), the navigation authorities, as defined in the Water Resources Act 1991, that have statutory functions in relation to the waters where the vessel is usually moored or berthed, or any waters where it is proposed to be navigated at a time when it is used for licensable activities, namely:
 - Environment Agency in England and Wales (Scottish Environment Protection Agency in Scotland)
 - British Waterways Board
 - Maritime and Coastguard Agency (Secretary of State for Transport)

The contact details for each of the responsible authorities are available on the Council's website at <http://shropshire.gov.uk/licensing/licensing-types/gambling-act/responsible-authorities/>

22.0 Body competent to advise about the protection of children from harm

22.1 The principles that the Council will apply in exercising its powers to designate, in writing, a body competent to advise the Council about the protection of children from harm are set out below.

22.2 The body needs to:

- be responsible for the whole geographical administrative area of the Council;
- be independent and have an independent chair that can hold all agencies including the council to account, individually and collectively;
- comprise of a wide range of agencies, including lay members who represent the local community, that contribute to safeguarding and promoting the welfare of children;
- have statutory responsibilities for coordinating and monitoring the effectiveness of services that work together to safeguard and promote the welfare of children; and
- be reportable to democratically elected persons rather than any particular vested interest groups

22.3 Having taken into consideration the principles set out above, the Council has designated the Shropshire Safeguarding Children Board as the body competent to advise about the protection of children from harm and by doing so this Board is also a designated responsible authority under the provisions of the Gambling Act 2005.

23.0 Interested parties

23.1 Interested parties have the right to make representations in relation to premises for which applications for gambling licences/permits have been submitted to the Council and in relation to any licence review. Interested parties will be expected to submit their representations in writing to the Council. Interested parties may also apply to the Council for a review of an existing licence.

23.2 An 'interested party' is defined in Section 158 of the Act as a person who:

- (a) lives sufficiently close to the premises to be likely to be affected by the authorised activities,
- (b) has business interests that might be affected by the authorised activities, or
- (c) represents persons who satisfy (a) or (b)

23.3 It is a matter for the Council to decide whether a person is an interested party with regard to a particular premises and this will be decided on a case by case

basis. However, the principles that will be applied when determining whether a person is an interested party in relation to a premises licence, or in relation to an application for or in respect of a premises licence are set out below.

- The ‘status’ of each person in each case will be determined on their own merits.
- Specific regard will be given to what a potential interested party says about their status to make representations.
- Adherence to a set of strict and rigid rules will be avoided with a reasonable and proportionate approach adopted in each case.
- When determining whether a person ‘lives sufficiently close to the premises’, the Council will consider the following non-exhaustive list of relevant factors:
 - size of the premises
 - nature of the premises
 - distance of the premises from the location of the person making the representation
 - potential impact of the premises, e.g. number of customers, routes likely to be taken by those visiting the establishment
 - circumstances of the person who lives close to the premises; this is not their personal characteristics, but their interests which may be relevant to the distance from the premises
 - living sufficiently close to the premises may be different for different parties, e.g. a private resident, a residential school for children with truanting problems, a residential hostel for vulnerable adults
- ‘Business interests’ will be given a wide interpretation and is deemed to include, but is not limited to, the activities of sole traders, partnerships, companies, charities, faith groups and medical practices.
- When determining whether business interests may be affected, the Council will consider the following non-exhaustive list of relevant factors:
 - size of the premises
 - ‘catchment’ area of the premises, i.e. how far people travel to visit the premises
 - whether the person making the representation has business interests in that catchment area that might be affected
 - nature and scope of the likely impact
- A representation, by an existing gambling business, stating that it is going to be affected by another gambling business starting up in the area will not be considered a relevant representation, unless it is supported by other specific evidence, as such a representation relates to demand or competition and not to the licensing objectives.
- Trade associations, trade unions, residents’ and tenants’ associations will generally not be viewed as interested parties unless they are representing a specific member who is held to be an interested party in accordance with the provisions of Section 158 of the Act.
- A school head or governor will generally not be viewed as an interested party unless they are representing the interests of pupils or parents who are held to

be interested parties in accordance with the provisions of Section 158 of the Act.

- A community group will generally not be viewed as an interested party unless they are representing the interests of vulnerable people who are held to be interested parties in accordance with the provisions of Section 158 of the Act.
- Persons who are democratically elected, e.g. Councillors and Members of Parliament, are considered to be interested parties. The Council will not require such elected persons to provide evidence that they have been asked to represent any particular person providing the elected person represents the area/location that will be affected by the licence/permit application or review.

[Note: If any individual wishes to approach a Shropshire Council Councillor to act as their representative, care must be taken to ensure that the Councillor in question is not a member of the Strategic Licensing Committee and in particular absolutely must not be a member of the Licensing Act Sub-Committee dealing with the licence/permit application or licence review. If there is any doubt, the individual is advised to contact the Council's Licensing Team for clarification.]

- Parish and Town Councils are also considered to be interested parties. The Council will not require such Councils to provide evidence that they have been asked to represent any particular person providing the geographical area (or any location within this area) of the Council will be affected by the licence/permit application or review.
- In all other cases, any person wishing to represent an interested party/parties will be required to produce written evidence that the person(s) they are representing either live sufficiently close to the premises to be likely to be affected by the authorised activities or has business interests that might be affected by the authorised activities.

24.0 Review of premises licence

- 24.1 A premises licence may be reviewed by the Council of its own volition on the basis of any reason it thinks is appropriate or following the receipt of an application requesting a review from a responsible authority or an interested party. However, where an application requesting a review is received from a third party, it is for the Council to decide whether the review is to be carried out.
- 24.2 The Council will carry out licence reviews in pursuit of the principles set out in Section 153 of the Act. All reviews will be determined by the Licensing Act Sub-Committee.
- 24.3 Before carrying out a review, the Council will normally undertake a process of ensuring compliance by a licence/permit holder through constructive discussions, an initial investigation by a Council officer, informal mediation and/or dispute resolution. If the concerns are not resolved then the Council will carry out a formal review and, where appropriate, may impose additional conditions or revoke the licence.

24.4 Where the Council is willing to enter into constructive discussions with the relevant licence/permit holder, the licence/permit holder will be asked, as a minimum, to provide an up-to-date local risk assessment which sets out the controls it has put in place to mitigate the risks that pertain to the concerns raised and to offer suggestions as to the nature of additional conditions that could be placed on the premises licence to mitigate the risks and address the concerns. Where the licence/permit holder fails to provide an up-to-date local risk assessment and/or does not offer reasonable or practical suggestions to mitigate the risks and address the concerns, the Council will carry out a review under the relevant provisions of the Act.

24.5 The Act does not provide a pre-defined list of issues that might prompt a licence review; however, the Council is likely to consider carrying out a review where there are reasonable concerns relating to:

- the licensing objectives being undermined or that compliance with the objectives is at risk;
- the fundamental purpose of the Council's Policy being undermined or that compliance with the purpose is at risk;
- complaints from residents, responsible authorities or other interested parties about the operation of the premises;
- premises licence conditions not being observed;
- the premises operating outside of the principles set out in the Council's Policy; and/or
- an inherent conflict with the Commission's codes of practice and guidance, the licensing objectives or the Council's own Policy.

24.6 The Council must follow prescribed procedures when undertaking a review as set down in the Gambling Act 2005 (Premises Licences) (Review) Regulations 2007 (SI 2007/2258), as amended.

24.7 Where a responsible authority or an interested party (the applicant) intends to submit a review application, they are strongly advised to contact the licensing team to discuss their concerns in advance of submitting their application. This is on the basis that the Council prefers to provide licence/permit holders the opportunity to first enter into constructive discussions to secure compliance without recourse to a formal licence review where it is practical to do so.

24.8 In the event that an application for a review is to be submitted, the following process applies:

- Applicant submits the application to the Council on the required form (the relevant form is available on the Council's website) together with a statement of the reasons why a review is being requested and with any supporting information and documents.
- Applicant provides written notice of the application to the premises licence holder and to all responsible authorities (contact details are available on the Council's website) within seven days of making their application. Failure to do so will halt the application process until notice is received by all parties.

- Representations (see paragraph 25.0 on how to make representations) to the application must be made within 28 days, commencing seven days after the date on which the application was received. During these seven days the Council will publish notice of the application in accordance with prescribed rules.

24.9 It is the Council's decision whether to grant an application for a review; however, it will do so, unless it considers that the grounds on which the review is sought are:

- not relevant to the licensing objectives, the Commission's codes of practice and guidance, or the Council's Policy⁸;
- frivolous;
- vexatious;
- 'will certainly not' cause the Council to revoke or suspend a licence or remove, amend or attach conditions on the premises licence;
- substantially the same as ground(s) cited in a previous application relating to the same premises, taking into account the period of time that has passed since the previous application or representations were made; or
- substantially the same as representations made at the time the application for a premises licence was considered, taking into account the period of time that has passed since the previous application or representations were made.

24.10 Where the Council has given notice of its intention to initiate a review or having decided to grant a review following an application, the Council will carry out the review as soon as possible after the 28 day period for making representations has passed.

24.11 The purpose of the review will be to determine whether the Council should take any action in relation to the licence, namely:

- add, remove or amend a licence condition imposed by the Council;
- exclude a default condition or remove or amend an exclusion;
- suspend the premises licence for a period not exceeding three months; or
- revoke the premises licence.

24.12 The Council may take the above action on the grounds that a premises licence holder has not provided facilities for gambling at the premises. This is to prevent people from applying for licences in a speculative manner without intending to use them. Equally, the Council may take the above action on the grounds that the premises licence holder was offering a type of gambling that they were not licensed for and therefore not permitted to offer.

24.13 The Council will hold a hearing, unless the applicant and any person who has made representations consent to the review being conducted without one.

⁸ General objections to gambling as an activity, that relate to demand for gambling premises, or raise issues relating to planning, public safety, and traffic congestion are unlikely to be considered an appropriate basis for review, and are, therefore, likely to lead to an application for review being rejected by the Council.

The licensing authority must have regard to any relevant representations when reviewing the matter and must have regard to the principles in Section 153 of the Act.

24.14 Once the review has been completed the Council will notify its decision as soon as practicable to:

- the licence holder
- the applicant for review (if any)
- the Commission
- any person who made representations
- Chief Officer of Police, West Mercia Police
- HMRC

24.15 The applicant, any person who made representations on the application, the person (if any) who applied for the review and the Commission may appeal a decision in respect of a licence review. See paragraph 20.0 in relation to appeals.

25.0 Making representations

25.1 Any objections to premises licence applications or requests for a review must be based on the licensing objectives. The attention of applicants and persons wishing to make representations is drawn, in particular, to the factors that will not be relevant to the exercise of the Council's functions, and will, therefore, not be considered for the purposes of applications or reviews. These factors include, but are not limited to:

- preventing public nuisance and anti-social behaviour (unlike the Licensing Act 2003, the Gambling Act 2005 does not include this as a specific licensing objective);
- the expected demand for gambling facilities;
- the law relating to planning or building matters, e.g. whether or not planning permission may be granted for a particular building;
- moral or ethical objections to gambling; and
- dislike of gambling, or a general notion that it is undesirable to allow gambling premises in an area (with the exception of the casino resolution powers).

25.2 Where applicants, responsible authorities and interested parties wish to make representations in respect of an application and/or licence review, the parties will be given the opportunity to provide written representations. Oral representations will only be allowed in exceptional circumstances.

25.3 Officers have the delegated authority to determine whether a representation, on the balance of probabilities, is irrelevant (does not relate to the licensing objectives), is frivolous or vexatious or is certain not to influence the determination of the application and such a decision would result in such representations not going before the Licensing Act Sub-Committee.

26.0 Exchange of information

- 26.1 The principles that the Council will apply in relation to the exchange of information with the Commission and other persons/bodies are set out below.
- 26.2 The Council recognises that shared regulation depends on effective partnerships and collaboration and that the exchange of information between the Council and the Commission and other appropriate persons/bodies is an important aspect of this and benefits all parties.
- 26.3 Where the Council is required or wishes to exchange information with other persons/bodies, the information will be relevant and it will be appropriate, necessary and proportional to do so for the purposes of carrying out its functions under the Act and to also enable those other persons/bodies to carry out their functions under the Act.
- 26.4 The exchange of information will be undertaken in accordance with the Data Protection Act 1998 and the associated 'Guide to data protection', 'Data Sharing Code of Practice (May 2011) and 'Guide to the General Data Protection Regulation (GDPR) (May 2018)' are published by the Information Commissioner's Office (ICO), or such other guidance that may from time to time be made available. Both the Guide and the Code of Practice are available on the ICO website at <https://ico.org.uk/>.
- 26.5 The Council has not established any information exchange protocols specifically for the purposes of the Gambling Act and does not currently intend to do so. However, where there are existing information exchange protocols established in relation to other matters, the Council will have due regard to any relevant principles set out in such protocols and apply them as if they were established for the purposes of information exchange with other persons/bodies under the Act. If at any time during the lifetime of this Policy it becomes necessary to establish specific information exchange protocols under the Gambling Act, the Council will take appropriate steps to do so.

Exchange of information between the Council and the Commission

- 26.6 The Council will share information about gambling activity across Shropshire to enable the Commission:
- to develop an overarching view of all gambling activity across Great Britain;
 - to identify risks;
 - to feed information and intelligence back to the Council (and to other licensing authorities) to support it to carry out its regulatory responsibilities;
 - to avoid duplication or over-regulation and to maximise the efficient use of resources; and
 - to fulfil its duty to advise the Secretary of State about the incidence of gambling and the manner in which it is conducted.

26.7 Specifically, the Council will provide information to the Commission where the information forms part of the registers that the Council is required to maintain under the Act and where information is in the Council's possession in connection with any provision of the Act.

Exchange of information between the Council and other persons

26.8 The Council will exchange information with other persons/bodies for use in the exercise of functions under the Act. These other persons/bodies are:

- a police officer or police force
- an enforcement officer
- a licensing authority
- HMRC
- the First Tier Tribunal
- the Secretary of State
- Scottish Ministers

26.9 Specifically, the Council is more likely to exchange information with West Mercia Police and licensing authorities that share geographical borders with the Shropshire Council area; however, the Council will also exchange information on a wider basis where it is appropriate to do so.

26.10 The Council may exchange information with other organisations and operators to achieve the most appropriate outcomes for the parties concerned. This will only occur where the law permits such information exchange, e.g. where the Council has obtained permission.

Freedom of information

26.11 As a public body, the Council is subject to the provisions of the Freedom of Information Act 2000 (FOIA). Information disclosed in relation to freedom of information requests will be disclosed in accordance with the legislation and the 'Guide to freedom of information' issued by the ICO or such other guidance that may from time to time be made available. The Guide is available on the ICO website at <https://ico.org.uk/>.

26.12 The information submitted to the Council in pursuance of applications will be kept confidential unless it is necessary to share it for the purposes of the Council exercising its functions under the Act. The Council will undertake to keep personal names and addresses (in particular those provided in respect of Club Gaming Permit and Club Machine Permit applications) confidential; however, the Council cannot give an assurance that this confidentiality can be maintained in all circumstances because under the FOIA, there is a statutory Code of Practice with which the Council must comply and which deals, amongst other things, with obligations of confidence.

26.13 Persons who wish to access information about themselves that the Council may hold should submit a FOIA request.

Confidentiality of those making representations

- 26.14 Representations, including personal information, will be subject to publication in accordance with the necessary regulatory processes associated with the processing of applications and reviews. In addition, representations, including personal information, may be subject to release to other parties or to disclosure in accordance with the access to information regimes (these are primarily the Freedom of Information Act 2000 (FOIA), the Data Protection Act 1998 (DPA), The General Data Protection Regulation (GDPR) (May 2018) and the Environmental Information Regulations 2004).
- 26.15 If persons making representations want information, including personal data that they have provided to be treated as confidential, they must be aware that, under the FOIA, there is a statutory Code of Practice with which the Council must comply and which deals, amongst other things, with obligations of confidence.
- 26.16 In view of this, where persons want information and personal data to be treated as confidential, the Council expects persons making representations to explain why they regard the information and/or personal data they have provided as confidential. The Council will take full account of the explanation provided but cannot give an assurance that the requested confidentiality can be maintained in all circumstances. An automatic confidentiality disclaimer generated by an IT system will not, of itself, be regarded as binding on the Council.
- 26.17 The Council will give due consideration to all representations and treat any information and/or personal data as confidential where it may, on the balance of probabilities, have a disproportionate and unnecessary adverse impact on any individual or business, particularly where they are not directly affected by the application or review that is the subject of the representation. Nevertheless, for the same reasons that are set out above, the Council cannot give an assurance that the information it may deem ought to be treated as confidential can be maintained as such in all circumstances.

27.0 Working in partnership

- 27.1 The Council aims to work in partnership when dealing with matters relating to the licensing/permitting of gambling establishments and activities, including the adoption of a partnership approach to address problems that may arise. Such partnerships will include (but are not restricted to) the Gambling Commission, relevant gambling trade associations, other local authorities, West Mercia Police, consumer groups and problem gambling support groups. With respect to betting shops, the Council will pay due regard to the 'LGA – ABB framework for local partnerships on betting shops'.
- 27.2 The Council works in partnership with the Gambling Commission specifically on a shared regulation approach. In doing so, the Council takes the lead on regulating local gambling and the Commission focusses on operators and issues of national or regional significance.

27.3 The Council will work cooperatively with local businesses to reduce the risk to the licensing objectives to acceptable levels. However, it must be recognised that the Council, as the primary local regulator, will ensure that all relevant provisions relating to the effective administration of the licensing functions are robustly enforced to take account of the Gambling Act licensing objectives and the fundamental purpose of this Policy.

28.0 Setting fees

28.1 The Council's compliance and enforcement work and the costs of dealing with illegal gambling is covered by fees from premises licences and permits.

28.2 The Council aims to ensure that the income from fees, as nearly as possible, equates to the costs of providing the service to which the fees relate; in this respect, the Council is committed to continuous improvement across the fee setting process.

28.3 The Council aims to make its fee setting as transparent as possible. Costs are tracked to enable the Council to evidence, as much as is reasonably practicable, how it arrives at the specified fee levels. Fees are calculated on a cost recovery basis only.

28.4 The Strategic Licensing Committee reviews and sets the fees annually under delegated authority from the Council.

PART 3

ACTIVITIES SUBJECT TO AUTHORISATIONS

PART 3 – ACTIVITIES SUBJECT TO AUTHORISATIONS

29.0 Introduction

- 29.1 This part of the Policy focusses on the activities that are subject to authorisations and sets out how applicants obtain and hold a licence, permit or registration and, where relevant, how they provide notifications. These steps will include the standards that applicants must attain and the conditions that apply.
- 29.2 Where appropriate and unless specifically indicated to the contrary, any reference to 'licence' is deemed to include a licence, permit, registration and notice and any reference to 'applicant' is deemed to include existing licence/permit/registration holders.

30.0 Appointments

- 30.1 The Council runs an appointment system for all licensing matters. Where an applicant wishes to see an officer for any reason, they must make an appointment as they will otherwise not be seen.

31.0 General principles relevant to all licence types

- 31.1 The appropriate application form must be fully completed and accurate, contain or be accompanied by all the relevant information and documents and be accompanied by the appropriate fee. If any part of the application form is incomplete or the relevant information or documents are not provided, the applicant will be requested to provide the missing information/documentation and informed that the application has not been correctly made and will not be processed until such time as all the information/documentation is provided. The full fee for the licence is payable at the time the application is submitted.
- 31.2 The Council will aim to visit all premises before granting any new licence.
- 31.3 Where the law is not specific about a consultation period, the Council will allow 28 days for responsible authorities/interested parties to make representations.
- 31.4 Applicants will be permitted to make minor changes to their proposals, but the Council will not permit applicants to make material changes to their application during the process. Material changes to an application are likely to result in an applicant being invited to withdraw their application and submit a new application, accompanied by the appropriate fee, or it may result in an application being refused.
- 31.5 The Council will provide assistance to applicants to help them through the application process; however, the responsibility for providing information rests with applicants. The Council will treat repeated delays in providing

information as a strong indicator that it ought to consider refusing the application.

- 31.6 The Council expects applicants to work with it in an open and cooperative way and to disclose anything which the Council would reasonably expect to know. The Council will attach significant weight to an applicant's failure to work in an open and cooperative way.
- 31.8 Where an applicant has failed to declare relevant information or provided false information, the application is likely to be refused; where this relates to an existing licence, the licence is likely to be revoked. Applicants are reminded that it is an offence without reasonable excuse to provide false or misleading information.
- 31.9 All fees for applications/notices are payable at the time the application/notice is submitted. Where an application/notice is withdrawn or not granted the fee will not be refunded except in exceptional circumstances at the discretion of the Council.
- 31.10 Annual fees are non-refundable. Outgoing licence/registration holders will not be eligible for a refund of any part of an annual fee paid by them. Similarly, if a licence/registration is surrendered or lapses, no part of the annual fee will be refundable.
- 31.11 In the event that an application for a licence is paid by cheque, the application will not be valid until such time as the cheque has cleared. In the event that the cheque does not clear and the licence has been issued, the Council will cancel the licence on the basis of non-payment of the application fee.
- 31.12 Where a licence has lapsed, been surrendered or revoked a new application must be submitted in accordance with the relevant new licence procedures before the Council will consider the application.
- 31.13 Where renewals and annual fees apply, the Council will notify licence holders that their licence is due to expire at least four weeks before the actual expiry date. Where the licence holder fails to pay the fee, the licence will cease to exist.
- 31.14 When a licence expires and is subject to renewal provisions, the Council will not permit any 'periods of grace', beyond those set down in the relevant legislation, for the submission of a renewal application unless there is satisfactory evidence of exceptional circumstances that are accepted by the Council.
- 31.15 Where changes are made to a premises layout, an application for a variation to the premises licence will only be required where there are material changes to the layout of the premises. What constitutes a material change will be a

matter for the Council to determine but the Council will adopt a common-sense approach in this regard.

31.16 All applicants must be aged 18 or over.

31.17 All applicants must provide evidence of Public Liability Insurance with a minimum cover of £5,000,000.00, except for the purposes of Small Society Lotteries.

31.18 The relevant application forms and manner in which applications must be made, together with the forms to notify relevant responsible authorities, can be found on the Council's licensing web pages.

31.19 The Council will accept applications electronically (fax or email) and by post.

31.20 For those licence types that require a local risk assessment the Council expects applicants, as a minimum, to use their risk assessment to assess specific risks to the licensing objectives in the local area, determine the extent to which mandatory and default conditions mitigate the risks and to assess whether and what additional control measures are required.

32.0 Meaning of 'premises'

32.1 'Premises' is defined as including 'any place' and no more than one premises licence can apply to any place. However, a single building can be subject to more than one premises licence, providing each licence is for different parts of the building, and the different parts of the building can reasonably be regarded as being different premises.

32.2 Premises licences can be granted for passenger vessels. A vessel is defined as:

- anything (other than a seaplane or amphibious vehicle) designed or adapted for use on water;
- a hovercraft; or
- anything, or part of any place, situated on or in water (structures that are an extension of the land are not vessels, even if they arch over water, e.g. piers, bridges are not vessels and they remain caught by the definition of 'premises').

32.3 Vehicles (trains, road vehicles, aircraft, sea planes and amphibious vehicles, other than a hovercraft) may not be the subject of a premises licence and, therefore, all forms of commercial betting and gaming is unlawful in a vehicle in Great Britain. Certain allowances are made for private and non-commercial gaming or betting to take place in a vehicle, but these are subject to a number of stringent requirements to ensure that the gambling cannot, at any point, become a commercial activity.

32.4 Specifically with respect to temporary use notices, the Act refers to a 'set of premises' and provides that a set of premises is the subject of a TUN where

‘any part’ of the premises is the subject of a notice. The reference to ‘a set of premises’ prevents one large premises from having a TUN in effect for more than 21 days in a year by giving notification in relation to different parts of the premises and re-setting the clock. Note that this definition of a ‘set of premises’ differs to the definition of ‘premises’.

32.5 A licensed family entertainment centre (FEC) is classified as ‘premises’ and only premises that are wholly or mainly used for making gaming machines available may hold a FEC premises licence. As a result, it is generally not permissible for such premises to correspond to an entire shopping centre, airport, motorway service station or similar. Typically, the machines would be in a designated and enclosed area.

33.0 Principles to be applied in relation to the meaning of premises

33.1 Where large, multiple unit premises such as pleasure parks, tracks or shopping malls apply for a number of discrete premises licences, the Council will pay particular regard to ensuring that appropriate safeguards are in place. Any issues concerning the sub-division of a single building or plot will be closely examined and significant emphasis will be given to compliance with the mandatory conditions relating to access between premises.

33.2 In most cases the Council will expect that a single building will be the subject of an application for a premises licence. However, the Council accepts that this does not mean that a single building cannot be the subject of separate premises licences for separate parts of the building, e.g. the basement and ground floor, providing they are configured in an acceptable manner; the location and the suitability of any division will be matters that the Council will wish to discuss with the operator. Nevertheless, the Council is likely to consider those applications where a single building is the subject of a single premises licence application more favourably.

33.3 The Council does not consider that areas of a building that are artificially or temporarily separated, e.g. by ropes or moveable partitions, can properly be regarded as different premises.

33.4 Where a premises to which a premises application relates is located within a wider venue, the Council will request a plan of the whole venue on which the premises must be identified as a separate unit.

33.5 The Council is unlikely to issue a premises licence unless the proposed premises are genuinely separate premises that merit their own licence. Where there is any indication that the premises is an artificially created part, of what is readily identifiable as a single premises, the Council is likely to refuse such an application.

33.6 An application must be made to the Council where the premises is wholly or partly situated within Shropshire. In circumstances where the premises lie within Shropshire but also in another licensing authority’s area, the Council would expect the operator to discuss the matter with both (or all, if more than

two) authorities and reach agreement about which authority they will submit their application to. The operator will then have to notify the 'other' authority of the application and that 'other' authority will be entitled to make representations as a responsible authority.

33.7 Premises licences for vessels will be accepted by the Council only in relation to vessels that are usually moored or berthed within the Shropshire area.

33.8 The Council accepts premises licence applications for pleasure boats providing they are usually moored or berthed within the Shropshire area. As with multi-purpose buildings, the Council will licence the part(s) of the vessel where gambling takes place and will expect the usual restrictions on access for children to be robustly applied.

33.9 Where a premises licence is sought in connection with a vessel that will be navigated while licensable activities take place, the Council will be concerned with the promotion of the licensing objectives on board the vessel. It will not focus on matters relating to safe navigation or operation of the vessel, the general safety of passengers or emergency provision. (All such matters are subject to regulations which must be met before the vessel is issued with its Passenger Certificate and Safety Management Certificate.)

33.10 With respect to multiple activity premises, i.e. different licensed activities taking place within an area, such as at a track or holiday park, e.g. an area could include family entertainment centres (FECs), adult gaming centres (AGCs) and bingo, whilst also having an alcohol licence. In such circumstances, the Council will pay particular attention, through checks on plans and site visits, to ensure that the relevant gaming machine entitlements (machines available for use) are not exceeded and, where applicable, that appropriate signage to prevent unlawful entry is in place.

33.11 The Council considers that it is not permissible for gaming machines, which should be contained within a FEC premises, to be located in corridors and walkways which form part of the larger building. This is because the machines are not subject to the controls necessary to minimise gambling-related harm and to protect children and vulnerable people. Locating machines in corridors and walkways exposes young people to ambient gambling that the Act was designed to prevent through the removal of machines from takeaways, taxi offices, etc.

34.0 Criminal record disclosure

34.1 Criminal record disclosure is relevant to those persons who wish to apply for Unlicensed Family Entertainment Centre Gaming Machine Permits and Prize Gaming Permits because the Council has a responsibility to ensure the suitability of the applicant for these particular permits. In addition, this is also applicable to persons submitting Small Society Lottery applications. Refer to **Appendix F** for further details in this respect.

34.2 For all other permits and premises licence applications, the Council will not consider the suitability of the applicant, including in relation to any crime; this will already have been considered by the Commission under the procedures for granting operator and personal licences.

Part 3A - Premises Licences

35.0 Where an individual or company uses premises, or causes or permits premises to be used, to offer gambling, they must apply for a premises licence. Premises licences, and the regulatory tools associated with them, are a key means by which the Council ensures that risks to the licensing objectives are mitigated effectively.

35.1 The Council can grant premises licences without conditions or subject to conditions and it can also review or revoke such licences. Premises licences are issued by the Council and authorise the provision of gambling facilities on:

- casino premises
- bingo premises⁹
- betting premises, including tracks
- adult gaming centres
- family entertainment centres

35.2 Except in the case of tracks (where the occupier of the track who holds the premises licence may not be the person who actually offers the gambling), premises licences may only be issued to those who hold a relevant operating licence, or who have applied for one. Premises licences may be transferred to someone else holding a valid operating licence.

35.3 In addition to licences, there are other forms of authorisation that the Council may grant, including authorisations for the temporary use of premises, occasional use notices and different permits for unlicensed family entertainment centres, prize gaming, gaming machines on alcohol-licensed premises and club gaming and club machine permits. The Council also registers persons who wish to provide small society lotteries.

35.4 The following sections of the Policy set out the Council's specific principles on which it proposes to determine applications for the different licence types (these are in addition to the general principles set out in Section 2 of the Policy), together with the practical steps that applicants are required to take in order to submit valid applications.

36.0 Casinos

36.1 The Council has not passed a resolution not to issue casino premises licences under Section 166 (1) of the Act. Should the Council decide to do so

⁹ Bingo is equal chance gaming and is commonly either cash bingo or prize bingo. The Commission has published its view of what bingo is and how it differs from other forms of gambling. This can be found in the Commission's advice note 'What Constitutes Bingo'.

in the future details of the resolution will be included in this Policy, including the date on which such a resolution will take effect.

- 36.2 Despite the fact that the Council has not passed such a resolution, the Council is currently not enabled by the Secretary of State (in accordance with regulations made under Section 175 of the Act) to grant a premises licence for a small or large casino. In practice, this means that the Council cannot grant such a licence.

37.0 Other premises licenses (not provisional statements)

Description

- 37.1 A premises licence is issued in accordance with Part 8 of the Gambling Act 2005.
- 37.2 Any person who operates premises for the purposes of the following activities, must hold the appropriate premises licence:
- playing bingo
 - using Category B gaming machines (adult gaming centre)
 - using Category C gaming machines (family entertainment centre); or
 - betting

Principles

- 37.3 The Council will check with the Gambling Commission to ensure the applicant has a valid operator's licence issued by the Gambling Commission.
- 37.4 Whilst operators can apply for a premises licence in respect of premises that have yet to be constructed or altered, the Council expects operators, wherever practicable, to ensure that premises are completely constructed or fully altered, in accordance with scaled plans, before submitting a premises licence application. This is to assist the Council in its approach to be satisfied that the premises is going to be ready for use in the near future and to enable Council officers, and any other body with inspection powers, to fully inspect the premises for compliance with all necessary legal requirements.
- 37.5 Where buildings are not completely constructed or fully altered, the Council expects operators to avail themselves of the provisional statement application process in relation to the licensing of premises. Operators need to refer to the principles set out in relation to provisional statements.
- 37.6 Where an operator prefers to submit a full premises licence application in relation to buildings that are not completely constructed or fully altered, the Council would prefer to discuss with the individual operator which route, i.e. full premises licence or provisional statement, is most appropriate in order to avoid the operator having to pay a fee for an application that the Council is

unlikely to be in a position to grant. Nevertheless, where an operator chooses to submit a full premises licence application, the Council will determine any such application on its merits. The Council will, however, consider such applications in a two-stage process:

- first, the Council will decide whether, as a matter of substance after applying the principles in Section 153 of the Act, the premises ought to be permitted to be used for gambling; and
- second, in deciding whether or not to grant the application the Council will consider if appropriate conditions can be put in place to cater for the situation that the premises is not yet in the state in which it ought to be before gambling takes place.

37.7 Where conditions are put in place in respect of buildings not completely constructed or fully altered, the Council will require evidence that the completed works comply with the original (or changed) plan attached to the premises licence. Depending upon the individual circumstances, the Council is likely to achieve this either through physical inspection of the premises by a Council officer, written confirmation from the applicant or a report from an independent surveyor that relevant conditions have been satisfied.

37.8 Where plans, submitted at the time of an original premises licence application, are changed in any *material respect* during the fitting of the premises after the grant of the licence, the Council expects operators to make a fresh premises licence application in order to preserve the rights of interested parties and responsible authorities to make representations in respect of the application.

37.9 Where an application to vary a premises licence for betting is received in order to extend the opening hours, the Council will pay particular regard to ensuring that the reason for the application is in line with the requirements of the operating licence conditions.

37.10 With respect to adult gaming centres (AGC), the Council will have particular regard to the location of and entry to the AGC to minimise the opportunities for under 18 year olds to gain access. This will be of particular importance in areas where young people may be unsupervised, e.g. where an AGC is in a complex, such as a shopping centre.

Period of licence

37.11 A premises licence does not have a defined period of validity; it does not have an 'expiry date'. Once granted, a premises licence continues to have effect unless and until it ceases to have effect in accordance with other relevant provisions of the Act.

37.12 A licence ceases to have effect when:

- it is surrendered
- the holder of the licence fails to pay the annual fee
- it lapses

- the company ceases to exist or goes into liquidation
- the licence holders dies
- the licence holder becomes bankrupt
- the licence holder becomes incapable by reason of mental or physical incapacity

Application process

37.13 The following sets out a summary of the main application process requirements as it relates to:

- new applications;
- applications to vary or transfer a licence;
- applications for the reinstatement of a lapsed licence.

37.14 However, it is essential that applicants consider the requirements of the Gambling Act 2005 (Premises Licences and Provisional Statements) Regulations 2007 (SI 2007/459), as amended, to ensure they fully satisfy the application requirements.

37.15 All applicants must hold an operating licence issued by the Commission (or have made an application for such a licence) authorising them to carry on the specific gambling activity for which their premises licence application relates prior to applying for a premises licence from the Council.

37.16 In addition, applicants must:

- Submit a completed application form
- Pay the appropriate fee
- Where applicable, provide evidence if the premises has previously been granted a provisional statement
- Provide evidence that they hold an operating licence
- Provide evidence that they have the right to occupy the premises to which their application relates
- Provide a scale plan of the premises; specific elements must be shown on the plan and these are dependent on the actual gambling activity for which the licence is being sought
- Provide evidence that the building is completely constructed so that it can be fully inspected
- Set out how they intend to satisfy the relevant mandatory and default conditions applicable to the type of gambling activity that will be undertaken at the premises
- Submit their local risk assessment (refer to Social Responsibility Code provision 10.1.1) in accordance with Ordinary Code provision 10.1.2
- Set out the specific steps that will be taken to promote the licensing objectives
- Provide notice of their application to the relevant responsible authorities
- Publish notice of their application in a local newspaper and on the premises to which the application relates (not applicable to the transfer or reinstatement of a licence)

37.17 Where the issue date and the effective date of the licence are the same, the first annual fee for the licence must be paid within 30 days of that date. Where the issue date and the effective date of the premises licence are not the same, different timescales apply.¹⁰

38.0 Provisional Statement

Description

38.1 Provisional statements are issued in accordance with Part 8 of the Gambling Act 2005.

38.2 For any premises that are yet to be constructed or altered or where the person has not yet acquired a right to occupy the premises, an application may be submitted to the Council for a provisional statement where premises will be operated for the purposes of the following activities:

- playing bingo
- using Category B gaming machines (adult gaming centre)
- using Category C gaming machines (family entertainment centre); or
- betting

Principles

38.3 Where the Council is considering an application for a provisional statement and the applicant has also applied to the Commission for an operating licence, the Council will not speculate on or otherwise take into account the likelihood of an operating licence being granted.

38.4 Once the Council has granted a provisional statement, it is constrained in the matters it can consider when an application for a premises licence is made subsequently in relation to the same premises. The Council will not take into account any further representations from responsible authorities or interested parties unless they concern matters that could not have been addressed at the provisional statement stage, or they reflect a change in the applicant's circumstances. Consequently, the Council will only refuse the premises licence, or grant it on terms different to those attached to the provisional statement, by reference to matters:

- that could not have been raised by way of representations at the provisional licence stage
- that, in the Council's opinion, reflect a change in the applicant's circumstances
- where the premises has not been constructed in accordance with the plan and information submitted with the provisional statement application; this must be a substantial change to the plan.

¹⁰ Gambling (Premises Licence Fees) (England and Wales) Regulations 2007 (SI2007/479)

38.5 With respect to where the premises has not been constructed in accordance with the plan and information submitted with the provisional statement application, the Council will discuss any concerns they have with the applicant before making a decision.

Period of licence

38.6 A provisional statement does not have a defined period of validity; it does not have an 'expiry date'. Once granted, a provisional statement continues to have effect until it is replaced by a full premises licence or is surrendered or lapses. A provisional statement lapses if:

- the company ceases to exist or goes into liquidation
- the provisional statement holder dies
- the provisional statement holder becomes bankrupt
- the provisional statement holder becomes incapable by reason of mental or physical incapacity

Application process

38.7 The following sets out a summary of the main application process requirements as it relates to a provisional statement.

38.8 However, it is essential that applicants consider the requirements of the Gambling Act 2005 (Premises Licences and Provisional Statements) Regulations 2007 (SI 2007/459), as amended, to ensure they fully satisfy the application requirements.

38.9 The application form must be fully completed, contain or be accompanied by all the relevant information and documents and be accompanied by the appropriate fee. If any part of the application form is incomplete or the relevant information or documents are not provided, the applicant will be requested to provide the missing information/documentation and informed that the application has not been correctly made and will not be processed until such time as all the information/documentation is provided. The full fee for the licence is payable at the time the application is submitted.

38.10 Applicants must:

- Submit a completed application form
- Pay the appropriate fee
- Provide a scale plan of the premises; specific elements must be shown on the plan and these are dependent on the actual gambling activity for which the licence is being sought
- Set out how they intend to satisfy the relevant mandatory and default conditions applicable to the type of gambling activity that will be undertaken at the premises
- Submit their local risk assessment (refer to Social Responsibility Code provision 10.1.1) in accordance with Ordinary Code provision 10.1.2

- Set out the specific steps that will be taken to promote the licensing objectives
- Provide notice of their application to the relevant responsible authorities
- Publish notice of their application in a local newspaper and on the premises to which the application relates

Part 3B – Permits

39.0 Unlicensed Family Entertainment Centre Gaming Machine Permit (UFEC)

39.1 A UFEC permit is issued in accordance with Schedule 10 of the Gambling Act 2005.¹¹

Description

39.2 UFEC are premises (not vessels or vehicles) which are 'wholly or mainly' used for making category D gaming machines available. The permit cannot, for example, be granted for an entire shopping centre, airport or bowling alley.

Principles

39.3 The Council will:

- have regard to the licensing objectives and the Guidance to licensing authorities 5th Edition (September 2016) issued by the Gambling Commission
- give weight to protecting children and other vulnerable persons from being harmed or exploited by gambling
- expect applicants to demonstrate how they intend to protect children and other vulnerable persons from being harmed or exploited
- where other activities have been introduced into an UFEC premises resulting in gaming machines being ancillary to the business, the Council will notify the permit holder that the premises are no longer being used as a UFEC and the permit will lapse

39.4 The Council cannot attach conditions to a UFEC permit however, it can refuse to grant the permit by notifying the applicant of the intention to refuse and the reasons for it and then giving the applicant an opportunity to make representations.

Period of licence

39.5 A permit ceases to exist after a period of 10 years unless it is renewed, lapses, is surrendered or forfeited by the Court. A permit lapses if:

- the company ceases to exist or goes into liquidation
- the permit holder ceases to occupy the premises
- the permit holders dies

¹¹ Travelling fairs may provide an unlimited number of Category D gaming machines provided that facilities for gambling amount to no more than an ancillary amusement at the fair. They do not require a permit to provide these gaming machines but must comply with legal requirements about how the machine operates.

- the permit holder becomes bankrupt
- the permit holder becomes incapable by reason of mental or physical incapacity
- the Council informs the permit holder that the premises are not being used as an UFEC

Application Process – new and renewal applications

39.6 For new applications, applicants must:

- Submit a completed application form
- Pay the appropriate fee
- Provide a satisfactory basic criminal record disclosure from the Disclosure and Barring Service (see **Appendix F**)
- Provide evidence that they have the right to occupy the premises to which their application relates
- Provide a scale plan of the internal layout of the premises including the position of the machines, staff/supervisor locations and any restricted access provision
- Provide evidence that the premises will be used as a UFEC
- Provide a business plan
- Provide evidence that they fully understand the maximum stakes and prizes of the gambling permissible in UFEC
- Submit a local risk assessment (refer to Social Responsibility Code provision 10.1.1) in accordance with Ordinary Code provision 10.1.2
- Provide a staff training programme particularly to ensure staff have a full understanding of:
 - the harm and exploitation that is caused by problem gambling
 - their responsibilities to safeguard children, young persons and adults with care and support needs
 - measures to reduce crime and disorder associated with gambling
 - the relevant legal provisions that restrict the use of gaming machines and other gambling activities
 - the maximum stakes and prizes of the gambling permissible in UFEC
- Provide information of category D machine suppliers that the applicant intends to use; they must be Commission-licensed suppliers
- Provide evidence as to how they intend to protect children and other vulnerable persons from being harmed or exploited

Renewal applications

39.7 The renewal application process is the same as the process set out above for new applications.

39.8 The renewal application must be submitted no more than 6 months before but no less than 2 months before the expiry date of the permit. Failure to apply within the prescribed time period will result in the renewal application being refused. Where the applicant wishes to continue to apply for a permit, they

will then be required to submit a new application in accordance with the procedures above.

Right of Appeal

- 39.9 The applicant or the holder of a permit may appeal if the Council has
- rejected an application for a UFEC permit or renewal of a UFEC permit
 - given notice that the premises are not being used as an UFEC
 - given notice that the holder is incapable of carrying out an UFEC business by reason of mental or physical incapacity

Change of permit holder's name and lost, stolen or damaged permit

- 39.10 There are specific provisions that allow a permit holder to make changes to their name and to obtain a copy of a lost, stolen or damaged permit providing the correct application is submitted and the required fee paid and for the purposes of a lost or stolen permit evidence that the loss or theft has been reported to the Police, e.g. crime reference number.

40.0 Club Gaming Permit and Club Machine Permit

- 40.1 These permits are issued in accordance with Schedule 12 of the Gambling Act 2005 applicant's attention is also drawn to the Gambling Act 2005 (Club Gaming and Club Machine Permits) Regulations 2007, as amended (SI2007/1834 & SI2007/2689), and Gambling Act 2005 (Gaming in Clubs) Regulations 2007 (SI2007/1942).
- 40.2 A 'fast track' procedure exists for members' clubs and miners' welfare institutes that hold a club premises certificate under Section 72 Licensing Act 2003. Further details are available from the licensing team.

Description

- 40.3 A club gaming permit is a permit authorising gaming in members' clubs and miners' welfare institutes; specific detailed provisions apply. A club machine permit is a permit authorising up to three gaming machines (categories B, C or D) in members' clubs, miners' welfare institutes and commercial clubs. There are a number of legal requirements that must be satisfied before an application can be submitted.
- 40.4 Where applicants are considering making an application for these permits, the Council recommends they contact the licensing team prior to making the application to ensure the correct permit is applied for.

Principles

- 40.5 The Council will accept permit applications for clubs that do not have permanent premises or hold alcohol premises licenses.

- 40.6 The Council cannot attach conditions to a club gaming and club machine permit; however, it can refuse to grant the permit by notifying the applicant of the intention to refuse and the reasons for it.
- 40.7 Where the Council is satisfied that the club is not a ‘true’ members’ club, miners’ welfare institute or commercial club or the premises are used wholly or mainly by children and/or young persons the Council will refuse the application.
- 40.8 Where an offence under the Act or a breach of a permit has been committed by the applicant while providing gaming facilities, a permit held by the applicant has been cancelled in the previous ten years or an objection has been lodged by the Commission or the police, the Council may refuse the application.

Period of licence

- 40.9 A permit ceases to exist after a period of 10 years unless it is renewed, lapses, is surrendered or forfeited by the Court. A permit lapses if:
- the club ceases to be a members’ club, miners’ welfare institute or commercial club

Application process – new and renewal applications

- 40.10 Applicants must:
- Submit a completed application form
 - Pay the appropriate fee
 - Provide a staff training programme particularly to ensure staff have a full understanding of:
 - the harm and exploitation that is caused by problem gambling
 - their responsibilities to safeguard children, young persons and adults with care and support needs
 - measures to reduce crime and disorder associated with gambling
 - the relevant legal provisions that restrict the use of gaming machines and other gambling activities
 - the maximum stakes and prizes of the gambling permissible in the club
 - Provide details of the categories of machine to be used
 - Provide information of the machine suppliers that the club intends to use; they must be Commission-licensed suppliers
 - Provide a scale plan of the internal layout of the premises including the position of the machines, staff/supervisor locations and any restricted access provision
 - Submit a copy of the club constitution (see further requirements below)
 - Submit substantial evidence of club activities, including bridge and whist activities
 - Submit register of members to include full names and addresses

- Annual accounts for the previous three years unless the application relates to a new constituted club

40.11 As a minimum the club constitution must make the following clear:

- What is the primary purpose and aims of the clubs activities?
- Who makes commercial decisions on behalf of the club?
- What are the governance arrangements?
- What is the position in respect of permitting access to children into the club premises?
- Whether there are any shareholders?
- Is the members' club permanently established?
- What periods of membership are available?
- Any age restrictions applicable to membership of the club
- How long between applying for membership and participating in any gaming activity is required?
- What if any long-term membership benefits exists?
- What are the profits used for?
- What is the process for members to permit guests into the club premises?

40.12 The club must also provide the following information:

- That the constitution has been approved by members of the club
- List of committee members and evidence of their election by members of the club
- Copies of club meeting minutes for the previous 12 months
- The number of nights per week that gaming is made available
- How does the club advertise gaming?
- What are the stakes and prizes offered?
- Do you have weekly/monthly/annual league winners?
- Is the club tied in with other clubs through tournaments or leagues? If yes, provide details.
- What percentage of members do not participate in gaming activity?
- What activities are provided for club members via the internet?
- Do you teach members to promote gaming?
- Does your club receive any sponsorship? If yes, who by?
- What, if any, gaming participation fees are charged?
- Is the club advertised and listed in directories including on the internet? If yes, provide details.

Renewal

40.13 The renewal application process is the same as the process set out above for new applications.

40.14 The renewal application must be submitted no more than 3 months before but no less than 6 weeks before the expiry date of the permit. Failure to apply within the prescribed time period will result in the renewal application being refused. Where the applicant wishes to continue to apply for a permit, they

will then be required to submit a new application in accordance with the procedures above.

Variation and lost stolen or damaged

- 40.15 There are specific provisions that allow a club to vary their permit and to obtain a copy of a lost, stolen or damaged permit providing the correct application is submitted and the required fee paid and for the purposes of a lost or stolen permit evidence that the loss or theft has been reported to the Police e.g. crime reference number.

Right of Appeal

- 40.16 The applicant or holder of a permit may appeal if the Council has:
- rejected an application for a Club Gaming Permit/Club Machine Permit or renewal of a Club Gaming Permit/Club Machine Permit
 - cancelled a permit

Annual Fee

- 40.17 Permit holders must pay to the Council the first annual fee within 30 days of the issue of the permit and an annual fee before each anniversary of the issue of the permit thereafter. Failure to do so will result in the permit being cancelled.

41.0 Licensed Premises Gaming Machine Permit

- 41.1 Licensed premises gaming machine permits are issued in accordance with Schedule 13 of the Gambling Act 2005.

Description

- 41.2 A licensed premises gaming machine permit authorises a premises, holding an alcohol premises licence in accordance with the Licensing Act 2003 (providing the premises have a bar at which alcohol is served), to make available category C and D machines. This replaces and is not in addition to the automatic entitlement to two machines.

Principles

- 41.3 The Council will expect that gambling will remain ancillary to the main purpose of the premises. Should it become aware that this is not the case and the holder of the permit has not complied with reasonable requests by authorised officers to reduce the level of gambling or applied for the appropriate gambling premises licence, the Council will take appropriate enforcement action including utilising licence review provisions under either the Gambling Act 2005 or the Licensing Act 2003.
- 41.4 The Council cannot attach conditions to a Licensed Premises Gaming Machine Permit; however, it can refuse to grant the permit by notifying the

applicant of the intention to refuse and the reasons for it. In addition, where the Council intends to grant a permit, it can do so for a smaller number of machines and/or a different category.

- 41.5 Where an operator of an alcohol licensed premises wishes to make gaming machines available in any areas of their premises that are not licensed for the purposes of selling/supplying alcohol, the operator will be required to apply for an adult gaming centre premises licence.

Period of licence

- 41.6 A permit does not have a defined period of validity; it does not have an 'expiry date'. Once granted, a permit continues to have effect unless and until it ceases. A permit ceases if:
- the alcohol premises licence ceases to have effect
 - the permit holder ceases to be the holder of the alcohol premises licence
 - the permit is surrendered
 - the permit is cancelled, including where the permit holder fails to pay the annual fee
 - the permit is forfeited by the court

Application Process – new applications

- 41.7 Applicants must:
- Submit a completed application form
 - Pay the appropriate fee
 - Provide a copy of the valid alcohol premises licence or evidence that an alcohol premises licence is being or has been applied for
 - Specify the number and category of gaming machines
 - Provide information of the machine suppliers that the club intends to use; they must be Commission-licensed suppliers
 - Submit a business plan setting out the main purpose of the business together with details indicating the contribution that the gaming machines provide to the overall business
 - Provide a staff training programme particularly to ensure staff have a full understanding of:
 - the harm and exploitation that is caused by problem gambling
 - their responsibilities to safeguard children, young persons and adults with care and support needs
 - measures to reduce crime and disorder associated with gambling
 - the relevant legal provisions that restrict the use of gaming machines and other gambling activities
 - the maximum stakes and prizes of the gambling permissible in the club
 - Provide a scale plan of the internal layout of the premises including the position of the machines, staff/supervisor locations and any restricted access provision.

Right of Appeal

41.8 The applicant or holder of a permit may appeal if the Council has:

- rejected an application for a permit
- granted an application for a permit for a smaller number of machines and/or different category
- gives a notice that cancels or varies the entitlements of the permit

Variation, transfer, change of name and lost stolen or damaged

41.9 There are specific provisions that allow a permit holder to vary, transfer or change the name on their permit and to obtain a copy of a lost, stolen or damaged permit providing the correct application is submitted and the required fee paid and for the purposes of a lost or stolen permit evidence that the loss or theft has been reported to the Police e.g. crime reference number.

Annual Fee

41.10 Permit holders must pay to the Council the first annual fee within 30 days of the permit being issued and an annual fee before each anniversary of the issue of the permit thereafter. Failure to do so will result in the permit being cancelled.

42.0 Automatic entitlement to two gaming machines

42.1 This notification is issued in accordance with Section 282 of the Gambling Act 2005.

Description

42.2 There are specific notification procedures available to alcohol premises licence holders to make available two gaming machines of category C or D for use in alcohol licensed premises with a licence for on sales.

Principles

42.3 All alcohol licensed premises which provide gaming machines for use on the premises must comply with any relevant Code of Practice issued by the Gambling Commission under Section 24 of the Gambling Act 2005

42.4 The Council recognises that it has no discretion to consider notifications or to turn them down, other than in respect of whether the applicant holds an on-sales alcohol premises licence and the fee has been paid. However, the Council is strongly of the opinion that, although the automatic entitlement is a light touch approach under the Act, there remains a risk which operators should be aware of and take into consideration. As such, operators giving notifications are strongly encouraged to consider the development of a staff training programme, particularly to ensure staff have a full understanding of:

- the harm and exploitation that is caused by problem gambling
- their responsibilities to safeguard children, young persons and adults with care and support needs
- measures to reduce crime and disorder associated with gambling
- the relevant legal provisions that restrict the use of gaming machines and other gambling activities

42.5 The Council will give serious consideration to removing, subject to it following the correct procedures, the ‘automatic authorisation’ where there is evidence that:

- provision of the machines is not reasonably consistent with the pursuit of the licensing objectives;
- gaming has taken place on the premises that breaches a condition relating to the location and operation of gaming machines;
- the premises are mainly used for gaming; or
- an offence under the Act has been committed on the premises.

Notification Process

42.6 Applicants must:

- Submit a completed notification form
- Pay the appropriate fee

Period of Notification

42.7 The notification duration is indefinite as it is linked to the Licensing Act 2003 premises licence. If the premises licence holder changes, for example because the licence is transferred, the new licence holder will need to give a new notification.

43.0 Prize Gaming Permit

43.1 A Prize Gaming permit is issued in accordance with Schedule 14 of the Gambling Act 2005.¹²

Description

43.2 Gaming is classed as prize gaming if the nature and size of the prize is not determined by the number of people playing or the amount paid or raised by the gaming. Normally the prizes are determined by the operator before play commences. A Prize Gaming Permit is a permit issued by the Council to authorise Prize Gaming on specified premises. Vessels and vehicles are not premises.

¹² Section 292 of the Gambling Act 2005 provides that travelling fairs are also able to offer equal chance prize gaming without a permit, provided that, taken together, the facilities for gambling are an ancillary amusement at the fair.

Principles

43.3 The principles that the Council proposes to apply when considering applications for a Prize Gaming Permit are set out below. The Council will:

- have regard to the licensing objectives and the Guidance to licensing authorities 5th Edition (September 2016) issued by the Gambling Commission
- give weight to protecting children and other vulnerable persons from being harmed or exploited by gambling
- expect applicants to demonstrate how they intend to protect children and other vulnerable persons from being harmed or exploited

43.4 The Council cannot attach conditions¹³ to a Prize Gaming permit; however, it can refuse to grant the permit by notifying the applicant of the intention to refuse and the reasons for it and then giving the applicant an opportunity to make representations.

Period of licence

43.5 A permit ceases to exist after a period of 10 years unless it is renewed, lapses, is surrendered or forfeited by the Court. A permit lapses if:

- the company ceases to exist or goes into liquidation
- the permit holder ceases to occupy the premises
- the permit holder e.g. a partnership otherwise ceases to exist
- the permit holders dies
- the permit holder becomes bankrupt
- the permit holder becomes incapable by reason of mental or physical incapacity

Application Process – new applications

43.6 Applicants must:

- Submit a completed application form
- Pay the appropriate fee
- Provide a satisfactory basic criminal record disclosure from Disclosure and Barring Service (see **Appendix F**)
- Provide evidence that they have the right to occupy the premises to which their application relates
- Provide a scale plan of the internal layout of the premises
- Set out the types of gaming that will be offered
- Provide a business plan
- Provide evidence that they fully understand the maximum stakes and prizes of the gambling permissible for a Prize Gaming Permit and that the gaming offered is within the law

¹³ Specific requirements are set out in the Gambling Act 2005 that amount to 'conditions'.

- Provide a staff training programme particularly to ensure staff have a full understanding of:
 - the harm and exploitation that is caused by problem gambling
 - their responsibilities to safeguard children, young persons and adults with care and support needs
 - measures to reduce crime and disorder associated with gambling
 - the relevant legal provisions that restrict the use of gaming machines and other gambling activities
 - the maximum stakes and prizes of the gambling permissible for a Prize Gaming Permit and that the gaming offered is within the law
- Provide evidence as to how they intend to protect children and other vulnerable persons from being harmed or exploited

Renewal applications

- 43.7 The renewal application process is the same as the process set out above for new applications.
- 43.8 The renewal application must be submitted no more than 6 months before but no less than 2 months before the expiry date of the permit. Failure to apply within the prescribed time period will result in the renewal application being refused. Where the applicant wishes to continue to apply for a permit, they will then be required to submit a new application in accordance with the procedures above.

Right of Appeal

- 43.9 The applicant or the holder of a permit may appeal if the Council has
- rejected an application for a Prize Gaming permit or renewal of a Prize Gaming permit

Change of permit holder's name and lost, stolen or damaged permit

- 43.10 There are specific provisions that allow a permit holder to make changes to their name and to obtain a copy of a lost, stolen or damaged permit providing the correct application is submitted and the required fee paid and for the purposes of a lost or stolen permit evidence that the loss or theft has been reported to the Police e.g. crime reference number.

44.0 Part 3C - Temporary and Occasional Use

Temporary Use Notice (TUN)

- 44.1 A TUN is issued in accordance with Part 9 of the Gambling Act 2005 and Gambling Act 2005 (Temporary Use Notices) Regulations 2007 (SI2007/3157).

Description

- 44.2 A TUN allows the use of premises (not vehicles, but does include vessels whether moored or moving) for gambling where there is no premises licence but where an operator wishes to use the premises temporarily for providing gambling facilities.
- 44.3 Certain restrictions exist in relation to a TUN. These restrictions are:
- it can only be used to offer gambling of a form authorised by the operator's operating licence
 - gambling under a TUN may only be made available on a maximum of 21 days in any 12-month period for any or all of a named set of premises
 - it can only be used to permit the provision of facilities for equal chance gaming, and where the gaming in each tournament is intended to produce a single overall winner
 - gaming machines may not be made available under a TUN
 - cash games are not permitted under a TUN; cash games are where each hand provides a winner

Principles

- 44.4 As a result of the six week timescale specified in the Act for the purposes of fully completing the TUN process, the Council strongly encourages operators to make contact with the licensing service to discuss their plans and requirements as soon as possible (ideally at least six months) prior to the anticipated date of the gambling event.
- 44.5 Where applicants chose to submit a TUN by post, the Council expects the applicant to take steps to ensure the notice has been received by the Council within three days of the date of posting to assist the Council to process the notice within the tight timescales laid down in the Act.
- 44.6 The Council will send a written acknowledgement confirming receipt of the TUN as soon as reasonably practical.
- 44.7 Where the Council considers it necessary to object to a TUN it will give a notice of objection within fourteen days beginning with the date when which the TUN was received by the Council.
- 44.8 When making objections to a TUN the Council, and other relevant bodies, will have regard to the same principles that the Council considers when determining premises licence applications, in particular, the aims of the licensing objectives.
- 44.9 Where the Council issues a counter-notice, the principles that will be applied are the same as those in determining premises licence applications; in particular, the Council will aim to permit the provision of facilities for gambling under a TUN providing to do so accords with the Commission's relevant code

and guidance and the Council's Policy, and is reasonably consistent with the licensing objectives.

- 44.10 The Council will give serious consideration to objecting to a TUN where it appears that the effect would be to permit regular gambling in a place that could be described as one 'set of premises' (refer to section above setting out the meaning of 'premises').
- 44.11 Where the Council is made aware or establishes that the premises to which a TUN relates has been the subject of one or more TUN for more than a total of 21 days in the past 12 months, the Council will issue a counter-notice that has the effect of stopping the TUN coming into effect.
- 44.12 Where the Council receives a TUN from a high profile operator (e.g. a casino) to hold an event in a larger venue (e.g. a stadium or an arena) and this TUN includes the need to hold a remote operating licence, the Council will contact the Commission for further advice and guidance before processing the TUN.

Notification process

44.13 Applicants must:

- Submit a completed notification form (must be received by the Council at least three months and one day before the day on which the gambling event will begin and must be received within seven days of the date the notice has been signed)
- Pay the appropriate fee
- Provide evidence that they hold an operating licence
- Set out how they intend to satisfy the relevant mandatory and default conditions applicable to the type of gambling activity that will be undertaken at the premises
- Submit their local risk assessment (refer to Social Responsibility Code provision 10.1.1) in accordance with Ordinary Code provision 10.1.2
- Provide a copy of the notice to the Gambling Commission, West Mercia Police and the HMRC (the notice must be received within seven days of the date the notice has been signed) (where the TUN relates to a vessel please refer to paragraph 21.0 regarding responsible authorities)
- Where applicable, provide a copy of the notice to any other Licensing Authority in whose area the premises is also situated (the notice must be received within seven days of the date the notice has been signed)

44.14 Where no objections are made within 14 days of the date of the TUN, the Council will endorse the TUN as valid and return it to the person who gave the TUN.

Objection process

44.15 Where written objections are received, the Council will enter into constructive discussions with the applicant and objectors with the aim of resolving the

objections. Where resolution cannot be achieved, the Council will hold a hearing to listen to representations from:

- the person who gave the TUN;
- all objectors; and
- any person who was entitled to receive a copy of the notice.

44.16 Where modifications are accepted by the applicant, the applicant must submit a new TUN, incorporating the modifications, and the Council will treat the original notice as withdrawn. The person who made the original objection and proposed the modification may not object to the new TUN, but others to whom it is copied may object. Where no new objections are made, there will be no need for a hearing.

44.17 After a hearing has taken place or has been dispensed with and the Council considers that the TUN should not have effect, the Council will issue a counter-notice (copying it to all those who received copies of the TUN) setting out the reasons for its issue and providing for the TUN:

- not to have effect;
- to have effect only in respect of a specified activity;
- to have effect only in respect of activity carried on during a specified period of time or at specified times of day; or
- to have effect subject to compliance with a specified condition.

44.18 Where the Council decides not to issue a counter-notice, the TUN will take effect. The Council will give notice of its decision to the person who gave the TUN and to others to whom the TUN was copied.

Conditions

44.19 While the gambling is taking place, the operator must ensure a copy of the TUN must be displayed prominently on the premises.

Right of appeal

44.20 An appeal against the Council's decision may be made by the applicant, or any person entitled to receive a copy of the TUN, to the Magistrates' Court within 14 days of receiving notice of the Council's decision. There is a further right of appeal to the High Court on a point of law.

Lost, stolen or damaged endorsed notice

44.21 There are specific provisions that allow a notice holder to obtain a copy of a lost, stolen or damaged endorsed notice, providing the correct application is submitted and the required fee paid.

45.0 Occasional Use Notice (OUN)

45.1 An OUN is issued in accordance with Section 39 of the Gambling Act 2005.

Description

45.2 A OUNs is a permit that allows licensed betting operators to use tracks for short periods for conducting betting, where the event upon which the betting is to take place is of a temporary, infrequent nature. A betting premises licence for the track is not required in these circumstances.

Principles

45.3 An OUN must be submitted for each day that betting activity will be conducted on the premises.

45.4 Betting activity is only allowed for a maximum of 8 days in a calendar year, if betting activity is to be held over a period of 8 consecutive days, the operator will be required to submit 8 separate notices.

45.5 The period of 8 days applies to the venue and not the individual who has submitted the OUN.

45.6 An event running past midnight and ending on the following day accounts for two occasional use days, even though in practice it is one event.

45.7 If the maximum number of days is reached in a calendar year the OUN will not be accepted by the Council.

45.8 There is no need for a track to be permanently established for an OUN to be given.

45.9 The Council expects the betting to be limited to betting on the outcomes of a race, competition or other sporting event taking place at the track.

45.10 Betting operators cannot provide gaming machines at a track by virtue of an OUN.

Application process

45.11 All applicants must be a person who is either responsible for the administration of events on the track or the occupier of the track.

45.12 Applicants must:

- Submit a completed notification form
- Provide evidence that the applicant is either responsible for the administration of events on the track or the occupier of the track
- Specify the day(s) the notice is to have effect
- Provide a copy of the notice to West Mercia Police

46.0 Lotteries

46.1 Large Society Lotteries are regulated by the Gambling Commission through operating licenses and are not the concern of the Council.

46.2 There are several other types of lottery which do not require registration with the Council:

- Incidental Non Commercial Lotteries are lotteries that are incidental to a non-commercial event (such as a school fete).
- Customer Lotteries, which are lotteries promoted by the occupiers of business premises, who sell tickets only to customers present on their premises.

46.3 There are also three types of private lotteries as defined in the Gambling Act 2005 which do not require registration with the Council, referred to as:

- Private Society Lotteries (such as might be organised internally by a private members club),
- Work Lotteries (such as when employees at a workplace organise a sweepstake on the Grand National), and
- Resident's Lotteries (such as when persons all residing in a single premises organise a lottery amongst themselves).

46.4 Further details on these types of lotteries can be found in the Gambling Commission advice note "Organising Small Lotteries", which can be found at: <http://www.gamblingcommission.gov.uk/PDF/Organising-small-lotteries.pdf>

47.0 Part 3D - Lotteries

47.1 Small Society Lotteries

A small society lottery (SSL) registration is issued in accordance with Schedule 11 of the Gambling Act 2005.

Description

47.2 Society lotteries are lotteries promoted for the benefit of a non-commercial society. A society is non-commercial if it is established and conducted:

- for charitable purposes (as defined in Section 2 of the Charities Act 2006)
- for the purpose of enabling participation in, or of supporting, sport, athletics or a cultural activity
- for any other non-commercial purpose other than that of private gain.

47.3 A small society lottery:

- does not have proceeds (the total value of tickets sold) that exceed £20,000 for a single draw
- does not have aggregated proceeds from lotteries in excess of £250,000 in any one year.

- has a maximum prize for any draw not exceeding £25,000.

47.4 Small society lotteries do not require a licence but must be registered with the local authority in the area where the principal office of the society is located.

Principles

47.5 The Council expects operators of SSL to ensure that:

- the total value of prizes combined with the expenses of running the lottery do not exceed 80% of the total proceeds of that lottery.
- rollovers between lotteries are only permitted where every lottery affected is also a SSL promoted by the same society, and the maximum single prize is £25,000
- every ticket in the lottery must cost the same and the society must take payment for the ticket fee before entry into the draw is allowed
- SSL are conducted in a socially responsible manner
- effective measures are in place to minimise the risk of lottery tickets being sold to children under the age of 16
- tickets (physical or virtual e.g. email or text message) issued must include¹⁴:
 - the name of the promoting society;
 - the price of the ticket, which must be the same for all tickets;
 - the name and address of the member of the society who is designated as having responsibility at the society for promoting small lotteries or, if there is one, the External Lottery Manager (ELM); and
 - the date of the draw, or information which enables the date to be determined.
- written records are maintained of any unsold and returned tickets for a period of one year from the date of the lottery draw
- tickets are not sold by persons under the age of 16
- tickets are not offered for sale in a street except from a kiosk or similar static structure (Note: The Council is minded to prohibit the sale of tickets in the street by applying such a condition to the registration.¹⁵)
- any other necessary permissions, e.g., street trading consents, are in place
- it is made clear to consumers before they buy a lottery ticket exactly which society or charity the lottery proceeds are going to
- publish what proportion of money raised for lottery ticket sales in the previous year was returned directly for the purposes of the society

47.6 SSL operators will need to be careful when employing external help that such an individual or firm is correctly licensed by the Commission as an ELM, if

¹⁴ The requirement to provide this information can be satisfied by providing an opportunity for the participant to retain the message electronically or print it.

¹⁵ This is to bring the sale of small society lottery tickets in line with the way in which the Commission requires societies running large lotteries to operate.

required to be so. That requirement depends on the extent to which they, or the SSL itself, will be in control of:

- how the scheme operates
- banking arrangements for handling the proceeds
- who is selling the tickets, and who is paying the prizes
- who is promoting the lottery

47.7 During the currency of a registration the applicant and any appointed persons must notify the council in writing within 7 days of any cautions or convictions relating to the offences listed in Schedule 7 of the Act.

47.8 Where the Council has refused or revoked a registration and the applicant has submitted representations, the Council will reconsider the decision and notify the applicant of the outcome including the reasons for the decision.

48.0 Application process – new

48.1 Applications for new SSL registrations must:

- Submit a completed application form
- Pay the appropriate fee
- Provide a satisfactory basic criminal record disclosure from the Disclosure and Barring Service (DBS) (see note below and **Appendix F**)
- Confirm that it does not also hold a duplicate registration with another Council where the aims and objectives of the societies are the same.
- Provide copies of both the societies terms and conditions and constitution or similar document
- Submit a declaration, stating that the person making the application on behalf of the society represents a bona fide non-commercial society.
- Provide evidence that they have procedures in place for:
 - checking the age of apparently underage purchasers of lottery tickets; and
 - taking action where there are unlawful attempts to purchase tickets.

Note:

48.2 The requirement to provide a satisfactory basic criminal record disclosure from the DBS applies to the applicant and both appointed persons. The Council recognises that an applicant may also be an appointed person.

48.3 The basic criminal record disclosure from the DBS must be no more than three years old at the time the application is submitted.

48.4 A satisfactory enhanced DBS report will be accepted as an alternative to the basic criminal record disclosure from the DBS.

48.5 Once a registration has been issued the Council will add the details of the registration to a register available to the public or the Gambling Commission on request.

49.0 Returns to the Council¹⁶

49.1 The following information must be submitted as a return to the Council:

- the arrangements for the lottery – specifically the date on which tickets were available for sale or supply
- the dates of any draw
- the value of prizes, including any donated prizes and any rollover
- the total proceeds of the lottery
- the amounts deducted by the promoters of the lottery in providing prizes, including prizes in accordance with any rollovers
- the amounts deducted by the promoters of the lottery in respect of costs incurred in organising the lottery
- the amount applied to the purpose for which the promoting society is conducted (this must be at least 20% of the proceeds)
- whether any expenses incurred in connection with the lottery were not paid for by deduction from the proceeds, and, if so, the amount of expenses and the sources from which they were paid.

49.2 Returns must:

- be sent to the Council no later than three months after the date of the lottery draw, or in the case of ‘instant lotteries’ (scratch cards) within three months of the last date on which tickets were on sale
- be signed (electronic signatures are acceptable if the return is sent electronically) by two members of the society, who must be aged eighteen or older, they must be appointed for the purpose in writing by the society or, if it has one, its governing body, and be accompanied by a copy of their letter or letters of appointment

50.0 Annual Fee (Renewal)

50.1 Small Society Lotteries incur an annual fee, however the Council processes these as if they are ‘renewals’ and the renewal registration process is the same as the process set out above for new registrations, with the exception that:

- a satisfactory basic criminal record disclosure from the DBS is only required where the previously submitted disclosure is more than three years old on the date the application is submitted

¹⁶ Paragraph 39, Schedule 11

- copies of the society's terms and conditions and constitution or equivalent document are only required where there have been changes
- evidence of procedures for checking the age of apparently underage purchasers of lottery tickets and taking action where there are unlawful attempts to purchase tickets are only required where there have been changes

51.0 Decisions of the Council

51.1 The Council shall refuse a registration if within the previous five years:

- an operating licence held by the applicant has been revoked
- an application for an operating licence made by the applicant has been refused

51.2 The Council may refuse a registration if it thinks that:

- the applicant is not a non-commercial society
- a person who will or maybe connected with the promotion of the SSL has been convicted of a relevant offence
- information provided is false or misleading

51.3 The Council may revoke a registration:

- if it is considers that it would be obliged or permitted to refuse an application for the registration were it being made anew.
- where the society fails to submit the required returns within three months of a lottery
- where the society fails to comply with the requirements on operators as listed in the statement of principles above

51.4 Where the Council intends to refuse or revoke a registration it will notify the applicant of the intention to refuse or revoke and the reasons for it and giving the applicant an opportunity to make representations.

52.0 Right of Appeal

52.1 Where the Council takes a final decision to refuse to grant the registration or revokes it the society may appeal.

53.0 Part 3E - Activities Not Requiring Permissions

53.1 There are a number of gambling activities, under limited circumstances, that are permitted without any specific permissions. These are:

- non-commercial gaming
- non-commercial prize gaming

- non-commercial equal chance gaming
- incidental non-commercial lotteries
- private gaming, including poker as private gaming
- non-commercial betting
- non-commercial 'casino night' or 'poker night'
- casino night or poker night as non-commercial prize gaming
- casino night or poker night as non-commercial equal chance gaming
- casino night as private gaming
- non-commercial 'race night'
- race night as non-commercial gaming
- incidental non-commercial lottery
- race night as non-commercial prize gaming
- non-commercial equal chance gaming
- race night as private gaming
- race nights as betting events

53.2 Children and young persons are permitted to participate in non-commercial and private gaming and betting.

PART 4

INSPECTION, COMPLIANCE, ENFORCEMENT AND COMPLAINTS

PART 4 – INSPECTION, COMPLIANCE, ENFORCEMENT AND COMPLAINTS

54.0 Summary

- 54.1 This part of the Policy sets out the principles that will be applied when the Council carries out the inspection of premises and when it institutes criminal proceedings in respect of specified offences under the Act.
- 54.2 This includes the principles that will be applied in respect of general compliance, enforcement and the manner in which complaints will be dealt with.
- 54.3 The focus of the Council's inspection, compliance and enforcement role is on premises licences/permits/registrations for which it has responsibility to authorise.
- 54.4 The Gambling Commission will undertake compliance, regulation and enforcement as it applies to operator and personal licences. In addition, any concerns about the manufacture, supply or repair of gaming machines will be notified to the Gambling Commission and not dealt with by the Council.

55.0 Inspection, compliance and enforcement

- 55.1 The Council will generally use the least intrusive regulatory tool to achieve compliance and will ensure that any regulatory action is proportionate to the importance of the matters to which it relates, having regard to relevant risk assessments.
- 55.2 Council officers may undertake inspection, compliance and enforcement activities for the purpose of assessing compliance under the Act and to determine whether an offence is being committed. In doing so, the Council's officers will work closely with the gambling trade representatives and other enforcement authorities to achieve compliance with the relevant legislation, licence/permit/registration requirements and specific conditions of each licence/permit/registration.
- 55.3 The Council will undertake all inspection, compliance and enforcement work in accordance with the Council's Better Regulation and Enforcement Policy (or such similar policy that may from time to time be adopted) which is available on the Council's website at <http://shropshire.gov.uk/shropshire-council/policies/>. The Better Regulation and Enforcement Policy sets out clearly the overall approach adopted by the Council towards inspection, compliance and enforcement. It also specifically sets out the principles by which the Council intends to manage all criminal investigations; these principles also apply to the way in which criminal proceedings will be managed in relation to gambling related criminal offences specified under Section 346 of the Act.
- 55.4 The Council recognises that combating illegal gambling is of significant benefit to the licensed community as the provision of illegal unregulated gambling

impacts upon the reputation of the industry as a whole. The persistent and widespread existence of illegal gambling also reduces the incentive on operators to be correctly licensed.

- 55.5 Accordingly, where the Council uncovers evidence of illegal gambling it will work in partnership with the Commission to undertake criminal investigations into such activity with a view to prosecuting the individuals and companies responsible.
- 55.6 The Council will generally take prosecutions against those providing or facilitating illegal gambling, in effect gambling without a licence or permit, where the criminality is contained in one premises. The Commission will generally take the lead in prosecuting the offence for providing facilities for gambling where it is committed in the context of illegal gambling that appears organised and has a potentially national or regional impact, or where there are deliberate, reckless or significant breaches by a licensed operator.
- 55.7 The Council will generally agree to lead a multi-agency coordinated approach into investigations relating to illegal poker or illegal/illegally sited gaming machines in a specific premises, with the Commission, the police and, where appropriate, HMRC providing support, advice and expertise.
- 55.8 In relation to the prevention, investigation and prosecution of offences under the Act, and other offences related to gambling, the Council will give priority, based on the level of risk posed to the licensing objectives, to crimes in which there is a greater risk of harm or exploitation to children and vulnerable persons.
- 55.9 Whilst breaching a licence condition is a criminal offence, the Council will default, in the first instance, to its regulatory rather than criminal powers when considering such a breach. These regulatory powers include revocation, suspension and adding/removing/amending conditions. However, where there are significant breaches of licensing conditions that satisfy the criteria for invoking criminal powers in accordance with the Council's Better Regulation and Enforcement Policy this will mean that the Council will investigate matters with a view to instituting criminal proceedings irrespective of whether it has used its regulatory powers or not.
- 55.10 The Council will abide by the statutory principles of good regulation and the Regulators' Code. Inspection and enforcement activities will be carried out in a way that is transparent, accountable, proportionate, consistent and targeted, and promotes efficient and effective regulatory approaches that improve outcomes without imposing unnecessary burdens on business.
- 55.11 The Council will apply a risk-based approach to inspection and where relevant this will be informed by the Council's local area profile. Overall, it is the Council's intention to resource inspections of high-risk premises to a greater level than those deemed to be of a lower risk. This will ensure that resources are more effectively concentrated on potential problem premises. However, inspections of lower-risk premises will be undertaken at an appropriate level in

order to allow the Council to maintain a presence at such premises and to target controls on emerging risks.

55.12 Whilst the Council recognises that industry codes, developed through trade associations and similar organisations, do not have the force of a licence condition or code, the Council will use such codes to assist officers to conduct premises inspections.

56.0 Test purchasing and age verification

56.1 The Council will, where appropriate, utilise test purchasing operations to measure the compliance of licence/permit holders. The Council will follow current guidance (Age Restricted Products and Services: A Code of Practice for Regulatory Delivery published by the Better Regulation Delivery Office, April 2014), in order to ensure that tests are carried out in a manner that is risk-based and fair, with due regard to the welfare of young people involved in the test purchasing.

56.2 The Council will focus its regulatory test-purchasing on evaluating underage controls in place in licensed premises. The Council, where it is practical to do so, may consider test-purchasing in connection with evaluating the effectiveness of measures concerning self-exclusion and anti-money laundering policies and procedures (e.g. to regulate FOBT), but will only do so where it receives guidance and support from the Commission to undertake such operations.

56.3 The Council strongly encourages licence/permit holders to manage the business risk associated with preventing underage access to premises and permitting a young person to gamble, including the underage use of gaming machines. Where a licence/permit holder commissions a third party to test the effectiveness of their policies and procedures or put its own testing in place and where the results of the tests are shared with the Council and/or the Commission, the Council will be less inclined to conduct test purchasing.

56.4 Where the Council has concerns about underage access and age verification policies or where there are particular premises it plans to test purchase, the Council will, in the first instance, consult with the Commission and then also with relevant licence/permit holders and operators. This will enable the Council to avoid creating conflict between any ongoing investigation/enforcement activities being undertaken by the Commission, to identify what programmes are in place to manage the business risk and to take these into account when planning a test purchasing operation.

56.5 The Council will share its test purchasing results with the Commission.

56.6 The Council will follow any national inspection plans and strategies that are published on the Primary Authority register when considering proactive age restricted gambling sales activity including testing.¹⁷ However, where it is

¹⁷ Where other areas, e.g. Health and Safety, are covered by a Primary Authority Agreement the Council will also follow any requirements of that agreement.

necessary, the Council will undertake reactive test purchasing (Primary Authority plans do not prohibit this approach); the Council will still undertake relevant consultation, with appropriate parties, before doing so.

57.0 Complaints

57.1 Where appropriate, complainants will be encouraged to raise complaints with the relevant licence holder or business concerned. However, the Council will also respond to complaints in line with its Better Regulation and Enforcement Policy and will use complaint information to assist in the determination of licensing decisions and enforcement action.

58.0 Publication of information relating to the Council's regulatory functions

58.1 The Council will not normally publish details of the information found or the conclusions reached during its inspections and investigations. An exception may be made where there is speculation in the public domain and/or where those involved have made public statements which need to be responded to in order to avoid misconceptions arising.

58.2 The Council will normally publish details of all formal regulatory action taken under the Act. Such information will be published as soon as practicable after a decision has been taken, whether or not the decision is the subject of an appeal.

58.3 When investigating criminal matters, the Council will generally consider making a public announcement when suspects are arrested, when search warrants are executed, when charges are laid and at the conclusion of any trial. A public announcement may also be made at other stages of an investigation when this is considered appropriate.

58.4 The Council will, upon request, review any compliance or enforcement-related notices that are published on the Council's website in order to determine whether continued publication is appropriate, or whether publicity should be removed or amended.

PART 5

CONSULTATION

59.0 PART 5 – CONSULTATION

- 59.1 Formal consultation was undertaken from 12 July 2021 to the 19 September 2021. Details of the consultees are set out at paragraph 60.0 below.
- 59.2 The representations received during the consultation process, together with the Council’s responses, is available on the Council’s website as part of the report that was presented to the Strategic Licensing Committee on the 6 October 2021.
- 59.3 During the process of assessing the representations of those who were consulted, the Council had regard to guidance issued under the Act and gave appropriate weight to the views of those it consulted. In determining the weight to give particular representations, the following factors were taken into account:
- who made the representation (their expertise or interest);
 - relevance of the factors to the licensing objectives;
 - how many people expressed the same or similar views; and
 - how far the representations related to matters that the Council should be including in its Policy.

60.0 Consultees

Name of Organisation	Contact Details
All businesses holding gambling premises licence/permit/registration with Shropshire Council	By email and on Shropshire Council’s website
Action with Communities in Rural England (ACRE)	contact@acre.org.uk
Association of British Bookmakers	mail@abb.uk.com
Aquarius	headoffice@aquarius.org.uk
Be Gamble Aware (National Gambling Treatment Service and Responsible Gambling Trust)	info@gambleaware.org research@gambleaware.org
British Amusement Catering Association	info@bacta.org.uk
British Horseracing Board	info@britishhorseracing.com
Casino Operators Association	gensec@coa-uk.org.uk
Charity Commission	enquiries@charitycommission.gov.uk
Done Brothers t/a Betfred	support@betfred.com
Gambling Commission	info@gamblingcommission.gov.uk RBurkitt@gamblingcommission.gov.uk
Gamcare	info@gamcare.org.uk
Gamblers Anonymous	telford@gamblersanonymous.org.uk info@gamblersanonymous.org.uk
Gordon Moody Association	help@gordonmoody.org.uk

HMRC	nru.betting&gaming@hmrc.gsi.gov.uk
IMPACT AAS	info@impactaas.co.uk
John Gaunt and Partners	info@john-gaunt.co.uk
Keeping Adults Safe in Shropshire Network	SSCPBusinessUnit@shropshire.gov.uk
Mind	info@mind.org.uk
National Problem Gambling Clinic	gambling.cnwl@nhs.net
National Casino Industry Forum	director@nci-forum.co.uk
National Leisure t/a Talarius	customercare@quicksilver.co.uk
Poppleston Allen	Form submitted https://www.popall.co.uk/contact/
Samaritans	jo@samaritans.org
Shropshire Safeguarding Community Partnership	SSCPBusinessUnit@shropshire.gov.uk
Shropshire Recovery Partnership	shropshireinfo@addaction.org
Shropshire Chamber of Commerce	enquiries@shropshire-chamber.co.uk
Shropshire Clinical Commissioning Group	stwccg.generalenquiries@nhs.net
Shropshire Rural Communities Charity	enquiries@shropshire-rcc.org.uk
Shropshire Fire and Rescue Service	licensingapplications@shropshirefire.gov.uk
Shropshire Association of Local Councils – for distribution to all town and parish councils	alc@shropshire.gov.uk
Shropshire Council: Development Management Planning Policy Information Governance Public Health Safeguarding Children Safeguarding Adults Housing Economic Growth Visitor Economy	Planningpolicy@shropshire.gov.uk Planning.northern@shropshire.gov.uk Planning.southern@shropshire.gov.uk Information.request@shropshire.gov.uk Jayne.randall@shropshire.gov.uk Gabriel.agboado@shropshire.gov.uk Rachel.robinson@shropshire.gov.uk Ellie.jones@shropshire.gov.uk Sarah.hollinshead-bland@shropshire.gov.uk Laura.fisher@shropshire.gov.uk economicgrowth@shropshire.gov.uk visitor.economy@shropshire.gov.uk
The Charity Commission	RAUemailteam@charitycommission.gov.uk
TLT LLP	Ellie-Nicole.Davis@TLTsolicitors.com
West Mercia Police	licensing.shropshire@westmerciam.pnn.police.uk
William Hill	customerhelp@williamhill.co.uk

PART 6

LICENSING CONTACT DETAILS

61.0 PART 6 – LICENSING CONTACT DETAILS

61.1 Contact details

61.2 For information, advice and guidance relating to this Policy and the licensing and permitting of gambling establishments and activities, please contact:

Licensing
Trading Standards and Licensing
Shropshire Council
Abbey Foregate
Shrewsbury
Shropshire
SY2 6ND
Tel: 0345 678 9026
Email: licensing@shropshire.gov.uk

61.3 Website: <http://www.shropshire.gov.uk/licensing/>

62.0 Licence Fee Payments Telephone: 0345 678 9026

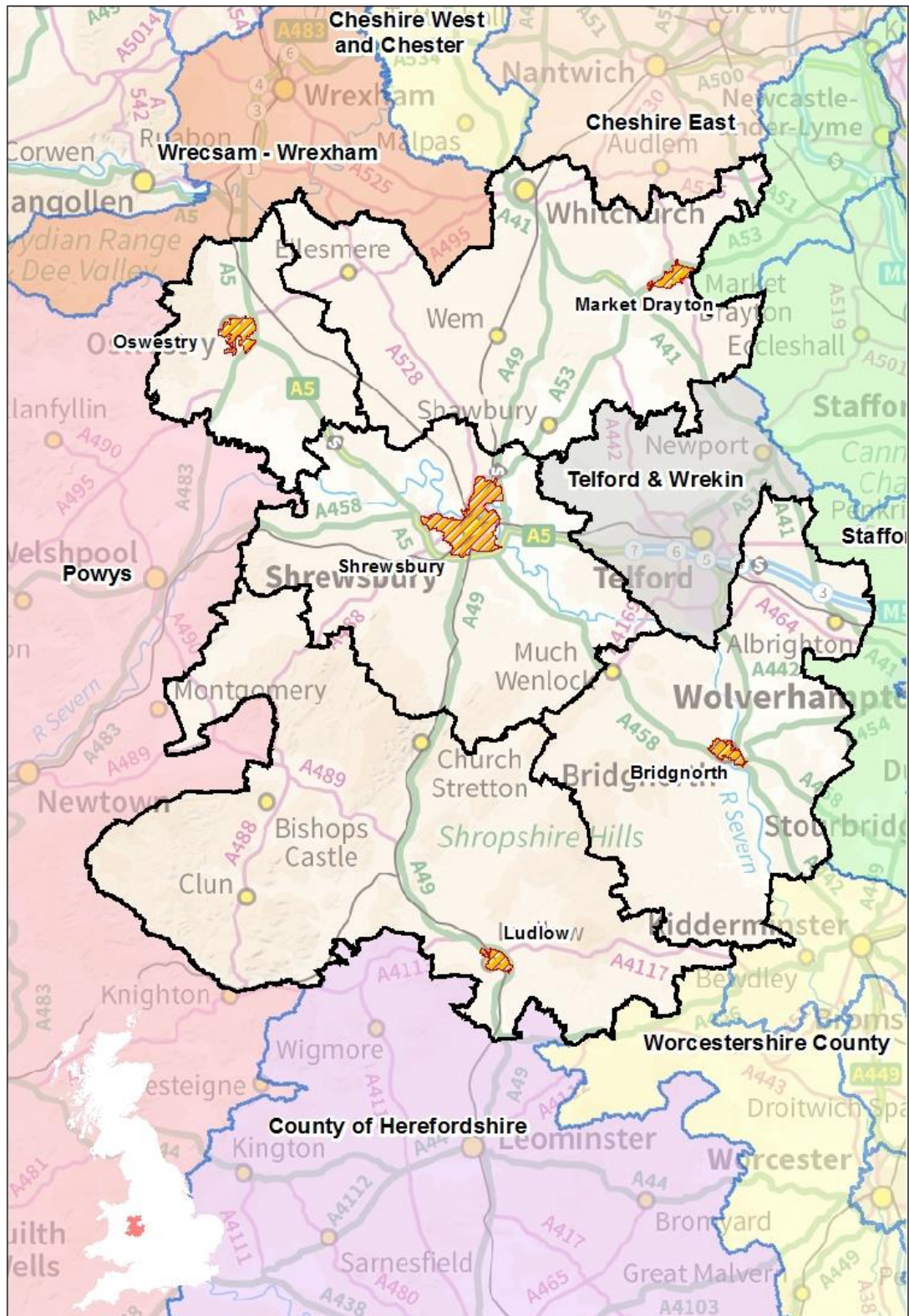
Online: <http://www.shropshire.gov.uk/pay-for/>

APPENDICES

APPENDIX A

MAP OF GEOGRAPHICAL AREA OF THE ADMINISTRATIVE AREA OF SHROPSHIRE COUNCIL

CABINET VERSION



Key

Yellow shaded area shows settlements of a population of over 10,000 people.

APPENDIX B

LOCAL AREA PROFILE

CABINET VERSION

NOT PROTECTIVELY MARKED



PROBLEM PROFILE:

LOCAL AREA PROFILE – GAMBLING PREMISES

AUTHOR:

NIKKI ARMSTRONG-SMITH

INTELLIGENCE ANALYST, RSTS&L

CREATED DATE:

30 MARCH 2021 - FINAL

VERSION	DATE
V1	30.03.21

Regulatory Services, Trading Standards & Licensing

Public Health

Shropshire Council, Shirehall, Abbey Foregate, Shrewsbury, SY2 6ND. Tel: 01743 258765

- INTRODUCTION

The Gambling Act 2005 outlines provisions relating to gaming, betting and lotteries. The Act also established a system of shared regulation; the Gambling Commission are the national regulator, with Licensing Authorities acting as the local regulators.

There are 3 key objectives of the Gambling Act 2005 which guide the way regulators perform their functions, as well as the way that gambling businesses conduct their activities :

- 1) Preventing gambling from being a source of crime or disorder, being associated with crime and disorder or being used to support crime.
- 2) Ensuring that gambling is conducted in a fair and open way.
- 3) Protecting children and other vulnerable persons from being harmed and exploited by gambling.

Local Licensing Authorities (LA's) have regulatory obligations under the Act for licensing gambling premises and issuing permits, in order to manage gambling provision locally. Licensing Authorities also have the ability to set fees in England and Wales.

LA's have a range of specific responsibilities, including:

- licensing and regulating premises for gambling activities
- considering notices given for the temporary use of premises for gambling
- granting permits for gaming and gaming machines in clubs and miners' welfare institutes
- regulating gaming and gaming machines in alcohol licensed premises
- granting permits to family entertainment centres for the use of certain lower stake gaming machines
- granting permits for prize gaming
- considering occasional use notice for betting at tracks
- registering small society lotteries¹⁸

In September 2015, the Gambling Commission revised the recommended approach to gambling licensing and regulation with a number of changes for licensing authorities that fall under three broad themes:

- increased focus on risk and regulation
- greater attention to local area risk, and
- encouraging partnership and collaboration between stakeholders to mitigate risk

In addition, from April 2016 all industry operators will be required to undertake local area risk assessments to identify the risks gambling venues pose to the licensing objectives.

Licensing Authorities have a requirement to develop, consult on, and publish a statement of licensing policy every three years in order to set out the approach to regulation and assist operators in terms of compliance. LA's are currently revising this statement ahead of implementation during 2022. The Gambling Commission encourages LA's to produce a policy statement reflective of local issues in order to identify and reduce risks to the licensing

¹⁸ www.gamblingcommission.gov.uk

objectives (as outlined above). This increased focus on risk requires an understanding of local areas in terms of vulnerable groups and geographical locations potentially linked to gambling related harm. Consequently, the need to develop a local area profile has been identified in order to inform and support the Statement of Licensing Policy.

- **AIM OF THE REPORT**

The following local area profile aims to summarise existing national research regarding gambling-related harm, as well as providing a local evidence base regarding vulnerable groups and geographical areas of potential risk. Data from various sources will be utilised in order to provide an understanding of current and emerging issues in order to support the statement of licensing policy, as well as identifying issues that will need to be considered by operators during the application process.

The report will also serve to support the decision-making process in relation to future licence applications in order to minimise the risks associated with gambling premises. Ultimately the findings will assist the Licensing Authority in terms of meeting the objectives and ensuring the specific needs of local communities are considered and vulnerable groups are protected.

It is acknowledged that there are additional datasets that need to be obtained in relation to the vulnerable groups identified locally, and data gaps will be addressed in order to produce a final report. The initial draft report is based on the analysis of data made available within specific time constraints.

- **BACKGROUND: EXISTING RESEARCH – VULNERABLE GROUPS**

The Gambling Act 2005 identifies children and vulnerable people as a priority for regulatory focus. Existing research aims to understand the impact of gambling on vulnerable groups, however there is a lack of clarification regarding who is vulnerable and why. Similarly, the Act does not define what is meant by ‘harm’. The Gambling Commission has stated that whilst they did not want to explicitly define who vulnerable people are, for regulatory purposes this is likely to include people who gamble more than they want to;

‘people who gamble more than they want to, people who gamble beyond their means and people who may not be able to make informed or balanced decisions about gambling due to, for example, mental health, a learning disability or substance misuse relating to drugs or alcohol’¹⁹.

The 2016 study ‘Exploring area-based vulnerability to gambling related harm: Developing the gambling-related harm risk index’ aimed to consider the types of people who may be at greater risk of harm from gambling and where they might be located. Via a process of consultation with key stakeholders, evidence assessment, and the availability of sufficient

¹⁹ Gambling Commission 2012

local data, the following criteria were utilised to develop indices of risk to gambling-related harm:

- Problem gamblers who are seeking treatment
- Substance abuse/misuse
- Poor mental health
- Unemployment
- Ethnic groups
- Youth
- Financial difficulties/debt
- Homelessness

There is growing evidence that vulnerability to problem gambling maybe be higher within certain sub-groups, particularly²⁰:

- Younger people, particularly men
- Those with other addictions (drugs, alcohol, nicotine)
- Those with mental health difficulties
- Unemployed, economically inactive, low socio-economic status, deprivation
- Some ethnic groups, eg new migrants
- Children of problem gamblers

The Gambling Commission acknowledge that more work is needed to assess the scale of gambling related harm and understand the factors that influence gambling behaviour in order to focus on prevention strategies. A report published by the Commission in 2018 considered how gambling related harms could be better understood, measured and monitored, and also developed a definition to be used in policy and practice²¹.

In order to explore vulnerability and harm at a local level, analysis will focus on key demographic and socio-economic datasets incorporating the above criteria where possible, in order to provide an evidence base in support of licensing objective 3 and ultimately assist in reducing the exposure of vulnerable people to gambling premises. It is recognised that there are gaps in terms of datasets utilised, however priority has been given to reliable local information made available in line with the time frame for completing this profile. Crime and Anti-Social Behaviour data has also been analysed, as these indicators are specifically linked to objective 1. The data has been mapped against ward boundaries, with the location of gambling premises also displayed in order to identify geographical areas of risk and correlations with other criteria. Rates provided have been calculated using mid-year 2019 population estimates.

²⁰ Sheffield City Council JSNA 2018

²¹ Measuring Gambling Related Harms: A Framework For Action 2018

- GAMBLING PREMISES

Gambling is a significant leisure activity in the UK, and the Gambling Commission reported high levels of participation during 2019, see findings below.



*Please note, 2020 data has not been reviewed due to the impact of COVID on gambling activities.

Shropshire currently regulate 527 gambling premises; see below for a full breakdown of the licence type.

LICENCE TYPE	TOTAL
Alcohol Licensed Premises - Notification	229
Small Society Lottery Registration	225
Alcohol Licensed Premises - Permit	21
Betting Premises Other Than a Track	19
Club Machine Permits	18
Club Gaming Permits	6
Adult Gaming Centre	4
Family Entertainment	2
Bingo Premises	1
Betting Premises in Respect of a Track	1
Occasional Use Notice	1
Grand Total	527

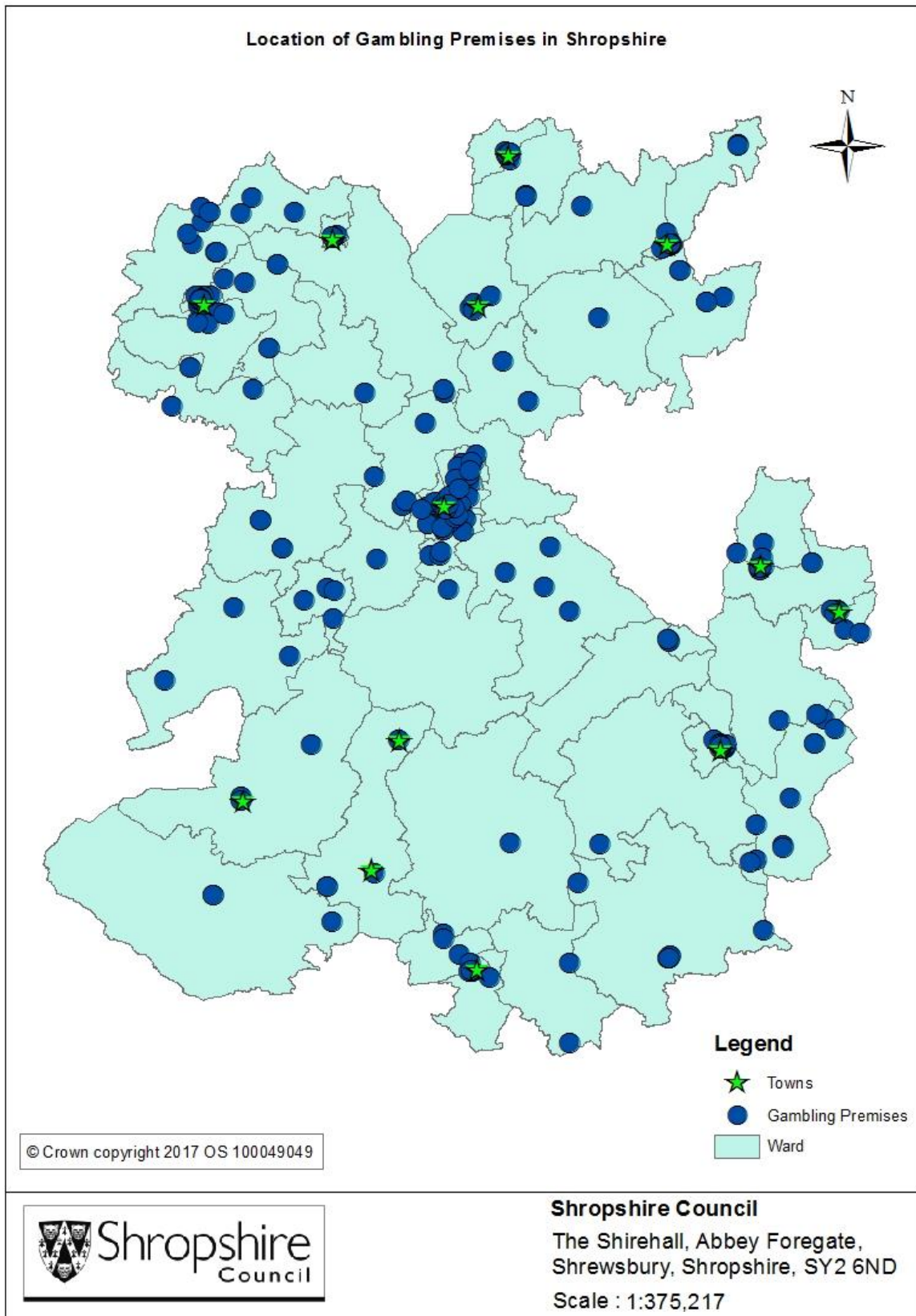
Figure 1: Breakdown of licence type

As illustrated, there is a clear link with premises licensed to sell alcohol; 47% of all gambling premises are also licensed to sell alcohol indicating further risk factors and vulnerable groups. For example, electronic gaming machines are often prevalent within licensed premises which increases the likelihood of impulsive gambling; this highlights the fact availability and convenience are important regulatory concerns.

For the purposes of this risk analysis, small society lotteries have been excluded from the remainder of the report; as people do not attend these premises in order to gamble, they do not pose a risk to those vulnerable to gambling related harm. Such premises are often schools, churches or community groups utilising raffles in order to raise financial funds, as such their inclusion will potentially distort the results in terms of identifying geographical areas of risk.

The place where a person gambles is an important factor in the management of risk to the licensing objectives, and local policies and plans should reflect the need for limits on gambling establishments in hotspot locations and areas of risk identified via the following profile. The

map below displays the current location of gambling premises across Shropshire, and indicates cluster sites in the main county towns, with a higher concentration of premises in the Shrewsbury and Atcham district;



*Please note 8 records were not geocoded

As illustrated, the highest number of premises are located in Shrewsbury. At a lower geographical level, the tables below identify the number and rate of premises licensed for gambling activities per ward.

WARD	TOTAL
Quarry and Coton Hill	28
Oswestry South	17
Whitchurch North	14
Bridgnorth East and Astley Abbotts	13
Bayston Hill, Column and Sutton	11
Ludlow North	11

Figure 2: Number of premises per ward

WARD	RATE PER 1000 POPn
Quarry and Coton Hill	5.70
Oswestry South	3.77
Ludlow North	2.91
Alveley and Claverley	1.92
Bridgnorth East and Astley Abbotts	1.89

Figure 3: Rate of premises per 1000 population by ward

Key findings: Quarry and Coton Hill in Shrewsbury recorded both the highest number and rate of premises licensed for gambling activities per 1000 population, indicating a key hotspot location regarding the supply and level of gambling activity. This ward encompasses Shrewsbury town centre; it is predominantly urban in nature and densely populated. The ward provides a wide range of shops and other amenities, and also has a comparatively higher number of premises licensed to sell alcohol. The only bingo hall in Shropshire is also located in this particular ward.

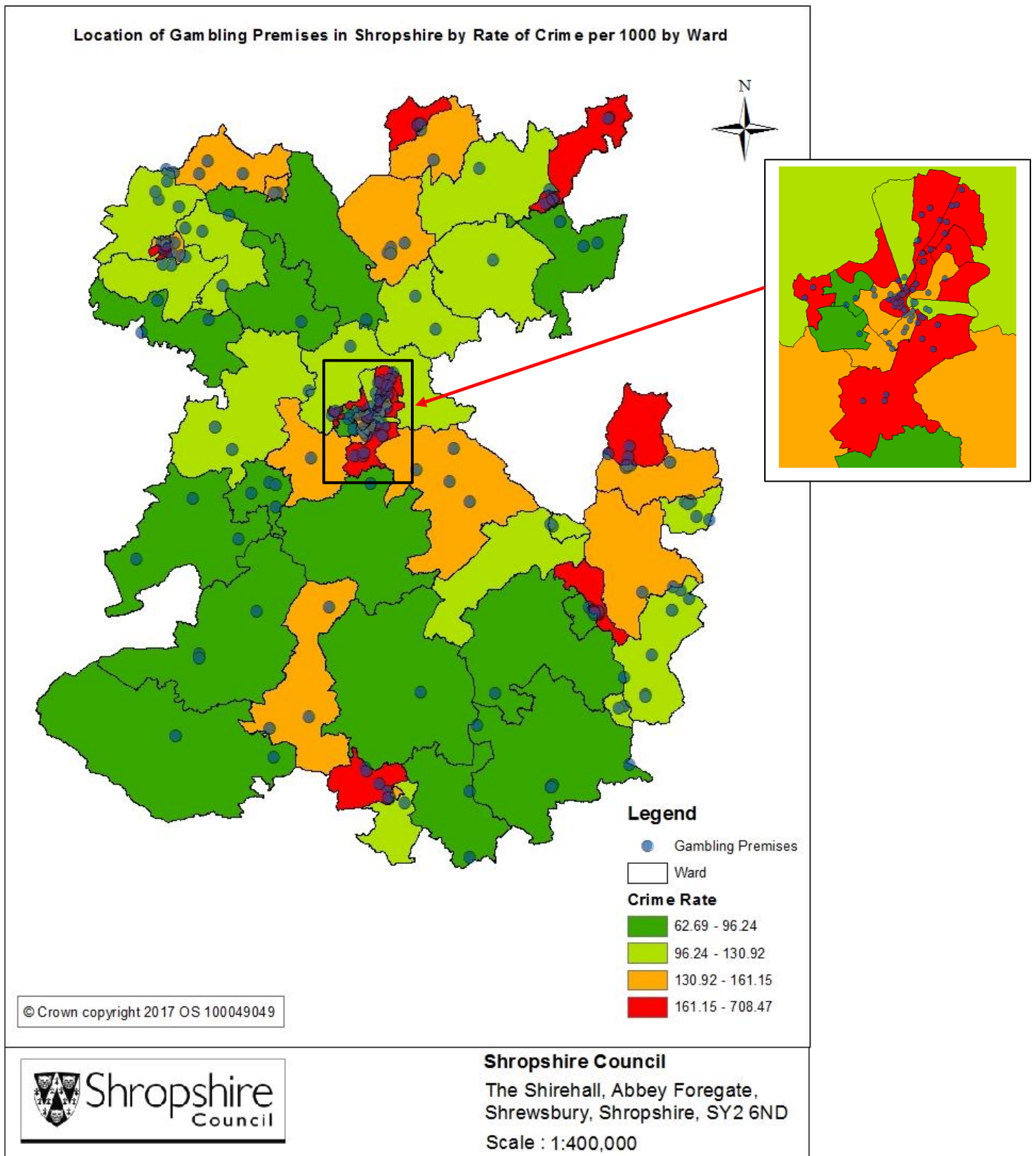
Aside from the physical location of premises licensed for gambling, local data is limited regarding the scope of gambling activity. Further data is required in order to determine local participation in gambling, and an information request has been submitted to Gamcare in order to establish the number of calls received from Shropshire based postcodes, and the number of people accessing support services. Open source research has identified a weekly Gamblers Anonymous group meeting in Telford, and several rehabilitation centres located in Shropshire. The 24-hour helpline number hosted by GamCare is provided via the Shropshire Council website in order to promote access to support services.

The remainder of the report focuses on risks associated with objective 1 of the Gambling Act, as well as identifying locations where individuals at risk of gambling related harm are located or more likely to frequent, in support of objective 3.

- CRIME AND ANTI-SOCIAL BEHAVIOUR TRENDS

Objective 1 of the Gambling Act focuses on preventing gambling from being a source of crime or disorder, being associated with crime and disorder or being used to support crime. In order to identify hotspot areas, and any correlation with the location of existing gambling premises, crime data obtained from West Mercia Police has been analysed for the period April 2018 – March 2021.

The map below displays the location of gambling premises, alongside the rate of crimes per 1000 population by ward in Shropshire.



The tables below identify the top 5 hotspot wards with regard to both the number and rate of recorded crimes.

WARD	TOTAL
Quarry and Coton Hill	3480
Bayston Hill, Column and Sutton	2047
Oswestry South	1809
Harlescott	1772
Whitchurch North	1606

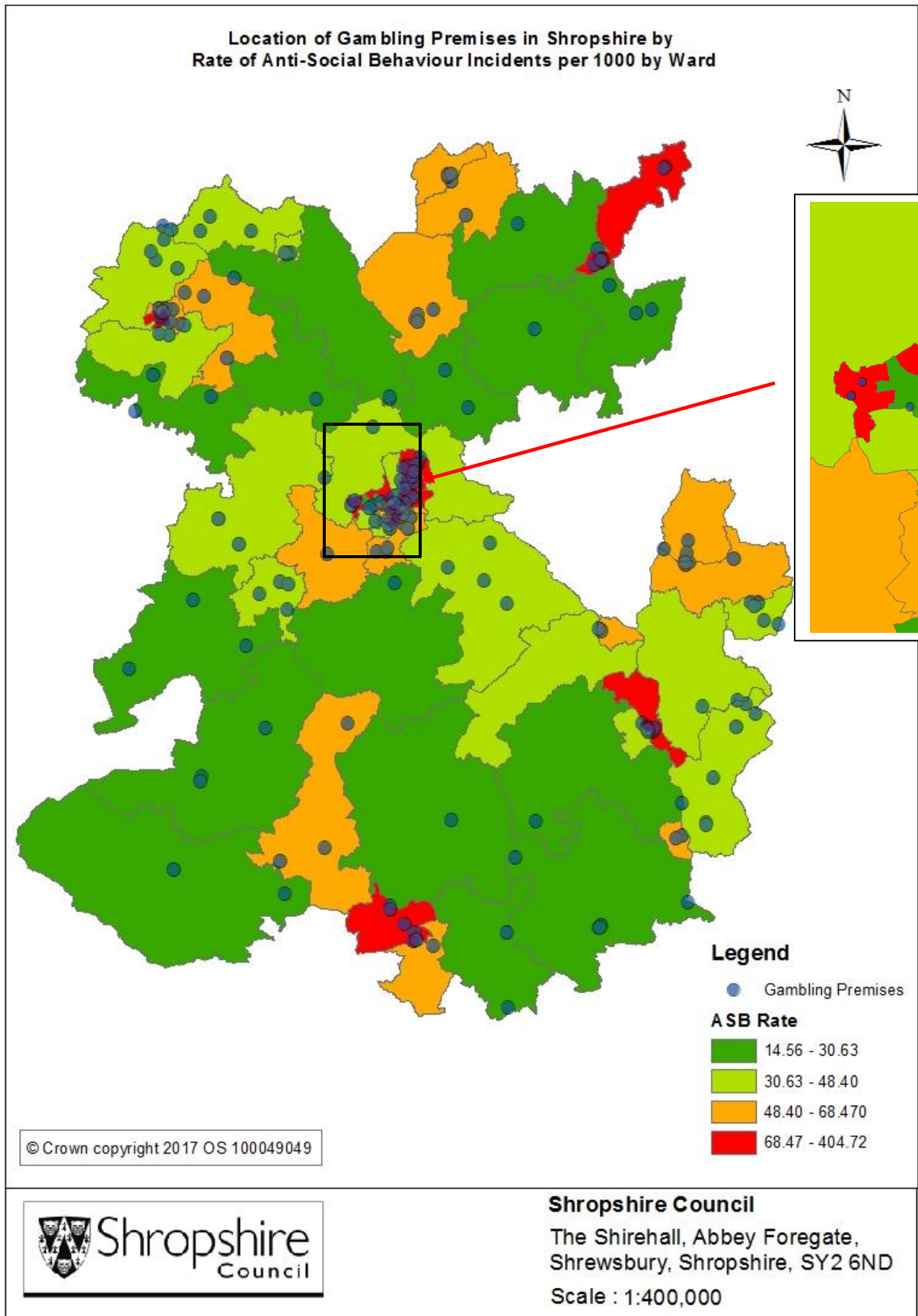
Figure 4: Number of Crimes per ward

WARD	RATE per 1000 POPn
Quarry and Coton Hill	708.47
Oswestry South	401.02
Harlescott	353.55
Castlefields and Ditherington	325.63
Ludlow North	289.12

Figure 5: Rate of crimes per 1000 population by ward

Key findings: Quarry and Coton Hill has been identified as the hotspot ward in relation to recorded crime. As outlined previously, this ward includes Shrewsbury town centre and therefore incorporates a wide range of amenities including retail and commercial premises. A higher number of licensed premises are also located in this particular ward, indicating a correlation with the night-time economy. Oswestry South also features within the top 5 in relation to both crime volume and crime rate, as well as the number and rate of gambling premises.

Due to system changes, geocoded Anti-Social Behaviour (ASB) data provided by West Mercia Police is only available for the period 1st April 2018 – 31st March 2020. The map overleaf displays the location of gambling premises, alongside the rate of ASB incidents per 1000 population by ward.



As illustrated, key cluster sites regarding gambling premises do correlate with wards recording a higher rate of ASB. The tables below identify the top 5 hotspot wards in relation to both the number and rate of ASB incidents.

WARD	TOTAL
Quarry and Coton Hill	1988
Harlescott	886
Castlefields and Ditherington	858
Market Drayton West	709
Oswestry South	651

Figure 6: Number of ASB incidents per ward

WARD	RATE PER 1000 POPn
Quarry and Coton Hill	404.72
Castlefields and Ditherington	183.57
Harlescott	176.78
Oswestry South	144.31
Ludlow North	118.08

Figure 7: Rate of ASB incident per 1000 population by ward

Key findings: Again, Quarry and Coton Hill has been identified as the hotspot ward in relation to ASB, primarily due to the nature of the town centre location. Harlescott, Castlefields & Ditherington, and Oswestry South also feature within the top 5 hotspots regarding the volume and rate of incidents per 1000 population; all three wards are predominantly urban and densely populated.

Recommendation: With regard to future licence applications in relation to premises located in the wards identified above, ensure the required measures are in place to minimise the impact on increased crime and disorder levels; for example door supervision, adequate staffing levels, CCTV and other appropriate crime prevention tactics. Also consider the use of ASB powers to tackle any ongoing nuisance issues at existing gambling premises.

- DEMOGRAPHICS

AGE PROFILE

The third objective of the Gambling Act states that children should be protected from being harmed or exploited by gambling, and as such recognises young people as a vulnerable group. The legal age for most gambling products in the UK is 18, with the exception of lotteries, scratch cards and football pools which is 16²². Recent studies have shown that young people, particularly students are more likely to engage in online gambling which is an area regulated by the Gambling Commission.

In overall terms the levels of gambling by children has been falling over time; Gambling Commission data found that 11% of 11-16-year olds surveyed had spent some of their own money on gambling activities in the last seven days in 2019. However, consideration should be given to interventions which will ensure the prevention of underage gambling, as well as safeguarding measures in relation to the children of problem gamblers.

²² Gambling Commission 2012

18% of the population in Shropshire are under 18, and 13% are of school age (aged 5-16 years). The table below displays the top 10 areas in relation to the rate of school children per 1000 population²³. The number of children by age is also displayed.

WARD NAME	Age 5	Age 6	Age 7	Age 8	Age 9	Age 10	Age 11	Age 12	Age 13	Age 14	Age 15	Age 16	Total 5-16	Rate per 1000 Popn
Porthill	60	40	68	53	51	58	48	57	54	129	117	120	855	175.13
Sundorne	68	56	61	75	72	56	62	59	66	68	52	51	746	172.81
Underdale	59	62	71	74	61	59	74	65	43	66	47	64	745	165.30
Ruyton and Baschurch	48	32	54	45	68	67	58	79	81	71	66	51	720	163.97
Copthorne	47	40	52	53	57	65	80	63	58	57	53	63	688	159.41
Harlescott	55	71	80	74	66	60	66	65	54	58	63	64	776	154.83
Monkmoor	39	64	43	61	86	50	62	49	59	48	57	57	675	149.80
Burnell	28	28	53	53	53	58	44	49	67	80	89	152	754	149.63
Meole	40	53	58	55	61	52	61	54	77	59	51	59	680	149.35
Cheswardine	52	57	45	66	58	64	64	52	46	37	56	58	655	146.96

Figure 8: Top 10 Areas - Rate of school aged children per 1000 population

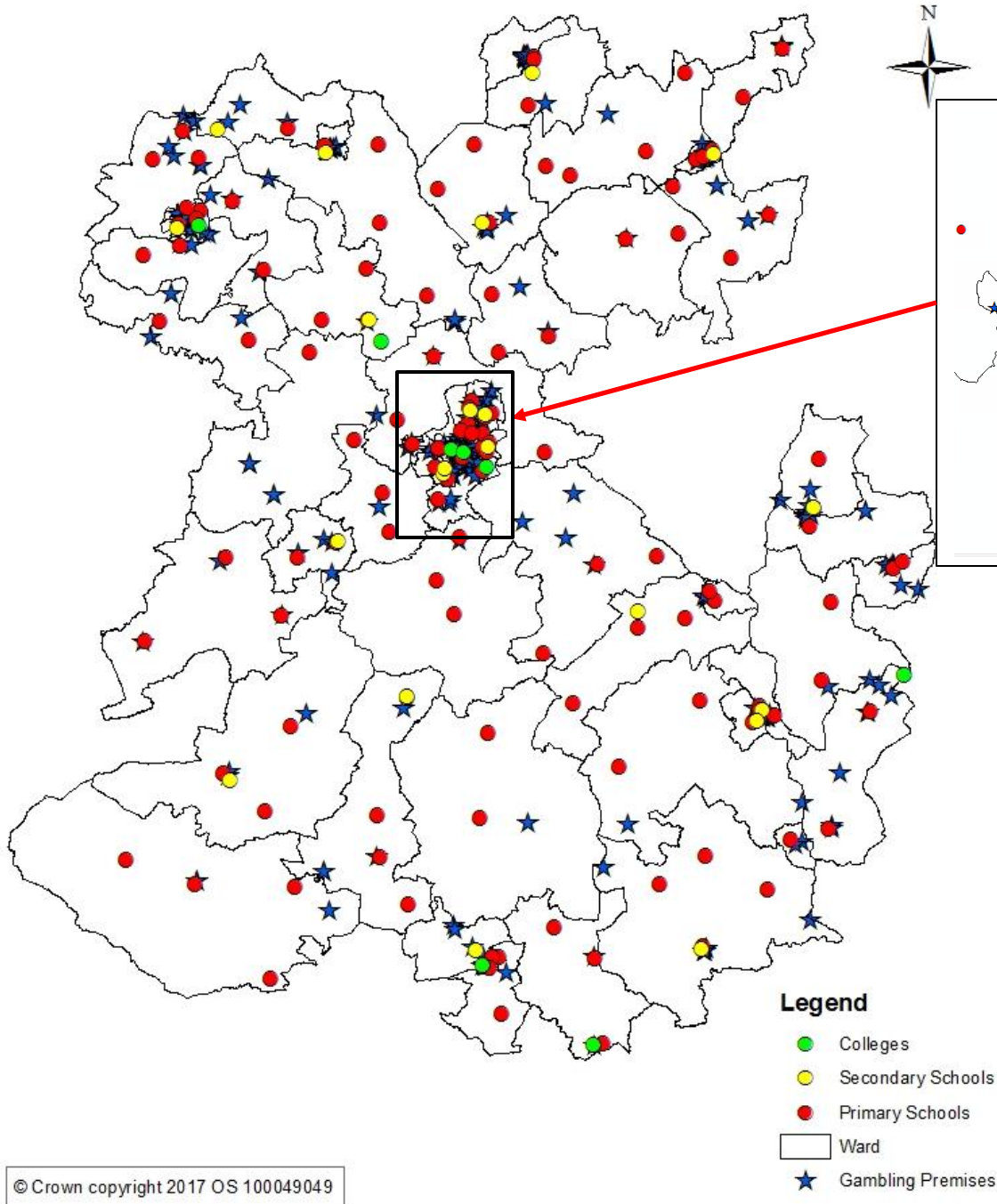
The supply and level of gambling activity in certain areas should be taken into consideration; for example, the proximity of gambling premises to schools. The map overleaf displays the location of all Shropshire schools and colleges alongside gambling premises, in order to identify locations where younger people will be present in greater numbers at certain points of the day.

Key findings: Porthill has the highest rate of school age children across Shropshire; the area is adjacent to the gambling premises cluster site in Quarry and Coton Hill ward and as such should be considered a risk area. As outlined previously, the highest number of gambling premises are located in Quarry and Coton Hill ward; this area also contains Shrewsbury Sixth Form College Welsh Bridge Campus, with the English Bridge Campus as well as Coleham Primary School located just outside the ward boundary.

Recommendation: With regard to future license applications in relation to premises located in the wards identified above, ensure the required measures are in place to prevent underage gambling and to protect young people from gambling related harm; for example age verification controls, door supervision, prevention material and signposting regarding support services. Consider test purchase exercises in order to monitor compliance.

²³ Mid-2019 Population Estimates, Office for National Statistics

Location of Gambling Premises, Schools and Colleges in Shropshire



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Shropshire Council
The Shirehall, Abbey Foregate,
Shrewsbury, Shropshire, SY2 6ND
Scale : 1:375,217

ETHNICITY

The report ‘Exploring area based vulnerability to gambling related harm: Developing the gambling related harm risk index’ (2016) found good evidence to support those from certain ethnic groups, such as Asian/Asian British, Black/Black British and Chinese/other ethnicity as being potentially more vulnerable to gambling-related harm.

2011 Census data has been utilised in order to identify geographical areas with a higher number of residents from Asian/Asian British, Black/African/Caribbean/Black British ethnic groups, Arab or other ethnic groups. Timeliness of the data does pose a limitation, however used alongside the additional criteria this information provides a useful indicator in terms of identifying the geographical location of groups potentially vulnerable to gambling related harm. The table below displays the top 5 wards recording the highest percentage of residents from the identified ethnic groups outlined above.

Ward	% of Population
Burnell	6.66
Bowbrook	6.15
Porthill	4.06
Radbrook	3.32
Copthorne	3.26

Figure 9: Top 5 Wards – Percentage of residents from Asian, Black and Other Ethnic Groups

Recent studies have identified that new migrants may be disproportionately affected by gambling and can be particularly at risk of harm if coming from countries with stricter gambling restrictions.

Key finding: Porthill and Copthorne feature within the top 5 hotspot wards and have also been identified as risk areas in relation to the rate of 5-16 year olds per 1000 population.

- SOCIO-ECONOMIC FACTORS

INDICES OF DEPRIVATION 2019

The Indices of Deprivation 2019 provide a set of relative measures of deprivation for small areas across England, based on seven different indicators which include the following;

- Income Deprivation
- Employment Deprivation
- Education, Skills and Training Deprivation
- Health Deprivation and Disability
- Crime
- Barriers to Housing and Services

- Living Environment Deprivation²⁴.

The IMD score is an important tool for identifying disadvantaged areas and can provide a useful indicator in terms of highlighting potential areas of risk in relation to gambling-related harm.

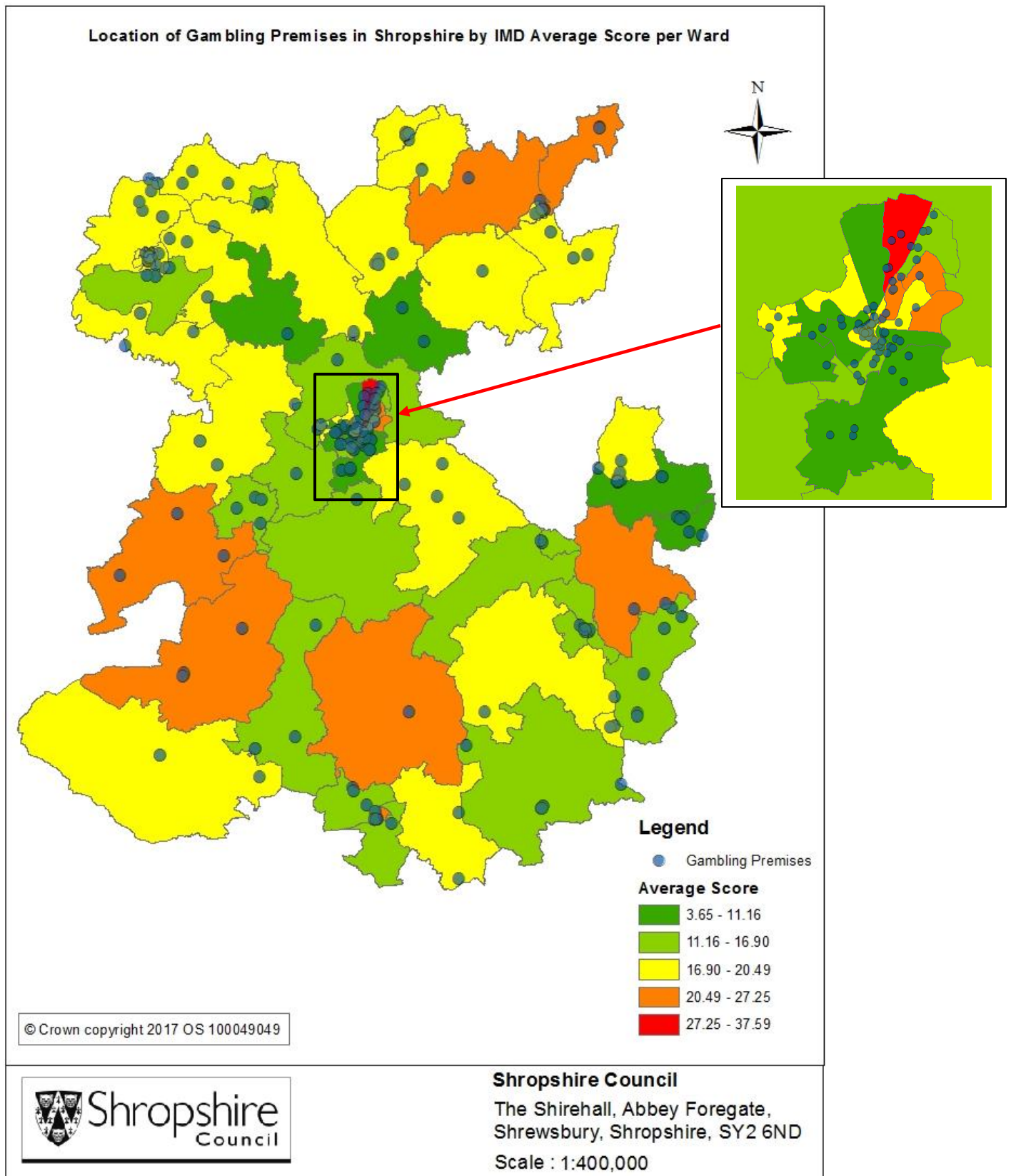
In order to establish a picture of overall deprivation at ward level in Shropshire, an average score measure is calculated, and ensures values can be ranked with a rank of 1 (most deprived) assigned to the highest score. The table below displays the 10 most deprived areas in Shropshire.

ELECTORAL DIVISION	AVERAGE SCORE RANK
Harlescott	1
Monkmoor	2
Ludlow East	3
Castlefields and Ditherington	4
Sundorne	5
Worfield	6
Market Drayton East	7
Prees	8
Corvedale	9
Bishop's Castle	10

Figure 10: Top 10 Wards – Average Deprivation Score

The map overleaf displays the average deprivation score per ward across Shropshire, alongside the location of gambling premises.

²⁴ Shropshire Snapshot Indices of Deprivation 2019; Shropshire Council



Key findings: 4 of the top 10 wards are located in Shrewsbury; as outlined previously Shrewsbury has the greatest concentration of gambling premises. Harlescott has the highest deprivation score, although this ward does not feature as a hotspot in relation to the number

or rate of gambling premises. Castlefields and Ditherington features in the top 5 most deprived wards and is adjacent to Quarry and Coton Hill ward which contains the highest number of gambling premises.

UNEMPLOYMENT

The number of economically active unemployed residents has been considered in order to indicate unemployment levels among resident populations. This data is based on the 2011 UK Census, therefore again the timeliness does pose a limitation, however used alongside the additional criteria provides a useful indicator. The table below displays the top 5 hotspot areas regarding the number of unemployed residents.

WARD	UNEMPLOYED
Oswestry East	304
Market Drayton West	246
Whitchurch North	221
Bayston Hill, Column and Sutton	198
Wem	197

Figure 11: Top 5 wards – number of residents unemployed (2011 Census)

In order to further identify areas of increased income and employment deprivation, the table below displays the top 5 wards based on the proportion of the resident population (aged 16-64) in February 2021 claiming Jobseeker’s Allowance plus those who claim Universal Credit who are out of work²⁵.

WARD	%
Castlefields and Ditherington	8.4
Highley	7.8
Quarry and Coton Hill	7.7
Sundorne	7.1
Harlescott	7.0

Figure 12: Top 5 wards – proportion of residents claiming JSA and UC

Regarding areas of increased income and employment deprivation, the location of job centres, payday loan shops, food banks and homeless shelters are key location types in terms of identifying areas frequented by those likely to be experiencing financial difficulties. The COVID pandemic has had a significant impact on the labour market which has led to greater financial hardship; more specifically increased food poverty has led to a higher number of food banks. Key locations should be identified, and risk assessed in line with hotspot areas previously highlighted in relation to gambling supply.

²⁵ www.nomisweb.co.uk

Key findings: Quarry and Coton Hill ward features as a risk area in relation to income deprivation and has previously been identified as a hotspot area regarding gambling activity. Due to the town centre location, this ward is also more likely to contain job centres and pay day loan provision. 4 of the top 5 wards regarding income deprivation are located in Shrewsbury; of note Castlefields and Ditherington, and Harlescott also experience comparatively higher rates of crime and anti-social behaviour.

Recommendation: Research indicates that those living in deprived areas, as well as those experiencing financial difficulties are potentially more vulnerable to gambling related harm. Consideration should therefore be given to future license applications for premises located in the areas posing a greater risk as identified above, alongside a focus on the availability of gambling awareness literature and support services.

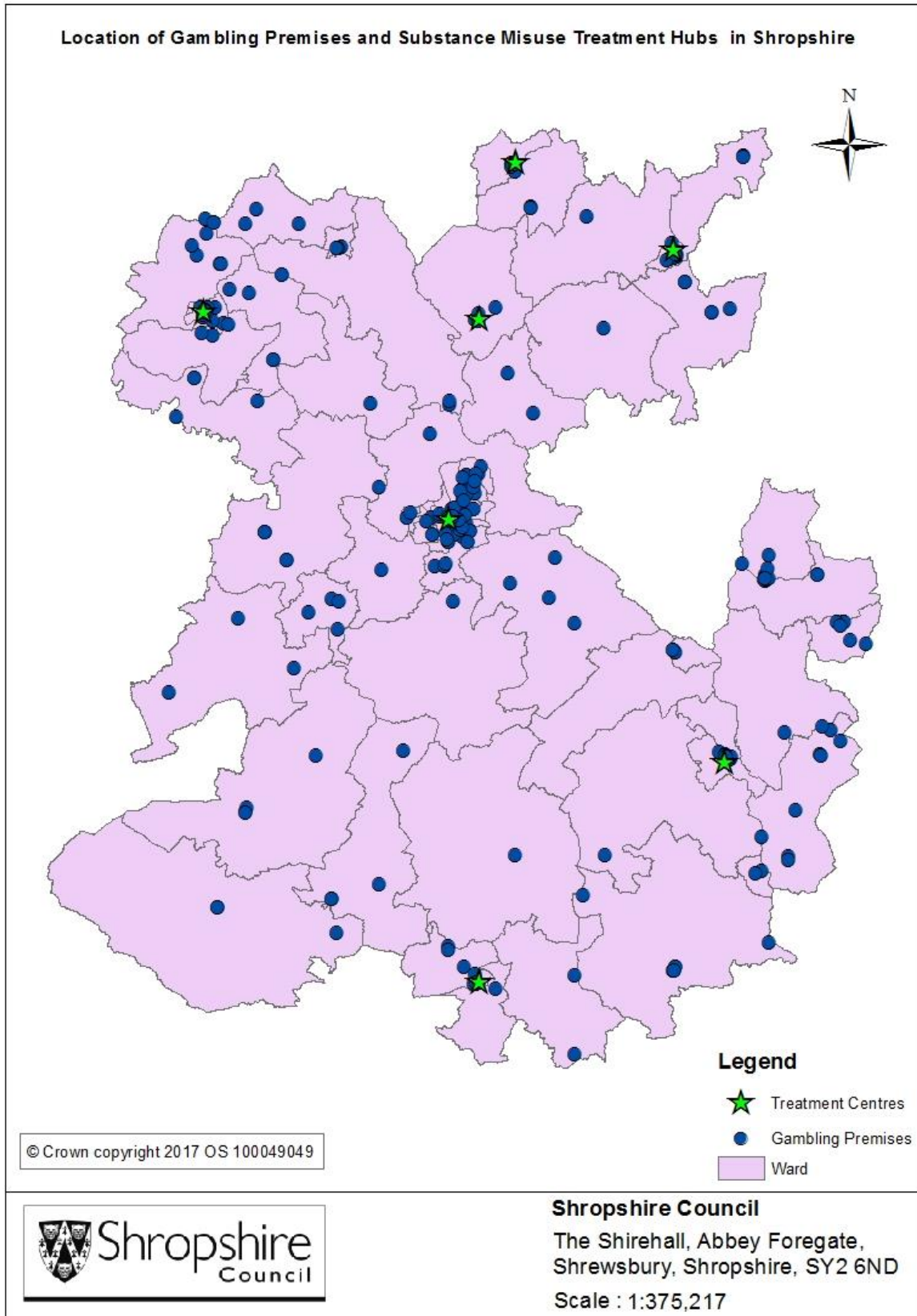
- SUBSTANCE MISUSE

Individuals already experiencing addictions, particularly in relation to substance misuse are potentially vulnerable to gambling related harm. Drug and alcohol treatment centres are therefore likely to draw vulnerable people into specific locations. The map overleaf displays the location of treatment hubs in Shropshire, and their proximity to gambling premises.

Needle exchange data requested 19/03/2021 – not yet received

Key findings: As would be expected, treatment hubs are located in town centre locations where the concentration of gambling premises is generally greater, particularly in Quarry and Coton Hill ward. In order to effectively identify geographical areas of concern, further data at ward level is required in relation to individuals accessing services and treatment for substance misuse issues.

Recommendation: As individuals attending drug and alcohol treatment centres are potentially more vulnerable to gambling related harm, ensure the adequate provision of gambling awareness literature alongside effective signposting regarding support services such as GamCare, in order to reduce the risks posed to the licensing objectives in hotspot areas identified.



- **CONCLUSION**

Findings indicate that the highest number of risk areas are located within the Shrewsbury and Atcham district, which would be expected as this is the most densely populated area in Shropshire. At a lower geographical level Quarry and Coton Hill ward poses the greatest risk primarily due to the location of gambling premises, alongside crime and ASB rates posing risks in relation to objective 1 of the Gambling Act. Outside of Shrewsbury, a higher number of identified risk factors are linked to Oswestry; of note, Oswestry South has the second highest number and rate of gambling premises across Shropshire.

The risk matrix displayed in appendix 1 details the ward areas across Shropshire posing the greatest risk, alongside the specific indicator. This allows for the identification of risk type; this maybe the location of certain premises, or the location of groups vulnerable to gambling related harm. However, all areas outlined within the profile should be considered risk areas and future applications for gambling premises located in these wards should be evaluated in line with the findings of this report in order to effectively manage and minimise the impact of gambling related harm in line with the three key objectives of the Gambling Act.

- **RECOMMENDATIONS**

This profile provides a starting point in terms of identifying local risk factors requiring consideration in order to aid compliance with the key licensing objectives. However, it is important to build on this profile via engagement with other partner organisations in order to enhance the range of local risk factors considered. Additional datasets are also required, and further in-depth analysis of key hotspot areas identified may also assist in targeting the provision of public health advice and specialised treatment services in order to ensure effective prevention strategies.

APPENDIX C

ESTIMATED PREVALENCE OF PROBLEM GAMBLING IN SHROPSHIRE

Estimated prevalence of problem gambling in Shropshire

Introduction

Gambling risk status has been defined using the short-form Problem Gambling Severity Index (PGSI) for the Gambling Behaviour Surveys. A score of 4 or higher indicates problem gambling status implying the gambling behaviours have negative consequences for the individuals affected and a possible loss of control (see Table 1).

Table 1: Gambling risk classification

Score	Classification	Explanation
0	Non-problem gambler	Gamblers who gamble with no negative consequences.
1	Low risk gambler	Gamblers who experience a low level of problems with few or no identified negative consequences
2-3	Moderate risk gambler	Gamblers who experience a moderate level of problems leading to some negative consequences.
4+	Problem gambler	Gambling with negative consequences and a possible loss of control.

The purpose of this estimate is to quantify the scale of problem gambling among Shropshire residents to inform local strategies and plan to manage the problem.

Method

The levels of problem gambling from the 2021 Gambling behaviour survey based on age-specific rates for 16-24, 25-34, 35-44, 45-54, 55-64, and 65+ year olds were used to multiply the ONS mid-year population estimates for 2020 to estimate the numbers with problem gambling assuming the national profile applies to Shropshire. The survey covered all forms of gambling including online gambling.

The local rate was calculated per 10,000 resident population aged 16 years or older and compared with the national average.

Please see Table 2 for details.

Data sources

- Prevalence estimate: [Gambling behaviour in 2021: Findings from the quarterly telephone survey \(Year to March 2021\) - data.gov.uk](#)
- Local population estimate: Office for National Statistics (ONS) Mid-2020 Population Estimates for 2020 Wards, and 2021 LAs in England and Wales by Single Year.

The above are the most recent relevant data available

Interpretation and Limitations

This is a synthetic estimate intended to highlight the scale of the local problem and is not based on real local data. Nationally the population structure has a higher proportion in younger working age population than Shropshire, and problem gambling rates are higher in this age group, local estimate will be generally lower in areas with higher concentration of the older age group and higher in areas with predominantly younger working age population.

The latest survey was done during the COVID pandemic during which some activities (e.g., sporting activities) were suspended. There is a potential the survey findings may underestimate the extent of the problem gambling levels nationally.

Additionally, the national survey has not been broken down by sex specific age groups hence it was not possible to provide estimates by sex.

Finally, due to the relatively small sizes of the national survey sample split by age the estimates should be treated with caution.

In spite of the above limitations, this estimate provides a useful baseline for informing local strategies to address problem gambling given the fact that a significant proportion (42.0% the 2021 national survey participate population) in one form of gambling or the other and gambling is a significant source employment and revenue for government.

Table 2: Estimated levels of Problem Gambling by Electoral Ward (September 2021)

Ward Name	Estimated number affected	Estimated Rate per 10,000 aged 16 or above	Rank of rate (Rank 1 is the lowest rate and Rank 63 is the highest rate)
Abbey	13	34.89	17
Albrighton	12	32.28	5
Alveley and Claverley	12	33.84	9
Bagley	16	40.19	57
Battlefield	17	42.42	62
Bayston Hill, Column and Sutton	37	35.17	21
Belle Vue	15	38.20	43
Bishop's Castle	11	33.51	8
Bowbrook	16	39.63	52
Bridgnorth East and Astley Abbotts	20	33.29	7
Bridgnorth West and Tasley	22	36.32	31
Broseley	15	36.25	29
Brown Clee	12	34.36	12
Burnell	15	35.10	20
Castlefields and Ditherington	16	42.29	61
Cheswardine	14	38.13	41
Chirbury and Worthen	9	34.36	12
Church Stretton and Craven Arms	24	29.95	2
Clee	13	33.23	6
Cleobury Mortimer	21	32.08	4
Clun	11	31.80	3
Copthorne	14	39.72	53
Corvedale	11	34.42	14
Ellesmere Urban	13	36.86	34
Harlescott	16	40.76	58
Highley	11	35.04	18
Hodnet	16	38.55	45

Ward Name	Estimated number affected	Estimated Rate per 10,000 aged 16 or above	Rank of rate (Rank 1 is the lowest rate and Rank 63 is the highest rate)
Llanymynech	13	34.78	16
Longden	13	37.26	38
Loton	13	37.04	35
Ludlow East	12	35.80	26
Ludlow North	10	29.06	1
Ludlow South	13	36.73	33
Market Drayton East	17	36.38	32
Market Drayton West	28	38.46	44
Meole	14	38.17	42
Rea Valley	13	33.98	10
Monkmoor	14	38.60	46
Much Wenlock	12	34.69	15
Porthill	16	39.56	51
Prees	14	35.71	23
Quarry and Coton Hill	17	39.22	48
Radbrook	16	39.90	55
St Martin's	14	37.25	37
Severn Valley	14	36.23	28
Shawbury	17	39.93	56
Shifnal North	19	39.54	50
Shifnal South and Cosford	22	39.84	54
Sundorne	14	43.00	63
Tern	14	34.12	11
The Meres	16	36.06	27
Underdale	15	42.21	60
Wem	26	35.09	19
Whitchurch North	24	37.44	39
Whitchurch South	14	37.16	36
Worfield	11	35.74	24
Gobowen, Selattyn and Weston Rhyn	21	36.26	30
Oswestry East	31	39.49	49
Oswestry South	14	35.78	25
Oswestry West	14	41.20	59
Ruyton and Baschurch	14	38.74	47
St Oswald	14	35.61	22
Whittington	13	37.50	40
Shropshire total	998	36.65	N/A
Nation Average	N/A	39.80	N/A

APPENDIX D

SAFEGUARDING OF CHILDREN, YOUNG PEOPLE AND ADULTS WITH CARE AND SUPPORT NEEDS

1.0 SAFEGUARDING OF CHILDREN, YOUNG PEOPLE AND ADULTS WITH CARE AND SUPPORT NEEDS

1.1 Introduction

1.2 Set out below is information for gambling premises licence and permit holders and their employees to help them report, to the relevant authorities, matters of concern that could relate to the safety of children and vulnerable persons, particularly as it relates to child sexual exploitation and trafficking.

2.0 General information

2.1 Shropshire Council's Licensing Service is helping to tackle child sexual exploitation and trafficking by working together with key partners particularly West Mercia Police, Children and Adult Services within the Council and the Safeguarding Children Board. The Board also works with the police, children's social care, schools, health services and the youth offending team, as well as specialist child sexual exploitation organisations such as the child sexual exploitation National Working Group (NWG) Network.

2.2 Through agencies working together and sharing information, we aim to identify and prevent sexual exploitation, disrupt the activities of perpetrators, protect children and young people and prosecute perpetrators of sexual exploitation. Sharing information with West Mercia Police and Children's Social Care helps to protect young people from harm. Safeguarding children and young people is everyone's business and everyone's responsibility.

2.3 Child sexual exploitation is a crime that can affect any child, anytime, anywhere – regardless of their social or ethnic background.

2.4 Sexual exploitation of children and young people involves exploitative situations, contexts and relationships where young people (or a third person or persons) receive something, e.g. food, accommodation, drugs, alcohol, cigarettes, affection, gifts, money, etc. as a result of them performing, and/or another or others performing on them, sexual activities. Violence, coercion and intimidation are commonly involved in such exploitative relationships.

2.5 Child sexual exploitation involves perpetrators grooming youngsters and using their powers to sexually abuse them. Sexual exploitation of children and young people can take many forms, whether it occurs through a seemingly 'consensual' relationship with an older boyfriend, or a young person having sex in return for attention, gifts, alcohol or cigarettes.

3.0 How gambling premises licence and permit holders and their employees can help tackle child sexual exploitation

3.1 Gambling establishment licence and permit holders and their employees are in a good position to help identify victims of sexual exploitation because, through the operation of certain gambling activities, licence and permit holders

and their employees regularly come into contact with children, young and vulnerable people. This means that licence and permit holders and their employees are in an ideal position to help protect young and vulnerable people.

3.2 In particular, licence and permit holders and their employees should ask themselves the following questions when they see young and vulnerable people in their gambling premises:

- Do any of your customers appear to be under 18 years old?
- Are they with a much older person and appear to be in a relationship?
- Do you think that they are under the influence of alcohol or drugs?
- Are children/young people being brought regularly to your premises by older people? If so, ask yourself why?

3.3 If the answers to any of the questions above gives you even the slightest cause for concern, these concerns should be reported in accordance with the relevant provisions relating to the ‘Safety of children and vulnerable persons’ detailed in the Council’s Gambling Policy Statement.

3.4 If you have reason to suspect that a child is being abused or at risk of abuse it is your responsibility to report your concerns to and share information with West Mercia Police (Tel: 101) and Children’s Social Care (Tel: 0345 678 9021).

3.5 Further information about Shropshire’s Safeguarding Children Board can be found at: <http://www.safeguardingshropshireschildren.org.uk>

4 SAFEGUARDING ADULTS

4.1 If an adult with care and support needs is experiencing or at risk of abuse or neglect and a result of those care and support needs is unable to protect themselves from either the risk of, or the experience of abuse or neglect, you may need to take urgent action to protect the adult. Your first priority is with the adult, to make them safe (including reporting to the police if immediate action is required). Ideally, support the adult to take action to stop the abuse, if they need to raise a concern with Shropshire Council to help them stop the abuse support that person to contact the First Point of Contact (FPoC 0345 678 9021), or you can report to FPoC on behalf of the adult if it is in the public interest to do so. In an emergency contact the police (999) or non-emergency 101.

4.2 Further information about the Keeping Adults Safe in Shropshire Board may be found at <https://new.shropshire.gov.uk/adult-social-care/where-can-i-get-help/concerned-about-someone/>

5 Modern slavery and human trafficking

5.1 How gambling premises licence and permit holders and their employees can help tackle modern slavery and human trafficking.

5.2 Modern slavery is a crime and a violation of fundamental human rights and can take various forms such as slavery, servitude, forced and compulsory labour and human trafficking.

5.3 In particular, gambling premises licence and permit holders and their employees should ask themselves the following questions:

- Is the victim in possession of a passport, identification or travel documents? Are these documents in possession of someone else?
- Does the victim act as if they were instructed or coached by someone else? Do they allow others to speak for them when spoken to directly?
- Was the victim recruited for one purpose and forced to engage in some other job? Was their transport paid for by facilitators, whom they must pay back through providing services?
- Does the victim receive little or no payment for their work? Is someone else in control of their earnings?
- Was the victim forced to perform sexual acts?
- Does the victim have freedom of movement?
- Has the victim or family been threatened with harm if the victim attempts to escape?
- Is the victim under the impression they are bonded by debt, or in a situation of dependence?
- Has the victim been harmed or deprived of food, water, sleep, medical care or other life necessities?
- Can the victim freely contact friends or family? Do they have limited social interaction or contact with people outside their immediate environment?

5.4 Report something suspicious you spot to police or other authorities - it could be at a house in your street where suddenly large numbers of young women have been moved in and which then receives visitors all times of day and night; a café, nail bar or car wash where workers seem reticent to engage, not appropriately dressed for their work or increasingly ill fed and unkempt.

5.5 If there is an immediate danger to the suspected victim or if you think that the suspected victim is under 18, inform the police and call 999 as a matter of urgency.

5.6 **Modern Slavery Helpline:** 0800 0121 700

- 5.7 For **England and Wales**, please call our **24-hour confidential Referral Helpline** on **0300 303 8151** anytime of the day or night to refer a victim of trafficking or receive advice.

CABINET VERSION

APPENDIX E

EXTRACT FROM THE SHROPSHIRE COUNCIL CONSTITUTION SETTING OUT DELEGATIONS

Appendix E

Council Delegations

Gambling Act

Matter to be determined	Cabinet	Strategic Licensing Committee	Licensing Act Sub-Committee	Licensing Officer* (unless otherwise specified)
Final approval of the Licensing Authority Policy Statement	X			
Policy not to permit casinos	X			
Fee setting	X			
Exemptions from fees				X (Team Manager responsible for the Licensing Function)
Application for premises licences			X where representations received and not withdrawn	X where no representations received or representations have been withdrawn
Application for a variation to a licence			X where representations received and not withdrawn	X where no representations received or representations withdrawn
Application for a transfer of a licence			X where representations received from Commission or responsible authority	X where no representations received from Commission or responsible authority
Application for a provisional statement			X where representations received and not withdrawn	X where no representations received or representations withdrawn

Initiating a review of a premises licence				X (Head of Service)
Review of a premises licence			X	
Whether representations are irrelevant, frivolous, vexatious or ‘certain not to influence the determination’				X
Application for club gaming/club machine permits			X where objections made and not withdrawn	X where no objections made or objections withdrawn
Cancellation of club gaming/club machine permits			X	
Applications for other permits				X
Cancellation of licensed premises gaming machine permits				X
Consideration of temporary use notice				X
Decision to give a counter notice to a temporary use notice			X	

X indicates the lowest level to which decisions can be delegated
 *Or equivalent if post designations are amended

APPENDIX F

CRIMINAL RECORD DISCLOSURE

CABINET DISCUSSION

1.0 Suitability of an applicant to hold a UFEC Permit, Prize Permit and Small Society Lottery Registration

1.1 The Council has a responsibility for determining the suitability of applicants to hold an UFEC or a Prize Permit and to ensure that persons submitting Small Society Lottery applications have no relevant convictions. The principles set out below will be taken into account.

1.2 The Council will not grant a permit to anyone unless it is satisfied that they are a suitable applicant. The Council will consider the following criteria when assessing the suitability of an applicant:

- the integrity of the applicant;
- the competence of the applicant to carry on the permitted activities in a manner consistent with the licensing objectives; and
- the financial and other circumstances of the applicant and in particular the resources likely to be available for the purpose of carrying on the permitted activities.

1.3 In order to ensure the Council is in a position to make as accurate an assessment of the applicant's suitability to hold a permit as is reasonably practicable, all applicants (including sole traders, partnerships and companies) on initial application and renewal must:

- provide a satisfactory basic criminal record disclosure from the Disclosure and Barring Service (applicants can apply to the Disclosure and Barring Service by telephone on 03000 200 190, online at www.gov.uk/request-copy-criminal-record or by email at customerservices@db.s.gsi.gov.uk;²⁶;
- have a satisfactory check in respect of enquiries made through the Council's Care First system (or equivalent if this is replaced or if it necessary to seek details from other local authorities), directly with West Mercia Police (or other relevant force), other local authorities and any other organisation, agency or person that the Council has deemed appropriate to seek information from;
- provide evidence of relevant qualifications, training and/or experience to demonstrate their competence to carry on the permitted activities
- provide evidence of their general level of solvency, in particular in terms of the financial resources they intend to use for the purposes of carrying on the permitted activities; and
- have two satisfactory references from either professional or business sources who have known the applicant for at least two years and are in a position to comment on the applicant's general character, standing in the community, experience of working in the gambling industry and financial position. (NB the Council will not accept references from family members.)

²⁶ The Council follows the Disclosure and Barring Service (DBS) Code of Practice for Registered Persons and Other Recipients of Disclosure Information (April 2009) and abides by the handling of DBS certificate information requirements on the secure storage, handling, use, retention and disposal of disclosure certificates and certificate information. Further information about the DBS can be found on the GOV.UK website at: <https://www.gov.uk/government/organisations/disclosure-and-barring-service/about>. Where practical, the Council encourages the use of the DBS Update Service for all applicants.

NB For partnerships or companies, the above requirements apply to all partners and directors/company secretaries.

- 1.4 Persons who have not been resident within the United Kingdom for the five years prior to submitting an application, will be required to produce a certificate of good conduct or equivalent document (at their own cost) issued by the relevant Embassy or High Commission. The certificate must be authenticated, translated and sealed by the Embassy or High Commission. In the event that an applicant is not able to obtain a certificate of good conduct, they may submit a statutory declaration with regard to their conduct, which must be completed in the presence of a practising solicitor. The Council may contact the relevant Embassy, High Commission, solicitor or other appropriate body to verify any documents provided. Proof of a right to work in the United Kingdom will also be required. Contact details for Embassies and High Commissions can be found from the Foreign & Commonwealth Office (FCO) on the GOV.UK website at <https://www.gov.uk/government/world>. The FCO may be contacted for further assistance by telephone on 020 7008 1500, by email at fcocorrespondence@fco.gov.uk or by post at the FCO, King Charles Street, London, SW1A 2AH.
- 1.5 With specific reference to existing permit holders, where there is any cause for a permit to be reviewed, the Council will request the permit holder obtain a further basic criminal record disclosure, the cost of which lies with the permit holder. Where a permit holder refuses to obtain a further disclosure report, the Council will take this into consideration in determining their continuing suitability to hold a permit.
- 1.6 When assessing the suitability of an applicant to hold a permit, the Council will consider the applicant's criminal history as a whole, together with all other relevant evidence, information and intelligence including their history (e.g. complaints and positive comments from the public, level of previous compliance, and willingness to co-operate with Council officers) whilst holding a permit from the Council or any other authority. Particular attention will be given to patterns of behaviour, irrespective of the time-scale over which they have occurred, both in terms of proven criminal offences and other behaviour/conduct that may call into question the integrity, competence and/or financial standing of the applicant that may, in turn, indicate the safety and welfare of existing and potential customers may be at risk from the applicant.
- 1.7 In addition, the Council considers that an important element associated with the suitability to continue to hold a permit is the appearance and behaviour of the applicant. Consequently, the Council requires all permit holders to maintain a reasonable standard of appearance and behaviour when in contact and dealing with customers, the general public, other licensed/permitted operators, Council officers and elected members at all times.
- 1.8 Applicants and permit holders must also co-operate with any reasonable request made by an authorised officer of the Council, any police officer or other person with relevant enforcement powers under the Act.

1.9 The Council will also consider all criminal history, behaviour and conduct irrespective of whether the specific history, behaviour or conduct occurred whilst permit holders were directly engaged in permitted work at the time or whether they occurred during the permit holder's own personal time.

2.0 Criminal record disclosure

2.1 The Rehabilitation of Offenders Act 1974 applies to persons who wish to apply for a permit. This means that convictions (not all) and cautions become spent in accordance with the provisions of the 1974 Act.

2.2 Although cautions are generally not as serious as convictions, they do require an admission of guilt before they can be issued and are therefore a valuable indication as to an applicant's character and whether they are a suitable person to be granted or hold a permit.

2.3 The Council does not deem that a criminal record automatically bars an applicant from holding a permit; however, it will be a significant factor when determining whether a permit ought to be granted or not. Where an applicant has previous criminal convictions, these will be considered in line with the guidance set out under 'Relevance of Criminal Convictions and Cautions' below, taking into account the 'relevant offences' listed in Schedule 7 of the Gambling Act. However, the over-riding consideration will always be to ensure the safety and welfare of the permit holder's existing and potential customers.

2.4 Where an applicant is the subject of an outstanding charge or summons, their application may continue to be processed; however, depending on the circumstances, it is unlikely that a decision on the application will be made until the conclusion of the criminal proceedings.

2.5 Where the outstanding charge or summons involves a serious offence and/or the individual's offending history and behaviour/conduct indicates a pattern of unlawful or unacceptable behaviour/character traits, then the application is likely to be refused.

2.6 Where there is evidence/information that an applicant has been arrested or charged but not convicted of offences but the nature of this evidence/information suggests the applicant may not be a suitable person, the Council will give serious consideration to refusing an application or revoking an existing permit.

3.0 RELEVANCE OF CRIMINAL CONVICTIONS AND CAUTIONS

3.1 Introduction

3.2 The purpose of this section is to provide additional guidance to determine whether or not an applicant or an existing permit holder is a suitable person to hold a UFEC or Prize Gaming Permit as it relates specifically to convictions and cautions.

- 3.3 The guidance has been produced to assist the Council in its decision-making and to maintain the consistency of the decisions made. It has also been formulated to provide clearer information to current and potential applicants, with a view to minimising the cost and time spent on the licensing process by both the Council and the applicant.
- 3.4 The aim of the guidance is not to punish the applicant twice for a conviction or caution but to ensure that public safety is not compromised. The Council cannot review the merits of any conviction.
- 3.5 Each case is to be decided on its own individual merits and, where the circumstances demand, the decision-making body may depart from the guidance in which case the reasons for this will be made clear.

4.0 Legislation

- 4.1 Schedule 10 (Paragraph 7) and Schedule 14 (Paragraph 8) of the Gambling Act 2005 sets out that the Council may prepare a statement of principles that it proposes to apply in exercising its functions in relation to UFEC and prize gaming permits and in doing so may, in particular, specify matters that the Council proposes to consider in determining the suitability of an applicant for a permit.
- 4.2 The Council has prepared a statement of principles in respect of UFEC and prize gaming permits and has agreed that unless it is satisfied that the person is a suitable applicant in terms of integrity, competence and financial solvency, it will not issue an UFEC Permit or a Prize Permit.
- 4.3 The wording of the statement of principles makes it clear that the Council will only grant a permit if it is satisfied that the person is suitable.

5.0 Defining 'suitability of an applicant'

- 5.1 There is no legal definition as to what definitively constitutes a 'suitable applicant'. However, because of the potential vulnerability of the customers that permit holders may come into contact with, it is incumbent on the Council to take a very robust stance when deciding whether or not a person is suitable to hold a permit granted by the Council.

- 5.2 In essence, a suitable applicant will be:

- Honest and trustworthy
- Not abusive, violent or threatening
- Knowledgeable and competent in the area of gambling law and practice
- Able to communicate effectively with customers

6.0 The Council's approach when considering convictions

- 6.1 The disclosure of any convictions or cautions will not necessarily mean an applicant is an unsuitable applicant and, therefore, automatically prevented

from being issued a permit. However, the Council will have regard to all live convictions and cautions and they will be assessed accordingly. Consideration will be given, but not restricted to, the following:

- How relevant the offence(s) are to the permit being applied for.
- How serious the offence (s) were.
- When the offence(s) were committed.
- The date of conviction.
- The extent of any mitigating factors.
- Sentence imposed by the court.
- Whether the offence(s) form part of a pattern of offending or indicate a pattern of unacceptable behaviour.
- Any other character check considered reasonable, e.g. personal references.
- Any other factor that may be relevant.

6.2 If the Council has any doubts as to the suitability of an applicant/existing permit holder, then an application must be refused or permit revoked until those doubts can be effectively allayed through the provision of further adequate evidence.

6.3 If the applicant or holder of a permit has notified the Council of a conviction but is appealing against it to a higher court the matter will be referred to the Licensing Act Sub-committee for a decision as to whether the permit ought to be revoked.

7.0 Patterns of behaviour

7.1 A series of offences or a pattern of behaviour/conduct over a period of time is more likely to give cause for concern than an isolated conviction/incident. However, that is not to say that an isolated conviction/incident cannot give cause for concern in its own right, particularly where it relates to a serious matter. In such circumstances, the Council will give significant consideration to refusing to grant a permit or to revoking an existing permit.

7.2 A serious view will always be taken where an applicant shows any tendency towards criminal and/or unacceptable/inappropriate behaviour patterns. In such instances, the Council is unlikely to consider such an applicant/existing permit holder is a suitable proper person to hold a permit and will give significant consideration to refusing to grant a permit or to revoking an existing permit.

8.0 Rehabilitation periods

8.1 Detailed guidance (effective March 2014) on the Rehabilitation of Offenders Act 1974 is available on the GOV.UK website at <https://www.gov.uk/government/publications/new-guidance-on-the-rehabilitation-of-offenders-act-1974>

8.2 A person with a conviction for an offence need not be automatically barred from obtaining a permit. However, they would be expected to remain free of conviction for an appropriate period of time (as set out in Tables A and B below) and demonstrate adequate evidence that they are a suitable person to hold a permit. The onus is on the person to produce such evidence.

NB Simply remaining free of conviction will not generally be regarded as adequate evidence that a person is a fit and proper person.

Table A

Sentence	Rehabilitation period (applies from the end date of the sentence, including any licence period)
Custodial sentence* of over 48 months, or a public protection sentence**	Never spent
Custodial sentence* of over 30 months and up to and including 48 months	7 years
Custodial sentence* of over 6 months and up to and including 30 months	4 years
Custodial sentence of 6 months or less	2 years
Community order	1 year

*Custodial sentence includes both an immediate custodial sentence and a suspended sentence.

**Public protection sentence means a sentence of imprisonment imposed for specified sexual and violent offences as set out in Schedule 15 of the Criminal Justice Act 2003. (Equivalent provisions of the Armed Forces Act 2006 are also applicable.)

Table B

Sentence	Rehabilitation period (applies from the date of conviction)
Endorsement for a road traffic offence imposed by the court or a FPN; or if a driving licence is revoked or refused on medical grounds by the DVLA (or other body responsible for issuing the driving licence)	5 years
Penalty points for a road traffic offence	3 years
Driving disqualification*	when the disqualification ceases to have effect
Community order with no specified end date	2 years
Fine	1 year
Conditional discharge	Period of the order
Absolute discharge	None

Conditional caution	3 months or when the caution ceases to have effect if earlier
Simple caution	Spent immediately
Compensation order	On the discharge of the order (i.e. when it is paid in full); individuals must obtain and retain proof of payment from the court
Binding over order; Attendance centre order; Hospital order (with or without a restriction order)	Period of the order

* Disqualified' – refers to the period of disqualification actually served in order to take account of the fact that a court may reduce the period of disqualification; an applicant must provide evidence to prove that the court agreed a reduction in the period of disqualification.

8.3 Where a person does not satisfy the rehabilitation periods referred to in the tables above, then the Council will refuse to grant a new permit or revoke an existing permit until the applicant is in a position to satisfy them.

8.4 The specific periods of rehabilitation are not intended to be taken as definitive time periods by which an applicant/permit holder is automatically granted a licence simply on the basis that the rehabilitation period has elapsed. Rather they are intended to give parameters for consideration when taken with the overall history of an applicant/permit holder in order to assist the Council to determine whether an applicant/existing permit holder is a suitable person or not. The rehabilitation periods will not be considered in isolation.

8.5 The Council will not grant a permit to an applicant who has been convicted of a specified sexual or violent offence unless significant and exceptional circumstances apply.

9.0 Gambling offences

9.1 In addition to the consideration of rehabilitation periods, where an existing permit holder is found guilty of gambling related offences or multiple breaches of permit requirements, permit holders will be referred to the Licensing Act Sub-Committee with a view to determining whether the permit should be revoked.

10.0 Right of appeal

10.1 Any applicant refused a permit on the grounds that they are not a suitable person, or who has had their permit revoked has a right of appeal by way of written complaint, to the Magistrates' Court within 21 days of the notice of decision.

11.0 Conclusion

11.1 Any applicant having a previous or current conviction should not, in principle, debar them from obtaining a permit. However, previous convictions are a

significant factor in the decision-making process and it will inevitably be more difficult for such applicants to obtain a permit. It is this Council's policy to consider the protection of the public above all else by ensuring all holders of permits are honest and trustworthy, will not be a threat to the public, are competent in their role and able to communicate effectively. In doing so, the Council will focus on the background of an applicant as a whole and will not consider individual offences and their rehabilitation periods identified above in isolation from other factors, in particular patterns of unacceptable or inappropriate behaviour and conduct that may not necessarily be linked to proven convictions.

CABINET VERSION

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Shropshire Council Equality and Social Inclusion Impact Assessment (ESIIA)
Part One Screening Record 2020

A. Summary Sheet on Accountability and Actions

Name of proposed service change
Gambling Act 2005 Policy Statement 2022 to 2025

Name of lead officer carrying out the screening
Mandy Beever

Decision, review and monitoring

Decision	Yes	No
Part One ESIIA Only?	✓	
Proceed to Part Two Full Report?		✓

If completion of a Part One assessment is an appropriate and proportionate action at this stage, please use the boxes below and sign off as indicated. If a Part Two report is required, please move on to full report stage.

Actions to mitigate negative impact or enhance positive impact of the service change in terms of equality and social inclusion considerations

There have not been any significant changes to the revised policy. This should not be perceived as a negative; rather it demonstrates that the fundamental principles that were established in the 2016 – 2022 policies and continued within the 2022 – 2025 policy are sound and remain relevant.

Across all nine national Protected Characteristic groupings and our tenth grouping in Shropshire of social inclusion, based on feedback from the formal consultation, the impact is predicted to be ‘low positive’. The impact in reality is anticipated as being neutral – neither positive nor negative – with no anticipated need to take specific actions to mitigate or enhance the impact. The assessment seeks to take into account children and young people who are looked after by Shropshire Council and the families of children in need when considering the ‘age’ group as well as adults with care and support needs, e.g. adults with learning disabilities and their carers, when considering the ‘disability’ group.

The changes to the policy do not breach any individual or group’s human rights; the policy sets out processes and procedures that aim to protect human rights, in particular those rights that relate to a right to a fair trial, no punishment without law and right to respect for private and family life. If the policy were not followed, there is a risk that human rights may be breached.

There will be ongoing efforts to engage with people in the Protected Characteristic groupings, particularly where low levels of responses to consultation have been received.

Actions to review and monitor the impact of the service change in terms of equality and social inclusion considerations

The policy will be the subject of continuous evaluation and, if necessary, formally reviewed at any time. At the time of review all relevant stakeholders will again be consulted. Any gambling industry representative may request a review of the policy at any time. This is made clear in the policy itself. In addition, the Council's 'local area profile' will continue to develop over time and will be influenced by information and intelligence gathered from key partners and other stakeholders. This links into our strategic equality action to proactively collect equality data, as well as our organisation objective to make decisions based on current data and intelligence. As a result, the local area profile will be the subject of additional review and revision outside the wider policy review process.

There will be ongoing dialogue with all stakeholders and, in particular, with gambling industry representatives through direct contact with the Licensing Team. This will provide the opportunity for stakeholders to provide feedback on any matter. A dedicated telephone number and email address is and will continue to be generally publicised on the Council's website for all stakeholders, including members of the public, to provide feedback on the impact of the changes made to the policy. All feedback will be recorded either on the Idox system (or any subsequent replacement system) used to administer the licensing regime or in appropriate electronic files maintained by the Licensing Team Manager. This approach is likely to advance equality of opportunity and foster good relations on an ongoing basis.

With respect to 'age' and 'disability' groups and 'social inclusion', in particular around the Council's safeguarding responsibilities, there will be ongoing dialogue with the Shropshire Safeguarding Children Board and the Keeping Adults Safe in Shropshire Board. In addition, dialogue with West Mercia Police and those service areas within the Council that have particular responsibilities for the care of children, young people and adults with care and support needs, i.e. currently Children Services and Adult Services, will occur as a result of the increasing role that officers from these services play in the licensing processes.

As no feedback was received regarding Equality and Social Inclusion Impact issues for Protected Characteristic groupings during the consultation period that has just concluded, the Equality and Social Inclusion Impact Assessment (ESIIA) has been updated only to clarify the specific consultation period. The groupings for whom there will be direct impacts, and with whom there will continue to be efforts made to ensure that impacts are kept under review, remain as follows: Age, in relation to children and young people; Disability, in relation to vulnerable adults; and Social Inclusion, in relation to the above plus those whom we may describe as vulnerable. This includes armed forces service personnel and ex-armed forces personnel. It continues to be the case that, across all nine national Protected Characteristic groupings and our tenth grouping in Shropshire of social inclusion, based on feedback from the formal consultation, the impact is predicted to be 'low positive'. The impact in reality is anticipated as being neutral – neither positive nor negative – with no anticipated need to take specific actions to mitigate or enhance the impact

Ongoing consideration will be given to the definition of 'vulnerable', as it relates specifically to gambling, through working with the Council's Feedback and Insight Team and taking account of the outcomes of the Local Government Association supported research, being led by Westminster and Manchester Councils, which aims to assess and map area vulnerability to

gambling related harm. As and when the outcomes of this research are made available, together with other emerging information, trends and risks, the Council will have to consider the implications for the definition of ‘vulnerable’ and also the impact on its ‘local area profile’ and policy statement accordingly.

Elected Member involvement will continue through the Strategic Licensing Committee and the Licensing Act Sub-Committee, with issues brought before these Committees as appropriate.

Associated ESIIAs

ESIIAs directly linked to the Gambling Act 2005 Policy Statement

- Gambling Act 2005 Policy Statement 2022 to 2025 (Consultation June 2021)
- Gambling Act 2005 Policy Statement 2019 to 2022 (June 2018)
- Gambling Act 2005 Policy Statement 2016 to 2019 (February 2016)

ESIIAs linked by general association demonstrating the approach adopted over time to address equality and social inclusion as it relates to licensing matters

- Licensing Act 2003 Statement of Licensing Policy 2019 – 2024 and associated ‘Premises Licence Applications – Completing the Operating Schedule and Plan of the Premises Guidance’ (October/November 2018)
- Hackney Carriage and Private Hire Licensing Policy 2019 – 2023 (March 2019)
- Proposed Removal of the Existing Five Hackney Carriage Zones (November 2018)
- Equality Act 2010 – Shropshire Council List of Designated Wheelchair Accessible Vehicles (June 2018)
- Amendment to the Hackney Carriage and Private Hire Licensing Policy 2015 – 2019 (March 2018)
- Street Trading Policy 2018 to 2023 (November 2017)
- Hackney Carriage and Private Hire Licensing Policy 2015 – 2019 (January 2015)

Actions to mitigate negative impact, enhance positive impact, and review and monitor overall impacts in terms of any other considerations. This includes climate change and health and well-being considerations


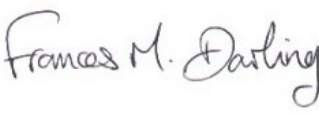

There are currently no direct climate change implications relating to this service/policy change; however, this will be kept under review by the Strategic Licensing Committee in their ongoing oversight role in relation to the administration and enforcement of the Gambling Act 2005.

Of the ten Council Organisational Principles, the four listed below are a key focus in respect of delivering the objectives of the Gambling Act 2005 and the Council’s Gambling Act 2005 Policy Statement. These Principles will drive the approach that the Council takes over the lifetime of the revised Policy and beyond and will be used to review and monitor the overall impacts.

- Put Shropshire back in the community
- Make digital the preferred way to work and transact
- Focus on outcomes for customers
- Make decisions based on current data and intelligence

In relation to health and well-being impacts, the Gambling Commission has emphasised the need to incorporate the work of Public Health colleagues to further support the greater need to identify areas of concern and focus on gambling related harm. Consultation has been undertaken with Shropshire Council’s Public Health Team, including the Director of Public Health, and their response can be found within the associated Strategic Licensing Committee papers.


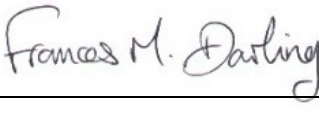
Scrutiny at Part One screening stage

People involved	Signatures	Date
<i>Lead officer carrying out the screening</i> Mandy Beever, Transactional and Licensing Team Manager		24 September 2021
<i>Any internal support*</i> Frances Darling – Head of Trading Standards and Licensing		24 September 2021
<i>Any external support**</i> Mrs Lois Dale, Rurality and Equalities Specialist		27 September 2021

**This refers to other officers within the service area*

***This refers either to support external to the service but within the Council, eg from the Rurality and Equalities Specialist, or support external to the Council, eg from a peer authority*

Sign off at Part One screening stage

Name	Signatures	Date
<i>Lead officer carrying out the screening</i> Mandy Beever, Transactional and Licensing Team Manager		24 September 2021
<i>Accountable officer’s name</i> Frances Darling – Head of Trading Standards &		24 September 2021

Licensing	
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**This may either be the Head of Service or the lead officer*

B. Detailed Screening Assessment

Aims of the service change and description

The Council's existing Gambling Act policy statement ('the policy') was adopted from the 31 January 2019 and ceases to have effect on 30 January 2022. The policy requires updating to take account of the latest guidance issued to licensing authorities by the Gambling Commission.

The Gambling Act 2005 requires that local authority Gambling Act Policy Statements give specific consideration to three key licensing objectives. The format and content of the Council's policy aims to ensure these objectives are being met in order to:

- to ensure that safeguarding provisions in relation to children, young people and adults with care and support needs remain robust;
- provide ongoing practical clarity to existing and potential licence holders; and
- assist council officers to correctly apply the legal provisions of the Gambling Act 2005.

In particular:

- There is a need to set out the overarching principles that the Council intends to consider when exercising its functions under the Gambling Act, including those that the Council will specifically consider in relation to each of the three licensing objectives (see additional notes below).
- Nationally, there is a greater need to focus on understanding and mitigating gambling related harm more broadly, rather than focussing on problem gambling alone. In this respect, the policy needs to emphasise the Council's focus on protecting children and young people, particularly in relation to child exploitation, and also adults with care and support needs.
- Nationally, gambling policy and the regulatory environment overall has an increasing focus on risk. Whilst not compulsory, it is now recommended that the Council creates a 'local area profile' to inform its understanding of risk and to allow appropriate decisions to be made and steps taken to mitigate these risks. From April 2016, gambling establishment operators have been required to undertake 'local area risk assessments' before submitting a premises licence application or variation and will be expected to give due consideration to the information available in the Council's 'local area profile'.
- The Gambling Act singles out children, young people and vulnerable persons for special regulatory attention; consequently, the policy has a focus on protecting these particular groups. In considering this, specific attention has been given to adults with care and support needs.
- The application processes applicable to each different type of licence is clearly set out to ensure that the requirements that must be satisfied before an applicant can obtain

and then retain any such licence are met.

- The premises licence review process is clearly set out to ensure all stakeholders understand when and how this process may be utilised in accordance with the provisions of the Act.
- The way in which the Council deals with the exchange of information is robustly addressed.
- The Council's overarching approach to inspection, compliance, enforcement and complaints is clearly set out and appropriate links made to the Council's Better Regulation and Enforcement Policy.

The policy also sets out how the Council intends to proactively promote the three Gambling Act licensing objectives, namely:

- preventing gambling from being a source of crime or disorder, being associated with crime or disorder, or being used to support crime;
- ensuring that gambling is conducted in a fair and open way; and
- protecting children and other vulnerable persons from being harmed or exploited by gambling.

Intended audiences and target groups for the service change

- Persons who wish to apply for gambling licences and permits
- Persons who hold existing licences and permits, including those that are the subject of review
- The Council, in its capacity as the licensing authority, including licensing officers and members of the relevant licensing committees
- Shropshire's Safeguarding Children Board
- Keeping Adults Safe in Shropshire Board (KASiS)
- The Gambling Commission
- Licensing consultants, solicitors and barristers advising and/or representing applicants and licence/permit holders
- Magistrates and judges hearing appeals against Council decisions
- Members of the public who access gambling premises and activities
- Other local authorities, particularly those that border the Shropshire Council area
- Shropshire Voluntary and Community Sector Assembly (VCSA)
- Police forces, in particular West Mercia Police
- West Mercia Police and Crime Commissioner
- Shropshire Clinical Commissioning Group
- Local NHS Trusts
- Shropshire Council Public Health
- Public Health England

The above list is not intended to be exhaustive or in order of priority and will be added to and amended as and when appropriate.

Evidence used for screening of the service change

- Legal requirement contained in the Gambling Act 2005 that the policy can only last for a maximum period of three years and then it must be reviewed, consulted upon, approved and re-published by the Council.
- The emphasis on the safeguarding role that local authorities have, which has strong links to all licensing regimes, including those applicable to gambling.
- The Council's drive to increase the robustness of safeguarding practices, particularly with respect to children and adults with care and support needs.
- The Gambling Act 2005
- The Gambling Act 2005 (Licensing Authority Policy Statement) (England and Wales) Regulations 2006 (SI 2006 No. 636)
- Shropshire Council's Gambling Policy Statement (effective 31 January 2019) <https://shropshire.gov.uk/media/12775/gambling-act-2005-policy-statement-2019-to-2022-final.pdf>
- Guidance to Licensing Authorities published by the Gambling Commission <https://www.gamblingcommission.gov.uk/for-licensing-authorities/GLA/Guidance-to-licensing-authorities.aspx>
- Statement of gambling licensing policy – A Councillors Guide, March 2018 published by the Gambling Commission <https://www.gamblingcommission.gov.uk/PDF/quick-guides/Councillors-guide.pdf>
- Gambling Regulation Councillor Handbook (England and Wales) June 2015 published by the Local Government Association <https://www.local.gov.uk/sites/default/files/documents/L15-230%20Councillor%20handbook%20-%20gambling%20regulation%20FINAL.pdf>
- Gambling Regulation Councillor Handbook (England and Wales) Updated Guidance 2018 published by the Local Government Association https://www.local.gov.uk/sites/default/files/documents/10.18%20Gambling%20regulation%20councillor%20handbook_v06_WEB_1.pdf
- The Council's own Local Area Profile – Gambling Premises, which will form part of the actual policy document.
- Exploring area-based vulnerability to gambling-related harm: Who is vulnerable? July 15
- Exploring area-based vulnerability to gambling-related harm: Developing the gambling related harm risk index (2016)
- Updated Gambling Commission Guidance April 2021 <https://beta.gamblingcommission.gov.uk/guidance/guidance-to-licensing-authorities>

Specific consultation and engagement with intended audiences and target groups for the service change

Formal consultation was undertaken from the 12 July 2021 to the 19 September 2021, which involved a number of key internal and external stakeholders, including Public Health representatives and gambling industry representatives in order to produce the existing policy.

Officers are currently of the opinion that there will be no need for significant changes. However, Officers will maintain ongoing dialogue with the Gambling Commission and other key stakeholders to ensure any changes that become necessary are captured and addressed accordingly during the lifetime of the policy.

The Local Area Profile has been refreshed and is incorporated into the draft Gambling Act 2005 Policy Statement 2022 to 2025; it may be found at **Appendix B** of the draft policy. The profile maps local areas of concern, including actual and future emerging evidence-based risks that may impact on the licensing of gambling premises and activities. Operators are encouraged to use the profile to help inform them of specific risks prior to submitting licence applications.

The Gambling Commission has emphasised the need to incorporate the work of Public Health colleagues to further support the greater need to identify areas of concern and focus on gambling related harm. Formal consultation has been undertaken with Shropshire Council’s Public Health Team, including the Director of Public Health, and their response has been incorporated into the draft Gambling Act 2005 Policy Statement 2022 to 2025; it may be found at **Appendix C** of the draft policy.

The formal consultation process involved a variety of communication mechanisms including publishing full details on the ‘Get involved’ web page of the Council’s website, together with a press release on the Council’s news web page also distributed through corporate and service social media platforms. Direct emails were sent to key stakeholders alerting them to the consultation on the Council’s website.

Following the formal consultation process, an analysis of the responses received has been undertaken and the results collated for the SLC to consider at their meeting on 6 October 2022. A revised policy document is required to be in force by 31 January 2022.

A full list of the organisations formally consulted will be included in the ESIIA for the final report to full Council.

As no feedback was received regarding Equality and Social Inclusion Impact issues for Protected Characteristic groupings during the consultation period, the Equality and Social Inclusion Impact Assessment (ESIIA) has been updated only to clarify the specific consultation period. The groupings for whom there will be direct impacts, and with whom there will continue to be efforts made to ensure that impacts are kept under review, remain as follows: Age, in relation to children and young people; Disability, in relation to vulnerable adults; and Social Inclusion, in relation to the above plus those whom we may describe as vulnerable. This includes armed forces service personnel and ex-armed forces personnel. It continues to be the case that, across all nine national Protected Characteristic groupings and our tenth grouping in Shropshire of social inclusion, based on feedback from the formal consultation, the impact is predicted to be ‘low positive’. The impact in reality is anticipated as being neutral – neither positive nor negative – with no anticipated need to take specific actions to mitigate or enhance the impact.

Initial assessment for each group

Please rate the impact that you perceive the service change is likely to have on a group, through inserting a tick in the relevant column. Please add any extra notes that you think might be helpful for readers.

Protected Characteristic groups and other groups in Shropshire	High negative impact <i>Part Two ESIIA required</i>	High positive impact <i>Part One ESIIA required</i>	Medium positive or negative impact <i>Part One ESIIA required</i>	Low positive or negative impact <i>Part One ESIIA required</i>

Age (please include children, young people, people of working age, older people, young people leaving care. Some people may belong to more than one group eg child for whom there are safeguarding concerns eg older person with disability)			<i>This could increase over time to medium positive in relation to safeguarding of vulnerable groups</i>	✓ (positive)
Disability (please include: mental health conditions and syndromes including autism; physical disabilities or impairments; learning disabilities; Multiple Sclerosis; cancer; HIV)			<i>This could increase over time to medium positive in relation to safeguarding of vulnerable groups</i>	✓ (positive)
Gender re-assignment (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				✓ (positive)
Marriage and Civil Partnership (please include associated aspects: caring responsibility, potential for bullying and harassment)				✓ (positive)
Pregnancy & Maternity (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				✓ (positive)
Race (please include: ethnicity, nationality, culture, language, gypsy, traveller)				✓ (positive)
Religion and belief (please include: Buddhism, Christianity, Hinduism, Islam, Judaism, Non conformists; Rastafarianism; Sikhism, Shinto, Taoism, Zoroastrianism, and any others)				✓ (positive)
Sex (please include associated aspects: safety, caring responsibility, potential for bullying and harassment)				✓ (positive)
Sexual Orientation (please include associated aspects: safety; caring responsibility; potential for bullying and harassment)				✓ (positive)
Other: Social Inclusion (please include families and friends with caring responsibilities; people with health inequalities; households in poverty; refugees and asylum seekers; rural communities; veterans and serving members of the armed forces and their families, people for whom there are safeguarding concerns; and people you consider to be vulnerable)			<i>This could increase over time to medium positive in relation to safeguarding of vulnerable groups</i>	✓ (positive)

Identification of likely impact of the service change in terms of other considerations including climate change and health and well being

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It is recognised nationally that there is a greater need to focus on understanding and mitigating gambling related harm more broadly, rather than focussing on problem gambling alone. In this respect, the revised policy statement emphasises the Council's focus on protecting children and young people, particularly in relation to child exploitation, and also young people and adults with care and support needs.

The Gambling Commission has emphasised the need to incorporate the work of Public Health colleagues to further support the greater need to identify areas of concern and focus on gambling related harm. A formal consultation has been undertaken with Shropshire Councils Public Health Team, including the Director of Public Health, their response has been incorporated into the draft Gambling Act 2005 Policy Statement 2022 to 2025; it may be found at **Appendix C** of the draft policy.

There are additional potential impacts around gambling, for society as a whole, in terms of antisocial behaviour and crime and disorder. The Council is accordingly setting out within the policy how the Council intends to proactively promote the three Gambling Act licensing objectives, namely:

- preventing gambling from being a source of crime or disorder, being associated with crime or disorder, or being used to support crime;
- ensuring that gambling is conducted in a fair and open way; and
- protecting children and other vulnerable persons from being harmed

The Council's ten Organisational Principles will also impact on the approach taken to implement and deliver the revised policy over its three-year lifetime. The following four Principles are of particular relevance:

- Put Shropshire back in the community
- Make digital the preferred way to work and transact
- Focus on outcomes for customers
- Make decisions based on current data and intelligence

Guidance Notes

1. Corporate and Service Area Policy and Practice on Equality and Social inclusion

This involves taking an equality and social inclusion approach in planning changes to services, policies or procedures, including those that may be required by Government.

The decisions that you make when you are planning a service change need to be recorded, to demonstrate that you have thought about the possible equality impacts on communities and to show openness and transparency in your decision-making processes.

This is where Equality and Social Inclusion Impact Assessments (ESIAs) come in. Where you carry out an ESIA in your service area, this provides an opportunity to show:

- What evidence you have drawn upon to help you to recommend a strategy or policy or a course of action to Cabinet;

- What target groups and audiences you have worked with to date;
- What actions you will take in order to mitigate any likely negative impact upon a group or groupings, and enhance any positive effects for a group or groupings; and
- What actions you are planning to review the impact of your planned service change.

The formal template is there not only to help the service area but also to act as a stand alone for a member of the public to read.

The approach helps to identify whether or not any new or significant changes to services, including policies, procedures, functions or projects, may have an adverse impact on a particular group of people, and whether the human rights of individuals may be affected.

This assessment encompasses consideration of social inclusion. This is so that we are thinking as carefully and completely as possible about all Shropshire groups and communities, including people in rural areas and people we may describe as vulnerable, for example due to low income or to safeguarding concerns, as well as people in what are described as the nine 'protected characteristics' of groups of people in our population, eg Age. We demonstrate equal treatment to people who are in these groups and to people who are not, through having what is termed 'due regard' to their needs and views when developing and implementing policy and strategy and when commissioning, procuring, arranging or delivering services.

When you are not carrying out an ESIIA, you still need to demonstrate that you have considered equality in your decision-making processes. It is up to you what format you choose.-You could use a checklist, an explanatory note, or a document setting out our expectations of standards of behaviour, for contractors to read and sign. It may well not be something that is in the public domain like an ESIIA, but you should still be ready for it to be made available.

Both the approaches sit with a manager, and the manager has to make the call, and record the decision made on behalf of the Council. Help and guidance is also available via the Commissioning Support Team, either for data, or for policy advice from the Rurality and Equalities Specialist. Here are some examples to get you thinking.

Carry out an ESIIA:

- If you are building or reconfiguring a building;
- If you are planning to reduce or remove a service;
- If you are consulting on a policy or a strategy;
- If you are bringing in a change to a process or procedure that involves other stakeholders and the wider community as well as particular groupings

For example, there may be a planned change to a leisure facility. This gives you the chance to look at things like flexible changing room provision, which will maximise positive impacts for everyone. A specific grouping that would benefit would be people undergoing gender reassignment

Carry out an equality and social inclusion approach:

- If you are setting out how you expect a contractor to behave with regard to equality, where you are commissioning a service or product from them;
- If you are setting out the standards of behaviour we expect from people who work with vulnerable groupings, such as taxi drivers that we license;
- If you are planning consultation and engagement activity, where we need to collect equality data in ways that will be proportionate and non-intrusive as well as meaningful for the purposes of the consultation itself;
- If you are looking at services provided by others that help the community, where we need to demonstrate a community leadership approach

For example, you may be involved in commissioning a production to tour schools or appear at a local venue, whether a community hall or somewhere like Theatre Severn. The production company should be made aware of our equality policies and our expectation that they will seek to avoid promotion of potentially negative stereotypes. Specific groupings that could be affected include: Disability, Race, Religion and Belief, and Sexual Orientation. There is positive impact to be gained from positive portrayals and use of appropriate and respectful language in regard to these groupings in particular.

2. Legal Context

It is a legal requirement for local authorities to assess the equality and human rights impact of changes proposed or made to services. It is up to us as an authority to decide what form our equality impact assessment may take. Carrying out ESIIAs helps us as a public authority to ensure that, as far as possible, we are taking actions to meet the general equality duty placed on us by the Equality Act 2010, and to thus demonstrate that the three equality aims are integral to our decision making processes. These are: eliminating discrimination, harassment and victimisation; advancing equality of opportunity; and fostering good relations.

Service areas would ordinarily carry out a screening assessment, or Part One equality impact assessment. This enables energies to be focussed on review and monitoring and ongoing evidence collection about the positive or negative impacts of a service change upon groupings in the community, and for any adjustments to be considered and made accordingly.

If the screening indicates that there are likely to be significant negative impacts for groupings within the community, the service area would need to carry out a full report, or Part Two assessment. This will enable more evidence to be collected that will help the service area to reach an informed opinion. Please contact the equality policy lead within the Council for more advice and guidance in this regard, as per details below.

For further information on the use of ESIIAs: please contact your head of service or contact Mrs Lois Dale, Rurality and Equalities Specialist and Council policy support on equality, via telephone 01743 258528, or email lois.dale@shropshire.gov.uk.



<u>Committee and Date</u>
Cabinet 1 st December 2021

<u>Item</u>
<u>Public</u>

Financial Monitoring 2021/22 Quarter 2

Responsible Officer James Walton

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1. Synopsis

1.1 This is the second quarterly Financial Monitoring Report for 21/22 covering the period April to September 2021 and showing an improved financial position. The main budget variances and mitigating plans are outlined to help bring expenditure within budget by year end.

2. Executive Summary

2.1 The report sets out the projected revenue expenditure for the financial year 2021/22 as at Quarter 2, and the Capital expenditure up to the end of Quarter 2.

The key issues highlighted by this report are:

- The projected revenue outturn position remains within the control corridor identified at Quarter 1 (£2.591m to £9.731m) and is estimated to be £4.363m.
- Action across all areas of the Council has reduced the projected overspend by £2.968m since Quarter 1 and further action will continue over the remainder of the year to bring the budget into balance.
- The projected General Fund balance as at 31st March 2022 is currently below the recommended level, making it difficult to fund additional one-off overspends or shortfalls in income in-year.
- Without close monitoring and action there is a risk that savings proposals currently rated as “Amber” may be undelivered, which would have the effect of increasing any underlying overspend by up to £1.700m.
- The projected capital outturn is £118.178m, in line with the current budget.
- Current capital expenditure of £27.914m, representing 23.6% of the budget at Quarter 2, with 50% of the year elapsed.
- In 2021/22 capital receipts are currently projected to be sufficient to finance the capital programme, with a small surplus of £3.439m currently projected at the year end.
- In 2022/23 and 2023/24 onwards capital receipts are currently projected to be lower than those required for the programme to a

value of £34.810m and £40.916m respectively. Therefore, urgent action is required to progress assets identified for disposal in both the current and future years.

- 2.2 The revenue monitoring within this report is based on financial information held for the first six months of the year, extrapolated to year end to produce an estimated outturn position. As the year progresses and further financial information becomes available, the quality of the estimates used within this report are expected to increase.

3. Recommendations

- 3.1 It is recommended that Members:

- A. Note that at the end of Quarter 2 (30th September 2021), the full year revenue forecast is a potential overspend of £4.363m;
- B. Consider the impact of this on the Council's General Fund balance.
- C. Approve a virement of £0.620m to the Capital Programme to fund the development of affordable rented dwellings in Whitchurch which will be funded from S106 Affordable Housing Developer Contributions.

REPORT

4. Risk Assessment and Opportunities Appraisal

- 4.1 The management of the Council's Budget is a key process in ensuring the strategic risks are mitigated and the Council can carry out the business as intended and planned for within the Financial Strategy. One of the Council's strategic risks is the "Inability to Deliver a Balanced Budget" and full budget accountability across the Council with budget holders participating fully with the financial policies and monitoring is a key control in mitigating this risk.
- 4.2 When the Council set the Financial Strategy in February 2021, which underpins this report, it took into account the requirements of the Human Rights Act, any necessary environmental appraisals and the need for Equality and Social Inclusion Impact Assessments (ESIIA) and any necessary service user consultation.

5. Financial Implications

- 5.1 This report sets out the financial projections for the Council in the 2021/22 Financial Year. Full details of projected spend in both the revenue and capital budgets are detailed in sections 8 -12 of this report.

6. Climate Change Appraisal

- 6.1 The Council's Financial Strategy supports its strategies for Climate Change and Carbon Reduction in a number of ways. The future programme includes programmes to support a range of initiatives such as moving to LED street lighting, enabling agile and mobile working dramatically, reducing travel and support for Park and Ride schemes to reduce car emissions within the town centres. A specific climate change revenue budget has been established in 2021/22 and further details about spend in this area is included in Appendix 1 to this report. The climate change schemes involving

the Council's assets or infrastructure are included within the capital programme of which further detail can be found within Appendix 8.

7. Background

- 7.1 Budget monitoring reports are produced monthly for Executive Directors, and quarterly for Cabinet, reporting on the period from May (period 2) to February (period 11) of each financial year, highlighting the anticipated year end projection.
- 7.2 The monitoring reports track progress against agreed budget decisions, consider any budget changes (including re-profiling on Capital), forecast any significant variances to the budget, and enable corrective action to be taken to attempt to ensure a balanced budget at year end.
- 7.3 Capital schemes are also reported on an exception basis, based on being delivered within budget and the expectation of being delivered within scheme timeframe.

8 Revenue Monitoring 2021/22 Budget - Overall Position

- 8.1 The Council approved a gross revenue budget of £554.318m and a net budget of £208.647m at its meeting on 25th February 2021. This net budget is after approving a savings programme of £9.804m.
- 8.2 At Quarter 2, the Council is reporting a forecast overspend of £4.363m. This position includes the Covid-19 additional spending and income losses, which are being offset in full by emergency grant funding.
- 8.3 The table below summarises the position by service:

Table 1 - Projected Outturn Variance by Service

Directorate	Revised Budget (£m)	Forecast Outturn (£m)	(Under) / Overspend (£m)	RAGY Classification
Corporate Budgets	(50.196)	(52.129)	(1.933)	Y
Health and Wellbeing	3.280	2.952	(0.327)	Y
People	186.293	189.317	3.024	A
Place	68.274	70.203	1.929	R
Resources	0.996	2.686	1.690	R
Strategic Management Board	0	(0.020)	(0.020)	Y
Total	208.647	213.010	4.363	R

- 8.4 The forecast year end position for the Council is revised and reported each month. Management action is already in train to reduce the projected year-end overspend and has resulted in a reduction in the projected overspend of £2.968m since Quarter 1. Further management action will continue and the effect of any management decisions taken will be reflected in future reports.
- 8.5 The majority of the forecast overspend can be summarised as:
- Children's social care pressures – staffing, agency staff, direct payments, internal residential home costs, legal costs – c£2.5m

- Temporary housing costs and housing benefits subsidy loss – c£1.3m
- Commercial losses, unachieved income and market shifts – Commercial investments, Shire Services, Shrewsbury Shopping Centres, Corporate Landlord – c£1.7m
- Unachieved historical digital transformation savings – c£2.2m
- Offset by one-off underspends across the Council – staffing, project expenditure, MRP, use of grant funding - (£3.3m)

8.6 The movement from the forecast outturn position at Quarter 2 is summarised in Appendix 2.

8.7 The forecast impact of Covid-19 in 2021/22 is included within the monitoring position. The Council has received £7.632m unringfenced Covid-19 grant in 2021/22 and this is fully allocated to additional costs and loss of income incurred at present, there is not forecast to be a revenue budget deficit in 2021/22 as a result of the pandemic. Additional costs and loss of income are detailed in Appendix 3. It should be noted that all Public Health costs of managing the response to the pandemic are being funded separately from the specific Contain Outbreak Management Fund grant.

9. Update on Savings Delivery

9.1 The savings projections for 2021/22 have been RAG rated and are presented in Appendix 4. These projections show that 41% of the 2021/22 savings required have been rated as green with a further 17% with plans in place to be delivered (rated amber).

9.2 Managers have provided assurance that plans are in place to deliver the savings that have been categorised as amber. There remains a risk that these savings could impact on the outturn position for 2021/22. As the year progresses, these amber savings should gradually turn to green as the evidence becomes available. However, if the amber rated savings are not delivered as planned, the effect on the outturn position is shown in Appendix 5 and would leave the General Fund balance at an unsustainable level.

10 Analysis of Outturn Projections including Ongoing Budget Pressures

10.1 The forecast outturn position of £4.363m overspend (see paragraph 8.2 above) includes ongoing budget pressures identified, as well as new pressures identified and one-off solutions to reduce the projected overspend. Appendix 6 provides a list of the ongoing budget pressures that the Council is facing and Appendix 7 reconciles the monitoring position to savings delivery, including budget pressures, ongoing and one-off, as well as one-off solutions. Appendix 1 provides further analysis of the projected outturn position for each service area.

10.2 Significant further work is required within service areas to find an ongoing basis for managing and funding the ongoing budget pressures identified so that further growth is not required within the Financial Strategy, leading to an increase in the funding gap.

11 General Fund Balance

- 11.1 The effect on the Council's reserves of the outturn forecast is detailed below. The Council takes a risk-based approach to determining the target balance for the General Fund. These figures were significantly increased within the risk-based review a few years ago, reflecting the remaining funding gap in these years as set out in the current Financial Strategy, and the significant level of risk associated with the uncertainty over local government funding.
- 11.2 The General Fund reserve at 31st March 2021 stood at £14.091m, significantly below its optimum desired balance.
- 11.3 Based on the current monitoring position, the General Fund balance would reduce significantly by year-end, to just £9.727m. This is not considered sustainable and, as stated elsewhere in the report, actions are already agreed to mitigate the overspend in-year.

12 Movement in Capital Programme for 2021/22

- 12.1 The capital budget for 2021/22 is continuously being monitored and changed to reflect the nature of capital projects which can be profiled for delivery over several years. In Quarter 2, there has been a net budget decrease of £0.245m for 2021/22, compared to the position reported at Quarter 1 2021/22. Appendix 9 summarises the overall movement, between the already approved, changes for Quarter 2 and the programme financing.
- 12.2 Within the financing of the Capital Programme £3.510m is funded from revenue contributions. A breakdown of revenue contributions to capital is provided at Appendix 10.
- 12.3 A budget addition of £0.620m is required in the Capital Programme which will be funded from Section 106 Affordable Housing Developer Contributions. This amount will be paid over to Wrekin Housing Trust for the development of 71 affordable rented dwellings on the Paul's Moss development site in Whitchurch, which will deliver specialist housing alongside modern healthcare facilities. As this addition to the capital programme is over £0.500m, Cabinet approval is sought for this virement.

Actual versus Planned Expenditure to Date

- 12.4 The actual capital expenditure at Quarter 2 is £27.914m, which represents 23.6% of the revised capital budget at Quarter 2, 50% of the year. This is low in comparison to the total budget, but in line with the average expenditure percentage at this period in previous years.
- 12.5 The level of spend is low across the programme in some areas, but equal to the level of spend in the previous year at this period. In terms of the major areas the spend position is as follows: Adult Services 11.6% (budget £10.230m), Children's Services 30.2% (budget £20.946m), Place 24.9% (budget £77.138m), Workforce & Transformation 1.4% (budget £0.593m), HRA Major Repairs & New Build Programme 12.8% (budget £9.271m).

Capital Receipts Position

- 12.6 The current capital programme is heavily reliant on the Council generating capital receipts to finance the capital programme. There is a high level of risk in these projections as they are subject to changes in property and land values, the actions of potential buyers and being granted planning permission on sites. Appendix 11 summarises the current allocated and projected capital receipt position across 2021/22 to 2024/25. A RAG analysis has been included for capital receipts projected, based on the current likelihood of generating them by the end of each financial year.
- 12.7 The projected capital receipts for the next four years are set out in Appendix 9. Based on the current programme and capital receipts in hand and projected as Green for 2021/22, the programme is affordable and there will be a balance of £3.439m to carry forward.
- 12.8 In 2022/23 and 2023/24 there are currently projected shortfalls of capital receipts of £34.810m and £40.916m respectively, which may need to be financed from Prudential Borrowing and will incur future year revenue costs that are not budgeted for in the revenue financial strategy. There is an urgent pressure to progress the disposals programmed for future years, to ensure they are realised, together with realising the revenue running cost savings from some of the properties.

List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)

Financial Strategy 2021/22 – 2025/26

Financial Rules

Financial Monitoring Report – Quarter 1 2021/22

Cabinet Member (Portfolio Holder)

Gwilym Butler – Portfolio Holder - Resources

Local Member

Appendices

Appendix 1 – 2021/22 Projected Budget Variations by Service

Appendix 2 – Movement In Projections Between Q1 And Q2

Appendix 3 – COVID-19 Additional Expenditure and Income

Appendix 4 – Update on Delivery of 2021/22 Savings Proposals

Appendix 5 – Effect of Non-Delivery of Amber Savings in 2021/22

Appendix 6 – Ongoing Budget Pressures

Appendix 7 – Reconciliation of Monitoring Projections to Savings Delivery

Appendix 8 – Amendments to Original Budget

Appendix 9 – Revised Capital Programme 2021/22

Appendix 10 – Breakdown of Schemes Funded by Revenue Contributions to Capital

Appendix 11 – Projected Capital Receipts Position

APPENDIX 1**2021/22 PROJECTED BUDGET VARIATIONS BY SERVICE****1.1 Summary**

Revenue variances are reported on an exception basis depending on the total variance from budget, and the percentage change in projection in any one period.

- Green Variance +/- 1% (or £0.05m if budget less than £5m)
- Amber Overspend between 1%-2% (or £0.05m-£0.1m if budget less than £5m)
- Red Variance over 2% (or £0.1m if budget less than £5m)
- Yellow Underspend more than 1% (or £0.05m if budget less than £5m)

In addition, given the level of savings proposals identified for delivery in 2021/22, this report also includes a second RAG rating, specifically relating to the delivery of savings. The ratings are as follows:

- Green – Saving identified, quantified and confirmed
- Amber – Saving identified but not yet confirmed
- Red – Saving not achieved or unachievable

Directorate	Budget £	Forecast £	Variance £	RAG
Corporate Budgets	(50,195,940)	(52,128,666)	(1,932,726)	Y
Health and Wellbeing	3,279,520	2,952,342	(327,178)	Y
People	186,293,120	189,317,211	3,024,091	A
Place	68,273,710	70,202,726	1,929,016	R
Resources	996,210	2,686,490	1,690,280	R
Strategic Management Board	190	(19,847)	(20,037)	Y
TOTAL	208,646,810	213,010,256	4,363,446	R

1.2 Detail by Service Area

CORPORATE BUDGETS	Full Year			RAGY
	Budget £	Forecast £	Variance £	
Total	(50,195,940)	(52,128,666)	(1,932,726)	Y

Corporate Budgets	Portfolio Holder Resources	(50,224,840)	(52,157,567)	(1,932,727)	Y
A pressure of £0.173m has been confirmed in relation the loss of the WME profit share. This has been offset by expected additional income from interest receivable budgets of (£0.137m) and forecast underspends against non-distributable costs of (£0.099m). Additionally, savings of (£1.877m) have been confirmed against MRP budgets, assuming that no additional borrowing will be required in year.					
Business Continuity - Covid 19	Portfolio Holder Resources	28,900	28,900	0	G
No variation from budget at Quarter 2.					

HEALTH AND WELLBEING	Full Year			RAGY
	Budget £	Forecast £	Variance £	
Total	3,279,520	2,952,342	(327,178)	Y

Regulatory Services	Portfolio Holder Adult Social Care and Public Health	2,951,270	2,619,447	(331,823)	Y
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There is a projected underspend of (£0.332m) within the Regulatory Services section of Health and Wellbeing. The major variances are as follows:

- £0.175m of unachieved savings in relation to restructuring the services and increasing income that are not expected to be achieved, partly due to resources being assigned to handling the Covid-19 outbreak.
- (£0.102m) underspends due to delays in recruiting to vacant posts.
- (£0.405m) underspends as a result of staffing resources reassigned to handling the Covid-19 pandemic being funded by the Contain Outbreak Management Fund grant.

Non Ring Fenced Public Health Services	Portfolio Holder Adult Social Care and Public Health	283,390	288,035	4,645	G
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Minor variation from budget at Quarter 2.

Ring Fenced Public Health Services	Portfolio Holder Adult Social Care and Public Health	44,860	44,860	0	G
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No variation from budget at Quarter 2.

PEOPLE	Full Year			RAGY
	Budget £	Forecast £	Variance £	
Total	186,293,120	189,317,211	3,024,091	A

People Directorate Management	Portfolio Holder Adult Social Care and Public Health	3,218,170	3,256,105	37,935	G
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Due to senior management staffing changes in this area, there is a small one-off monitoring pressure due to temporary vacancy cover via an agency and one-off recruitment and staff advertising expenditure.

Adult Social Care Business Support and Development	Portfolio Holder Adult Social Care and Public Health	3,755,550	3,607,086	(148,464)	Y
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There is a projected underspend within Business Support and Development of (£0.148m). A summary of the major variances is as follows:

- (£0.052m) underspend on Business Support. This is largely down to staffing and costs associated with posts, due to anticipated delays in appointing to vacant posts.
- (£0.031m) underspend on Joint Training and the Professional Development Unit. This is largely down to reduced staffing costs.
- (£0.066m) underspend within Enable, due to the generation of additional income from external contracts

Adult Social Care Management	Portfolio Holder Adult Social Care and Public Health	875,500	858,054	(17,446)	Y
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Minor variation from budget at Quarter 2.

Adult Social Care Provider Services	Portfolio Holder Adult Social Care and Public Health	3,616,020	3,633,836	17,816	G
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Minor variation from budget at Quarter 2.

Adult Social Care Operations	Portfolio Holder Adult Social Care and Public Health				Y
		107,195,780	107,171,421	(24,359)	
<p>There is a projected underspend within Social Care Operations of (£0.024m). Although this is a minor variation to the budget at Quarter 2, the size of the budget requires the following detail in relation the current position:</p> <ul style="list-style-type: none"> • (£0.516m) underspend within the staffing budget due to delays in recruiting to vacant posts. This is mainly within the community social work teams. Service Mitigation – We are in the process of recruiting to key posts, that best support where resources need to be used. •£0.103m overspend on delivery costs. The two main pressures are within assistive technology (telecare equipment) and void supported living costs, where the lease costs of a property are not covered by tenants' Housing Benefit income. This is partly offset by reduced transport costs. Service Mitigation - We continue to work in a collaborative way with our partners, to best utilise funding that supports void arrangements within supported living, supporting people with more complex care needs to live independent lives at home through a tenancy arrangement. In order that people are assured that the service remains of high quality, provides good outcomes and is affordable, in this regard we ensure with commissioning that these factors remain under regular monitoring and review, including ensuring that we are maximising the benefits from DFG funds to support community equipment in people's own homes. The alternative to a supportive living service for many people with highly complex care and support needs, often working age, would be a care home place; a position that would not work to support our local vision to support people to lead a life that they want to live, which is independent at home, with the right level of support. •£0.389m overspend across the purchasing budget. Adult Social Care experienced a significant movement in its purchasing ability that took place just after Quarter 1 reporting, whereby the Council experienced a shift in the care and support marketplace, resulting in increased costs in both domiciliary care and care home placements. The Council's ability to purchase within expected local price points has been further challenged, meaning that 40% of the care and support marketplace is operating within our local price points and 60% is not within our local price points and which, therefore, presents further pressures to expenditure. This challenging position is mirrored by a national shortage within the domiciliary care marketplace, and that also impacts on our local care providers, who are struggling to recruit and maintain staffing levels, following the direct impact of the pandemic, but also as a result of care staff making the decision to leave the sector. The result of this is that the Council is supporting people into short-term residential care placements which are more expensive than planned, and are as a direct result of the lack of availability. It is widely believed that this unavailability in the domiciliary care market is a result of the Covid-19 "aftermath" and the impacts that Covid-19 is still having on workforce resources. The vulnerable older people entering social care now have more increased care needs, and so caution is required when reviewing ongoing growth assumptions, so to plan for any increase in cases, as we move towards winter and the unrepresented nature in how the pandemic impacts the marketplace and the people that the Council supports. Service Mitigation - As part of our continued approach to mitigate these unfolding risks, we continue to have conversation with Health partners, regarding how Health funds allocated to CCGs can be used to support community and social care now and looking forward, so to support people to remain safe at home, in their community, accessing the right services, at the right time. Following the Q1 reporting, working across commissioning and operational services, we have robustly put in place a strategic action plan to target our approach to ensure that we increase our purchasing ability, working proactively with care providers, and whereby we are also targeting our staffing resources across our services to focus on people with essential needs. These action plans mitigate the risk over a 4 to 6 month monitoring period, so to reduce the risk of expenditure increasing. The plans also include working with care providers regarding the approach to recruitment and retention across Shropshire and in our drive to continue to work with quality-led organisations that deliver good quality outcomes to people that are best value and affordable. We have somewhat offset this as we are not reaching the level of demography growth anticipated at budget setting, meaning we are not seeing the level of new people we expected entering social care, but we are seeing new levels of complexity in peoples' need, which is impacting both the marketplace and our own operational staffing resources, meaning, for our own staff, the time it now takes to complete a care act assessment for a person with more complex care needs is now longer. 					

•Further savings have been achieved through a reduction in reliance on block purchased beds, and more Continuing Health Care income than budgeted for is being received, due to the complex nature of people who access and use social care services, meaning that a significant number attract funding contributions from Shropshire CCG.

•The main current pressure at Quarter 2 is due to the revision of the provision for bad debt. This has increased by £0.800m within Social Care Operations. The overall debt in Social Care Operations that is over 6 months old stands at £6.684m, which is an increase from £6.005m as at 31st March 2021.

Service Mitigation - In terms of our robust debt recovery planning, we know from our experience that the first notification of any level of debt impacting a vulnerable person is key in resolving and recouping any costs owing to the Council, whereby we can put in place payment interventions that work best with the vulnerable person or with representatives of that vulnerable person. We are clear that the Care Act 2014 enables us to only recover funds up to the sixth year, after which time "having taken all routes" we are legally obligated to write off the debt, unless still within the legal decision-making process, at a cost impact to adult social care. The work to support people to pay the Council funds outstanding, that has become a debt owing, is highly complex in nature and often involves legal, court of protection, client affairs, skilled workers and finance partners to work together to resolve. Often it is linked to a person's property assets or as a result of a person passing away, with added family complications, that are simply not easy to resolve. Throughout this process, our focus remains on the vulnerable adults that we support, so they are fully assured they continue to receive important social care services, in meeting their assessed need. At Quarter 2 we are now in the process of reviewing our approach to debt prevention that remains within the legal framework underpinned by the Care Act 2014 duties and wider legal duties to ensure that all parties working to support an improved position are doing so under a single revised operating framework, so that the newly presenting complexity of people's needs and more recently national legal challenges regarding charging and debt recovery are considered and a clear action plan is put in place, to protect the most vulnerable, in these very difficult times. We have therefore mitigated some of this cost pressure, by offsetting against one-off carried forward reserves of (£0.350m), which means the pressure is reduced to £0.450m. In the event that debt is recovered as expected, then less of the reserve will be utilised, as we monitor activity over Quarter 3 reporting.

Housing Services	Portfolio Holder Adult Social Care and Public Health	3,101,170	3,703,411	602,241	R
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There is a projected overspend within Housing Services of £0.602m. The major variances are as follows:

- (£0.410m) underspend on staffing due to anticipated in-year staff vacancies and an impending staffing restructure.

Service Mitigation - We continue to review staffing vacancies and are in the process of a staff restructure to ensure that the service can respond to the increasing complexity of clients presenting with housing need.

- £0.120m net overspend relating to carried forward 20/21 savings, following application of (£0.180m) Covid-19 grant. We are anticipating that £0.200m of the £0.316m unachieved savings will be achieved in the medium-term, so this pressure is largely one-off in nature.

- (£0.066m) underspend due to one-off reduced service delivery costs across services such as the handyperson team.

Service Mitigation - We are developing an invest to save business case in order to develop the handyperson scheme and operate as an income generating scheme via private works.

- £0.957m anticipated overspend on temporary accommodation, due to an unprecedented number of homelessness cases. The nature of the demand also means that the Housing service is incurring large security and repair costs that are not being covered by Housing Benefit payments. Cost savings targets have been proposed by reducing the reliance on more expensive bed and breakfast usage and a review of security costs. This is an ongoing pressure which is unlikely to be fixed in the short-term, and budget growth may be required to address the current growth pressures.

Service Mitigation - The number of households presenting as homeless has doubled during Covid-19. The Council has a statutory duty to accommodate those individuals in temporary accommodation but has a lack of 'in house units' and therefore relies heavily on B&B provision. The Temporary Accommodation Programme Board is looking at alternative options to B&B placements, which will significantly reduce the costs associated with temporary accommodation as well as increase outcomes for those vulnerable households we support. The Housing restructure also seeks to focus on prevention of homelessness, thereby reducing the need for temporary accommodation.

Children's Social Care and Safeguarding	Portfolio Holder Children's and Education				R
<p>The largest forecast overspend within Children's Social Care relates to staffing. A budget pressure of £1.047m is forecast across the service area. Most of this pressure has continued from the previous financial year and relates to agency social workers covering social worker posts. It is necessary to ensure that children who are looked after, on a Child Protection Plan or children in need of a plan are adequately supported in line with statutory timescales and this will dictate that sickness, maternity or temporary vacancy must be covered in the interim through agency staff. Although significant growth of £1.667m was built into the budget for a number of social workers posts, those staff that are responding to our recruitment campaign tend to be inexperienced ASYE social workers, so agency workers will be required to stay in post for a limited time to support these new social workers until such time that they are able to take on full caseloads. The service remains focused on recruitment and retention but there is an issue around social worker recruitment and retention with national recognition that the number of social workers enrolling on to social worker courses remains static, the Department for Education data predicting an annual shortage of qualifying social workers compared to annual vacancies of 1,720 and rising across all Local Authorities, an increase in the number of qualified social workers leaving the profession compared to the number of new entrants and an increase in demand which is highly anticipated to only increase further as recent Covid-19 restrictions are lifted. Shropshire's geographical location and dispersed population and difference in neighbouring local authorities immediate pay and reward packages has exacerbated these national issues at a local level. The recruitment campaign for children's services has been continuous and we are engaged with the graduate programmes for social work Step Up. The service also embarked on an invest to save strategy to grow our own workforce by creating social workers that are local, with good knowledge of local issues and services, and have a long-term commitment to working in Shropshire. The programme of developing our own Social Work Hub aims to create a local pathway to qualification with preferred providers either being in Shropshire or within reasonable commuting distance. To date 8 social work apprentices were appointed in January 2020 and a further 6 started in January 2021. This strategy of training our own social workers is a long-term strategy that will ensure that the local supply of qualified social workers in the market will be sufficient when future vacancies are advertised.</p>					
<p>At the end of the 2018/19 financial year, the Council embarked on a strategy to develop additional in-house internal residential provision. There is an overspend of £0.573m across all of the Council's internal residential homes. This overspend relates to staffing pressures whereby existing staff have worked additional hours to provide additional support to the children accommodated at these homes. A full review of the budgets at the Council's internal residential homes is required to gain a better understanding of this.</p>					
<p>There is a £0.060m budget pressure forecast within the Placements budget area. This relates to a shortfall in contributions received from Education and Health partners towards joint funded, Social Care led placements compared with the budgeted amount. What is not reflected in this £2.501m overall Children's Social Care budget pressure is the £1.285m ongoing budget pressure on placements expenditure as this pressure has been offset by the Council's Covid-19 Support Grant this year. It is important to note that this grant contribution is a one-off for 2021/22 hence the £1.285m will be a budget pressure in 2022/23 onwards unless growth is built into the budget or further savings can be achieved in the Placements budget area through stepping-down children from higher cost placements to lower cost placements where appropriate. The Stepping Stones Project Invest to Save strategy is a long term strategy with a system-wide transformation to provide an integrated service for young people who are either in care, edging to, or on the edge of care to ensure that the young person is not passed from service to service but instead supported by a dedicated operational team at a multi-disciplinary hub. This project is intended to build capacity in order to allocate resources more effectively. This project is designed to manage the predicted growth in expenditure within placements and to achieve the £2.000m savings outlined within the Council's Financial Strategy whilst enabling the Council to continue to fulfil its statutory duties.</p>					
<p>There is a £0.315m budget pressure forecast in the Disabled Children's Team. The budget pressure relates to Direct Payments (£0.205m) and bespoke, short term care packages of prevention and support for Disabled Children (£0.110m). This is an area which has seen a significant increase in demand.</p>					
<p>The remaining £0.506m overspend relates to one-off monitoring pressures on non-staffing budgets such as legal/barrister fees, medical assessments, transport recharges and interpreting fees across several social work teams. Some growth was built into the budget for 2021/22 but these costs have increased in line with the sharp increase in demand elsewhere in the service.</p>					

Children's Early Help, Partnerships and Commissioning	Portfolio Holder Children's and Education	2,643,610	2,575,217	(68,393)	Y
The (£0.068m) one-off monitoring saving relates to temporary vacancy managements savings, where there have been delays in recruiting staff to Family Support Worker roles at the Council's 6 Early Help family hubs.					
Learning and Skills	Portfolio Holder Children's and Education	18,888,490	19,012,388	123,898	G
The largest forecast overspend within Learning and Skills relates to home to school transport, with a £0.094m overspend forecast against a £12.703m budget.					
The main area of expenditure growth in home to school transport is within the SEND transport budgets. Here, we have seen a 20% increase in actual expenditure from 2017/18 to 2020/21. The reasons for this are a combination of increased SEND passenger numbers, increased complexity of passengers leading to more bespoke transport arrangements and increased parental expectations as a result of increased knowledge and awareness of the guidance. Within this budget area, we have seen a particularly large increase in relation to transport costs for the Council's pupil-referral unit. This is as a consequence of an unprecedented increase in passenger numbers and more bespoke transport arrangements.					
The remaining £0.030m overspend relates to one-off budget monitoring pressures within Learning and Skills Business Support and the Educational Psychology Service.					
Central DSG	Portfolio Holder Children's and Education	-	-	-	G
There is a (£0.362m) surplus reported against Central Dedicated Schools Grant (DSG). This is largely due to an in-year projected underspend reported on the High Needs Block of DSG. Significant growth has been allocated to this budget for 2021-22; the High Needs Block DSG allocation was significantly increased by £3.751m from £28.016m in 2020-21 to £31.767m in 2021-22. This is partly due to the funding floor factor in the high needs national funding formula for 2021-22 providing for every local authority to receive an underlying increase of at least 8% per head of 2 to 18 population. The other explanation for the increase is that the High Needs Block DSG now incorporates the Teachers Pay and Pension grant for both special schools and alternative provision settings. While the expenditure continues to increase year on year, the forecasted spend has not increased by as much as the increase in High Needs Block DSG allocation. This is particularly true of expenditure on Post 16 FE College placements where this budget was increased by £0.581m in anticipation of significant growth in numbers of pupils and expenditure, however we are currently reporting a (£0.331m) underspend against this budget.					
A small proportion of high-cost, low incident cases can disproportionately impact the High Needs Block DSG financial position. We know that many young people have been adversely impacted over the past 18 months and this is no different for SEND children, and may well be even more pronounced. The impact over this period has the potential to see the number of vulnerable children and young people presenting with complex mental health and behavioural needs requiring provision increasing and this will have a knock on effect on the High Needs Block DSG as we meet the needs of this cohort.					
While there is an in-year surplus or underspend being reported on the DSG, the cumulative DSG financial position being forecast is a £0.311m deficit at the end of the 2021-22 financial year, when taking into account the cumulative deficit brought forward from previous years. There are a number of strategies in play to address this deficit on the DSG with the aim of bring the Council's DSG account back into balance. These include;					
<ul style="list-style-type: none"> - Building capacity of maintained and academy school SEND Hubs as a more cost effective, local provision - Graduated Support Pathway (GSP) payments to children identified as requiring SEN support an early stage - Close partnership working with local mainstream college providers to realise efficiencies - Reducing reliance on Independent Special Schools through focusing on building capacity of maintained school SEND hubs and the development of a new free Special School from September 2022 - Greater co-commissioning of provision with partners e.g. Health and Social Care to meet the holistic needs of a child - Continue to support schools to be inclusive and manage the increase in permanent exclusions 					

PLACE		Full Year			RAGY
		Budget £	Forecast £	Variance £	
Total		68,273,710	70,202,726	1,929,016	R
Director of Place	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	838,950	841,168	2,218	G
Minor variation from budget at Quarter 2.					
Assistant Director Commercial Services	Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets)	95,660	198,543	102,883	R
This forecast overspend relates to an unachievable savings target of £0.092m in relation to contract negotiation. A further pressure includes a consultancy review in relation to Shire Services resulting in unbudgeted expenditure of £0.011m.					
Corporate Landlord	Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets)	1,217,520	1,333,673	116,153	R
There is £0.092m unbudgeted expenditure in relation to Shropshire Local. A business case is being drafted to secure the funding, however, in the meantime this remains a pressure within Corporate Landlord. The remaining variance relates to unachieved savings in relation to the efficiencies in admin buildings savings target. At a time of transition in the use of admin buildings, the Strategic Asset Management team is working to achieve this target in the long term. The uncertainty around the future needs within admin buildings is making this challenging.					
Property & Development	Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets)	50,860	698,584	647,724	R
Delays to projects and the collapse of a potential acquisition relating to commercial investment has resulted in £1.946m currently being forecast as an unachievable saving against the commercial investment savings target this year. The majority of this is offset by one-off savings on MRP (£0.889m) and by a lease surrender (£0.326m). There is also a £0.070m pressure due to the need for additional valuations across a significant portion of the estate which were not budgeted for.					
Commercial Services Business Development	Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets)	-	968	968	G
Minor variation from budget at Quarter 2.					
Climate Change	Portfolio Holder Climate Change, Natural Assets and the Green Economy	1,042,520	422,520	(620,000)	Y
Review of the Climate Change task force budget indicates that there will be an underspend of (£0.620m) this year.					
Shire Services	Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets)	429,100	1,031,958	602,858	R

This area has a £0.401m savings target which is currently projected as unachievable. In addition, in the area's budget review process, further deficits of £0.221m have been identified which the service is seeking to address. These losses have been mitigated, in part, by delays in replacing staff leaving the service.					
Assistant Director Economy & Place	Deputy Leader and Portfolio Holder Economic Growth, Regeneration and Planning				
		263,820	270,127	6,307	G
Minor variation from budget at Quarter 2.					
Planning Services	Deputy Leader and Portfolio Holder Economic Growth, Regeneration and Planning				
		2,016,840	2,118,938	102,098	R
Street Naming & Numbering and Land Charges:- It is currently estimated that net income will be slightly greater than budget at (£0.017m) Building Control:- It is anticipated that there will be additional costs of £0.062m in dealing with enforcement issues and dangerous structures. Natural and Historic Environment:- There is an adverse variance of £0.022m associated with expected income and temporary staffing arrangements. Planning:- It is currently estimated that there will be a small net underspend of (£0.031m) mainly resulting from a small number of large planning applications. Highways Development Control:- There are cost pressures resulting from anticipated additional 'Part 1 claims' (whereby a resident can claim compensation from the Council as a result of Council initiated highway schemes), estimated at £0.008m. There are net additional costs resulting from agency/contractor support of £0.044m and there is also an anticipated reduction in inspection fee income of £0.015m.					
Economic Growth	Deputy Leader and Portfolio Holder Economic Growth, Regeneration and Planning				
		1,150,670	1,186,671	36,001	G
Shropshire Council has committed to contribute towards external organisations (Marches LEP: £0.040m and Shropshire Chamber of Commerce: £0.004m). Previously these were funded through one-off grants, and more recently through cost savings, neither of which are available in 2021/22.					
Broadband	Portfolio Holder Digital, Data and Insight				
		171,870	171,870	-	G
No variation from budget at Quarter 2.					
Planning Policy	Deputy Leader and Portfolio Holder Economic Growth, Regeneration and Planning				
		839,650	839,221	(429)	Y
Minor variation from budget at Quarter 2.					
Shrewsbury Shopping Centres (Commercial)	Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets)				
		(121,530)	183,679	305,209	R
As fundamental changes in the retail sector continue, Darwin Shopping Centre has been subject to several pressures including negotiating less favourable lease renewals, tenants leaving and delays to relocations from Pride Hill. These on-going pressures on the budget have created an estimated projected reduction in income that totals £0.386m. This reduction in income is partially offset by savings of (£0.227m) on premises-related expenditure. Further pressures come from estimated projected net overspends of £0.132m on supplies and services. Other pressures of £0.014m on the shopping centre management are a result of additional on-shoring legal fees relating to last year.					

Shrewsbury Shopping Centres (Development)	Deputy Leader and Portfolio Holder Economic Growth, Regeneration and Planning	512,770	504,609	(8,161)	Y
Whilst gaining vacant possession of the Pride Hill Centre continues, ongoing enabling works continue to mitigate for rates liabilities. Savings projected are a result of savings in premises-related expenditure and supplies and services of (£0.096m), partially offset by a reduction of income of 0.073m. Meanwhile Riverside Shopping Centre retains some tenants on inclusive leases and there are estimated projected budget pressures on premises-related expenditure and services and supplies of £0.013m, and £0.002m on income.					
Assistant Director Infrastructure	Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets)	224,540	212,798	(11,742)	Y
Minor variation from budget at Quarter 2.					
Environment and Transport	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	9,027,370	9,138,891	111,521	A
Public Transport:- It is currently estimated that there could be cost savings in this service area amounting to (£0.245m) (assuming no significant amendments to the current Covid/social distancing guidance). Street Cleansing and Grounds Maintenance:- There are some small favourable variances, mainly due to staffing/resource issues, currently estimated at (£0.007m). Parking:- It remains difficult to assess the continued impact of Covid-19, the speed of recovery and the new behaviours that are starting to emerge. In addition, there is also the loss of the Smithfield carpark in Bridgnorth (due to sale by the owner). A combination of these factors is anticipated to have a significant impact on net parking income in 2021/22, currently estimated at £1.498m. However, after application of (£1.131m) Covid-19 support grants, this reduces the net position to a shortfall of £0.367m. Work to track demand and assess behaviour changes continues and is constantly reviewed to inform the current forecast. Strategic:- Currently it is estimated that recharging staff costs to capital projects will reduce net revenue costs by (£0.017m).					
Highways	Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets)	8,397,310	8,732,326	335,016	R
Highways (Operations) - Whilst significant improvements have been made to reduce the cost per repair and adopting a policy of permanent repairs wherever possible (less repairs of a temporary nature). It continues to remain a challenge to adequately resource and deliver revenue repairs within the current budgets. At this point it is anticipated that this service area will incur additional costs of £0.055m. Highways (Bridges, Structures and Drainage) - Again, with this service area the focus is to deliver permanent (capital) improvements, however, there continues to be pressure on delivering revenue activities. It is anticipated there will be additional costs of £0.102m. A significant proportion of this is associated with legal expenses and additional staff resource. Highways (Streetworks) - For 2021/22 the net income target has been increased significantly. At this point there are encouraging signs that net income will be slightly up on budget, at (£0.100m). Highways (Governance) - Further to the notes above (Highways Operations), it is anticipated that the service will require additional resource in the assessment of asset condition and planning/programming of works, currently estimated at £0.276m.					
Waste Management	Portfolio Holder Climate Change, Natural Assets and the Green Economy	31,693,810	31,883,650	189,840	G

The forecast overspend of £0.190m is derived from estimates for the collection volume adjustment (directly related to the additional number of households waste is collected from compared to the base case model) and the landfill reconciliation payment, which is the difference between the expected landfill volume and the actual landfill volume in a financial year. As the year progresses, we are hopeful that landfill tonnages per month will reduce, reducing the total landfill payment due for the year, and therefore reducing the forecast overspend.					
Assistant Director Homes and Communities	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	105,880	105,880	(0)	Y
No variation from budget at Quarter 2.					
Housing Development and HRA	Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets)	49,940	49,940	0	G
No variation from budget at Quarter 2.					
Bereavement Services	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	(243,610)	(242,758)	852	G
Minor variation from budget at Quarter 2.					
Registrars and Coroners	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	687,490	681,482	(6,009)	Y
Minor variation from budget at Quarter 2.					
Trading Standards and Licensing	Deputy Leader and Portfolio Holder Economic Growth, Regeneration and Planning	707,200	582,325	(124,875)	Y
There is a projected underspend of (£0.125m) within the Trading Standards and Licensing section of Place. The major variances are as follows:					
<ul style="list-style-type: none"> • £0.175m of unachieved savings in relation to restructuring the services and increasing income that are not expected to be achieved, partly due to resources being assigned to handling the Covid-19 outbreak. • £0.220m of implementation costs in relation to the replacement of service-critical IT software systems. • (£0.092m) underspends due to delays in recruiting to vacant posts. • (£0.428m) underspends as a result of staffing resources reassigned to handling the Covid-19 pandemic being funded by the Contain Outbreak Management Fund grant. 					
Head of Culture, Leisure & Tourism	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	330,550	332,262	1,712	G
Minor variation from budget at Quarter 2.					
Arts	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	72,470	57,746	(14,724)	Y
Minor variation from budget at Quarter 2.					
Shropshire Hills AONB	Portfolio Holder Climate Change, Natural Assets and the Green Economy	40,300	40,300	(0)	Y
No variation from budget at Quarter 2.					
Outdoor Partnerships	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	1,189,210	1,186,714	(2,496)	Y

Minor variation from budget at Quarter 2.					
Leisure	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	2,455,650	2,480,313	24,663	G
Minor variation from budget at Quarter 2.					
Libraries	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	3,411,380	3,466,446	55,066	A
The library service is undergoing a 'transformation review' which will report later in the year. Part of this work is to deliver the £0.071m recurrent savings target which is shown as unachieved this year. Review of the staffing structure has identified annual savings which will achieve this target in 2022/23. The service has worked to reduce expenditure in year to mitigate this unachievable saving, mainly through delays in replacement of staff who have left the service.					
Museums and Archives	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	1,457,110	1,533,058	75,948	A
Acton Scott Museum has had to close from 24 th June and no income is anticipated for the remaining 9 months of the year. This has caused the projected outturn for the museum to be £0.082m over the allotted budget. This overspend is offset, in part, by underspends across the rest of the service.					
Theatre Services	Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	158,410	158,825	415	G
Minor variation from budget at Quarter 2. (Covid-19 continues to have a significant impact upon the Theatre. Currently it is hoped that performances (although nowhere near normal) can be significantly increased in the second half of the year. The Cultural Recovery grant of (£0.533m), together with Covid-19 loss of income support of (£0.277m) will minimise the variance for the service.)					

RESOURCES	Full Year			RAGY
	Budget £	Forecast £	Variance £	
Total	996,210	2,686,490	1,690,280	R

Customer Services	Portfolio Holder Resources	443,860	116,700	(327,160)	Y
Savings have been identified from the reduction of contract costs relating to service delivery of face-to-face services, from vacancy management and from the application of one-off Covid-19-related grants to fund staff costs.					
ICT Digital Transformation Project	Portfolio Holder Digital, Data and Insight	(2,424,240)	(183,983)	2,240,257	R
This area contains the historic DTP savings target for the Council which has not been achieved. Partial savings relating to telephones have been identified and are incorporated into this forecast, pending a virement to allocate them out to services. The remaining elements of this historic target will be considered as part of the future Financial Strategy.					
ICT Services	Portfolio Holder Digital, Data and Insight	74,580	(143,827)	(218,407)	Y
Budget pressures in relation to software licensing and income of £0.196m have been identified. These have offset by in-year savings from vacancy management and supplies and services of (£0.414m).					
Communications & Engagement	Leader and Portfolio Holder Policy and Strategy,	(5,030)	(82,973)	(77,943)	Y

	Improvement and Communications				
Savings identified in-year are from expected vacancy management.					
Information, Intelligence and Insight	Portfolio Holder Digital, Data and Insight	(64,560)	(106,675)	(42,115)	Y
Savings identified in-year are from expected vacancy management.					
Human Resources and Organisational Development	Portfolio Holder Resources	(766,080)	(1,138,917)	(372,837)	Y
Vacancy management efficiencies and the receipt of some additional one-off income across Human Resources and Organisational Development have been identified as in-year savings at Quarter 2.					
Audit Services	Portfolio Holder Resources	160	(79,945)	(80,105)	Y
Savings identified in-year are from expected vacancy management. There are plans to recruit to vacant posts and, therefore, the level of savings may reduce in future forecasts.					
Finance	Portfolio Holder Resources	149,470	242,227	92,757	A
Due to pressures across Finance, it has been necessary to bring in additional staffing resource via agencies, resulting in increased costs for this financial year. A review of budgets was completed and, where possible, savings have been used to offset the additional expenditure being incurred.					
Pension Administration Services	Portfolio Holder Resources	60,720	68,040	7,320	G
Minor variation from budget at Quarter 2.					
Revenues	Portfolio Holder Resources	2,463,910	2,170,873	(293,037)	Y
There are savings identified at Quarter 2 relating to vacancy management. It is likely that some of these vacancies will need to be recruited to in-year and that the identified vacancy management savings may reduce. However, this will likely be offset by the receipt of some one-off "new burdens" grant funding.					
Housing Benefits	Portfolio Holder Resources	(385,860)	341,332	727,192	R
Pressures regarding the Housing Benefit subsidy continue to be experienced in the current financial year. In 2021/22 this service area is forecast to benefit from (£1.140m) of the unringfenced Covid-19 grant, meaning that a significant budget gap remains to be resolved in future years.					
Treasury Services	Portfolio Holder Resources	(64,420)	(55,235)	9,185	G
Minor variation from budget at Quarter 2.					
Commissioning Development and Procurement	Portfolio Holder Resources	70,000	29,880	(40,120)	Y
The in-year savings are as a result of one-off vacancy management.					
Risk Management and Insurance	Portfolio Holder Resources	145,490	113,571	(31,919)	Y
An underspend is forecast on staffing, however, budgets where savings are expected from vacancy management may be required to support additional staffing requirements later in the year. The service is currently being reviewed and additional resources may be required for the future.					
Democratic Services	Portfolio Holder Resources	90	(66,181)	(66,271)	Y
Additional income in relation to education appeals has been achieved (£0.028m), with the remaining in year savings identified across various supplies and services budgets.					
Elections	Portfolio Holder Resources	1,282,050	1,273,333	(8,718)	Y

Minor variation from budget at Quarter 2.					
Legal Services	Portfolio Holder Resources	16,140	(76,769)	(92,909)	Y
In-year savings have been identified, mainly from vacancy management within the service. These savings are not sustainable for future years.					
Information Governance and Scrutiny	Portfolio Holder Resources	20	14,770	14,750	G
Minor variation from budget at Quarter 2.					
Legal Services – Child Care	Portfolio Holder Resources	(90)	250,270	250,360	R
The pressure against legal child care costs continues to increase and is being monitored closely. In year unringfenced Covid-19 grant of (£0.249m) has been applied to offset some of the increased pressures. A review of options is currently being undertaken with a view to increasing staff levels in future years in order to reduce external legal costs, in order to address the increasing budget gap.					

STRATEGIC MANAGEMENT BOARD	Full Year			RAGY
	Budget £	Forecast £	Variance £	
Total	190	(19,847)	(20,037)	Y

Chief Executive & PAs	Leader and Portfolio Holder Policy and Strategy, Improvement and Communications	190	(19,847)	(20,037)	Y
Minor variation from budget at Quarter 2.					
Programme Management	Leader and Portfolio Holder Policy and Strategy, Improvement and Communications	-	-	-	G
No variation from budget at Quarter 2.					

APPENDIX 2**MOVEMENT IN PROJECTIONS BETWEEN Q1 AND Q2**

Directorate	Q1 Variance (£'000)	Q2 Variance (£'000)	Movement (£'000)	Key Reasons for Movement
Corporate Budgets	(92)	(1,933)	(1,840)	Release of MRP budget, assuming no additional borrowing required in year
Health and Wellbeing	80	(327)	(407)	Application of Contain Outbreak Management Funding to offset costs of staff time spent on Covid-19-related activities
People	1,884	3,024	1,140	<ul style="list-style-type: none"> Increased adult social care spot purchasing contracts, partly due to the shortage of hours available in the domiciliary care market, and therefore an increase in the number of short-term residential/nursing agreements Forecast year-end increase to the adult social care provision for unpaid debt, following a review of outstanding debt Increased Disabled Children's Team prevention and support payments and direct payments, due to increase in demand
Place	3,026	1,929	(1,096)	<ul style="list-style-type: none"> Reduction to forecast commercial investment income, following delays to major commercial projects Underspend on Climate change activities now anticipated Improved income forecasts and reduced costs for Shrewsbury Shopping Centres Reduced forecast bus subsidy costs Improved car park income forecasts Application of Contain Outbreak Management Funding to offset costs of Trading Standards staff time spent on Covid-19-related activities
Resources	2,457	1,690	(767)	<ul style="list-style-type: none"> Application of Covid-19 grant to offset further relevant costs and loss of income Application of Contain Outbreak Management Fund grant and other specific grants to cover relevant staff costs Reduced forecast expenditure on staff, travel costs and supplies and services costs

Strategic Management Board	(23)	(20)	3	Minor variations
Total	7,331	4,363	(2,968)	

APPENDIX 3**COVID-19 ADDITIONAL EXPENDITURE AND LOSS OF INCOME****2.1 Summary****2021/22 Forecast Covid-19
Funding Position**

	£
2021/22 Covid-19 Un-Ringfenced Grant	7,632,211
Forecast Additional Costs	3,879,463
Forecast Net Loss of Income	3,508,548
Forecast Unachieved Savings	244,200
Total Forecast Use of Grant	<u>7,632,211</u>

2.2 Detail

Covid-19 Additional Expenditure Area (Included within Corporate Budgets within Monitoring Position)	Expenditure as at 30th September 2021 (£'000)	Forecast Expenditure to 31st March 2022 (£'000)
Adult Social Care	24	44
Children's Social Care	154	2,774
Learning and Skills	9	9
Economic Growth		180
Highways and Transport	148	155
Leisure	3	48
Finance		50
IT		1
Legal Services (Child Care)	6	274
Democratic Services	4	4
Lockdown Compliance and Reopening Costs	14	60
Employee Homeworking Allowance		280
Total	361	3,879

Covid-19 Loss of Income	2021/22 Forecast Net Loss of Income Due to Covid-19 (£'000)	Loss of Sales Fees and Charges Income to be Claimed from DLUHC (£'000)	Cultural Recovery Fund Grant (£'000)	Contribution from Unringfenced Covid-19 Grant to Fund Remaining Loss (£'000)	2021/22 Forecast Net Loss of Income Due to Covid-19, After Central Government Compensation (£'000)
Service Area					
Adult Social Care Provider Services	20	(14)		(6)	0
Adult Social Care Operations	27			(27)	0
Housing	15			(15)	0
Learning and Skills	58			(58)	0
Revenues and Benefits	1,332			(1,332)	0
Corporate Landlord	221			(221)	0
Shrewsbury Shopping Centres	151			(151)	0
Environment and Transport - Parking	1,131	(147)		(984)	0
Waste Management	236			(236)	0
Leisure	145	(47)		(98)	0
Libraries	10	(7)		(3)	0
Museums and Archives	90	(28)		(62)	0
Theatre Services	810		(533)	(277)	0
HRA	38			(38)	0
Total	4,285	(243)	(533)	(3,509)	0

APPENDIX 4

UPDATE ON DELIVERY OF 2021/22 SAVINGS PROPOSALS

3.1 Summary

The savings projections for 2021/22 have been RAG rated in order to establish the deliverability of the savings and any potential impact on the outturn projection for the 2021/22 financial year. RAG ratings have been categorised as follows:

Red – Savings are not solved on an ongoing basis, nor have they been achieved in the current financial year. These are reflected as unachieved within this monitoring report.

Amber – Savings have been identified on an ongoing basis in the current financial year, however there is no clear evidence to support the delivery as yet. The projected outturn within this report assumes these savings will be delivered.

Green – Savings have been identified on an ongoing basis in the current financial year, with evidence of delivery. The RAG ratings are updated monthly to determine progress on delivery.

The table below summarises the position as at 30th September 2021.

Service Area	Red £'000	Amber £'000	Green £'000	Total Savings £'000
Corporate Budgets	-	-	-	-
Health and Wellbeing	350	-	-	350
People	208	1,075	2,932	4,216
Place	2,340	355	785	3,480
Resources	1,181	270	307	1,758
Strategic Management Board	-	-	-	-
Council	4,080	1,700	4,024	9,804
	42%	17%	41%	

Within the 2020/21 outturn report presented to Council on 15th July 2021 there is a commitment to deliver £5.954m of undelivered 2020/21 red savings in 2021/22 on an ongoing basis, plus the £3.850m new savings in 2021/22; £9.804m in total.

The figures presented above show that 42% of the 2021/22 savings required have been rated as green with a further 17% with plans in place to be delivered (rated amber).

Managers have provided assurance that plans are in place to deliver the savings that have been categorised as amber. There remains a risk that these savings could impact on the outturn position for 2021/22. As the year progresses, these amber savings should gradually turn to green as the evidence becomes available. However, if the amber rated savings are not delivered as planned, the effect on the outturn position is shown in Appendix 4. Non-delivery of the amber rated savings would result in a projected outturn overspend of £6.064m which would leave the General Fund balance at an unsustainable level.

3.2 Breakdown of Red Savings

Ref	Directorate	Service Area	Description	Financial Year Saving Originally Required	2021/22 Saving Required (£'000)	Value Rated Red (£,000)
2A46R	Health and Wellbeing	Regulatory Services	Regulatory Services review leading to redesign of delivery model, structures and an increased focus on income generation. Opportunities include; increased alignment to the CSC and an increased digital presence.	2020/21	175	175
2A22	Health and Wellbeing	Ring Fenced Public Health Services	Out of hours cover	2020/21	25	25
2A20	Health and Wellbeing	Ring Fenced Public Health Services	Review of ring-fenced Public Health services	2020/21	150	150
2A03	People	Housing Services	External income generation	2020/21	100	100
A26	People	Provider Services	Remodel day services offer	2020/21	64	64
2C10	People	Children's Social Care and Safeguarding	Reduction in use of agency workers	2020/21	44	44
2A46R	Place	Trading Standards and Licensing	Trading Standards and Licensing review leading to redesign of delivery model, structures and an increased focus on income generation. Opportunities include; increased alignment to the CSC and an increased digital presence.	2020/21	175	175
P41	Place	Assistant Director Commercial Services	Negotiate contract savings upon renewal, through better contract management	2020/21	92	92
P41	Place	Head of Culture, Leisure and Tourism	Negotiate contract savings upon renewal, through better contract management	2021/22	50	42
P35	Place	Corporate Landlord	Efficiencies within administrative buildings	2021/22	500	85

P39	Place	Property and Development	Raise income from investment in assets	2021/22	2,000	1,946
2WT23	Resources	ICT Digital Transformation Project	Lean review of Shropshire Council structures and processes linked to transformation, single front door and digital enabling technologies	2020/21	1,181	1,181
TOTAL					4,557	4,080

APPENDIX 5**EFFECT OF NON-DELIVERY OF AMBER SAVINGS IN 2021/22**

Service Area	Quarter 2 Projected Outturn £'000	Amber Savings £'000	Potential Outturn if Amber Savings not Achieved £'000
Corporate Budgets	(1,933)	-	(1,933)
Health and Wellbeing	(327)	-	(327)
People	3,024	1,075	4,099
Place	1,929	355	2,284
Resources	1,690	270	1,960
Strategic Management Board	(20)	-	(20)
Total	4,363	1,700	6,064

APPENDIX 6**ONGOING BUDGET PRESSURES**

Directorate	Service / Description	Nature of Pressure	Value (£'000)
Corporate Budgets	Other Corporate	WME profit share	173
People	Housing - Temporary Accommodation	Demography	958
People	Children's Social Care Placements	Demography	1,285
People	Children's Social Care Social Work Teams	Staff budget	58
People	Children's Social Care Internal Residential Placements	Staff budget	281
People	Children's Social Care Medical Assessments and Legal Costs	Demography	291
People	Children's Social Care Short Breaks Contract	Demography	59
Place	Shire Services	Historic unachieved savings	401
Place	Economic Growth	Grants and contributions to other organisations	44
Place	Environment and Transport (Parking)	Historic unachieved savings	517
Place	Environment and Transport (Parking)	Closure of car park	247
Place	Environment and Transport (Parking)	Changes in behaviour, post pandemic	150
Place	Libraries	Historic unachieved savings	72
Resources	Housing Benefits	Housing Benefit Subsidy loss	1,897
Resources	Legal Services - Child Care	Demography	500
Resources	Communications	Lost external SLA income	33
Resources	ICT	Software licenses	113
Resources	Digital Income Target	Unachieved commercial income	22
Resources	DTP - Transformation Savings	Historic unachieved savings	1,185
TOTAL			8,286

APPENDIX 7**RECONCILIATION OF MONITORING PROJECTIONS TO SAVINGS DELIVERY**

	Q2 Forecast Variance	Savings Pressure in 2021/22	Ongoing Monitoring Pressures Identified	Ongoing Monitoring Savings Identified	One Off Monitoring Pressures Identified	One Off Monitoring Savings Identified
	£000	£000	£000	£000	£000	£000
Corporate Budgets	(1,933)		173			(2,106)
Business Continuity – Covid-19	0				3,879	(3,879)
Corporate Budgets	(1,933)	0	173	0	3,879	(5,985)
Regulatory Services	(332)	175				(507)
Non Ring Fenced Public Health Services	5				5	
Ring Fenced Public Health Services	0	175			163	(338)
Health and Wellbeing	(327)	350	0	0	168	(845)
People Directorate Management	38				170	(132)
Adult Social Care Business Support and Development	(148)				704	(852)
Adult Social Care Management	(17)					(17)
Adult Social Care Provider Services	18	64			199	(246)
Adult Social Care Operations	(24)	0			737	(761)
Housing Services	602	100	958		217	(673)
Children's Social Care & Safeguarding	2,501	44	1,975		4,221	(3,740)
Children's Early Help, Partnerships and Commissioning	(68)				40	(109)
Learning and Skills	124				195	(70)
Central DSG	0				362	(362)
People	3,024	208	2,933	0	6,845	(6,962)
Director of Place	2				2	
Assistant Director, Commercial Services	103	92			11	
Corporate Landlord	116	85			397	(366)
Property and Development	648	1,946			96	(1,394)
Commercial Services Business Development	1				1	
Climate Change	(620)					(620)
Shire Services	603		401		202	
Assistant Director, Economy and Place	6				6	
Planning Services	102				102	
Economic Growth	36		44			(8)
Broadband	0					
Planning Policy	(0)					(0)
Shrewsbury Shopping Centres – Development Sites	305				453	(148)
Shrewsbury Shopping Centres – Commercial Sites	(8)					(8)
Assistant Director, Infrastructure	(12)					(12)
Environment and Transport	112		397		1,141	(1,426)
Highways	335				435	(100)
Waste Management	190				426	(236)
Assistant Director, Homes and Communities	(0)					
Housing Development and HRA	0					

	Q2 Forecast Variance £000	Savings Pressure in 2021/22 £000	Ongoing Monitoring Pressures Identified £000	Ongoing Monitoring Savings Identified £000	One Off Monitoring Pressures Identified £000	One Off Monitoring Savings Identified £000
Bereavement Services	1				1	
Registrars and Coroners	(6)				(6)	
Trading Standards and Licensing	(125)	175			220	(520)
Head of Culture, Leisure and Tourism	2	42				(40)
Arts	(15)					(15)
Shropshire Hills AONB	(0)					
Outdoor Partnerships	(2)				45	(47)
Leisure	25				170	(145)
Libraries	55		72			(17)
Museums and Archives	76				166	(90)
Theatre Services	0				810	(810)
Place	1,929	2,340	1,430	0	4,677	(6,519)
Customer Services	(327)				153	(480)
ICT Digital Transformation Project	2,240	1,181	1,185			(126)
ICT Services	(218)		135		303	(657)
Communications	(78)		33			(111)
Information, Intelligence and Insight	(42)					(42)
Human Resources & Organisational Development	(373)					(373)
Audit Services	(80)					(80)
Finance	93				208	(115)
Pension Administration Services	7				7	
Revenues	(293)				278	(571)
Housing Benefits	727		1,897			(1,170)
Treasury Services	9				9	
Commissioning Development and Procurement	(40)					(40)
Risk Management and Insurance	(32)					(32)
Democratic Services	(66)					(66)
Elections	(9)					(9)
Legal Services	(93)					(93)
Information Governance and Scrutiny	15				15	
Legal Services – Child Care	250		500			(249)
Resources	1,690	1,181	3,750	0	973	(4,214)
Chief Executive and PAs	(20)					(20)
Programme Management	0					
Strategic Management Board	(20)	0	0	0	0	(20)
TOTAL	4,363	4,080	8,286	0	16,542	(24,544)

APPENDIX 8**AMENDMENTS TO ORIGINAL BUDGET 2021/22**

£000	Total	Corporate Budgets	Health and Wellbeing	People	Place	Resources	Strategic Management Board
Original Budget as Agreed by Council	208,647	(48,821)	3,280	186,293	66,888	1,007	0
Quarter 1							
None							
Q1 Revised Budget	208,647	(48,821)	3,280	186,293	66,888	1,007	0
Quarter 2							
Transfer of historic grey fleet savings budget, to be reallocated in 2022/23		(364)			364		
Transfer of data centre energy savings budget from IT to Corporate Landlord					(14)	14	
Transfer of subscriptions budget to Corporate Subscriptions cost centre		25				(25)	
Creation of 2021/22 budget for Climate Change		(1,036)			1,036		
Q2 Revised Budget	208,647	(50,196)	3,280	186,293	68,274	996	0

Details of virements between directorates over £140,000 reported to Cabinet for information

Quarter 2:

- A budget virement of £0.364m has taken place between Corporate Budgets and Place. Historically a 'savings to be identified' budget has been held in Place, with the intention that savings would be realised through the Council's 'grey fleet' scheme. Savings on car and bus/train travel have been identified across the Council, and the savings to budgets are planned to be allocated from 2022/23.
- A budget virement £1.036m has taken place between Corporate Budgets and Place. In the Financial Strategy, approved by Council on 25th February 2021, £1.000m was identified from Renewable Energy Schemes within Business Rates. The value in 2021/22 is actually £1.036m. This sum has been ringfenced to Climate Change initiatives and will be used for the Climate Change programme, including carbon reduction and renewable energy initiatives. Therefore, the budget has been moved to Place, where the expenditure on Climate Change is being managed and administrated.

APPENDIX 9**REVISED CAPITAL PROGRAMME**

Detail	Agreed Capital Programme - Council 25/02/21	Slippage & Budget Changes Approved To Q1 2021/22	Quarter 2 Budget Changes to be Approved	Revised 2021/22 Capital Programme Quarter 2
	£m	£m	£m	£m
General Fund				
Adult Services	8.976	1.254	-	10.230
Childrens Services	21.795	(0.870)	0.020	20.946
Place	98.234	(21.320)	0.224	77.138
Workforce & Transformation	1.000	(0.407)	-	0.593
Total General Fund	130.005	(21.342)	0.245	108.907
Housing Revenue Account	20.148	(10.8777)	-	9.271
Total Approved Budget	150.153	(32.220)	0.245	118.178
Financing				
Self Financed Prudential Borrowing *	47.767	(28.878)	-	18.889
Government Grants	53.870	1.728	0.089	55.687
Other Grants	-	1.188	-	1.188
Other Contributions	24.464	(6.066)	0.117	18.514
Revenue Contributions to Capital	4.328	(0.857)	0.038	3.510
Major Repairs Allowance	3.780	0.304	-	4.084
Corporate Resources (expectation - Capital Receipts only)	15.945	0.362	-	16.307
Total Confirmed Funding	150.153	(32.220)	0.245	118.178

Shropshire Council - Capital Budget Monitoring Report Quarter 2 2021/22

Directorate Service Area	Revised Budget Q1 2021/22 £	Budget Virements Q2 £	Revised Budget Q2 2021/22 £	Actual Spend £	Spend to Budget Variance £	% Budget Spend	Outturn Projection £	Outturn Projection Variance £
General Fund								
Adult Services	10,230,299	0	10,230,300	1,183,368	9,046,932	11.57%	10,230,300	0
Contracts & Provider Capital	0	0	0	0	0	0.00%	0	0
Housing Services Capital	6,755,493	0	6,755,494	853,849	5,901,645	12.64%	6,755,494	0
Public Health Capital	0	0	0	0	0	0.00%	0	0
Public Protection Capital	0	0	0	0	0	0.00%	0	0
Social Care Operations Capital	3,474,806	0	3,474,806	329,520	3,145,286	9.48%	3,474,806	0
Children's Services	20,925,075	20,442	20,945,514	6,319,368	14,626,146	30.17%	20,945,514	0
Children's Residential Care Capital	1,102,147	0	1,102,147	8,912	1,093,235	0.81%	1,102,147	0
Non Maintained Schools Capital	7,821,933	22,940	7,821,933	363,135	7,458,798	4.64%	7,821,933	0
Primary School Capital	8,966,988	2,342,177	8,607,956	-394,717	9,002,673	-4.59%	8,607,956	0
Secondary School Capital	2,515,618	354,224	2,567,421	17,956	2,549,465	0.70%	2,567,421	0
Special Schools Capital	83,824	238,044	316,418	12,533	303,885	3.96%	316,418	0
Unallocated School Capital	434,566	#####	529,639	6,311,548	-5,781,909	1191.67%	529,639	0
Place Capital - Commercial Services	15,834,032	85,619	15,919,653	1,298,791	14,620,862	8.16%	15,919,653	0
Corporate Landlord Capital	15,834,032	85,619	15,919,653	1,298,791	14,620,862	8.16%	15,919,653	0
Place Capital - Economic Growth	23,036,165	0	23,036,166	5,103,563	17,932,603	22.15%	23,036,166	0
Broadband Capital	9,200,461	0	9,200,461	1,392,187	7,808,274	15.13%	9,200,461	0
Development Management Capital	77,777	0	77,777	122,224	-44,447	157.15%	77,777	0
Economic Growth Capital	9,528,944	0	9,528,944	3,489,152	6,039,792	36.62%	9,528,944	0
Planning Policy Capital	4,228,984	0	4,228,984	100,000	4,128,984	2.36%	4,228,984	0
Place Capital - Homes & Communities	85,413	0	85,413	8,723	76,690	10.21%	85,413	0
Leisure Capital	85,413	0	85,413	0	85,413	0.00%	85,413	0
Outdoor Partnerships Capital	0	0	0	8,723	-8,723	0.00%	0	0
Visitor Economy Capital	0	0	0	0	0	0.00%	0	0
Place Capital - Infrastructure	37,958,654	138,584	38,097,236	12,808,053	25,289,184	33.62%	38,097,236	0
Environment & Transport Capital	0	0	0	0	0	0.00%	0	0
Highways Capital	37,633,654	138,584	37,772,236	12,808,053	24,964,184	33.91%	37,772,236	0
Waste Capital	325,000	0	325,000	0	325,000	0.00%	325,000	0
Workforce & Transformation	593,140	0	593,140	8,250	584,890	1.39%	593,140	0
ICT Digital Transformation - CRM Capital	383,345	0	383,345	0	383,345	0.00%	383,345	0
ICT Digital Transformation - ERP Capital	50,871	0	50,871	0	50,871	0.00%	50,871	0
ICT Digital Transformation - Infrastructure & Architecture Capital	63,526	0	63,525	0	63,525	0.00%	63,525	0
ICT Digital Transformation - Social Care Capital	95,398	0	95,399	8,250	87,149	8.65%	95,399	0
ICT Digital Transformation - Unallocated Capital	0	0	0	0	0	0.00%	0	0
Total General Fund	108,662,780	244,645	108,907,422	26,730,115	82,177,307	24.54%	108,907,422	0
Housing Revenue Account	9,270,604	0	9,270,607	1,184,048	8,086,559	12.77%	9,270,607	0
HRA Dwellings Capital	9,270,604	0	9,270,607	1,184,048	8,086,559	12.77%	9,270,607	0
Total Approved Budget	117,933,384	244,645	118,178,029	27,914,164	90,263,865	23.62%	118,178,029	0

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Shropshire Council - Capital Programme Portfolio Holder Summary Quarter 2 2021/22

Portfolio Holder	Revised Budget Q1 2021/22 £	Budget Virements Q2 £	Revised Budget Q2 2021/22 £	Actual Spend £	Spend to Budget Variance £	% Budget Spend	Outturn Projection £	Outturn Projection Variance £
General Fund								
Portfolio Holder Adult Social Care and Public Health	10,230,300	0	10,230,300	1,183,368	9,046,932	11.57%	10,230,300	0
Deputy Leader and Portfolio Holder Economic Growth, Regeneration and Planning	13,835,705	0	13,835,705	3,711,376	10,124,329	26.82%	13,835,705	0
Portfolio Holder Climate Change, Natural Assets and the Green Economy	325,000	0	325,000	0	325,000	0.00%	325,000	0
Portfolio Holder Children and Education	20,925,072	20,442	20,945,514	6,319,368	14,626,146	30.17%	20,945,514	0
Portfolio Holder Resources	0	0	0	0	0	0.00%	0	0
Portfolio Holder Communities, Culture, Leisure and Tourism, Transport	85,413	0	85,413	8,723	76,690	10.21%	85,413	0
Portfolio Holder Digital, Data and Insight	9,793,601	0	9,793,601	1,400,437	8,393,164	14.30%	9,793,601	0
Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets) (General Fund)	53,467,689	224,203	53,691,889	14,106,843	39,585,046	26.27%	53,691,889	0
Leader and Portfolio Holder Strategy	0	0	0	0	0	0.00%	0	0
Total General Fund	108,662,780	244,645	108,907,422	26,730,115	82,177,307	24.54%	108,907,422	0
Housing Revenue Account								
Portfolio Holder Physical Infrastructure (Highways, Built Housing, Assets) (HRA)	9,270,604	0	9,270,607	1,184,048	8,086,559	12.77%	9,270,607	0
Total Approved Budget	117,933,384	244,645	118,178,029	27,914,164	90,263,865	23.62%	118,178,029	0

APPENDIX 10**BREAKDOWN OF SCHEMES FUNDED BY REVENUE CONTRIBUTIONS TO CAPITAL**

Schemes Funded by Revenue Contributions to Capital	£m
<u>General Fund</u>	
Corporate Landlord Essential Repairs	1.510
Community Led Affordable Housing Grant Scheme	0.266
On Street Residential Charging Point Scheme	0.030
Various School Capital Schemes	0.089
Total General Fund	1.895
<u>Housing Revenue Account</u>	
New Build Schemes within HRA	0.500
Housing Stock Repairs within HRA	1.115
Total Housing Revenue Account	1.615
Total Schemes	7.020

APPENDIX 11**PROJECTED CAPITAL RECEIPTS POSITION**

Detail	2021/22 £m	2022/23 £m	2023/24 £m	2024/25 £m
Corporate Resources Allocated in Capital Programme	16.307	11.998	0.692	-
Capital Receipts used to finance redundancy costs	-	-	-	-
To be allocated from Ring Fenced Receipts	5.160	26.416	5.479	-
Total Commitments	21.467	38.413	6.171	-
Capital Receipts in hand/projected:				
Brought Forward in hand	22.036	3.439	(34.810)	(40.916)
Generated 2020/21 YTD	0.874	-	-	-
Projected - 'Green'	1.995	0.165	0.065	-
Total in hand/projected	24.906	3.604	(34.745)	(40.916)
Shortfall to be financed from Prudential Borrowing / (Surplus) to carry forward	(3.439)	34.810	40.916	40.916
Further Assets Being Considered for Disposal	8.035	12.438	24.775	0.600



<u>Committee and Date</u>	<u>Item</u>
Cabinet 1 December 2021	
	<u>Public</u>

TREASURY MANAGEMENT UPDATE – QUARTER 2 2021/22

Responsible Officer James Walton

email: james.walton@shropshire.gov.uk Tel:(01743)258915

1. Synopsis

The Council currently holds £175m in investments and £292m of borrowing. This report shows the return on those investments over quarter 2, the economic outlook for the next 3 years and confirms activities align with the Council approved Treasury Management Strategy.

2. Executive Summary

- 2.1. The report outlines the treasury management activities of the Council in the second quarter of 2021/22. It highlights the economic environment in which treasury management decisions have been made and the interest rate forecasts of the Council's Treasury Advisor, Link Asset Services. It also updates Members on the internal treasury team's performance.
- 2.2. During Quarter 2 the internal treasury team achieved a return of 0.11% on the Council's cash balances, outperforming the benchmark of -0.09% by 0.20%. This amounts to additional income of £91,850 during the quarter which is included within the Council's projected outturn position in the quarterly financial monitoring report. Following a decision by the Monetary Policy Committee in March 2020 to cut the Bank Rate to 0.1%, this has resulted in the 7 Day benchmark rate being a negative figure since the start of the financial year 2020/21 and this continues to be the case so far in 2021/22.
- 2.3. Under the CIPFA Treasury Management Code, it is best practice to provide quarterly Treasury Management updates.

3. Recommendations

- 3.1. Members are asked to accept the position as set out in the report.

REPORT

4. Risk Assessment and Opportunities Appraisal

- 4.1. The assessment and management of risk are key considerations for any Treasury Management approach. Compliance with the CIPFA Code of Practice on Treasury Management, the Council's Treasury Policy Statement and Treasury Management Practices and the Prudential Code for Capital Finance together with the rigorous internal controls will enable the Council to manage the risk associated with Treasury Management activities and the potential for financial loss.
- 4.2. The Council's Audit Committee is the committee responsible for ensuring effective consideration of the Council's Treasury Management Strategy and policies.
- 4.3. The recommendations contained in this report are compatible with the provisions of the Human Rights Act 1998.
- 4.4. There are no direct environmental, equalities or climate change consequences arising from this report.

5. Financial Implications

- 5.1. The Council makes assumptions about the levels of borrowing and investment income over the financial year. Reduced borrowing as a result of capital receipt generation or delays in delivery of the capital programme will both have a positive impact on the council's cash position. Similarly, higher than benchmarked returns on available cash will also help the Council's financial position. For monitoring purposes, assumptions are made early in year about borrowing and returns based on the strategies agreed by Council in the preceding February. Performance outside of these assumptions results in increased or reduced income for the Council.
- 5.2. The Quarter 2 performance is above benchmark and has delivered additional income of £91,850 which is reflected in the Quarter 2 Financial Monitoring Report.
- 5.3. As at 30 September 2021 the Council held £175 million in

investments as detailed in Appendix A and borrowing of £292 million at fixed interest rates.

6. Climate Change Appraisal

- 6.1. The Council's Financial Strategy includes proposals to deliver a reduced carbon footprint for the Council therefore the Treasury Team is working with the Council in order to achieve this. There are no direct climate change impacts arising from this report.

7. Background

- 7.1. The Council defines its treasury management activities as "the management of the authority's borrowing, investments and cash flows, its banking, money market and capital market transactions, the effective control of the risks associated with those activities, and the pursuit of optimum performance consistent with those risks". The report informs Members of the treasury activities of the Council between 1 July 2021 and 30 September 2021.

8. Economic Background

- 8.1. For wider context and consideration of the global financial outlook, an economic and borrowing update for the second quarter is considered in Appendix D.

9. Economic Forecast

- 9.1. The Council receives its treasury advice from Link Asset Services. Their latest interest rate forecasts to 31 March 2024 are shown below. The historically low Bank Rate of 0.10% is forecast to increase in three steps, reaching 0.75% at quarter 4 2023/24.

Link Group Interest Rate View		29.9.21								
	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
BANK RATE	0.10	0.10	0.25	0.25	0.25	0.25	0.50	0.50	0.50	0.75
3 month ave earnings	0.10	0.10	0.20	0.20	0.30	0.40	0.50	0.50	0.60	0.70
6 month ave earnings	0.20	0.20	0.30	0.30	0.40	0.50	0.60	0.60	0.70	0.80
12 month ave earnings	0.30	0.40	0.50	0.50	0.50	0.60	0.70	0.80	0.90	1.00
5 yr PWLB	1.40	1.40	1.50	1.50	1.60	1.60	1.60	1.70	1.70	1.70
10 yr PWLB	1.80	1.80	1.90	1.90	2.00	2.00	2.00	2.10	2.10	2.10
25 yr PWLB	2.20	2.20	2.30	2.30	2.40	2.40	2.40	2.50	2.50	2.60
50 yr PWLB	2.00	2.00	2.10	2.20	2.20	2.20	2.20	2.30	2.30	2.40

10. Treasury Management Strategy

- 10.1. The Treasury Management Strategy (TMS) for 2021/22 was approved by Full Council on 25 February 2021. The Council's Annual Investment Strategy, which is incorporated in the TMS, outlines the Council's investment priorities as the security and liquidity of its capital.
- 10.2. The Council aims to achieve the optimum return on investments commensurate with the proper levels of security and liquidity. In the current economic climate it is considered appropriate to:
- Keep investments short term (up to 1 year),
 - Only invest with highly credit rated financial institutions using Link's suggested creditworthiness approach, including sovereign credit rating and Credit Default Swap (CDS) overlay information provided by Link.
- The Treasury Team continue to take a prudent approach keeping investments short term and with the most highly credit rated organisations.
- 10.3. In the second quarter of 2021/22 the internal treasury team outperformed its benchmark by 0.20%. The investment return was 0.11% compared to the benchmark of -0.09%. This amounts to additional income of £91,850 during the quarter which is included in the Council's projected outturn position in the Quarter 2 financial monitoring report.
- 10.4. A full list of investments held as at 30 September 2021, compared to Link's counterparty list, and changes to Fitch, Moody's and Standard & Poor's credit ratings are shown within Link's Monthly Investment Analysis Review at Appendix A. None of the approved limits within the Annual Investment Strategy were breached during the second quarter of 2021/22. Officers continue to monitor the credit ratings of institutions on a daily basis. Delegated authority has been put in place to make any amendments to the approved lending list.
- 10.5. As illustrated in the economic forecast section above, investment rates available in the market for three months and longer have decreased significantly as a result of the decrease in Bank Rate in March 2020 to 0.1%. However, markets are now starting to price in rate rises and as a consequence, investment rates have started to tick up. The average level of funds available for investment purposes in the second quarter of 2021/22 was £189 million.

List of Background Papers (This MUST be completed for all reports, but does not include items containing exempt or confidential information)

Cabinet, 8 September 2021 – Treasury Management Update Quarter 1 2021/22

Council, 25 February 2021 – Treasury Strategy 2021/22

Cabinet Member:

Gwilym Butler, Portfolio Holder for Resources

Local Member

N/A

Appendices

A. Shropshire Council Monthly Investment Analysis Review as at 30 September 2021 (provided by Link Group)

B. Prudential Indicators for Quarter 2 2021/22

C. Prudential Borrowing Schedule

D. Economic Background and Borrowing Update

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Shropshire Council

Monthly Investment Analysis Review

September 2021

Monthly Economic Summary

General Economy

The Flash (i.e. provisional) UK Manufacturing PMI dropped to 56.3 in September from 60.3 in August, somewhat lower than market forecasts of 59.0. Although it signalled the weakest pace of expansion in the sector since February, due to supply chain delays, slower new order growth and rising material and labour shortages, the survey remained at levels historically consistent with robust economic growth. Similarly, the Flash Services PMI eased to 54.6 in September from 55.0 in August, also pointing to the slowest growth in the services sector in seven months. Notably, respondents reported that input price inflation accelerated amid reports of higher wage costs, product shortages and increased transportation costs - and that companies raised their own charges at the fastest pace since the series began in 1996. As a result of the falls in both indices, the Flash Composite PMI (which incorporates both sectors), eased to 54.1 in September, from 54.8 in August. Mirroring these developments, the Construction PMI (which is released one month behind), also fell to 55.2 in August from 58.7 in July and below market expectations of 56.9 as a restricted supply of materials, labour and transport began to weigh on overall activity. Input cost inflation, meanwhile, accelerated to the second-fastest rate in the 24-year history of the survey.

The combination of supply chain delays, slower order growth and rising material and labour shortages noted in the PMI surveys may also have weighed on GDP, which expanded by just 0.1% m/m in July compared to forecasts of a 0.7% rise. However, upward revisions to previous releases meant that the economic output was now forecast to be around 1% less than prior to the pandemic compared to 2% previously. Product and labour shortages may also have contributed to the 0.1% m/m decline in exports in July, which caused the UK trade deficit to widen to £3.1 billion compared to £2.5 billion in June.

Unemployment data, meanwhile, also confirmed the tightening of the labour market reported in the PMI surveys. Employment rose by 183,000 in the three months to July, which was the largest rise since January 2020 – and occurred despite firms having to start paying 10% of the wages of their furloughed workers. A fall of 86,000 in unemployed workers, meanwhile, allowed the unemployment rate to ease to 4.6% in July from 4.7% in June. More timely data revealed that PAYE employment increased by a further 241,000 during August, suggesting that labour market strength may continue – although the end of the furlough scheme in September represents a future source of uncertainty. The rise in vacancies to a record 1,034,000, 249,000 above their pre-pandemic level, suggests that labour shortages intensified during August. Against this backdrop, average earnings growth (excluding bonuses) eased to 6.8% y/y in the three months to July compared to 7.3% y/y in the three months to June as compositional and base effects began to fade. However, the Monetary Policy Committee (MPC) noted this month private sector regular pay growth had been around 4%, after accounting for these factors.

UK inflation, as measured by the Consumer Price Index, increased to 3.2% y/y in August from 2% in July and above market forecasts of 2.9%. However, base effects – including last year's Eat Out to Help Out scheme (which artificially depressed prices) - accounted for the majority of the rise. That said, the MPC noted at this month's policy meeting that the scheduled rise in utility prices and further base effects will likely contribute to inflation rising to slightly above 4% later in the year. Against this backdrop, the Committee judged that its existing monetary policy remained appropriate. However, the MPC also noted that some developments since the August Monetary Policy Report appeared to have strengthened the case for a modest tightening of monetary policy. As a result, Gilt yields rose as month-end approached and investors increased the probability attached to Bank Rate being raised in 2022.

Judging by the 0.9% m/m fall in August retail sales, the stalling of the UK's economic recovery in July highlighted by the GDP data has likely continued. However, some of the fall may also be explained by households changing their spending patterns following the expiration of lockdown. As a result, retail sales are now unchanged compared to a year ago. The prospect of looming energy price rises, food costs and tax rises, meanwhile, saw the GfK Consumer Confidence index decline to -13 in September from -8 in August.

The UK's public sector net borrowing (excluding public sector banks) was estimated to have been £20.5 billion in August - the second-highest August borrowing since monthly records began in 1993 - but £5.5 billion less than in August 2020. Although public sector net borrowing was estimated to have been £93.8 billion in the financial year-to-August 2021, this is £88.9 billion less than in the same period last year and £31.9 billion below that forecast by the OBR.

In the US, non-farm payrolls rose 235,000 in August, the lowest in 7 months and well below forecasts of 750,000 as a surge in COVID-19 infections may have discouraged companies from hiring and workers from actively looking for a job. Nevertheless, the gain saw the unemployment rate fall to 5.2% from 5.4% in July. The US economy, meanwhile, was confirmed to have grown at a 6.7% annualised rate in Q2 compared to the first estimate of 6.3%. Against this backdrop, the Federal Reserve forecast at its September policy meeting that core inflation would remain above 2% until 2023. As a result, the central bank judged that "a moderation in the pace of asset purchases may soon be warranted" and increased their median interest rate projections to 0.3% in 2022 (from 0.1% previously) and 1% in 2023 (from 0.6%).

As in the US, Q2 growth in the Eurozone was also revised higher during the month, to 2.2% q/q from 2% previously. Inflation, meanwhile, was confirmed at 3% y/y in August compared to 2.2% in July and its highest since November 2011. However, the ECB judged at its policy meeting that most of this year's increase in inflation will prove temporary. As expected, the central bank left rates unchanged and, in light of the bloc's recovery, elected to plan PEPP purchases at a "moderately lower pace...than in the previous two quarters."

Housing

Nationwide reported that house price growth eased to 10% y/y this month compared to 11% y/y in August. On the month, prices rose 0.1%. The Halifax survey, meanwhile, confirmed that prices rose 7.1% y/y and 0.7% m/m in August. According to the Nationwide, house prices are now around 13% higher than when the pandemic began.

Currency

The prospect of above target inflation and anaemic economic growth saw Sterling fall against both the US Dollar and the Euro this month.

September	Start	End	High	Low
GBP/USD	\$1.3786	\$1.3484	\$1.3872	\$1.3425
GBP/EUR	€1.1630	€1.1635	€1.1727	€1.1558

Forecast

In light of the hawkish nature of the minutes from September's MPC meeting, Link Group has revised its forecast for Bank Rate to bring forward its first rate rise to June 2022.

Bank Rate	Now	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
Link Group	0.10%	0.10%	0.10%	0.25%	0.25%	0.25%	0.25%	0.50%	0.50%	0.50%	0.75%
Capital Economics	0.10%	0.10%	0.10%	0.25%	0.25%	0.25%	0.50%	0.50%	0.50%	0.50%	-

Shropshire Council

Current Investment List

Borrower	Principal (£)	Interest Rate	Start Date	Maturity Date	Lowest LT / Fund Rating	Historic Risk of Default
Handelsbanken Plc	20,000,000	0.01%		Call	AA-	0.000%
Santander UK PLC	15,000,000	0.40%		Call	A	0.000%
MMF Aberdeen Standard Investments	15,000,000	0.01%		MMF	AAAm	
Dover District Council	6,000,000	0.03%	06/07/2021	06/10/2021	AA-	0.000%
DMO	4,000,000	0.01%	30/09/2021	08/10/2021	AA-	0.001%
Highland Council	5,000,000	0.30%	11/11/2020	11/10/2021	AA-	0.001%
DMO	3,000,000	0.01%	15/09/2021	18/10/2021	AA-	0.001%
Barclays Bank Plc (NRFB)	1,000,000	0.03%	15/07/2021	22/10/2021	A	0.003%
DMO	1,500,000	0.01%	10/09/2021	22/10/2021	AA-	0.001%
Lloyds Bank Plc (RFB)	3,000,000	0.01%	15/09/2021	22/10/2021	A+	0.003%
Goldman Sachs International Bank	5,000,000	0.23%	04/05/2021	27/10/2021	A+	0.003%
Telford & Wrekin Council	3,000,000	0.33%	29/10/2020	27/10/2021	AA-	0.002%
DMO	2,000,000	0.01%	22/09/2021	29/10/2021	AA-	0.002%
Lloyds Bank Plc (RFB)	3,000,000	0.01%	15/09/2021	29/10/2021	A+	0.004%
Goldman Sachs International Bank	5,000,000	0.20%	18/05/2021	18/11/2021	A+	0.006%
Kingston Upon Hull City Council	5,000,000	0.06%	20/05/2021	22/11/2021	AA-	0.003%
Highland Council	5,000,000	0.28%	15/01/2021	23/11/2021	AA-	0.003%
Barclays Bank Plc (NRFB)	4,000,000	0.08%	30/06/2021	30/11/2021	A	0.008%
Nationwide Building Society	5,000,000	0.07%	09/06/2021	08/12/2021	A	0.009%
Nationwide Building Society	5,000,000	0.07%	15/06/2021	13/12/2021	A	0.010%
Barclays Bank Plc (NRFB)	5,000,000	0.07%	01/07/2021	20/12/2021	A	0.010%
Lloyds Bank Plc (RFB)	2,000,000	0.02%	06/07/2021	05/01/2022	A+	0.013%
Lloyds Bank Plc (RFB)	5,000,000	0.02%	15/07/2021	14/01/2022	A+	0.014%
Lloyds Bank Plc (RFB)	2,000,000	0.02%	03/08/2021	17/01/2022	A+	0.014%
Lloyds Bank Plc (RFB)	5,000,000	0.02%	23/07/2021	21/01/2022	A+	0.015%
Plymouth City Council	5,000,000	0.11%	26/02/2021	26/01/2022	AA-	0.008%
Plymouth City Council	5,000,000	0.10%	14/07/2021	29/01/2022	AA-	0.008%
National Westminster Bank Plc (RFB)	5,000,000	0.09%	05/02/2021	04/02/2022	A	0.016%
National Westminster Bank Plc (RFB)	2,000,000	0.13%	18/05/2021	18/02/2022	A	0.018%
Coventry Building Society	5,000,000	0.05%	31/08/2021	28/02/2022	A-	0.020%
Slough Borough Council	3,000,000	0.20%	12/04/2021	23/03/2022	AA-	0.011%
Cheltenham Borough Council	1,000,000	0.05%	05/08/2021	20/04/2022	AA-	0.013%
National Westminster Bank Plc (RFB)	5,000,000	0.16%	01/06/2021	31/05/2022	A	0.031%
Kingston Upon Hull City Council	2,000,000	0.08%	17/09/2021	22/08/2022	AA-	0.021%
National Westminster Bank Plc (RFB)	5,000,000	0.20%	24/08/2021	23/08/2022	A	0.042%
National Westminster Bank Plc (RFB)	2,000,000	0.22%	20/09/2021	19/09/2022	A	0.046%
Total Investments	£174,500,000	0.11%				0.008%

Note: An historic risk of default is only provided if a counterparty has a counterparty credit rating and is not provided for an MME or USDRE for which the rating agencies

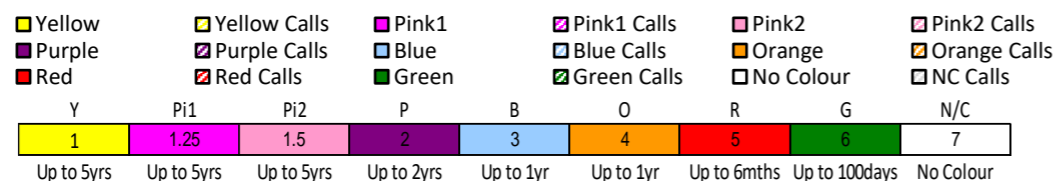
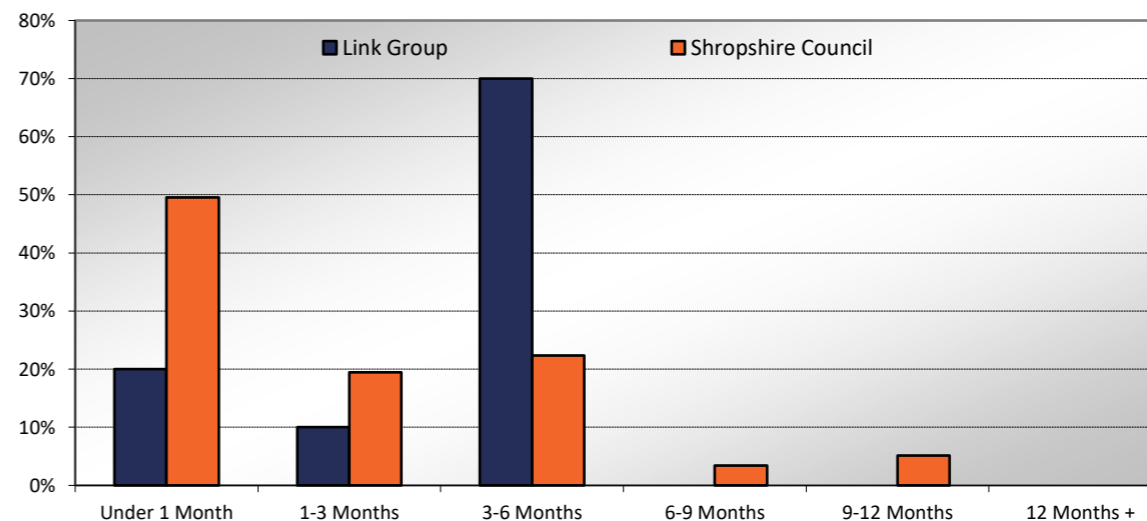
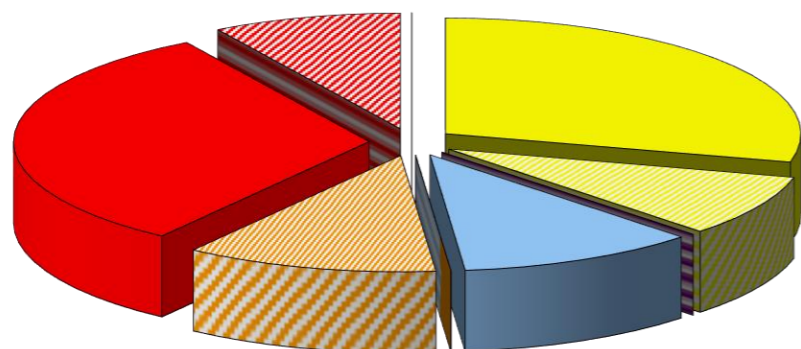
Shropshire Council

Current Investment List

Borrower	Principal (£)	Interest Rate	Start Date	Maturity Date	Lowest LT / Fund Rating	Historic Risk of Default
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Note: An historic risk of default is only provided if a counterparty has a counterparty credit rating and is not provided for an ILMIF or USDBF, for which the rating agencies provide a fund rating. The portfolio's historic risk of default therefore measures the historic risk of default attached only to those investments for which a counterparty has a counterparty credit rating and also does not include investments which are not rated.

Portfolio Composition by Link Group's Suggested Lending Criteria



Portfolios weighted average risk number = **3.17**

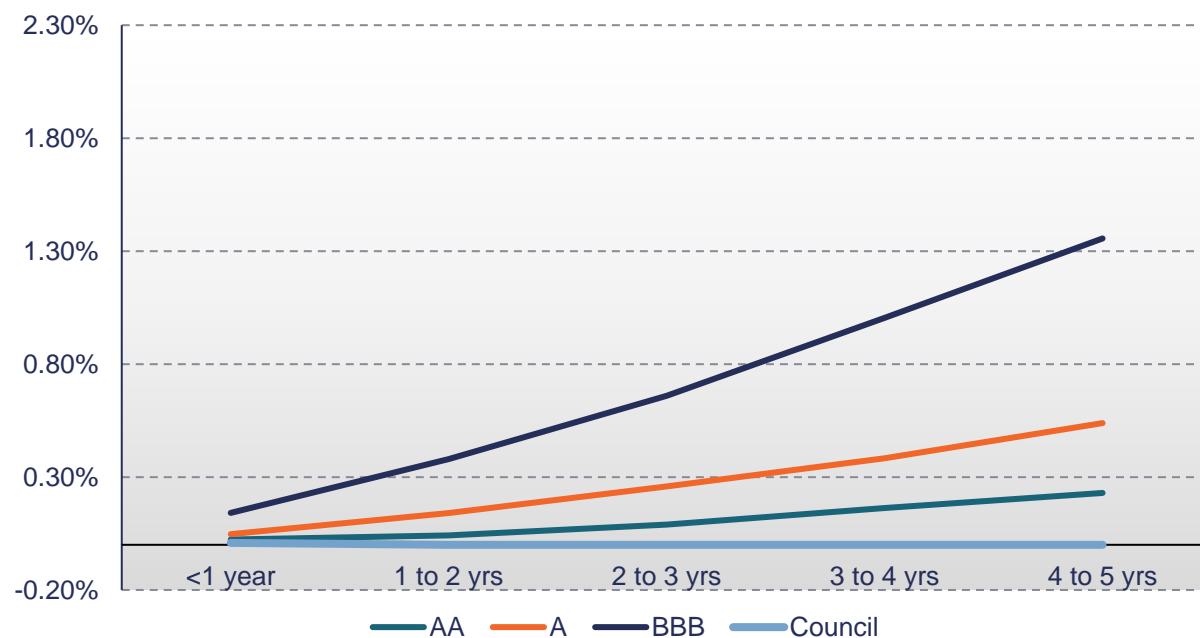
WARoR = Weighted Average Rate of Return
 WAM = Weighted Average Time to Maturity

	% of Portfolio	Amount	% of Colour in Calls	Amount of Colour in Calls	% of Call in Portfolio	WARoR	WAM	WAM at Execution	Excluding Calls/MMFs/USDBFs	
									WAM	WAM at Execution
Yellow	37.54%	£65,500,000	22.90%	£15,000,000	8.60%	0.10%	53	163	68	212
Pink1	0.00%	£0	0.00%	£0	0.00%	0.00%	0	0	0	0
Pink2	0.00%	£0	0.00%	£0	0.00%	0.00%	0	0	0	0
Purple	0.00%	£0	0.00%	£0	0.00%	0.00%	0	0	0	0
Blue	10.89%	£19,000,000	0.00%	£0	0.00%	0.16%	236	355	236	355
Orange	11.46%	£20,000,000	100.00%	£20,000,000	11.46%	0.01%	0	0	0	0
Red	40.11%	£70,000,000	21.43%	£15,000,000	8.60%	0.14%	60	127	76	161
Green	0.00%	£0	0.00%	£0	0.00%	0.00%	0	0	0	0
No Colour	0.00%	£0	0.00%	£0	0.00%	0.00%	0	0	0	0
Total	100.00%	£174,500,000	28.65%	£50,000,000	28.65%	0.11%	69	151	97	211

Shropshire Council

Investment Risk and Rating Exposure

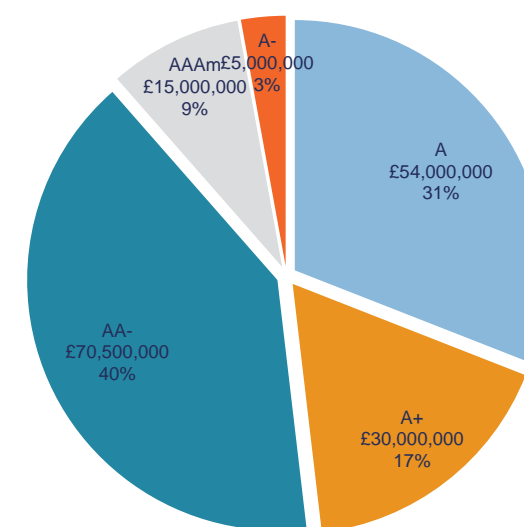
Investment Risk Vs. Rating Categories



Historic Risk of Default

Rating/Years	<1 year	1 to 2 yrs	2 to 3 yrs	3 to 4 yrs	4 to 5 yrs
AA	0.02%	0.04%	0.09%	0.16%	0.23%
A	0.05%	0.14%	0.26%	0.38%	0.54%
BBB	0.14%	0.38%	0.66%	1.01%	1.36%
Council	0.01%	0.00%	0.00%	0.00%	0.00%

Rating Exposure



Historic Risk of Default

This is a proxy for the average % risk for each investment based on over 30 years of data provided by Fitch, Moody's and S&P. It simply provides a calculation of the possibility of average default against the historical default rates, adjusted for the time period within each year according to the maturity of the investment.

Chart Relative Risk

This is the authority's risk weightings compared to the average % risk of default for "AA", "A" and "BBB" rated investments.

Rating Exposures

This pie chart provides a clear view of your investment exposures to particular ratings.

Note: An historic risk of default is only provided if a counterparty has a counterparty credit rating and is not provided for an MMF or USDBF, for which the rating agencies provide a fund rating. The portfolio's historic risk of default therefore measures the historic risk of default attached only to those investments for which a counterparty has a counterparty credit rating and also does not include investments which are not rated.

Shropshire Council

Monthly Credit Rating Changes FITCH

Date	Update Number	Institution	Country	Rating Action
24/09/2021	1844	Deutsche Bank AG	Germany	The Long Term Rating was upgraded to 'BBB+' from 'BBB'. At the same time, the Viability Rating was upgraded to 'bbb+' from 'bbb'
24/09/2021	1845	BNP Paribas	France	The Outlook on the Long Term Rating was changed to Stable from Negative.
24/09/2021	1846	Belgium Sovereign Rating	Belgium	The Outlook on the Sovereign Rating was changed to Stable from Negative.

Shropshire Council

Monthly Credit Rating Changes
MOODY'S

Date	Update Number	Institution	Country	Rating Action
				There were no rating changes to report.

Shropshire Council

Monthly Credit Rating Changes S&P

Date	Update Number	Institution	Country	Rating Action
				There were no rating changes to report.

Whilst Link Group makes every effort to ensure that all the information it provides is accurate and complete, it does not guarantee the correctness or the due receipt of such information and will not be held responsible for any errors therein or omissions arising there from. All information supplied by Link Group should only be used as a factor to assist in the making of a business decision and should not be used as a sole basis for any decision. The Client should not regard the advice or information as a substitute for the exercise by the Client of its own judgement.

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Appendix B

Prudential Indicators – Quarter 2 2021/22

Prudential Indicator	2021/22 Indicator £m	Quarter 1 – Actual £m	Quarter 2 – Actual £m	Quarter 3 – Actual £m	Quarter 4 – Actual £m
Non HRA Capital Financing Requirement (CFR)	419*	402	402		
HRA CFR	95	95	95		
Gross borrowing	366	304	292		
Investments	150	170	175		
Net borrowing	216	134	117		
Authorised limit for external debt	615	304	292		
Operational boundary for external debt	500	304	292		
Limit of fixed interest rates (borrowing)	615	304	292		
Limit of variable interest rates (borrowing)	308	0	0		
Internal Team Principal sums invested > 364 days	70	0	0		
Maturity structure of borrowing limits	%	%	%	%	%
Under 12 months	15	4	0		
12 months to 2 years	15	0	2		
2 years to 5 years	45	2	1		
5 years to 10 years	75	10	10		
10 years to 20 years	100	33	34		
20 years to 30 years	100	22	23		
30 years to 40 years	100	18	19		
40 years to 50 years	100	2	2		
50 years and above	100	9	9		

* Based on period 6 Capital Monitoring report including Shrewsbury Shopping Centres.

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Capital Financing Summary

Prudential Borrowing Approvals	Date Approved	Amount Approved £	Applied Spent 2006/07 £	Applied Spent 2007/08 £	Applied Outturn 2008/09 £	Applied Outturn 2009/10 £	Applied Outturn 2010/11 £	Applied Outturn 2011/12 £	Applied Outturn 2012/13 £	Applied Outturn 2013/14 £	Applied Outturn 2014/15 £	Applied Outturn 2015/16 £	Applied Outturn 2016/17 £	Applied Outturn 2017/18 £	Applied Outturn 2019/19 £	Applied Outturn 2019/20 £	Applied Outturn 2020/21 £	Budoeted 2021/22 £	Budoeted 2022/23 £	Budoeted 2023/24 £	First year MRP Charged	Asset Life	Final year MRP Charged	
																								£
Monkmoor Campus	24/02/06	3,580,000																						
Capital Receipts Shortfall - Cashflow	24/02/06	5,000,000																						
Applied:																								
Monkmoor Campus			3,000,000																					
William Brooks					0					3,580,000														
Ten Valies					2,000,000																			
		8,580,000	3,000,000	0	2,000,000	0	3,580,000	0	0	0	0	0	0	0	0.00	0	0	0	0	0	0			
Highways	24/02/06	2,000,000	2,000,000																					
Accommodation Changes	24/02/06	650,000	410,200	39,800																				
Accommodation Changes - Savings	31/03/07	(200,000)	450,000	39,800	0	0	0	0	0	0	0	0	0	0	0.00	0	0	0	0	0				
			410,200	39,800	0	0	0	0	0	0	0	0	0	0	0.00	0	0	0	0	0				
The Ptarmigan Building	05/11/09	3,744,000				3,744,000																		
The Mount McKinley Building	05/11/09	2,782,000				2,782,000																		
The Mount McKinley Building	05/11/09	0																						
Capital Strategy Schemes - Potential Capital Receipts shortfall - Desktop Virtualisation	25/02/10	187,600				187,600				0					0.00									
Carbon Efficiency Schemes/Self Financing	29/02/10	1,512,442					115,655	1,312,810	83,978						0.00									
Transformation schemes		92,635						92,635																
Renewables - Biomass - Self Financing	14/09/11	92,995						82,408	98,258	(87,670)														
Solar PV Council Buildings - Self Financing	11/05/11	56,342						1,283,950	124,584	(1,352,202)														
Depot Redevelopment - Self Financing	23/02/12	0																						
Owcestry Leisure Centre Equipment - Self Financing	04/04/12	124,521						124,521																
Leisure Services - Self Financing	01/08/12	711,187							711,187															
Mardol House Acquisition	26/02/15	4,160,000										4,160,000												
Mardol House Adaptation and Refit	26/02/15	3,340,000										167,640.84	3,172,358.86											
Owcestry Leisure Centre Equipment - Self Financing	01/08/12	290,274												274,239	16,035									
Car Parking Strategy Implementation		590,021													588,497.06	1,521								
JPUT - Investment in Units re Shrewsbury Shopping Centres		55,108,080												52,204,603	(208,668.18)	2,791,967	320,079							
JPUT - SSC No 1 Ltd		527,319												527,319										
CDL Shareholding																								
Children's Residential Care		2,000,000														1,381,539	230,765	387,697						
Pride Hill Shopping Centre Reconfiguration		10,860,807															434,027	7,184,669	3,242,111					
Greenacres Super Living Development		3,125,000																1,812,500	1,312,500					
Bishop Castle Business Park	19/09/19	3,108,909															2,900	1,175,442	1,132,205	798,452				
Whitchurch Medical Practice (Pauls Moss Development)	26/07/18	3,778,000																		3,778,000				
Owcestry Castleview - Site Acquisition	19/12/19	3,256,241																		3,256,241				
DVSA Site Acquisition		1,200,000																		1,200,000				
NCP Car Park at Mardol, Shrewsbury		3,983,620																		3,983,620				
Former Morrison at Owcestry	19/09/19	3,390,145																		3,390,145				
Commercial Investment Fund	Fin Strat 19/20	21,946,806																	6,946,806	10,000,000	5,000,000			
The Tannery Development - Student Block		7,445,188																		3,677,843.83	3,456,019	311,325		
Previous NSDC Borrowing		955,595			821,138	134,457																		
		149,399,827	5,410,200	39,800	2,821,138	6,848,057	3,695,656	2,896,333	1,018,015	(1,439,872)	4,327,641	3,172,359	0	53,006,161	4,057,772	10,903,325	4,689,242.81	22,690,734	19,464,816	5,798,452				
								0	0	0	0	0	0	0	0.00	(1)								
£80m investment fund - reduced to £45m 2021/22 budget setting		45,000,000																						

2007/08	25	2031/32
2011/12	25	2035/36
2010/11	35	2044/45

2007/08	20	2026/27
2007/08	6	2012/13

2010/11	25	2034/35
2011/12	25	2035/36
2011/12	5	2015/16

	25	
2010/11	5	2014/15

2011/12	5	2017/18
2012/13	3	2014/15

2014/15	25	2038/39
2013/14	25	2038/39

2014/15	10	2023/24
2012/13	5	2016/17

2013/14	5	2016/17
2015/16	25	2039/40

2016/17	25	2041/42
2018/19	5	2022/23

2020/21	5	2024/25
2018/19	45	2042/43

2020/21	25	2044/45
AUC	25	

2023/24	25	2044/45
2023/24	25	2047/48

2020/21	25	2044/45
2022/23	25	2045/46

2022/23	25	2045/46
2021/22	25	2045/46

2021/22	25	2045/46
2019/20	25	2045/46

2009/10	5/25	2065/66
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Appendix D

Economic Background

The Monetary Policy Committee (MPC) voted unanimously to leave Bank Rate unchanged at 0.10% and made no changes to its programme of quantitative easing purchases due to finish by the end of this year at a total of £895bn; two MPC members voted to stop the last £35bn of purchases as they were concerned that this would add to inflationary pressures.

There was a major shift in the tone of the MPC's minutes at the September meeting from the previous meeting in August which had indicated that some tightening in monetary policy was now on the horizon, however, they did not want to stifle economic recovery by increasing the Bank Rate too soon. In his press conference after the August MPC meeting, Governor Andrew Bailey said, the challenge of avoiding a steep rise in unemployment has been replaced by that of ensuring a flow of labour into jobs and that the Committee will be monitoring closely the incoming evidence regarding developments in the labour market, and particularly unemployment. In other words, it was flagging up a potential danger that labour shortages could push up wage growth by more than it expects and that, as a result, CPI inflation would stay above the 2% target for longer. It also discounted sharp increases in monthly inflation figures which were largely propelled by events a year ago e.g., the cut in VAT in August 2020 for the hospitality industry, in other words, the MPC had been prepared to look through a temporary spike in inflation.

The MPC's words indicated there had been a marked increase in concern that more recent increases in prices, particularly the increases in gas and electricity prices in October and due again next April, are, indeed, likely to lead to faster and higher inflation expectations and underlying wage growth, which would in turn increase the risk that price pressures would prove more persistent next year than previously expected. To emphasise its concern about inflationary pressures, the MPC pointedly chose to reaffirm its commitment to the 2% inflation target in its statement; this suggested that it was now willing to look through the flagging economic recovery during the summer to prioritise bringing inflation down next year. This is a reversal of its priorities in August and a long way from words at earlier MPC meetings which indicated a willingness to look through inflation overshooting the target for limited periods to ensure that inflation was 'sustainably over 2%'. In August, the MPC's focus was on getting through a winter of temporarily high energy prices and supply shortages, believing that inflation would return to just under the 2% target after reaching a high around 4% in late 2021, now its primary concern is that underlying price pressures in the economy are likely to get embedded over the next year and elevate future inflation to stay significantly above its 2% target and for longer.

Financial markets are now pricing in a first increase in Bank Rate

from 0.10% to 0.25% in February 2022, but this looks ambitious as the MPC has stated that it wants to see what happens to the economy, and particularly to employment once furlough ends at the end of September. At the MPC's meeting in February it will only have available the employment figures for November: to get a clearer picture of employment trends, it would need to wait until the May meeting when it would have data up until February. At its May meeting, it will also have a clearer understanding of the likely peak of inflation.

The MPC's forward guidance on its intended monetary policy on raising Bank Rate versus selling (quantitative easing) holdings of bonds is as follows: -

1. Placing the focus on raising Bank Rate as "the active instrument in most circumstances".
2. Raising Bank Rate to 0.50% before starting on reducing its holdings.
3. Once Bank Rate is at 0.50% it would stop reinvesting maturing gilts.
4. Once Bank Rate had risen to at least 1%, it would start selling its holdings.

COVID-19 vaccines have been the game changer which have enormously boosted confidence that life in the UK could largely return to normal during the summer after a third wave of the virus threatened to overwhelm hospitals. With the household saving rate having been exceptionally high since the first lockdown in March 2020, there is plenty of demand and purchasing power stored up for services in hard hit sectors like restaurants, travel and hotels. The big question is whether mutations of the virus could develop which render current vaccines ineffective, as opposed to how quickly vaccines can be modified to deal with them and enhanced testing programmes be implemented to contain their spread.

In the US, during the first part of the year, US President Biden's, and the Democratic party's, determination to push through a \$1.9trn (equivalent to 8.8% of GDP) fiscal boost for the US economy as a recovery package from the Covid pandemic was what unsettled financial markets. However, this was in addition to the \$900bn support package already passed in December 2020. Financial markets were alarmed that all this stimulus was happening at a time when: -

1. A fast vaccination programme has enabled a rapid opening up of the economy.
2. The economy has been growing strongly during 2021.
3. It started from a position of little spare capacity due to less severe lockdown measures than in many other countries.

4. And the Fed was still providing stimulus through monthly QE purchases.

These factors could cause an excess of demand in the economy which could then unleash strong inflationary pressures. This could then force the Federal Reserve Bank (Fed) to take much earlier action to start increasing the Fed rate from near zero, despite their stated policy being to target average inflation. It is notable that in the September Fed meeting, Fed members again moved forward their expectation of when the first increases in the Fed rate will occur. In addition, shortages of workers appear to be stoking underlying wage inflationary pressures which are likely to feed through into CPI inflation. A run of stronger jobs growth figures could be enough to meet the threshold set by the Fed of substantial further progress towards maximum employment for a first increase in the Fed rate.

A further concern in financial markets is when will the Fed end QE purchases of treasuries and how will they gradually wind them down. These purchases are currently acting as a downward pressure on treasury yields. In his late August speech at the Jackson Hole conference, Fed Chair Powell implied that the central bank plans to start tapering its asset purchases before the end of this year. But the plan is conditional on continued improvement in the labour market, which the August employment report suggests is proceeding more slowly than the Fed anticipated. That may mean that any announcement of tapering is pushed back, possibly even into early 2022.

As the US financial markets are, by far, the biggest financial markets in the world, any upward trend in treasury yields will invariably impact and influence financial markets in other countries. Inflationary pressures and erosion of surplus economic capacity look much stronger in the US compared to those in the UK, which would suggest that Fed rate increases are likely to be faster and stronger than Bank Rate increases in the UK. Nonetheless, any upward pressure on treasury yields could put upward pressure on UK gilt yields too.

In the Eurozone, the slow roll out of vaccines initially delayed economic recovery in early 2021 but the vaccination rate has picked up sharply since then. After a contraction in GDP of -0.3% in Q1, Q2 came in with strong growth of 2%, which is likely to continue into Q3, though some countries more dependent on tourism may struggle. Recent sharp increases in gas and electricity prices have increased overall inflationary pressures but the ECB is likely to see these as being only transitory after an initial burst through to around 4%, so is unlikely to be raising rates for a considerable time.

In China, after a concerted effort to get on top of the virus outbreak in Q1 of 2020, economic recovery was strong in the rest of the year; this enabled China to recover all the contraction. Policy makers have both quashed the virus and implemented a programme of monetary and fiscal support that has been particularly effective at stimulating

short-term growth. At the same time, China's economy benefited from the shift towards online spending by consumers in developed markets. These factors helped to explain its comparative outperformance compared to western economies during 2020 and earlier in 2021. However, the pace of economic growth has now fallen back after this initial surge of recovery from the pandemic and China is now struggling to contain the spread of the Delta variant through sharp local lockdowns - which will also depress economic growth. There are also questions as to how effective Chinese vaccines are proving. In addition, recent regulatory actions motivated by a political agenda to channel activities into officially approved directions, are also likely to reduce the dynamism and long-term growth of the Chinese economy.

Bank Rate is not expected to increase quickly after the initial rate rise as the supply potential of the economy has not generally taken a major hit during the pandemic, so should be able to cope well with meeting demand without causing inflation to remain elevated in the medium-term, or to inhibit inflation from falling back towards the MPC's 2% target after the surge to around 4% towards the end of 2021. Three increases in Bank rate are forecast in the period to March 2024, ending at 0.75%. However, these forecasts may well need changing within a relatively short time frame, due to the high level of uncertainty prevailing on several different fronts; speed of economic recovery, rising utility prices.

In addition, it also needs to be borne in mind that Bank Rate being cut to 0.10% was an emergency measure to deal with the Covid crisis hitting the UK in March 2020. At any time, the MPC could decide to simply take away that final emergency cut from 0.25% to 0.10% on the grounds of it no longer being warranted and as a step forward in the return to normalisation. In addition, any Bank Rate under 1% is both highly unusual and highly supportive of economic growth.

Borrowing

It is a statutory duty for the Council to determine and keep under review the "Affordable Borrowing Limits". The Council's approved Treasury and Prudential Indicators (affordability limits) are included in the approved Treasury Management Strategy. A list of the approved limits is shown in Appendix B. The Prudential Indicators were not breached during the second quarter of 2021/22 and have not been previously breached. The schedule at Appendix C details the Prudential Borrowing approved and utilised to date.

In November 2020, the Chancellor announced the conclusion to the review of PWLB rates and subsequently all borrowing rates were reduced by 1%; but a prohibition was introduced to deny access to borrowing from the PWLB for any local authority which had purchase of assets for yield in its three year capital programme. Link's target rate for new long-term borrowing (50 years) for the second quarter of 2021/22 was reduced to 1.68%. No new external borrowing has been

undertaken to date in 2021/22. The low and high points during the quarter can be seen in the table below.

	1 Year	5 Year	10 Year	25 Year	50 Year
Low	0.81%	1.05%	1.39%	1.75%	1.49%
Date	08/07/2021	08/07/2021	05/08/2021	17/08/2021	10/08/2021
High	0.98%	1.42%	1.81%	2.19%	1.97%
Date	24/09/2021	28/09/2021	28/09/2021	30/09/2021	30/09/2021
Average	0.87%	1.15%	1.52%	1.90%	1.68%
Spread	0.17%	0.37%	0.42%	0.44%	0.48%

Link Group Interest Rate View		29.9.21								
	Dec-21	Mar-22	Jun-22	Sep-22	Dec-22	Mar-23	Jun-23	Sep-23	Dec-23	Mar-24
BANK RATE	0.10	0.10	0.25	0.25	0.25	0.25	0.50	0.50	0.50	0.75
3 month ave earnings	0.10	0.10	0.20	0.20	0.30	0.40	0.50	0.50	0.60	0.70
6 month ave earnings	0.20	0.20	0.30	0.30	0.40	0.50	0.60	0.60	0.70	0.80
12 month ave earnings	0.30	0.40	0.50	0.50	0.50	0.60	0.70	0.80	0.90	1.00
5 yr PWLB	1.40	1.40	1.50	1.50	1.60	1.60	1.60	1.70	1.70	1.70
10 yr PWLB	1.80	1.80	1.90	1.90	2.00	2.00	2.00	2.10	2.10	2.10
25 yr PWLB	2.20	2.20	2.30	2.30	2.40	2.40	2.40	2.50	2.50	2.60
50 yr PWLB	2.00	2.00	2.10	2.20	2.20	2.20	2.20	2.30	2.30	2.40

Long term PWLB rates are expected to rise to 2.2% in September 2021 before increasing to reach 2.4% by March 2024.

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