South Essex Homes Limited
Board Meeting
Date: Thursday 1st March 2018
Time: 5pm Committee Room 6

Agenda

Pre-Presentation: Altair Research Feedback - 4:30pm

<table>
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<tr>
<th>Item</th>
<th>Lead Person</th>
<th>Indicative Timing</th>
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<tbody>
<tr>
<td>1. Welcome and Introductions</td>
<td></td>
<td>5 mins</td>
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<tr>
<td>2. Apologies for Absence</td>
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<td>3. Declarations of Interest</td>
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<tr>
<td>4. Board Member Appointment</td>
<td>Selection Panel</td>
<td>5 mins</td>
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PUBLIC AGENDA

<p>| 5. Minutes &amp; Matters arising from the Board Meeting of 6th December 2017 | Roger Eastwood | 10 mins |
| 6. Chairs Remarks | Roger Eastwood | 10 mins |
| Residents Awards Ceremony - 2nd February | | |
| Liaison Meeting - 20th February | | |
| NFA Annual Conference - 3rd &amp; 4th May | | |
| 7. Residents: Voice Your View | Beverley Gallacher | 5 mins |
| 8. Governance &amp; Stewardship | Beverley Gallacher | 10 mins |</p>
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<tr>
<th>Item</th>
<th>Lead Person</th>
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<tr>
<td>9. Company Assurance Report as at 31st January 2018</td>
<td>Chris Vaughan</td>
<td>10 mins</td>
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<tr>
<td>11. Health &amp; Safety Compliance and Fire Safety Update</td>
<td>Mario Ambrose</td>
<td>10 mins</td>
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<td>12. Strategies &amp; Policies Update</td>
<td>Mario Ambrose</td>
<td>15 mins</td>
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<tr>
<td>13. Annual Performance Targets 2018/19 / Final Benchmarking Results</td>
<td>Mario Ambrose</td>
<td>10 mins</td>
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<tr>
<td>14. Date of Next Meeting – 24&lt;sup&gt;th&lt;/sup&gt; May 2018</td>
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South Essex Homes Limited

Report of Board Member Selection Panel
to
The Board
on
1st March, 2018

Report prepared by: Beverley Gallacher
Tel: 01702 212649

Board Member Appointment

A Public Agenda Item

1 Purpose of Report

1.1 To obtain agreement from the Board on the appointment of Christopher March to fill the current vacancy previously held by Tony Churton.

2 Recommendations

2.1 The Board are recommended:

2.1.1 To agree the recommendation of the Board Selection Panel to appoint Christopher March to the Board of South Essex Homes for a term of office until 1st March, 2021.

3 Background

3.1 Board Recruitment

3.1.1 The Board have been advised that Tony Churton Term of Office expired on 28th February, 2018 after a maximum of 10 years’ service on the Board. The Recruitment Selection Panel made up of Michael Oxley, Meg Davidson and Keith Ducker short listed candidates and arranged to interview six candidates. Unfortunately, one candidate was unable to attend due to illness, but the Recruitment Selection Panel met the other five candidates and confirmed that the standard was extremely high.

3.1.2 However, having reviewed the recruitment of the Non Executive Director and the gap on the Board the Board Member Selection Panel agreed that Christopher March be recommended for appointment to the Board of South Essex Homes for a term of office of three years until 1st March, 2021.

4 Equality and Diversity

4.1 All equality and diversity issues identified from the proposals contained in this report have been considered and are in accordance with the South Essex Homes Equality and Diversity Policy.
5 Risk

5.1 Any risks identified from the proposals contained in this report have been considered by the Senior Management Team. The Board have identified risks associated with the governance of the organisation which is included in Agenda Item 8 – the Company Assurance Report. Risk SEHRISK06 – Risk that the governance arrangements including statutory compliance are not robust enough to enable the Board to undertake its roles and responsibilities in full as Non-Executive Directors under Companies Act 2006. The unmitigated risk for this score is 25.

6 Financial Implications

6.1 All costs associated with the recruitment of the non-executive directors for South Essex Homes are contained within the approved 2017/18 budgets.

7 Resident Consultation

7.1 Not applicable for this particular report.

8 Background Papers

8.1 CV for Christopher March

9 Appendices

9.1 None
Present: Roger Eastwood - Chair of the Board; Meg Davidson - Vice-Chair of the Board; Tony Chrton; David Joyce; Keith Ducker; Michael Oxley; Rosalind Lane; Barbara Lambert; David McGlone; David Norman (Agenda Item 1 to Agenda Item 13)

In Attendance: Mike Gatrell - Chief Executive; Mario Ambrose - Executive Director; Chris Vaughan - Director of Business Development; Beverley Gallacher - Company Secretary; Tasmin Arthurton - Corporate Services Officer; Paul Longman - Group Manager; Simon Putt - Group Manager; Traci Dixon - Group Manager; Daniel Lyons - Financial Services Manager; Glyn Halksworth - Group Manager Housing & Social Inclusion (SBC);

Observers: 0

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<tr>
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<th>Welcome and Introductions</th>
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<td>1</td>
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<tr>
<td>1.1</td>
<td>Roger Eastwood, Chair of the Board, welcomed and introduced those present.</td>
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<tr>
<th></th>
<th>Apologies for absence</th>
<th>Action</th>
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<tr>
<td>2</td>
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<tr>
<td>2.1</td>
<td>Apologies for absence were received and accepted from Sacha Jevans and the Board noted David Norman’s departure time of 6:40pm.</td>
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<th>Declaration of Interest</th>
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<td>3</td>
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<td>3.1</td>
<td>DJ confirmed his position as the Director of Resources at Tower Hamlets Community Housing and as a Member of the South Essex Property Services Board.</td>
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<tr>
<td>3.2</td>
<td>RE confirmed his position as a Non-Executive Director of Eastbourne Homes.</td>
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6. **Chair’s Remarks**

6.1 **Resident Involvement**
MD provided an update on the job shadowing she had undertaken. RE discussed the potential for Community Development Team in conjunction with the newly established charity to present to the Board at its next meeting as a ‘meet the team’ exercise.

6.2 **NFA Board Members Event Feedback - 22nd November**
RE confirmed that he, SJ and BL attended the one day event and found it very useful.

6.3 **SBC/SEH Liaison Meeting - 30th October**
MG provided an update from the positive meeting.

6.4 **Southend Care Board Liaison - 6th December**
RE advised that he and MG had met with Southend Care’s Managing Director and Chair of the Board in the afternoon and discussed the potential of getting the two Boards together to meet at a future point.

4. **Minutes and Matters arising from the Board Meeting of 27th September 2017**

4.1 BG advised expressions of interest for the role of SEH representative on the NFA Board need to be received and decided by 1st March Board meeting in order to ensure attendance at the next NFA Board meeting later in March 2018. Expressions of interest had been received by 3 board members at that point.

4.2 **Recommendation:**

i) The minutes of 27th September 2017 were agreed as a true and accurate record of the meeting.

6. **Residents: Voice Your View**

6.1 RE responded to a Residents Voice Your View query in relation to fire safety measures in communal areas within Sheltered Schemes and confirmed that the response would be added to the website.

7. **Governance & Stewardship**

7.1 The Board agreed for MD, MO and KD to make up the Board Member Recruitment Selection Panel to represent all 3 constituencies of the Board.

7.2 TA to circulate the draft advertisement for the upcoming Independent Member vacancy and to liaise to find a suitable date for interviews in January/February.

7.3 **Recommendations:**
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<tr>
<td>i)</td>
<td>The Board agreed the membership of the Board Selection Panel to undertake the recruitment to the Board in 2018.</td>
</tr>
<tr>
<td>ii)</td>
<td>The Board agreed to the purchase of 'Diligent Board' software following a trial by the Chair, Vice-Chair, Company Secretary and Board Support Officer, subject to the production and circulation of a cost benefit analysis.</td>
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<td>iii)</td>
<td>The Board noted the Chairs Actions agreed by the Chair and Vice-Chair of the Board in accordance with Clause 5.5 of the Code of Governance.</td>
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<td>iv)</td>
<td>The Board noted that a review of the governance arrangements for South Essex Property Services has commenced with the first meeting having taken place on 5th December 2017.</td>
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8. **Company Assurance Report as at 31st October 2017**

8.1 DL provided an update on the data issue referred to in section 6.5, and clarified that KP24 should be 6.4 days.

8.2 MO asked whether officers have analysed why tenancy turnover is at this level, as there are positives to both having a higher and a lower level of turnover. DL advised data on this is collected at the point of termination and it may be our turnover has not dramatically changed, but the rest of the peer group's has. The Board requested this analysis information is circulated electronically for information.

8.3 DL to circulate year-end finance projections to the Audit & Risk Committee.

8.4 The Board requested a time limit be put on negotiations around the new Repairs & Maintenance contract with Kier in order to prevent any further delays.

8.5 **Recommendations:**

i) The Board noted the update provided on financial information as at 31st October 2017 as noted by the Audit & Risk Committee.

ii) The Board agreed the repairs budget virement of £475k as detailed in section 4 of this report.

iii) The Board noted the indicative budget proposals for 2018/19.

iv) The Board noted the Key Performance Indicator exceptions as at October 2017.

v) The Board agreed the proposed Key Performance Indicator targets for 2018/19 for recommendation to the Council.
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<thead>
<tr>
<th>9.</th>
<th><strong>Health &amp; Safety Compliance Statement and Fire Safety Update</strong></th>
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<tr>
<td>9.1</td>
<td>MA confirmed the procurement process for installation of sprinkler systems in hostels in section 4.4 had commenced and the tender has now been returned and a contractor appointed.</td>
</tr>
<tr>
<td>9.2</td>
<td>MA confirmed he discussed and briefed KD on the report, as the Board’s Health &amp; Safety Scrutineer. MA also advised he has been looking at different formats of reporting with regard to the compliance report, and any proposed changes would be subject to KD’s agreement on behalf of the Board.</td>
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<tr>
<td>9.3</td>
<td><strong>Recommendations:</strong></td>
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<tr>
<td></td>
<td>i) The Board noted the current position in relation to the fire safety initiatives and noted the content of the Compliance Statement.</td>
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<th>10.</th>
<th><strong>Careline Business Update</strong></th>
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<tr>
<td>10.1</td>
<td>The opportunity to move the Careline business into SEH from the Council was discussed.</td>
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<tr>
<th>10.2</th>
<th><strong>Recommendations:</strong></th>
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<tr>
<td></td>
<td>i) The Board agreed to the transfer of the SBC Careline Service from SBC to SEH subject to the agreement of the maximum funding required to fund the Supported People grant for SBC sheltered schemes only and subject to agreement of Agenda Item 15.</td>
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<tr>
<th>11.</th>
<th><strong>Audit &amp; Risk Committee Meeting Minutes - 22nd November 2017</strong></th>
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<tr>
<td>11.1</td>
<td>DJ provided an overview and highlights of the meeting.</td>
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<tr>
<td>11.2</td>
<td><strong>Recommendation:</strong></td>
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<tr>
<td></td>
<td>i) The Board noted the minutes of the Audit &amp; Risk Committee meeting of 22nd November 2017.</td>
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<tr>
<th>12.</th>
<th><strong>Policies &amp; Procedures</strong></th>
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<tr>
<td>12.1</td>
<td>MA confirmed the Health &amp; Safety Policy was based on the Council’s policy which has been given a good rating by Internal Audit.</td>
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<tr>
<td>12.2</td>
<td>BG advised the Data Protection Policy had been reviewed following an Internal Audit review but will need to be further reviewed under the new GDPR legislation coming into effect in 25th May 2018.</td>
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<tr>
<td>12.3</td>
<td>DL advised the Financial Regulations &amp; Scheme of Delegation had been reviewed by the Audit &amp; Risk Committee with the only change requested being the inclusion of the maintenance of the Value for Money Register. BG to recirculate the final version to the Board.</td>
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**DL**
| 12.4 | In response to MO’s question, SP assured the Board that during the review of the Anti-Social Behaviour Policy external agencies had been consulted, including SMAART, the Police and tenants. The Board agreed the policy subject to;  
- The inclusion of a comment referring to the relevant procedures which are held separately,  
- Amending ‘i.e.’ in section 2 within the final bullet point of the second paragraph to e.g. or complete removal  
- Inclusion of a single page synopsis of the relevant procedures |
| 12.5 | DJ requested a diagram outlining the policies/procedures relevant to each strategic risk currently included on the Strategic Risk Register. BG advised this will also be addressed at risk away day 22nd February. |
| 12.6 | **Recommendations:**  
ii) The Board approved the amended policies. |
| 13. | **Core Project Update** |
| 13.1 | MA agreed to share a copy of the FFT report for the repair contract early stage procurement options with the Board electronically. |
| 13.2 | **Recommendation:**  
i) The Board noted the update on the High Five. |

20. Date of Next Meeting - 1st March 2018  
21. The meeting finished at 19:45
Board Meeting Matters Arising - 6th December 2017

Public:

6.1 - RE responded to a Residents Voice Your View query in relation to fire safety measures in communal areas within Sheltered Schemes and confirmed that the response would be added to the website.
TA added to the website 14th December.

7.2 - TA to circulate the draft advertisement for the upcoming Independent Member vacancy and to liaise to find a suitable date for interviews in January/February.
TA circulated the draft advert to KD, MO and MD 14th December and has since been advertised on our website, Facebook, Twitter and Inside Housing.

7.3 ii) - The Board agreed to the purchase of 'Diligent Board' software following a trial by the Chair, Vice-Chair, Company Secretary and Board Support Officer, subject to the production and circulation of a cost benefit analysis.
BG produced cost benefit analysis and TA circulated on 4th January 2018.

8.2 - MO asked whether officers have analysed why tenancy turnover is at this level, as there are positives to both having a higher and a lower level of turnover. DL advised data on this is collected at the point of termination and it may be our turnover has not dramatically changed, but the rest of the peer group’s has. The Board requested this analysis information is circulated electronically for information.
DLy produced this information and TA circulated it to the Board on 12th January 2018.

8.3 - DL to circulate year-end finance projections to the Audit & Risk Committee.
DL advised Audit & Risk already receive this information within their assurance report, and TA forwarded a copy of the Repairs & Capital forecast to the Board on 15th January 2018.

8.4 - The Board requested a time limit be put on negotiations around the new Repairs & Maintenance contract with Kier in order to prevent any further delays.
MA provided the Board with an update via email sent by TA on 25th January 2018.

12.3 - DL advised the Financial Regulations & Scheme of Delegation had been reviewed by the Audit & Risk Committee with the only change requested being the inclusion of the maintenance of the Value for Money Register. BG to recirculate the final version to the Board.
The requested amendment was made and a revised copy was circulated by TA on 8th January 2018.
Appendix 1 to Agenda Item 5

13.1 - MA agreed to share a copy of the FFT report for the repair contract early stage procurement options with the Board electronically. This was attached to the email sent by TA on 25th January 2018.
South Essex Homes Limited
Residents: Voice Your View
Date: 20th February 2018

Question from resident on 14th February 2018:

Security Doors at Viking Court

54 flats are in Viking Court in Shoeburyness. The odd numbers are on Saxon Gardens; the even numbers are on Gunfleet. Access is through the four security doors. However, that’s only if even numbers are keyed in on the Gunfleet side and the odd numbers on the Saxon Gardens side. This has been creating a repeated problem over the years. I have personally encountered it many times.

Most recently on Wednesday 07 February 2018 at about 9pm

Just having signs does not seem to have solved the issue.

Redesigning the numbers at the security doors may be an answer. Another is getting rid of the security doors altogether.

Response from Paul Longman, Property Services Group Manager:

The fobs we issue are programmed to give access through all the security doors, however it is possible that some of the fobs that were issued many years ago were only programmed for particular doors.

If a resident has a fob which does not work on all the doors we will happily exchange it for a fob which provides access through all four doors.

As regards removal of the system we would not wish to remove this security feature for residents and risk increased Anti-social behaviour activity.

I trust this fully answers your enquiry.

Paul Longman - Group Manager, Property Services

South Essex Homes Ltd | Civic Centre, Victoria Avenue | Southend on Sea | Essex | SS2 6FY | phone 01702 215955
South Essex Homes Limited

Report of Group Manager Resources and Business Development
to
The Board
on
1st March, 2018

Report prepared by: Beverley Gallacher
Tel: 01702 212649

Governance and Stewardship

A Public Agenda Item

1 Purpose of Report

1.1 To obtain agreement from the Board on governance related issues.

2 Recommendations

2.1 The Board are recommended:-

2.1.1 To agree the appointment of Roger Eastwood as the South Essex Homes Board representative on the National Federation of ALMOs Board

2.1.2 To agree the Terms of Reference for the Audit & Risk Committee as recommended by the Committee as contained at Appendix 1

2.1.3 To agree the Terms of Reference of the Personnel and Remuneration Committee as recommended by the Committee as contained at Appendix 2

2.1.4 To agree that the Chief Executive of South Essex Homes is appointed to the Board of South Essex Property Services (SEPS) as an Executive Director to be formally agreed by the Shareholders

2.1.5 To agree that the Company Secretary of South Essex Homes is appointed to the position of Company Secretary for SEPS to be formally agreed by the Shareholders

2.1.6 To agree to establish Joint Committees between SEPS and South Essex Homes as recommended by the SEPS.

2.1.7 To note the board development programme is being captured with the Company’s overarching Organisational Development Action Plan and will be reported in due course.
3 Background

3.1 National Federation of ALMOs (NFA) – South Essex Homes’ nominee

3.2 Committee Terms of Reference

3.3 South Essex Property Services Governance Review

3.1.1 At the previous Board Meeting the Board agreed to receive expressions of interest from within its membership to replace Tony Churton as the South Essex Homes member on the NFA Board following him leaving the South Essex Homes Board. Discussion with the NFA has confirmed that all other members of the NFA Board are the Chairs of their respective ALMO. Although the Articles of Association for the NFA do not indicate that the position is required to be filled by the Chair of each ALMO it would seem prudent to follow the approach adopted by other ALMO Boards, in recognition of the high profile representative role required. The members of the Board in addition to the Chair, who had previously shown interest in the role, have advised that the position should be filled by the South Essex Homes Chair, Roger Eastwood. The Board are asked to endorse this recommendation.

3.2.1 The Audit and Risk Committee reviewed their Terms of Reference as part of the annual Committee forward plan and agreed the changes relating to Committee name and changes relating to the removal of references to the Director of Finance. In addition the Internal Auditors advised that the new CIPFA guidance around Terms of Reference for public sector organisations will be available from late March and this could affect a further change. See Appendix 1 to this report.

3.2.2 The Personnel & Remuneration Committee reviewed their Terms of Reference as part of the Committee forward plan and agreed to recommend them to the Board for approval subject to agreement to the minor tracked changes detailed at Appendix 2 to this report.

3.3.1 Following the growth and increase in opportunities being undertaken and developed for SEPS, and taking into consideration that only two Non-Executive positions on the Board were currently filled, it was agreed to undertake a review of the Governance arrangements for SEPS.

3.3.2 The Board of SEPS and the Chief Executive of South Essex Homes along with the Company Secretary of South Essex Homes met at the latter end of 2017 to discuss changes which would be necessary to simplify and ensure compliance with good governance to the Articles of Association and Code of Governance including:
3.3.3 Board Membership & Recruitment
   Role of the Company Secretary
   Board Remuneration
   Role of the Vice Chair of the Board
   Joint Committees
   Staffing arrangements.

3.3.4 Essex Legal Services were therefore, engaged by SEPS to provide legal advice in relation to the review of their governance. Having considered detailed advice, the SEPS Board resolved to make a recommendation to the parent Board in advance of arrangements for a shareholder meeting. Specifically the Board of SEPS recommend that the South Essex Homes Board consider the appointment of the Chief Executive of South Essex Homes to an executive role on the SEPS Board, and further appoint the Company Secretary of South Essex Homes as the Company Secretary for SEPS.

3.3.5 The SEPS Board discussed the requirement to delegate certain functions to Committees, however, at this stage felt that Company could better approach this delegation by having joint Audit and Risk and Personnel and Remuneration Committees with the parent Board. Further information relating to the how joint working arrangements could be put in place are as follows:

3.3.6 Joint decision-making Committee
   - The Articles allow SEPS to delegate decisions to a Committee. South Essex Homes' Articles also allow it to delegate to a Committee. However, in the case of South Essex Homes the majority of any committee members must be SEH's Directors as stipulated in South Essex Homes’ Articles.
   - It should be noted that the Directors’ statutory duties under the Companies Act 2006 include acting in the best interest of the company. Where a joint, decision-making Committee is formed, there is a risk that the Directors may not be able to effectively discharge their statutory duties if the Committee passes a majority decision that the Director(s) believe is not in the best interest of the company.
   - Mitigation to the risk that a Director is not able to discharge their statutory duties effectively would be how the committee is constituted. For example:
   - Provisions can be inserted within the Terms of Reference of the committee which would allow a decision not to be taken where a company director dissents or does not vote on a decision relating to the company director's particular company; or
- Provisions can be inserted in the Terms of Reference that company-specific decisions will be taken only by the members of the Committee that are from that particular company.

- In line with both SEPS' and South Essex Homes' Articles of Association, the proceedings and deliberations of a Committee are to be governed in line with each company's Articles relating to decision-making.

- A model of the appropriately structured joint Committee is set out below

4 Equality and Diversity

4.1 All equality and diversity issues identified from the proposals contained in this report have been considered and are in accordance with the South Essex Homes Equality and Diversity Policy.

5 Risk

5.1 Any risks identified from the proposals contained in this report have been considered by the Senior Management Team. The Board have identified risks associated with the governance of the organisation which is included in Agenda Item 8 – the Company Assurance Report. Risk SEHRISK06 – Risk that the governance arrangements including statutory compliance are not robust enough to enable the Board to undertake its roles and responsibilities in full as Non-Executive Directors under Companies Act 2006.

6 Financial Implications

6.1 All costs associated with the recruitment of the non-executive directors for South Essex Homes are contained within the approved 2017/18 budgets.
7 Resident Consultation

7.1 Not applicable for this particular report.

8 Background Papers

8.1 None applicable for this report.

9 Appendices

9.1 Appendix 1 – Audit and Risk Committee Terms of Reference
9.2 Appendix 2 – Personnel and Remuneration Committee Terms of Reference
SOUTH ESSEX HOMES LIMITED
Audit & Risk Committee

Terms of Reference

The Committee will at all times uphold the organisation’s aims, values, objectives and policies.

Statement of Purpose - The Board of Directors has delegated responsibility to the Committee:

- to provide independent assurance of the adequacy of the risk management framework and the associated control environment.
- to provide independent scrutiny of the organisation’s governance, financial and non-financial performance to the extent that it affects the organisation’s exposure to risk and weakens the control environment.
- to oversee the financial reporting arrangements.

The duties of the Committee shall include the following:

Regulatory Framework

- To review Financial Regulations and Scheme of Delegation and arrangements to secure value for money and review effectiveness of these arrangements
- To monitor the effective development and operation of risk management and corporate governance in the company, agreeing necessary actions to ensure compliance with good practice
- To scrutinise, on an annual basis, the performance management framework and Risk Management Framework to ensure that it is fit for purpose and enables the Board to effectively challenge
- To monitor progress in addressing risk related issues reported to the Committee
- To monitor the company policies on Whistleblowing, Anti-Fraud and Corruption and Money Laundering and the complaints process and review the assessment of fraud risks
- To review changes in and compliance with accounting policies and practices
Appendix 1 to Agenda Item 8

- To scrutinise and approve the Treasury Management Strategy and Policies and its operation
- To review the Annual Governance Statement prior to approval and consider whether it properly reflects the risk environment and supporting assurances, taking into account internal audit’s opinion on the overall adequacy and effectiveness of the Company’s framework of governance, risk management and control
- To undertake a wider role leading on the promotion of high standards of conduct as part of the governance arrangements throughout the organisation.
- To scrutinise the ethical governance framework and ensure it is reflected in business practices throughout the organisation.

External Audit and Financial Statements

- To recommend to the Board the appointment of the External Auditor and their fees.
- To enhance the effectiveness of the relationship with External Audit.
- To discuss with the External Auditors, before the audit commences, the nature and scope of the audit.
- To review External Audit reports, and receive the annual audit letter.
- To monitor the implementation of external audit recommendations.
- To review the annual financial statements before submission to the Board, focusing particularly on:
  - The Directors report and the Governance Assurance Statement
  - The status and position of service level agreements
  - Major judgemental areas
  - Significant adjustments resulting from the audit
  - Review and scrutinise the company’s quarterly management accounts and report to the Board

Internal Audit

- To appoint the Internal Auditor, monitor performance against contract/SLA and approve the Charter, Strategy and Audit Plan
- To review and monitor delivery of the Audit Plan, consider performance against agreed performance measures as well as findings from individual audits undertaken and approve any significant changes and associated resource implications
- To monitor the implementation recommendations arising from internal audit reports
Appendix 1 to Agenda Item 8

- To consider the Head of Internal Audit’s annual report and opinion and its implications for the Annual Governance Statement

- To consider reports from the Head of Internal Audit on internal audit’s performance during the year, including the performance of external providers of internal audit services.

- To contribute to the Quality Assurance and Improvement Plan and in particular, to the external quality assessment of internal audit that takes place at least once every five years.

General Responsibilities

- Where other committees’ are responsible for providing assurance over the operation of key company business management processes, the Audit & Risk Committee’s remit is to gain appropriate assurance that this work is being done properly and that action taken to improve such arrangements is being taken as required.

- To maintain a work programme that is reviewed annually and agreed by the Board, which provides the outline for the Audit & Risk Committee agenda for each meeting. It should demonstrate that the Committee is receiving sufficient and appropriate information to discharge its responsibilities.

- Ensure effective communication with the Board. The Chair of the Committee will present the minutes of each meeting to the Board to provide information about actions agreed, highlight any matters that need to be brought to its attention and respond to any questions raised.

- To meet with the Resident Scrutiny Panel annually to discuss the work programme for the oncoming year.

- To receive recommendations from the Resident Scrutiny Panel in relation to reviews undertaken during the year for agreement or information.

- To monitor and review the performance and financial position of the Commercial Subsidiary at each meeting.

- Act on any specific task assigned by the Board.

The Committee will update the Board on its actions at each Board meeting. At the same time the committee will report to the Board on the effectiveness of its Terms of Reference and recommend any changes for the Board’s agreement.

How the Committee will operate

The Committee is authorised to seek any information it requires from any employee and all employees are directed to co-operate with any request made by the Committee.

The Committee is authorised by the Board to obtain outside legal or other independent professional advice and to secure the attendance of the outsiders with relevant experience and expertise if it considers this necessary.
The minutes of the Audit & Risk Committee meetings shall be formally recorded and submitted to the Board. The Chair of the Audit & Risk Committee shall, at their discretion, report any other urgent and/or relevant matters to the Chair and/or Board.

The Committee shall be appointed by the Board from amongst the Board Members (with the exception of the Chair) and shall consist of not less than four members.

The Board shall appoint the Chair of the Committee.

The Director of Finance of Business Development and the Head of Internal Audit shall normally attend meetings and when required the External Auditors. All other Board Directors will have the right to attend at their discretion, without the right to vote. The Chair of the Board and the Chief Executive may also be required to attend at the invitation of the Audit & Risk Committee.

The Meeting will normally consist of a Part One and a Part Two. Attendance at Part One will include members of the Audit & Risk Committee and representatives, and as appropriate, representatives of internal and external audit. Part Two will be for specific discussion between the Audit & Risk Committee and the company’s Auditors. Staff will not attend Part Two of the meeting.

Frequency of Meetings: Minimum of 4 per year
Support to the Committee: – Company Secretary
Membership: Minimum of 4 Board Members.
Attendees: Director of Finance, Director of Business Development, External Auditors and Internal Auditors
Quorum: 2
Reports to the Board
SOUTH ESSEX HOMES LIMITED

Personnel & Remuneration Committee

Terms of Reference

The Committee will at all times uphold the organisation's aims, values, objectives and policies. The Committee will also undertake to act on any specific tasks delegated to it by the Board.

Statement of Purpose - The Board of Directors has delegated responsibility to the Personnel & Remuneration Committee to monitor and make decisions on the terms and conditions and salaries for the staff of South Essex Homes. The Committee will be responsible for advising the Board of any risk implications to the organisation.

The duties of the Committee shall include the following:

• The Committee has responsibility for setting, or making a temporary variation to, the salary and terms and conditions for the Senior Management Team. It undertakes to review the salaries, taking into account inflation, the labour market, comparability factors and recruitment and retention issues/risks, based on recommendations from The Director of Finance.

• Variations to salaries, terms and conditions affecting more than 5% of staff members must be approved by the Committee. Variations to less than 5% will be completed at the Chief Executive’s discretion and will be reported to the next Personnel & Remuneration Committee for information.

• Variations to the establishment affecting up to 5 members of staff are the responsibility of the Chief Executive in consultation with the Senior
Management Team and will be reported to the next Committee Meeting. All changes of more than 5 members of staff require formal approval by the Committee.

- The Committee has responsibility for recommending to the Board arrangements for termination of employment and other contractual terms for the Senior Management Team.

- The Committee has responsibility for the setting and implementing of any performance bonus scheme.

- The Committee has the responsibility to ensure effective communication with the Board. The Chair of the Committee will report to the Board, the minutes of each of its meetings -after each Personnel & Remuneration Committee meeting to provide information about actions agreed, and any exceptions that require the attention of the Board.

- The Committee will monitor the effectiveness of communication with Union Representatives and staff forums.

- The Chair of the Committee will be responsible for notifying the Financial Services Manager Director of Finance of any changes to salaries or terms and conditions for members of the Senior Management Team.

- The Committee will monitor the progress made on the Organisational Development Action Plan including the training programmes for the Board and Staff on an exception basis.

- The Committee will receive, at appropriate intervals the results of staff surveys and undertakes to report any issues to the Board

- The Committee Members are empowered to call upon the services of external advisers in furtherance of its aims and objectives.
Appendix 2 to Agenda Item 8

- The Committee will carry out any specific task assigned them by the Board

- The Committee will report to the Board on the effectiveness of its Terms of Reference and recommend any changes for the Board’s agreement.

The minutes of the Personnel & Remuneration Committee meetings shall be formally recorded and submitted to the Board. The Chair of the Committee shall, at their discretion, report any other urgent and/or relevant matters to the Chair and/or Board.

The Director of Finance, Company Secretary through the HR Business Partner will notify individual members of staff of decisions taken. The Committee shall be appointed by the Board from amongst the Board Members and shall consist of not less than three members. The Board shall appoint the Chair of the Committee. The Chief Executive and or the Executive Director, Director of Business Development and the HR Business Partner shall normally attend meetings. All other Board Members shall have the right to attend at their discretion, without the right to vote. The Chair of the Board and the executive Directors may also be required to attend by invitation of the Personnel and Remuneration Committee.

Frequency of Meetings: Minimum of 2 per year

Support to the Committee: Company Secretary

Date originally approved: June 2006

Membership: Minimum 3 Board members.

Attendees: The Director of Finance & Chief Executive

& Director of Business Development, HR Business Partner

Quorum: 2 Board Members

Approved by the Board

Reviewed 6th February, 2018
### Purpose of Report

1.1 To provide the Board with a high level statement of assurances relating to the financial performance of the company.

### Recommendations

2.1 The Board are recommended:-

2.2 To note the update provided on financial information as at 31st January, 2018 as noted by the Audit and Risk Committee.

2.3 To note the Key Performance Indicator exceptions as at 31st January, 2018.

### Background

3.1 Introduction

This report sets out the actual expenditure on the Operating Budget, Revenue Repairs Budget and Capital Programme to 31st January, 2018.

### Expenditure for 2017/18

<table>
<thead>
<tr>
<th>Description</th>
<th>Budget for year £000</th>
<th>Budget to 31st January £000</th>
<th>Actuals at 31st January £000</th>
<th>Variance To date £000</th>
<th>Forecast £000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Management Fee Income</td>
<td>5,827</td>
<td>4,931</td>
<td>4,931</td>
<td>0</td>
<td>5,827</td>
</tr>
<tr>
<td>Service Charge Income</td>
<td>3,395</td>
<td>2,829</td>
<td>2,820</td>
<td>(9)</td>
<td>3,395</td>
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<tr>
<td>Other Income</td>
<td>271</td>
<td>190</td>
<td>254</td>
<td>64</td>
<td>261</td>
</tr>
</tbody>
</table>
### Operating Costs & Interest

<table>
<thead>
<tr>
<th>Profit / (Loss)</th>
<th>9,827</th>
<th>7,863</th>
<th>7,798</th>
<th>65</th>
<th>9,740</th>
</tr>
</thead>
</table>

### The Revenue Budget

<table>
<thead>
<tr>
<th>The Capital Programme</th>
<th>4,830</th>
<th>3,872</th>
<th>4,121</th>
<th>(250)</th>
<th>4,989</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Capital Programme</td>
<td>6,703</td>
<td>4,577</td>
<td>3,051</td>
<td>1,526</td>
<td>5,416</td>
</tr>
</tbody>
</table>

### The Operating Budget

The main variances on The Operating Budget are detailed below:

#### 3.3.1 Income from External Sources

We are currently ahead of expected budgeted income at this stage in the year (£50k). The costs of the lease for Chaucer have not yet been taken into account here which will reduce this position significantly, however, it should be noted that we are in dialogue with the Council regarding this property and it is anticipated that the outcome will be in line with our projections and that there will not be a reduction to the year end position. We are currently forecasting a year end position of £176k compared to a budgeted year-end position of £189k. This position is behind budget due to the agreed expenditure on Marketing and Commercialisation (£48k) agreed by the Board to be attributed to reserves but is currently directly offset against this income.

#### 3.3.2 Employees

The spend on employees is £4k over budget at this point in the year. The Phase 1 re-organisation and its associated redundancy costs have been taken into account and we expect this area to be underspent by £58k by year end. The redundancy costs associated with the Phase 2 re-organisation have not yet been taken into account. These costs will need to be included in this year’s financial statements, and an estimate of the possible redundancy costs has been detailed in Agenda Item 18, however, any pension strain is yet unknown at this time whilst the consultation timetable is completed.

#### 3.3.3 Training

The training budget is currently underspent by £82k. Training development opportunities have been identified and commitments are being made. Although the training programme was delayed in the year we are now actively progressing training programmes and the budget will increase
significantly from its currently position.

3.3.4 **Premises**

The position of this area to date is currently an overspend of £51k. This is due to the profiling of Veolia invoices which has been amended for the future years budget.

3.3.5 **Utilities**

The spend on electricity and gas is currently £74k over budget (14%). The majority of this relates to electricity usage in communal areas. These costs will continue to be monitored and any abnormally high usage investigated. These costs can be recovered in later years by increasing service and heating charges to match costs incurred.

3.4 **Revenue Repairs**

3.4.1 The Revenue repairs budget area is currently overspent by £250k, this is due to the actual spend including an accrued amount to ‘top up’ the spend with Kier. The costs incurred this year so far have been inflated by 25% to allow for an agreed increase in contract price. It should be noted that at this time the accrual has topped up the Keir costs by 25%, this contract is still in negotiation and the final agreed uplift may move up or down, any increase or decrease in this percentage will affect the year end forecast.

3.4.2 The budget does not yet reflect this higher Kiers contract price and virements need to be actioned in order to satisfy this contract price, a virement proposal has gone to the Board and was approved on the 6th December, once any new contract with Kier is agreed this budget virement will be actioned to reflect the position.

3.4.3 We are currently forecasting an over spend on the total Revenue Repairs budget of £159k. As the discussions with Kier are finalised discussions will be taking place with Southend Borough Council to establish the treatment of this overspend. A full report on Repairs & Maintenance, contract extension negotiations is detailed at Agenda Item 17.

3.5 **Capital Programme**

3.5.1 There is an under spend of £1,526k to date. We are expecting significant under spent on the Capital programme and we expect this to be around £1,287k by year end.

3.5.2 A number of decent homes projects started later than anticipated due to procure
3.5.3 Issues and the installation of a new lift at a low rise part two sheltered scheme has been cancelled due to issues associated with the structure. The working budget already reflects a £1m reduction to the Common Area Improvement works which will be rolled forward into the 18/19 Capital Programme. This is part of the £2m allocated to the programme during 17/18 for fire safety works.

3.5.3 All other underspends on the Capital programme will be rolled forward into future years.

4 Key Performance Exception Report

4.1 The performance report for the year to date April 2017 to January 2018 is shown at Appendix 1.

4.2 The performance report for the year to date up to end of January 2018 is contained within Appendix 1. Most indicators are currently performing at, or better than target with the following exceptions:

- KP4 - Collection rate for rents
- KP12 – Responsive repairs completed in target times
- KP19 - % Non-decent Council Homes
- KP20 – Percentage Improvement Programme completed
- KP24 – Working days lost to sickness absence
- KP25 – Complaints responded to in 10 working days

4.3 KP4 is currently a little below the annual target. This is a reflection of the numbers of tenants moving on to Universal Credit, which causes a delay in the receipt of payments. Additionally, we always see collection rates fall in December, this drop in rates recovers over the last 3 months of the year. We are already seeing a recovery in the figure for January and will see further recovery in the final 2 months of the year.

4.4 KP12 performance is below the yearly target due to a combination of factors. Both Kier and Aaron have missed target dates for some repairs, and an investigation is currently taking place into whether there is an issue with job completion data in 2 of Kier’s internal IT systems, meaning that jobs are not closing correctly. This is being monitored through regular contract meetings.

4.5 KP19 is currently below target due to contractual issues with the main Decent Homes Contractor. It is not known at this stage how extensive the impact on our performance against target will be.

4.6 KP20 is affected by the same issues as KP19, as the programme is currently running behind target. We consider that we may not meet the annual target.
4.7 The number of working days lost to sickness absence stayed above target for most of the year. For much of the year, long term sickness absence has formed the majority of days lost, however as expected the most recent months have seen the usual seasonal peak in short term absence due to viral infections, colds, and flu. We will continue to monitor all absence in a robust manner but have already exceeded the annual target.

4.8 KP25 is slightly below target as one response was not sent within 10 working days. This was caused by a communication issue between two teams.

6 Diversity and Equality Opportunities

6.1 There are no direct Equality and Diversity implications arising from this report.

7 Risk

7.1 The risk of having inadequate financial control over the budgets could lead to unnecessary under or overspending on budgets, thus adversely affecting services or losing Government grant. Risk SEHRISK 08- Risk that there are insufficient financial resources to deliver the service and carry out the actions contained in the Vision 2022 Business Plan are being mitigated by robust monitoring of the budgets and ensuring that the 5 core Board projects produce the outcomes required to manage budgets going forward.

8 Financial Implications

8.1 The financial implications are incorporated in the body of the report.

9 Background Papers

9.1 None.

10 Appendices

10.1 Appendix 1 – KPI Exception Report
January 2018 Board

KP Report for January 2018

<table>
<thead>
<tr>
<th>PI Status</th>
<th>Long Term Trends</th>
<th>Short Term Trends</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alert</td>
<td>Improving</td>
<td>Improving</td>
</tr>
<tr>
<td>Warning</td>
<td>No Change</td>
<td>No Change</td>
</tr>
<tr>
<td>OK</td>
<td>Getting Worse</td>
<td>Getting Worse</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>PI Code</th>
<th>Short Name</th>
<th>2016/17</th>
<th>Decembre 2017</th>
<th>January 2018</th>
<th>2017/18</th>
<th>Long Term Trend Arrow</th>
<th>Current Target</th>
<th>Current Status</th>
<th>Latest Note</th>
</tr>
</thead>
<tbody>
<tr>
<td>KP 3</td>
<td>Careline calls answered in 1 minute</td>
<td>98.7%</td>
<td>97.3%</td>
<td>97.3%</td>
<td>97.9%</td>
<td>97.5%</td>
<td></td>
<td></td>
<td>Although there is always monthly fluctuation in rent collection figures, in January the rent collection was above the target. This was primarily caused by the additional cash being collected following the Christmas and New Year period. There has been no reduction in recovery activity and the overall arrears figures are within target.</td>
</tr>
<tr>
<td>KP 4</td>
<td>Collection rate for rents</td>
<td>99.98%</td>
<td>97.06%</td>
<td>102.24%</td>
<td>99.43%</td>
<td>102.00%</td>
<td></td>
<td></td>
<td>This indicator represents the current arrears as a percentage of the total rent collectable for the year. Although we have seen an increase this month, this is due to the anticipated increase in arrears at Christmas, and the gradual transition onto Universal credit, and coming away from Housing Benefit. Nevertheless we are currently meeting the target, and there is no indication that the target will not continue to be met at this time.</td>
</tr>
<tr>
<td>KP 5</td>
<td>Current rent arrears as % of rent due</td>
<td>1.35%</td>
<td>1.57%</td>
<td>1.51%</td>
<td>1.51%</td>
<td>1.77%</td>
<td></td>
<td></td>
<td>As anticipated there was a slight increase in void turnaround time over the Christmas and New Year period due to the contractor closing for the holidays.</td>
</tr>
<tr>
<td>KP 6</td>
<td>Satisfaction with property condition</td>
<td>99%</td>
<td>100%</td>
<td>-</td>
<td>100%</td>
<td>97%</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>KP 7</td>
<td>Void turnaround time</td>
<td>15.5</td>
<td>17.9</td>
<td>21.9</td>
<td>16.9</td>
<td>17.0</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PI Code</td>
<td>Short Name</td>
<td>2016/17 Value</td>
<td>Decembe 2017 Value</td>
<td>January 2018 Value</td>
<td>2017/18 Value</td>
<td>Long Term Trend Arrow</td>
<td>Current Target</td>
<td>Current Status</td>
<td>Latest Note</td>
</tr>
<tr>
<td>---------</td>
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<td>----------------</td>
<td>---------------</td>
<td>-------------</td>
</tr>
<tr>
<td>KP11</td>
<td>Satisfaction with outcome of ASB complaints</td>
<td>99%</td>
<td>No data</td>
<td>100%</td>
<td>99%</td>
<td>🟢</td>
<td>93%</td>
<td>🟢</td>
<td></td>
</tr>
<tr>
<td>KP12</td>
<td>Responsive repairs completed in target times</td>
<td>97.51%</td>
<td>98.70%</td>
<td>98.74%</td>
<td>98.51%</td>
<td>🟢</td>
<td>99.00%</td>
<td>🟢</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>The deviation from target was 0.26%, an improvement on previous months figure, which represents 26 jobs from a total of 2,070. These were only from Kier (11 urgent and 15 routine). Aaron completed all jobs within target. All emergencies (Kier and Aaron) were completed within target. Kier performance is similar to last month’s figure, and will continue to be highlighted at forthcoming Focus Group and Contract Meetings and monitored. Negotiations regarding the Kier contract extension continue to be ongoing which may be having an adverse effect on staff morale within Kier due to the uncertainty over their future. Kier are also investigating possible discrepancies in job completion data between their two internal IT systems.</td>
</tr>
<tr>
<td>KP15</td>
<td>Average time to complete all jobs</td>
<td>8.74</td>
<td>6.48</td>
<td>6.77</td>
<td>7.43</td>
<td>🟢</td>
<td>8.50</td>
<td>🟢</td>
<td></td>
</tr>
<tr>
<td>KP17</td>
<td>Gas safety certificates</td>
<td>100.00%</td>
<td>100.00%</td>
<td>100.00%</td>
<td>100.00%</td>
<td>🟢</td>
<td>100.00%</td>
<td>🟢</td>
<td></td>
</tr>
<tr>
<td>KP19</td>
<td>% non-decent council homes</td>
<td>1.7%</td>
<td>3.7%</td>
<td>3.5%</td>
<td>3.5%</td>
<td>🟢</td>
<td>.0%</td>
<td>🟢</td>
<td></td>
</tr>
<tr>
<td>KP20</td>
<td>Improvement Programme completed</td>
<td>92.4%</td>
<td>30.4%</td>
<td>42.0%</td>
<td>42.0%</td>
<td>🟢</td>
<td>100.0%</td>
<td>🟢</td>
<td></td>
</tr>
<tr>
<td>KP24</td>
<td>Working Days Lost Due to Sickness Absence</td>
<td>8.93</td>
<td>1.26</td>
<td>1.53</td>
<td>9.85</td>
<td>🟢</td>
<td>0.89</td>
<td>🟢</td>
<td></td>
</tr>
<tr>
<td>KP25</td>
<td>Complaints responded to within 10 days</td>
<td>98%</td>
<td>100%</td>
<td>100%</td>
<td>99%</td>
<td>🟢</td>
<td>100%</td>
<td>🟢</td>
<td></td>
</tr>
<tr>
<td>KP32</td>
<td>Tenants satisfied with viewing and letting process</td>
<td>98%</td>
<td>100%</td>
<td>-</td>
<td>100%</td>
<td>🟢</td>
<td>97%</td>
<td>🟢</td>
<td></td>
</tr>
<tr>
<td>Local N20</td>
<td>Anti-Social Behaviour cases successfully resolved</td>
<td>100.0%</td>
<td>100.0%</td>
<td>100.0%</td>
<td>100.0%</td>
<td>🟢</td>
<td>99.6%</td>
<td>🟢</td>
<td></td>
</tr>
<tr>
<td>PI Code</td>
<td>Short Name</td>
<td>2016/17 Value</td>
<td>Decembe Value</td>
<td>January 2018 Value</td>
<td>2017/18 Value</td>
<td>Long Term Trend Arrow</td>
<td>Current Target</td>
<td>Current Status</td>
<td>Latest Note</td>
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<tr>
<td>-----------</td>
<td>-------------------------------------------</td>
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<td>---------------</td>
<td>------------------------</td>
<td>----------------</td>
<td>----------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Local R2</td>
<td>Number of evictions for rent arrears</td>
<td>28</td>
<td>1</td>
<td>1</td>
<td>28</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local R7</td>
<td>Write-offs (cash value)</td>
<td>£92,982</td>
<td>£26,991</td>
<td>-£9,991</td>
<td>£117,180</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local R13</td>
<td>Current rent arrears (in cash)</td>
<td>£437,610</td>
<td>£505,593</td>
<td>£486,841</td>
<td>£486,841</td>
<td>✓</td>
<td>£580,500</td>
<td></td>
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</tr>
<tr>
<td>Local R13a</td>
<td>Former tenant arrears</td>
<td>£396,992</td>
<td>£385,224</td>
<td>£397,485</td>
<td>£397,485</td>
<td>✓</td>
<td>£440,000</td>
<td></td>
<td>This represents the cash figure for the former tenant arrears. The figure is constantly changing as any termination, be it an eviction or a tenant terminating their tenancy voluntarily will create a former tenant debt. Nevertheless, we are currently meeting the target.</td>
</tr>
<tr>
<td>Local R14</td>
<td>FTAs as a percentage of debit</td>
<td>1.03%</td>
<td>1.00%</td>
<td>1.02%</td>
<td>1.06%</td>
<td>✓</td>
<td>1.20%</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local R66b</td>
<td>% of Tenants in arrears over 7 weeks</td>
<td>3.06%</td>
<td>3.16%</td>
<td>3.15%</td>
<td>2.85%</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local SP8</td>
<td>Occupancy rate for Hostels</td>
<td>87%</td>
<td>85%</td>
<td>82%</td>
<td>87%</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local V3</td>
<td>Void loss as % of debit</td>
<td>1.85%</td>
<td>1.68%</td>
<td>1.43%</td>
<td>1.77%</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local V3 (F1)</td>
<td>Void loss</td>
<td>£610,609</td>
<td>£53,061</td>
<td>£35,892</td>
<td>£491,298</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local V8</td>
<td>Percentage of property void &amp; relettable</td>
<td>0.95%</td>
<td>1.27%</td>
<td>0.90%</td>
<td>1.03%</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local V21</td>
<td>Proportion of lettable voids empty for over four weeks</td>
<td>30.4</td>
<td>21.3</td>
<td>24.5</td>
<td>21.7</td>
<td>✓</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local V22</td>
<td>Percentage of tenants underoccupying due to spare room subsidy who we have contacted</td>
<td>100.0%</td>
<td>100.0%</td>
<td>100.0%</td>
<td>100.0%</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Local V22 (F1)</td>
<td>Number of tenants underoccupying due to spare room subsidy who have been contacted</td>
<td>14.17</td>
<td>7</td>
<td>2</td>
<td>7.2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>PI Code</td>
<td>Short Name</td>
<td>2016/17 Value</td>
<td>Decembe Value</td>
<td>January Value</td>
<td>2017/18 Value</td>
<td>Long Term Trend Arrow</td>
<td>Current Target</td>
<td>Current Status</td>
<td>Latest Note</td>
</tr>
<tr>
<td>---------</td>
<td>------------</td>
<td>---------------</td>
<td>--------------</td>
<td>--------------</td>
<td>---------------</td>
<td>----------------------</td>
<td>---------------</td>
<td>---------------</td>
<td>-------------</td>
</tr>
<tr>
<td>Local V22 (F2)</td>
<td>Total number of tenants under occupying due to spare room subsidy</td>
<td>14.17</td>
<td>7</td>
<td>2</td>
<td>7.2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
South Essex Homes Limited
Report of Director of Business Development
to
The Board
On
1st March, 2018

Report prepared by: Daniel Lyons
Tel: 01702 212605

Budget Proposals 2018/19

A Public Agenda Item

1 Purpose of Report

1.1 This report sets out the formal proposals in respect of the Management Fee and Operating Budget for 2018/19.

2 Recommendations

2.1 The Board are recommended:

2.1.1 To approve the Management Fee of £5,618k as recommended by the Audit and Risk Committee

2.1.2 To approve the Service Charge Income of £3,562k as recommended by the Audit and Risk Committee

2.1.3 To approve the proposed items of one off expenditure amounting to £354,671, this can be met from a budgeted surplus within the year, as recommended by the Audit and Risk Committee

3 Background

3.1 The Budget for 2018/19 is set in line with the Business Plan – Vision 2022 and existing plans and policies set by the Board.

3.2 The sources of income to finance this are: the Management Fee (agreed by the Council), service charge income, income from Careline, income from commercial activities, general income and interest on balances. The Budget must be within the available resources.
4 Management Fee

4.1 The Cabinet, at its meeting of 18\textsuperscript{th} January 2018 agreed to recommend to the Council:

- A Management Fee of £5,580K
- An average increase in service charges of 3.73%
- The actual cost of heating and lighting

4.2 Through discussions with officers at SBC the Management Fee has subsequently been changed and it has been agreed to add in a further £38k to fund a GDPR SLA with Southend Borough Council. This brings the agreed management fee to £5,618k which comprises of £5,533k for Revenue 1 (on going funding) and £85k for Revenue 2 (One off funding).

5 Revenue

5.1 The income to support the budget for South Essex Homes is shown in Appendix 1.

6 Service Charges

6.1 South Essex Homes have calculated the service charges based on an analysis of the actual costs. Based on this the Council has proposed an average increase in service charges of 3.73% for tenant service charges.

6.2 The heating charges are the actual costs of heating for each of the individual schemes. The costs of service and heating costs included in the budget are fully met by the income generated by the service charges.

6.3 The leaseholder service charges are based on actual expenditure incurred with an amount added on for the management of leasehold properties. The amount collectable from leaseholders is planned to increase by £44k (8%) over the estimates for 17/18. This is primarily due to the recalculation of the management cost to better reflect staff time spent servicing leasehold properties.

7 Careline Income

7.1 Contained within the Council’s Cabinet report of the 18\textsuperscript{th} January 2018 it was recommended that the whole of Careline business be transferred to South Essex Homes. The cost of Careline has always previously been included in the Management Fee and income derived from the service been directed to Southend Borough Council. This new agreement reduces the South Essex Homes management fee by the budgeted amount of Careline income within the HRA, in exchange all Careline
income will flow to South Essex Homes.

8 **Budget Pressures**

8.1 The biggest on-going pressure that South Essex Homes see from year to year is the commitment to the local government terms and conditions for all employees. This year the local government employers offered a 2% pay increase for all of its members. This coupled with the annual increments due to all staff that are not yet at the top of their pay scale has led to an increased pressure of £165k in 2018/19.

9 **The Budget**

9.1 The summary of the draft budget is set out in Appendix 1. Set out in the table below is the total budget requirement and the resources available to meet this leaving a budget surplus of £477k.

<table>
<thead>
<tr>
<th>Description</th>
<th>2017/18 £ 000</th>
<th>2018/19 £ 000</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revenue</td>
<td>9,522</td>
<td>9,925</td>
</tr>
<tr>
<td>Expenditure</td>
<td>9,741</td>
<td>9,448</td>
</tr>
<tr>
<td><strong>Surplus / (Deficit) before one off costs</strong></td>
<td><strong>(219)</strong></td>
<td><strong>477</strong></td>
</tr>
</tbody>
</table>

10 **One off costs**

10.1 There are a number of one off costs that are required that will enable the Company to be able to work more effectively going forward. These are set out in Appendix 2 for consideration. It should also be noted that the 2 items around GDPR amounting to £85k have been funded from the one off Revenue 2 funding from Southend Borough Council.

11 **Equality and Diversity**

11.1 All equality and diversity issues identified from the proposals contained in this report have been considered and are in accordance with the South Essex Homes Equality and Diversity Policy.

12 **Risk**

12.1 The key risk for the Company is that there are insufficient financial resources to deliver the service and carry out the actions contained in the business plan (SEHRISK08)
13 Financial Implications

13.1 The financial implications are set out in the body of the report.

14 Resident Consultation

14.1 Not applicable.

15 Background Papers

15.1 Cabinet report of Southend Borough Council – 18th January 2018

15.2 Audit and Risk Committee Budget Report 13th February, 2018

16 Appendices

16.1 Appendix 1 – Summary Budget 2018/19

16.2 Appendix 2 – List of one off Costs
## Key Reasons for Variances between 2017/18 and 2018/19 Budget - Changes over £5,000

<table>
<thead>
<tr>
<th>Category</th>
<th>Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employees</td>
<td>Phase 2 Restructure</td>
<td>(436,172)</td>
</tr>
<tr>
<td>Employees</td>
<td>Cost of Living and Increments</td>
<td>165,166</td>
</tr>
<tr>
<td>Employees</td>
<td>Phase 1 Restructure</td>
<td>(125,888)</td>
</tr>
<tr>
<td>Employees</td>
<td>Additional Contingency</td>
<td>50,000</td>
</tr>
<tr>
<td>Employees</td>
<td>Remove one off cost for Finance Director</td>
<td>(43,500)</td>
</tr>
<tr>
<td>Employees</td>
<td>Remove one off cost for management training</td>
<td>(20,000)</td>
</tr>
<tr>
<td>Employees</td>
<td>Changes of staff in post 17/18</td>
<td>20,051</td>
</tr>
<tr>
<td>Employees</td>
<td>Reduction in Apprentice Levy Budget</td>
<td>(15,000)</td>
</tr>
<tr>
<td>Employees</td>
<td>NI Rate Changes</td>
<td>(7,707)</td>
</tr>
<tr>
<td>Employees</td>
<td>Removal of one off cost of Board member recruitment</td>
<td>(7,000)</td>
</tr>
<tr>
<td>Premises</td>
<td>Costs of West office</td>
<td>21,415</td>
</tr>
<tr>
<td>Utilities</td>
<td>Reworking of electricity and Gas budgets to current levels</td>
<td>68,349</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>Remove one off cost for Service Reviews</td>
<td>(20,000)</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>Reduction in photocopying costs</td>
<td>(19,654)</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>Removal of one off cost for additional equipment</td>
<td>(15,000)</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>Recalculation of on going software requirements</td>
<td>(14,683)</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>Remove one off cost for rework of tenancy conditions</td>
<td>(9,000)</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>Removal of office costs at Nicholson</td>
<td>(7,404)</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>Saving by unsubscribing to Housemark</td>
<td>(7,096)</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>Reduce contribution to Hub and other community events</td>
<td>(6,500)</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>Removal of Corporation tax Budget</td>
<td>(6,000)</td>
</tr>
<tr>
<td>Supplies and Services</td>
<td>Additional budget for underbed storage</td>
<td>5,000</td>
</tr>
<tr>
<td>SLA's</td>
<td>Inflation on SLA's</td>
<td>17,679</td>
</tr>
</tbody>
</table>
## List of One off costs for 2018/19

<table>
<thead>
<tr>
<th>Description</th>
<th>Department</th>
<th>One Off Additional Expenditure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Part Year Effect of Restructure</td>
<td>All</td>
<td>71,563.88</td>
</tr>
<tr>
<td>One off ICT Budget Requirements</td>
<td>Company</td>
<td>109,000.00</td>
</tr>
<tr>
<td>Project Manager Post - 1 Year</td>
<td>SMT</td>
<td>72,312.35</td>
</tr>
<tr>
<td>Preparation for GDPR</td>
<td>Resources</td>
<td>47,000.00</td>
</tr>
<tr>
<td>GDPR SLA</td>
<td>Company</td>
<td>38,795.00</td>
</tr>
<tr>
<td>Independant Board Member Recruitment</td>
<td>Board</td>
<td>7,000.00</td>
</tr>
<tr>
<td>Review of Tenancy Conditions</td>
<td>Tenancy Services</td>
<td>9,000.00</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td></td>
<td><strong>354,671.23</strong></td>
</tr>
</tbody>
</table>
Health and Safety Compliance Statement and Fire Safety Update

A Public Agenda Item

1 Purpose of Report

1.1 To provide Board Members with an update on the current position in relation to the fire safety initiatives in the residential properties managed on behalf of the Council.

1.2 To advise Board Members of the current position regarding Health and Safety compliance, this is an appendix to this report and has been shared and discussed with the Boards Health and Safety Scrutineer.

2 Recommendations

2.1 The Board are asked to note the current position in relation to the fire safety initiatives and note the content of the Compliance Statement.

3 Background

3.1 At its meetings on the 25th July 2017 and 27th September 2017 the Board received reports from the Chief Executive and Executive Director respectively advising them of actions South Essex Homes were implementing since the tragic fire at Grenfell Towers in London.

3.2 These actions are reviewed on a fortnightly basis by the Senior Management Team and updates are given to the Council on progress at their Fire Safety Review Group.

4 Update on Fire safety Actions

4.1 Fire safety works to the two remaining high town centre blocks are nearing completion, with Pennine Tower complete apart from on leasehold property where access has been an issue. Works at Quantock is on programme subject to access.
4.2 The contract to install automatic smoke ventilation at the Balmoral blocks has started and is on programme.

4.3 A contract to install sprinkler systems to four of the hostels has been let and the works have started.

4.4 Premises Information Boxes (PIB’s) have been fitted at Barringtons, Nicholson House and Riverstone and the necessary documents and plans for them are being provided.

4.5 A specialist company have been appointed to design and fit automatic new ventilation grills to all the ‘Laing’s’ blocks and the works have started on site.

4.6 Works to carry service and maintenance of the fire doors at Longbow tower has started. This is one of the earliest installations and therefore there are significant remedial works to be carried out.

4.7 We continue to attend the tri-partite fire safety review group which has led to a number of joint initiatives between the Council and South Essex Homes. Further meetings will coincide with the Council’s Fire Safety Review Group.

4.8 The exercise to visit all our properties, starting with the tower blocks to give residents basic fire safety advise and to confirm who is resident within the properties, with an enhanced focus on tenancy conditions, focussing on hoarding, condition of the property, welfare issues etc. continues. To date we have visited 2443 properties and have completed 2148 surveys. For those we were unable to gain access to, they have been carded and we will re-arrange a visit.

4.9 The visits will also provide the opportunity to address any breaches within the communal areas, for example residents leaving door mats, pot plants and mobility scooters in these areas, which are not permitted by Essex Fire and Rescue Service.

4.10 Our Estate Services team continue to remove rubbish and other items left in communal circulation areas. The pilot scheme to locate steel containers at three sites for storage of rubbish we are unable to remove immediately has proved to be successful and we looking at rolling this initiative out to other blocks. Caretakers are also replacing fire signs as and when necessary.

5 Communication

5.1 South Essex Homes continues to work in close partnership with Southend Borough Council in delivery of consistent information and ensuring that residents are receiving the assurances they need over the fire safety of our tower blocks and properties in general. We have issued statements on the website and social media to ensure that as many residents hear from us as possible.
6 Risk

6.1 The risk of fire occurring in any residential location under the Company’s management - and particularly in high rise multi-occupancy locations - has always been, and will always continue to be a specific area of focus for the organisation and this report sets out the current position in terms of mitigating the risk and impact.

7 Financial Implications

7.1 The report makes reference to funding provided by the Council in order to accelerate high rise fire safety works. It is quite possible further major works may need to be undertaken in future dependent upon outcomes from the expert advisory panel, the public inquiry and the local review.

7.2 For South Essex Homes this is already producing additional resource requirements and the Board will continue to be advised of any financial implications arising.

8 Resident Consultation

8.1 Residents have continued to be updated and reassured about the position in terms of fire safety in the Council’s residential blocks, as set out in the report.

9 Background Papers

9.1 None.

10 Appendices

10.1 Appendix 1 – Corporate Compliance Position Statement.
Corporate Compliance Position Statement  
1st March 2018

<table>
<thead>
<tr>
<th>Key Regulations</th>
<th>List of Control measures, South Essex Homes, has in place in order to comply with Health and Safety Legislation.</th>
</tr>
</thead>
<tbody>
<tr>
<td>The Regulatory Reform (Fire Safety) Order 2005 BS 5839: Fire detection and Fire alarm systems for buildings – Part 1: Code of Practice for design, Installation, commissioning and maintenance.</td>
<td>Fire Alarm systems, Weekly fire alarm call point tests are carried out in Sheltered Housing Schemes, Homeless Hostels and Women’s Domestic Violence Refuge. Fire alarm systems are serviced and maintained by specialist contractor. The full fire alarm wiring is tested at the beginning of a new contract. This was carried out in April 2016. The systems themselves are tested and checked four times a year April, July, October and January. This included fire doors being serviced and maintained as part of the fire alarm service contract. <strong>The January 2018 test has been carried out.</strong></td>
</tr>
<tr>
<td>BS 5306-8:2012</td>
<td>Fire evacuation drills are completed in all Sheltered Housing Schemes every 3 months. <strong>These are up to date and recorded in the onsite fire log</strong></td>
</tr>
<tr>
<td></td>
<td>Fire extinguishers and fire blankets are annually serviced and maintained in accordance with BS 5306. <strong>Service regime progressing to schedule</strong></td>
</tr>
<tr>
<td></td>
<td>Mains operated smoke and heat detectors are annually serviced and maintained as part of the gas servicing contract. <strong>Service regime progressing to schedule in line with gas service programme</strong></td>
</tr>
<tr>
<td></td>
<td>Fire Risk Assessments in accordance with The Regulatory Reform (Fire Safety) Order 2005 are carried out by the Regulation Compliance Officer employed directly by South Essex Homes.</td>
</tr>
<tr>
<td></td>
<td>The schedule of properties subject to fire risk assessments for 2018 are: 22 Sheltered Housing Schemes (SHS), 13 Tower Blocks (TB), 9</td>
</tr>
</tbody>
</table>
Appendix 1 to Agenda Item 9

<table>
<thead>
<tr>
<th>Hostels (H), 149 medium and low rise blocks (B) 85 Others (O). A total of 278 Fire Risk Assessments.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>All fire risk assessments for 2017 have been completed The fire risk regime for 2018 has begun.</strong></td>
</tr>
</tbody>
</table>

South Essex Homes complies

<table>
<thead>
<tr>
<th>BS 5266 Emergency lighting. Code of Practice for the emergency escape lighting of premises</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mains electrical systems associated with individual properties and landlord services are subject to a 5 year periodic test and a certificate is issued.</td>
</tr>
<tr>
<td>A total of 6,093 properties are scheduled to be tested as part of a 5 year programme carried out by external contractors.</td>
</tr>
<tr>
<td>The contract started on the 30th August 2016 and is due to end on the 31st March 2021</td>
</tr>
<tr>
<td>We are presently in year 2 of the programme and the number of properties issued to the contractor for 2017/18 is 1604/</td>
</tr>
<tr>
<td>As of the 21st February 2018 the contractor has visited 100% of the properties and completed 85.6% of the year two programme. The remaining 14.4% where access was not available are being addressed via the tenancy services regime. Where properties remain un tested at the end of March 2018 we will endeavour to gain access via the gas service regime.</td>
</tr>
<tr>
<td>Annual Portable Appliance Testing (PAT Testing) up until the end of March 2017 was undertaken by external contractors and the scheduled programme was completed.</td>
</tr>
<tr>
<td>The 2017/2018 programme is now being administered and delivered in house by the Estate Services team.</td>
</tr>
</tbody>
</table>

South Essex Homes partially complies

<table>
<thead>
<tr>
<th>Legionnaires</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk assessment for every sheltered scheme and homeless hostel</td>
</tr>
</tbody>
</table>
**Legionnaires Disease, The Control of Legionella Bacteria in water systems. Approved Code of Practice and Guidance (L8)**

- Samples have been taken in accordance with the schedule and any remedial works carried out
- Hot water temperatures are taken at each of the 22 sheltered schemes each month by the gas contractor and all remedial works carried out as required.
- This is in line with the monthly service visit for the communal boilers and is on schedule
- At the high rise blocks South Essex Homes currently sample and Test for Legionella every six months. To date we have had no adverse samples. The last round of testing has been completed.

**Control of Asbestos Reg. 2012 (CAR)**

- South Essex Homes monitor and update the asbestos register, to maintain the information held on it. Surveys are undertaken before all refurbishment works and asbestos is removed if applicable.
- Two contractors are employed with regards the asbestos regime. One undertakes the test, inspection and analysis while the other is licenced for Asbestos removal and Waste Carrying.

**South Essex Homes complies**

**The Lifts Reg. 1997**

- The lifts are surveyed by the Councils Insurers (ALLIANZ) every six months and certificates of compliance are issued. At the time of the six month inspection the inspector will advise whether any supplementary tests are required. All comments and recommendations made by the insurers are passed to South Essex Homes technical staff, who forward said reports to the Lift Maintenance Contractor for action and where necessary for quotes.
- The Lift Maintenance Contractor undertakes monthly inspections and maintenance services to each lift in accordance with a service schedule. The inspection is carried out by a competent person who will detect defects or weaknesses and assess the safety and continued safe use of the lifts.

**All monthly inspections are on schedule**
| **Gas Safety (Installation and Use) Reg. 1998** | South Essex Homes complies with the legal obligation to carry out an annual gas safety check in all properties with Council owned gas appliances. Annual gas safety certificates for gas boiler / appliances are issued by our contractor and said certificate (CP12) are recorded on our data system. Remedial works are actioned by the contractor as part of the comprehensive contract. South Essex Homes runs a rolling 10 month service programme to ensure every gas appliance is definitely serviced before expiry of the CP12 Landlord Gas Safety Record certificate (LGSR). **The programme is on track and all properties have a valid LGSR certificate.** |
| **Construction (Design and Management) Reg. 2015** | This regulation applies to capital and major works contacts and is managed “in house” by the South Essex Homes property team. **South Essex Homes complies** |
South Essex Homes Limited

Report of Executive Director
To
The Board
On
1st March 2018

Report prepared by: Sarah Lander
Tel: 01702 212698

South Essex Homes Strategies & Policies Update

A Public Agenda Item

1 Purpose of Report

1.1 To seek the Board’s comments and approval of the recently revised Strategies and Policies;

1.1.2 • Comments, Compliments and Complaints Policy
        • Compensation Policy
        • Safeguarding Adults Policy 2018-2021
        • Safeguarding Children Policy 2018-2021
        • External Communications Strategies 2018-2021
        • Internal Communications Strategy 2018 - 2021
        • Reward and Recognition Strategy 2018-2021
        • Risk Management Strategy

2 Recommendations

2.1 The Board are recommended:-

2.1.1 To note updates made to the Policies & Strategies detailed above

2.1.2 To approve amended Strategies and Policies.

2.1.3 To approve the Risk Management Strategy as recommended by the Audit and Risk Committee

3 Background

3.1 Comments, Compliments and Complaints Policy and Compensation Policy

The Comments, Compliments and Complaints Policy was reviewed in 2016.

3.1.1 We aim to review this policy every two years and so we now must consider if it continues to provide a customer focused process that enables complaints
3.1.2 The revised copy of the Comments, Compliments and Complaints Policy can be found at Appendix One. With this recent review we have made a number of amendments to the policy.

The main changes we have recommended are;

- Updated our mission statement
- Stage 3 of the complaints process – it no longer has to be a Panel made up of solely Board members but will now be one Board member and one Executive Director from the Senior Management Team.
- In addition we have given the option of the Panel considering the review at a meeting or if appropriate, it can be conducted using electronic means (email, facetime etc). Equally the Panel can invite the complainant to attend the Stage 3 review at its own discretion
- Allowed five days rather than two days for South Essex Homes to write to the resident giving details of the decision of their Stage 3 review. This can be a challenging timescale to meet and this would enable the reply to be comprehensive without compromising the customer experience of our residents.

3.1.3 Often it is difficult to find a convenient time for Board Members to come together for a Stage 3 hearing. We have introduced more flexibility by enabling Executive Directors to be part of these Stage 3 reviews and also by holding them either as a face to face meeting or through electronic methods. We hope that these changes will allow us to conduct any Stage 3 reviews in the most expedient fashion.

3.1.4 While reviewing the Complaints Policy, it was practical to review the current Compensation Policy (see Appendix Two) as this can be relevant for a resident if they feel their complaint has caused them to suffer in some way be it financial or through their inconvenience. Our Compensation Policy describes the circumstances and how we calculate payments in the event of loss of service or where we have discretion to make an ex-gratia payment. This is outside of claims made against the Council’s insurance policy. The Council’s Housing Solicitor has confirmed that the Compensation Policy is fit for purpose.

3.2 Safeguarding Adults Policy 2018-2021 and Safeguarding Children Policy 2018-2021

3.2.1 These Policies were due for review in 2019 but this was brought forward to ensure that wording was consistent with our Business Plan 2017 to 2022 Vision 2022 as well as the Council’s aims as described in its business plan.
3.2.3 Track changed copies of the Policies can be found in Appendix Three and Four (Adult Policy and Children's Policy respectively) but some of the specific changes are as follows;

3.2.4 Adult Safeguarding Policy;
- Essex Police added to partners that South Essex Homes will work with
- Referenced amended version of the Southend, Essex and Thurrock (SET) Policy and procedures Version 4.3 October 2017
- Title changes

3.2.5 Children’s Safeguarding Policy;
- Referenced Guidance Working Together to Safeguard Children (March 2015) latest Version
- Designated officers added


3.3.1 We have recently reviewed our External and Internal Communications Strategy and the Rewards and Recognition Strategy (See Appendix Five, Six and Seven) to reflect our updated Business Plan and help ensure consistent standards across the organisation in the communications that we produce. These guidelines provide a framework to underpin communications with new customers as well as existing ones. They have been produced following consultation with all staff at Staff Briefings, Service Managers and the Senior Management Team.

3.4 Risk Management Strategy

3.4.1 The Audit and Risk Committee have reviewed the Risk Management Strategy and have agreed for it to be recommended to the Board for approval. It is contained at Appendix Eight with tracked changes. The Action Plan contained has been updated and a Risk Management Toolkit has been reworked which enables Officers to use criteria to identify risks and their categories and further use criteria to score risks in a consistent way. The toolkit is contained within background papers

4 Equality and Diversity

4.1 All equality and diversity issues identified from the proposals contained in this report have been considered and are in accordance with the South Essex Homes Equality and Diversity Policy.

4.2 Our Safeguarding Policies specifically address the needs of some of our more vulnerable residents and should provide assurance that we work
collectively with other organisations to support and protect both adults and children living in Council properties.

5 Risk

5.1 There is a reputational and economic risk to the organisation if we do not have robust policies in place covering these key areas. Any specific risks relating to each policy are contained within the body of this report.

6 Financial Implications

6.1 Compliments, Comments and Complaints – there are no direct financial implications in relation to the review of this policy.

6.2 Compensation Policy – there are no financial implications associated with this policy which can not be managed within existing operational budgets.

6.3 Adult and Children Safeguarding Policies - there are no direct financial implications in relation to the review of this policy.

6.4 External, Internal Communications Strategies and Rewards and Recognition Strategy - there are no financial implications associated with this policy. Any rewards that are identified for staff who go ‘the extra mile’ are modest and/or without a monetary value and can be managed within existing operational budgets.

7 Background Papers

7.1 Not applicable.

8 Appendices

8.1 • Appendix 1 - Comments, Compliments and Complaints Policy
• Appendix 2 - Compensation Policy
• Appendix 3 - Safeguarding Adults Policy 2018-2021
• Appendix 4 - Safeguarding Children Policy 2018-2021
• Appendix 5 - External Communications Strategies 2018-2021
• Appendix 6 - Internal Communications Strategy 2018 - 2021
• Appendix 7 - Reward and Recognition Strategy 2018-2021
• Appendix 8 – Risk Management Strategy
Comments, Compliments and Complaints Policy & Procedure

Date Policy last reviewed: May 2016 / January 2018
Date next review due: January 2021
Date Policy approved by South Essex Homes’ Board:
Policy written by:
Contents

1 Introduction
2 General Policy Statement
3 Our mission statement and aims
4 Responsibility
5 Review and monitoring
6 Procedure
Comments, Compliments and Complaints
Policy & Procedure

1 Introduction

1.1 At South Essex Homes we are committed to improving our services so that we meet our customers’ needs. To do this, we need to know when you are not happy, or if you have a suggestion for ways to improve our services. Equally, if we have done something well please let us know.

If you have not contacted us before to tell us about the issue, please do this first. For example, if you haven’t reported a repair to us, or need to tell us about a problem on your estate, please telephone our Freephone number 0800 833 160 and allow us to try to put things right. However, if you have previously contacted us and are not happy with the outcome then you may wish to make a formal complaint. Further information is on our website at southessexhomes.co.uk

1.2 We will keep you informed about the progress of your complaint during our investigations, and aim to give you a full response within 10 working days. Our guarantee is to respect confidentiality at all times.

1.3 To download a printable fact sheet about comments, compliments and complaints, please visit our website - www.southessexhomes.co.uk.

1.4 You can provide your feedback on the service we provide by returning a feedback form or in any of the following ways:

- Freephone: 0800 833 160
- Email: complaints@seh.southend.gov.uk
- Letter: Write to the Corporate Services Officer at FREEPOST SOUTH ESSEX HOMES

2 General Policy Statement

2.1 Comments and Compliments
A comment is a suggestion about how South Essex Homes can improve its services. However, if you feel you want to make a positive comment about an individual, team or service, South Essex Homes will treat this as a compliment. We welcome all compliments, as these help us to identify where we are performing well and share this good practice with other departments within South Essex Homes.
2.2 We will acknowledge receipt of your comments and compliments, and let you know what action we will be taking. We will also pass your comment or compliment to the relevant Group Manager, and publish the best suggestions in our Insight magazine.

2.3 Making a Complaint
South Essex Homes is committed to providing its customers with a high standard of service at all times. However, we accept that there may be occasions when you are not satisfied with the service, which you have received and as a result you may wish to make a complaint.

2.4 All complaints will be registered and logged. Details of the number of complaint we receive and compliance with our performance indicators are reported on our website as part of our year end performance information.

2.5 All complaints will be dealt with promptly and in a professional manner by appropriate member/members of staff. Confidentiality will be preserved as far as is possible.

2.6 Complaints relating to nuisance or harassment by neighbours will be dealt with separately, under the Anti–Social Behaviour Policy. A copy of the policy can be obtained by visiting our website.

2.7 South Essex Homes defines a complaint as:
‘An expression of dissatisfaction, where South Essex Homes has failed to do what we have agreed to do.’
For example, if you feel a service standard, policy or procedure has not been met, or a contractor fails to keep an appointment time, please inform the Customer Contact Centre on 0800 833 160.

3 Our Mission Statement & Aims

3.1 South Essex Homes Mission is Working Smarter Together

3.2 Our aims reflect the fundamental goals we must achieve in close collaboration with the Council. These are;

Working Smarter Together in Partnership with Southend Borough Council we will:
- Provide excellent services
- Ensure our sustainability

3.3 Effective handling of complaints will ensure the company is able to learn from complaints to improve the service to our customers in accordance with expectations.
4 **Responsibility**

4.1 The Corporate Services Group Manager is ultimately responsible for the compliance with the Policy on a day to day basis. The Corporate Services Team will be responsible for responding to complaints in line with this Policy.

5 **Review and Monitoring**

5.1 As part of the monthly performance monitoring the Operational Management Team and the Board will receive updates on Complaint stages and performance against complaints responded to in target time.

5.2 We ensure that we benchmark against our peers to learn from other organisations within the housing sector on how they provide their service.

5.3 South Essex Homes ensures that it monitors the complaints about our contractors. Each contractor will be expected to have a Complaints Policy comparable to the Policy of South Essex Homes. In particular complaints about the service provided by our larger contractors will be reviewed and discussed with individual contractors at client management meetings and reported to the Board on an exception basis.

6 **Procedure**

6.1 South Essex Homes has three stages for dealing with complaints. At every stage of your complaint, we will ask you how you feel that we have failed to meet your expectations and what you think we should do to resolve your complaint. Stage 4 is the final external stage of complaint that is reached if you remain dissatisfied with what we have done after Stage 3 is complete.

- **Stage 1**

  If you are making a complaint about a person or a service area for the first time, the Corporate Services Officer will be responsible for making sure it is investigated and will send you an acknowledgement letter within 2 working days. Whenever possible we will do our best to provide a full response to your complaint at this point.

  Your complaint will be passed to the Manager or Team Leader responsible for the area of service you are unhappy about, who will send you a full response within 10 working days. This letter will also include details of who to contact if you are still unhappy.
• **Stage 2**

If, despite efforts to resolve the issue at Stage 1, you are still unhappy with the way it was dealt with, or the service is still poor, please contact the Corporate Services Officer (the telephone number will be provided on response letter from Stage 1). Your complaint will then be passed on to a Group Manager or Director.

The Director or Group Manager will respond to you within 10 working days. The response will include an explanation of what you can do if you are still not satisfied.

• **Stage 3**

If you feel a response at Stage 2 has not fully satisfied your complaint, you can appeal. In this request, you must set out clearly why you think the ongoing complaint has not been resolved; evidence or information to support your case and the remedy you feel is required. We do need this information in order to progress the complaint to Stage 3 and consider your request effectively. Failure to provide this may result in us being unable to proceed with your complaint.

Your appeal must be received by the Corporate Services Officer within 15 working days of the response to your Stage 2 complaint.

Your stage 3 complaint will be investigated by a review panel made up of one Board Member from the South Essex Homes Management Board and a Director from the Senior Management Team. The Panel may conduct the review in person or using electronic means. The Review Panel may invite you or any relevant officers to attend the Stage 3 investigation at its discretion.

After the Panel has considered the Stage 3 complaint, the Corporate Services Officer will send you a response within 5 working days of the panel meeting. This will set out the panel’s decision and will also give you details of the Ombudsman if you are not satisfied.

• **Stage 4**

If you have been through the South Essex Homes complaints process and are still not satisfied with our response or feel the issue has not been resolved, there are further options you can take;

1. You can contact the Housing Ombudsman directly however, you must wait for eight weeks from the date of the decision on your Stage 3 complaint - this will be the date on the letter confirming the Review Panel’s decision. You can contact the Housing Ombudsman at:
   o Housing Ombudsman Service 81 Aldwych, London, WC2B 4HN
   o Telephone: 0300 111 3000
   o Email: info@housing-ombudsman.org.uk
   o Website: www.housing-ombudsman.org.uk
2. Instead of going directly to the Housing Ombudsman, residents can go to a 'designated person' and ask their assistance in resolving their complaint and/or referring their complaint to the Housing Ombudsman. A 'designated person' can be:

- A Member of Parliament
- A local Councillor from the district you live in - for us, Southend-on-Sea Borough Council
- A designated Tenant Panel - however there is currently no designated Tenant Panel in Southend

The 'designated person' will try to resolve the complaint locally but if they are unable to, and the complainant wishes them to, they can refer it to the Housing Ombudsman.

6.2 Compensation

If you feel that there has been a failure in our service delivery and you want to claim compensation then the complaints process may not be the most appropriate route. You should refer to our compensation and ex-gratia payments policy which can be found on our website.

6.3 Vexatious Complainants

We are committed to dealing with complaints fairly and impartially and to providing a high quality service to those who make them. However, a very small minority of customers make complaints that are vexatious, in that they persist unreasonably with their complaints, or make complaints in order to inconvenience South Essex Homes rather than genuinely to resolve a grievance. This may involve making serial complaints about different matters, or continuing to raise the same or similar matters over and over again. The frequency of contact with the organisation can hinder the consideration of their complaints and the ability of officers to provide a quality service to customers as a whole. Please see our Vexatious Complaints guidance for more details.

6.4 For more information about this document please contact us

- **Write to us at:**
  South Essex Homes,
  Civic Centre,
  Victoria Avenue,
  Southend-on-Sea,
  Essex, SS2 6FY
- **Phone:** 0800 833 160
- **Email:** sehcustomerservices@seh.southend.gov.uk
- **Visit:** www.southessexhomes.co.uk
Compensation Policy and Procedure (including Ex-Gratia Payments)

Date Policy last reviewed: February 2018
Date next review due: February 2021
Date Policy approved by South Essex Homes’ Board:
Policy written by: Sarah Lander
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Compensation Policy and Procedure
(including Ex-Gratia Payments)

1 Policy Objective

1.1 To ensure that South Essex Homes (SEH) meets its legal obligations for claims for compensation, and that where a claim is valid, residents receive a fair and efficient settlement.

It should be noted that all claims for compensation are dealt with on a strict legal liability basis.

2 Areas of Claims

2.1 This policy covers claims relating to the following:

- Loss of Amenities
- Costs for Alternative Heating
- Economic Loss
- Damage to Tenants Property
- Delays in Completing Repairs (that affect health & safety and security known as Right to Repair)
- Tenant Improvements
- Compensation due to failures in Customer Service in its own right

2.2 The Policy does not cover:

- Compensation which would normally be dealt with as part of a claim on South Essex Homes Insurance, e.g. Personal Injury claims
- Compensation which would be covered by any other insurance or cover policy including the tenants own policy(ies)
- Loss of a service which is included as part of a service charge
- Decants or temporary moves

2.3 South Essex Homes will not pay compensation for:

- Short term nuisance caused by building works e.g. noise of contractors
- Neighbour nuisance
- Stress following any incident or failure of service

3 Criteria

3.1 For claims to be considered, details must be received by SEH within the periods specified below:

- Claims for Loss or damage, etc. - 21 days
- Claims for Improvement costs - 42 days from start of 28 day End of Tenancy notice period
4 Monitoring

4.1 All claims will be monitored by service area to show:
- The number of claims received
- The amount of money paid out

Reports will be taken to management team.

5 Policy Details

The specific approach for different circumstances is set out below.

5.1 Loss of Amenity

Where any part of the dwelling or its major amenities are unusable by the tenant (as a result of either delayed repairs or major building work), compensation will be payable as follows:
- Loss of complete heating – 10% of the weekly rent after 24 hours provided no reasonable substitute was offered by SEH. Compensation for loss of heating is excluded between 1 June and 30 September
- Hot Water System – 10% of the weekly rent after 24 hours provided no reasonable substitute was offered by SEH
- Loss of Kitchen – 25% of the weekly rent after 48 hours
- Bathroom – 25% of the weekly rent after 48 hours (reduced to 15% if a separate WC is available)
- Living Area – 20% of the weekly rent after 7 days
- Bedrooms – 20% of the weekly rent payable after 7 days

Where programmed maintenance works have been pre-arranged and advance notification has been given to the tenant (allowing alternative arrangements to be made), the qualifying periods for loss of bathroom / kitchen will be increased to 96 hours (4 days).

5.2 Additional Costs for Temporary Appliances

In some circumstances, South Essex Homes may need to provide a tenant with a temporary source of heating or a dehumidifier which incurs additional costs to the tenant. Compensation rates for this will be calculated on a daily basis.

5.3 Economic Loss (e.g. loss of income, annual leave etc)

If a pre-arranged appointment is broken by South Essex Homes without giving the tenant reasonable notice then the tenant may claim the following:
- Loss of income
- Annual leave (to the equivalent sum as income)
Appendix 2 to Agenda Item 12

- Any related expenses that may result directly from the broken appointment

Compensation in these circumstances will be paid so long as the following criteria have been met:
- The appointment was formally arranged with the resident.
- The tenant informed South Essex Homes that the consequences of breaking the appointment would result in economic loss
- Evidence is provided showing that there has been an economic loss. (e.g. Employers declaration)

Compensation will not be paid if:
- The tenant was advised as soon as South Essex Homes was aware that the appointment could not be kept and an alternative appointment was arranged within 7 working days.

5.4. Damage to Tenant's Property

Where a claim for damage or loss is made, the tenant will be visited within 14 days to assess the damage or loss incurred. A Compensation Claim form must be completed in all cases.

Compensation will not be paid where:
- Any damage has occurred as a result of disrepair or neglect by the tenant
- SEH has not been negligent, i.e. where it could not have foreseen that an item needed repair
- There has been no breach of the terms of the tenancy

Claims over £250 will be referred to South Essex Homes’ insurers. Where South Essex Homes is found to be liable the insurers will settle directly with the tenant.

Where claims under £250 are considered, any compensation payment will take into consideration the age and value of any items damaged.

If damage has occurred due to South Essex Homes contractors carrying out work, provided the contractor has been correctly appointed, South Essex Homes would not normally be liable and the matter will be referred to the contractor for referral to their insurers. However, South Essex Homes will try to ensure that the contractor deals fairly with any claim and where appropriate reaches a fair and reasonable settlement with the tenant.

5.5. Damage to Decorations

Where tenant's decorations are damaged in the process of carrying out a repair, every effort will be made to match existing decorations. Where decorations can not be matched a fixed decoration allowance will be payable in accordance with South Essex Homes voids procedure.

5.6. Delays in Completing Repairs (Right to Repair)
The right to repair is a contractual right given to all tenants in accordance with the Citizens Charter scheme. It allows tenants the right to take action where certain small urgent repairs which might affect health, safety or security, are not completed within published response times.

If a repair is not completed within the stated time limit and the tenant notifies South Essex Homes, a second time limit equivalent to the first will be given to the tenant.

If the repair is still not completed within the revised timescale the tenant is entitled to claim compensation of £10 plus £2 per day for every day the repair remains outstanding up to a maximum of £50.

To qualify for any payment, the following must apply:
- The repair must be an emergency or urgent repair that affects health, safety or security of the tenant
- South Essex Homes must be responsible for the repair

Compensation will not be payable if:
- Either of the two cases listed above do not apply
- The repair was needed because of damage caused by the tenant
- The tenant had not informed South Essex Homes that the repair was needed
- The tenant failed to provide access or make an appointment with the Contractor
- The claim is for Improvements

5.7. Tenant Improvements

Where a tenant ends their tenancy, South Essex Homes may compensate for any substantial improvements (as listed in Appendix 2) made to the home after 1 April 1994, so long as:

- Permission had been requested in writing from South Essex Homes to allow the improvements to be undertaken
- South Essex Homes had granted permission for the complete works
- Three quotes from contractors had been obtained and copies sent to South Essex Homes
- The improvements complied with statutory approvals, i.e. buildings, electrical, planning and any other relevant regulations
- A final invoice had been sent to South Essex Homes
- The tenants agreed to allow an South Essex Homes Surveyor to inspect the property
- The improvement has been maintained

A claim will not be considered if:
- The tenant is buying their home through the Right to Buy scheme
- The tenancy is terminating because of legal action taken by South Essex Homes to recover the premises
Any claims for compensation for improvements must be made to South Essex Homes within 42 days of the beginning of the four week end of tenancy notice period. Claims made outside of this date will not be considered.

All improvements will be inspected by a surveyor. The amount payable will be calculated by taking the original cost of work and reducing this by the number of years the improvement has been in place / the lifespan of the improvement.

The maximum amount payable will be £3,000.

5.8 Failures in customer service

Where a customer is able to establish that they have been disadvantaged due to a failure in South Essex Homes' customer service, South Essex Homes Management and/or Panel of Board Members can agree to authorise an ex-gratia payment of up to £100 for the individual affected. This may be agreed following the customer making a formal complaint but not solely as a course of this action.

6 Assessment Procedure

6.1 Compensation claims can be submitted either separately or as part of a formal complaint under South Essex Homes standard complaints procedure. In either case the following procedure will be adhered to:

- A standard compensation form must be completed to record full details of the claim. Full details must be recorded, including dates, costs, proof of purchase, etc. South Essex Homes can provide assistance with completing the form if required.
- Tenants should be advised to keep any item that is damaged until the claim has been settled to their satisfaction. Where possible, photographs should also be taken.
- All claims will be assessed within 14 days of receipt
- If a claim is not upheld the tenant will be advised in writing. Details of why the claim has not been accepted will be given.
- Where a payment claim is upheld but the tenant has outstanding debts with South Essex Homes, e.g. rent arrears or recharges, the amount payable may be offset against the debts. South Essex Homes will reasonably consider the potential to cause undue hardship before taking this action
- Letters offering compensation or ex-gratia payments will give the tenant 14 days to accept or refuse the offer. Where no contact is received, South Essex Homes will assume that full and final settlement has been accepted.

7 Appeals
Appendix 2 to Agenda Item 12

7.1 Tenants have the right to appeal if they disagree with the settlement or consider that their claim has not been fairly dealt with.

All appeals must be made in accordance with the complaints procedure and before any payment is made.
Safeguarding Adults Policy 2018 - 2021

Date published: April 2012
Date last reviewed: January 2018
South Essex Homes – Keeping you informed
www.southessexhomes.co.uk  0800 833 160
Content

1. Introduction and scope

2. Corporate Aims and Objectives

3. General policy statement
1.0 Introduction and Scope

The purpose of this policy is to clearly define South Essex Homes’ commitment to the safeguarding of adults and to provide guidance to staff, volunteers and contractors who come into contact and or provide services to adults on behalf of this company and/or in co-operation with other partner agencies. This policy does not effect or remove partner agencies and contractors statutory and legal obligations to adopt their own operational policies and procedures to support safeguarding and information sharing protocols. This policy should be read in conjunction with the:-

- Southend, Essex and Thurrock Safeguarding Adults Policy and Procedures documents which are available at: http://www.southend.gov.uk or www.SouthEssexHomes.co.uk
- Care Act 2014
- Care and support statutory guidance (this replaces the No Secrets Guidance)
- South Essex Homes Safeguarding Adults Procedure
- South Essex Homes Whistle blowing Policy

2.0 Corporate Aims and Objectives

The Business Plan 2017 – 2022 – vision 2022 states that South Essex Homes working smarter together in partnership with Southend on Sea Borough Council.

The Objectives identified in the Council’s business plan are intended to contribute to helping the Council achieve its strategic priorities.

One of the five key strategic aims of the Council remain:

☐ Safe

Safe
- Create a safe environment across the town for residents, workers and visitors
- Working in partnership with Essex Police and other partners to tackle crime
- Look after and safeguard children and vulnerable adults

3.0 General Policy Statement

This policy will enable South Essex Homes to demonstrate its commitment to protecting an adult’s right to live in safety, free from abuse and neglect. We will do this by assisting and supporting adults to maintain their own safety and ensuring that the adult’s wellbeing is being promoted and has regard to their views, wishes, feelings and beliefs in deciding on any action. South Essex Homes acknowledges its duty to act appropriately to any allegations, reports or suspicions of abuse particularly where an adult is unable to protect themselves from either the risk of, or the experience of abuse or neglect.

It is important to have the policy and procedures in place so that staff, volunteers, service users and carers, and management committee can work with adults to prevent abuse and know what to do in the event of abuse.
The Policy Statement and Procedures have been drawn up in order to enable South Essex Homes to:

- provide information and advice
- promote good practice and work in a way that can prevent harm, abuse and coercion occurring
- ensure that the process is inclusive at all stages of the adult concerned
- support adults to identify and mitigate against potential risks
- support adults who are unable to protect themselves from abuse or neglect
- ensure that any allegations of abuse or suspicions are dealt with appropriately and the person experiencing abuse is supported.
- stop that abuse re-occurring.

The Policy and Procedures relate to the safeguarding of adults. Adults are defined as:

- People aged 18 or over
- Has needs for care and support (whether or not the local authority is meeting any of those needs)
- Is experiencing, or at risk of, abuse or neglect
- As 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.

The policy applies to all staff, including senior managers, management committee members, trustees, paid staff, volunteers, sessional workers, agency staff, students and anyone working on behalf of South Essex Homes.

It is acknowledged that significant numbers of adults are abused and it is important that South Essex Homes has a Safeguarding Adults Policy, a set of procedures to follow and puts in place preventative measures to try and reduce those numbers.

In order to implement the policy the South Essex Homes will work:

- with the Local Authority's Safeguarding Adult Board, Safeguarding Adults Service and Essex Police to assist in their enquiries, if it believes an adult is experiencing, or is at risk of, abuse or neglect.
- to promote the freedom and dignity of the person who has or is experiencing abuse
- to ascertain the adults views and wishes
- to promote the rights of all people to live free from abuse and coercion
- to ensure the safety and well being of people who do not have the capacity to decide how they want to respond to abuse that they are experiencing
- arrange where appropriate for an independent advocate to represent and support an adult who is experiencing, or is at risk of, abuse or neglect to enable them to achieve resolution and recovery.
Appendix 3 to Agenda Item 12

- to manage services in a way which promotes safety and prevents abuse
- recruit staff and volunteers safely, ensuring all necessary checks are made
- to provide effective management for staff and volunteers through supervision, support and training
- to ensure that safeguarding training for all staff and relevant board members is carried out every three years and that safeguarding is included in the staff induction for all new members of staff.
- Ensure staff are aware that safeguarding training is mandatory and that those relevant officers are aware that a valid DBS is required for them to undertake their role.
- Ensure staff are aware that attendance of mandatory safeguarding training is monitored.

South Essex Homes:

- will ensure that all management board members, trustees, staff, volunteers, service users, and carers/families are familiar with this policy and procedures
- will work with other agencies within the framework of the Southend, Essex and Thurrock (SET) Safeguarding Adults Policy and Procedures Version 4.3 – October 2017
- will act within it’s confidentiality policy and will usually gain permission from service users before sharing information about them with another agency
- will pass information to the Local Authority Safeguarding Adults Services when more than one person is at risk. For example: if the concern relates to a worker, volunteer or organisation who provides a service to vulnerable adults or children
- will inform service users that where a person is in danger, an adult is at risk or a crime has been committed then a decision may be taken to pass information to another agency without the service user’s consent
- will make a referral to the Adult Safeguarding Team (Access Team) as appropriate
- will endeavour to keep up to date with national developments relating to preventing abuse and welfare of adults
- will ensure that the Designated Named Person understands his/her responsibility to refer incidents of adult abuse to the relevant statutory agencies (Police/Adult Services)
Appendix 3 to Agenda Item 12

- will ensure that the designated person attend the Safeguarding Adults Board and the Group Manager for Support Services attend the Executive Safeguarding Adults Board.

The Designated Named Person for Safeguarding Adults in South Essex Homes is Traci Dixon, Group Manager Support Services and her contact details are:-

Telephone number 01702 212625
Email address tracidixon@seh.southend.gov.uk

The Group Manager Enforcement Services who sits on the Executive Safeguarding Adults Board is Simon Putt and his contact details are:-

Telephone number 01702 212624
Email address simonputt@seh.southend.gov.uk

They should be contacted for support and advice on implementing the safeguarding adults policy and procedures.

For more information about this document please contact us

Write to us at; South Essex Homes, PO BOX 5817, Southend on Sea, SS1 9EL
Phone : 0800 833 160
Email: customerservices@seh.southend.gov.uk
Visit: www.southessexhomes.co.uk
Appendix 4 to Agenda Item 12

Safeguarding Children Policy
2018 - 2021

Date published: April 2011
Date last reviewed: January 2018
South Essex Homes – Keeping you informed
www.southessexhomes.co.uk 0800 833 160

1 April 2011 Reviewed January 2018
Content

1. Introduction and scope
2. General policy statement
3. Corporate Aims and Objectives
Appendix 4 to Agenda Item 12

1.0 Introduction and scope

The purpose of this policy is to clearly define South Essex Homes’ commitment to the Safeguarding of Children and Young Persons to provide guidance to staff, volunteers and contractors who come into contact and or provide services to residents on behalf of this company and/or in co-operation with other partner agencies. This policy does not affect or remove partner agencies and contractors statutory and legal obligations to adopt their own operational policies and procedures to support safeguarding and information sharing protocols.

2.0 General Policy Statement

It is the policy of South Essex Homes to ensure that in line with the Local Safeguarding Children Board (LSCB) guidance and SET (Southend, Essex and Thurrock) Safeguarding and Child Protection Procedures 2015, that in all its activities there are proper and effective processes in place to support staff, volunteers, contractors and our customers in safeguarding the welfare of children, including unborn children and babies, and young persons. All documents are available to download from www.southessexhomes.gov.uk

South Essex Homes recognises that they have a duty to safeguard and promote the welfare of children as defined by the statutory guidance Working Together to Safeguard Children (2015) as:

- Protecting children from maltreatment;
- Preventing impairment of children's health or development;
- Ensuring that children grow up in circumstances consistent with the provision of safe and effective care; and
- Taking action to enable all children to have the best outcomes.

In order to comply with this guidance South Essex Homes will:

- Identify children and families who could benefit from early help.
- Respond swiftly and appropriately to suspicions or allegations of abuse.
- Have clear published and communicated processes for addressing concerns.
- Provide feedback in relation to achieving targets within Serious Case Review Action plans
- Train staff and volunteers in recognising abuse and action to be taken and to identify the symptoms and triggers of abuse and neglect.
- To ensure that safeguarding training for all staff and relevant board members is carried out every three years and that safeguarding is included in the staff induction for all new members of staff.
- Ensure staff are aware that safeguarding training is mandatory and that those relevant officers are aware that a valid DBS is required for them to undertake their role.
- Ensure staff are aware that attendance of mandatory safeguarding training is monitored.
- Provide residents, staff and others with an opportunity to voice concerns.
- Share information in line with multi-agency information sharing protocols.
- Maintain effective links and joint working protocols with statutory authorities and partner agencies.
- Maintain safe recruitment processes.
Appendix 4 to Agenda Item 12

- Nominate Safeguarding Champions as Designated Officers with responsibility for dealing with all allegations or suspicions of abuse and child sexual exploitation.
- Review and revise this policy and procedure as appropriate.
- Enable all stakeholders to be involved in developing and reviewing the service and support we will provide.

2.1 The Designated Named Person for Safeguarding Adults in South Essex Homes is Traci Dixon, Group Manager Support Services and her contact details are:

Telephone number 01702 212625
Email address tracidixon@seh.southend.gov.uk

The Group Manager Enforcement Services who sits on the Executive Safeguarding Adults Board is Simon Putt and his contact details are:

Telephone number 01702 212624
Email address simonputt@seh.southend.gov.uk

They should be contacted for support and advice on implementing the safeguarding childrens policy and procedures.

3.0 Corporate Aims and objectives

The Business Plan 2017 – 2022 – vision 2022 states that South Essex Homes working smarter together in partnership with Southend on Sea Borough Council.

The Objectives identified in the Council’s business plan are intended to contribute to helping the Council achieve its strategic priorities.

One of the five key strategic aims of the Council remain:

Safe
- Create a safe environment across the town for residents, workers and visitors
- Working in partnership with Essex Police and other partners to tackle crime
- Look after and safeguard children and vulnerable adults

For more information about this document please contact us

Write to us at;
South Essex Homes, PO BOX 5817, Southend on Sea, SS1 9EL
Phone : 0800 833 160
Email: customerservices@seh.southend.gov.uk
Visit: www.southessexhomes.co.uk
External Communications Strategy
2018-2021

Date Strategy last reviewed: February 2018
Date next review due: February 2019
Date Strategy approved by South Essex Homes’ Board:
Strategy written by: Julia Pack & Lynsey Hurd
Appendix 5 to Agenda Item 12

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Tab 9.5 Appendix 5 to Agenda Item 12 - External Communications Strategies 2018-2021
External Communications Strategy 2017-2020

1 Introduction

1.1 Effective communication is critical to the success of any business and at South Essex Homes, we are dedicated to communicating effectively with our customers, partner agencies and the wider community.

1.2 This Communication Strategy outlines how South Essex Homes aims to sustain and improve upon the current level of communications with people outside of the organisation in order to achieve higher levels of satisfaction and to allow the business to change, move forward and the profile to be raised.

1.3 South Essex Homes recognises that different people like to receive information in different ways. We are therefore committed to delivering messages using a variety of methods so as to ensure they reach as many people as possible. We listen to the views of customers, partner agencies and the wider community and will remain open minded about using new and different methods of communication.

1.4 We have focussed on our key areas of work - considering who our customers are and the kind of information they want to hear. It outlines how we are looking to expand and focus on our ‘core services’ in Southend as well as the delivery of new opportunities in partnership with our commercial subsidiary South Essex Property Services (SEPS) and Southend Borough Council.

1.5 This Strategy complements South Essex Homes’ Vision 2022 and Digital Inclusion Strategy as an ever-growing and developing area of work.

1.6 Internal communications is subject to a separate, but sometimes overlapping, communications strategy.

2 Overall Strategy

2.1 Vision 2022: Delivering its Aims through our external communications
South Essex Homes has a Mission Statement and a Business Plan, known as Vision 2022, which set out what we aim to achieve over the coming years.

By linking this External Communication Strategy to the objectives identified in Vision 2022, we can help to steer our communications activity to meet the overall aims of the organisation:

2.1.1 Deliver value to the Council: Look for ways to streamline services and save money by working smarter together

2.1.2 Empower residents: Listen to residents’ comments and suggestions about the ways we communicate & act on them where appropriate
2.1.3 **Provide innovative solutions**: Keep up to date with communication trends, in order to tailor each message to reach the intended audience.

2.1.4 **Engage with communities**: Ensure that the residents of Southend are at the heart of all we do.

2.1.5 **Develop our commercial activities**: Promote the work of SEPS and Southend Careline in order to raise awareness of these services.

### 3 Responsibility

3.1 Effective communication is core to the success, longevity, and satisfaction levels of South Essex Homes.

It is the responsibility of the Marketing & Communications Co-ordinators within the Corporate Services Team to manage and deliver this Strategy. However, in order for it to be a success, every staff member needs to follow this Strategy in all their interactions with people from outside the organisation.

### 4 Monitoring

4.1 The effectiveness of this Strategy will be monitored through:

- Customer (including staff) satisfaction levels
- Levels of reaction and the number of responses received following the issue of any communication
- Media Monitoring - positive and negative press coverage
- The effectiveness and success of channel shifts – including cost savings made

4.2 The Strategy will be reviewed on an annual basis to ensure progress is being made on tasks and feedback is being monitored and embedded back into Action Plan. The Plan will forever evolve to incorporate new communication practices.
Internal Communications Strategy 2018-2021

Date Strategy last reviewed: February 2018
Date next review due: February 2019
Date Strategy approved by South Essex Homes' Board:
Strategy written by: Julia Pack & Lynsey Hurd
## Contents

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</table>
Internal Communications Strategy 2017-2020

1 Introduction

1.1 Effective communication is critical to the success of any business and communications within an organisation are especially important. This Strategy is intended to set out the framework for how we can all contribute to successful communications here at South Essex Homes.

1.2 The Senior Management Team is committed to keeping staff informed about important and relevant issues and will continue to deliver internal messages in a variety of ways so as to include each individual staff member.

1.3 We all have a responsibility to communicate effectively. If a staff member feels that something isn’t working, then they are encouraged to say so. We value staff feedback and all opinions will be taken into consideration and where appropriate will be acted upon to improve the services or facilities provided to staff.

1.4 In this Strategy, we consider communication between individuals and teams and communication between managers and staff. External communications will be subject to a separate, but sometimes overlapping, communications strategy.

2 Overall Strategy

2.1 Vision 2022: Delivering its Aims through our internal communications
South Essex Homes has a Mission Statement and a Business Plan, known as Vision 2022, which set out what we aim to achieve over the coming years.

By linking this Internal Communication Strategy and Action Plan to our Mission Statement, we can help to steer our communications activity to meet the overall aims of the organisation:

2.1.1 Deliver value to the Council: Look for ways to streamline services and save money by working smarter together

2.1.2 Empower residents (and staff): Listen to staff comments and suggestions & act on them where appropriate

2.1.3 Provide innovative solutions: Collaborate closely with other teams to ensure a high quality housing service and remain open minded to new ideas and approaches.
2.1.4 **Engage with communities:** Be respectful, professional, clear and efficient in all our communications and keep the residents of Southend at the heart of all we do

2.1.5 **Develop our commercial activities:** Share knowledge and expertise effectively in order to perfect the services we can offer in the commercial environment

### 3 Communication between individuals and teams

3.1 Individuals should let people in other teams know about the key tasks their team performs for South Essex Homes so we all understand how the company operates, how teams work together and what each of us can do to help each other.

3.2 Team managers should publicise details of any team changes or any key projects they are involved in - as these may have an impact on other areas of the service.

3.3 Team managers should invite colleagues to sit with their team, attend team meetings or job shadow to fulfil a specific communication need or purpose.

3.4 All staff should ensure that all internal communications are professional and clear, to reflect the list of Behaviours that each team has agreed to adhere to.

### 4 Communication between senior management and all staff

4.1 Management will keep all staff informed of local or national political events which may affect their employment or the social housing sector.

4.2 Management will update staff when appropriate on any changes within the company or important issues being discussed by the Senior Management Team and/or the Board.

4.3 Staff will be given opportunities and openly encouraged to raise concerns and ask questions of the Senior Management Team.

### 5 Communication between South Essex Homes and our Stakeholders

5.1 There are some items that cross over between our Internal and External Communication Strategies. Although not strictly 'internal' contacts, it is important for South Essex Homes to maintain a good working relationship with those we work closely with; including members of our Board and Southend-on-Sea Borough Council, as well as our residents and wider community partner agencies.
5.2 Both internally and externally, we need to take every opportunity to promote the good work carried out by our staff and increase the profile of South Essex Homes across Southend.

6 Responsibility

6.1 Effective communication is core to staff satisfaction levels and productivity.

It is the responsibility of the Marketing & Communications Co-ordinators within the Corporate Services Team to manage and deliver this Strategy. However, in order for it to be a success, every staff member needs to follow this Strategy in all their interactions with fellow staff members and key stakeholders.

7 Monitoring

7.1 The effectiveness of this Strategy will be monitored through:

- Regular staff satisfaction surveys
- Levels of reaction and the number of responses received following the issue of any communication

7.2 This Internal Communications Strategy will be reviewed on an annual basis to ensure progress is being made on tasks and feedback is being monitored and embedded back into the Strategy. It will continue to evolve to incorporate new communication practices, in order to remain relevant.
Reward & Recognition Strategy 2018-2021

Date Strategy last reviewed: February 2018
Date next review due: August 2018
Date Strategy approved by South Essex Homes’ Board:
Strategy written by: Julia Pack & Lynsey Hurd
## Contents

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<td>4</td>
<td>Monitoring</td>
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</table>
Appendix 7 to Agenda Item 12

Reward & Recognition Strategy 2017-2020

1 Introduction

1.1 The Reward and Recognition Strategy aims to recognise all staff who make a valuable contribution to the success of South Essex Homes, in order to:

- Recognise positive work with valued and worthwhile rewards
- Attract, engage and develop all staff
- Improve morale and motivate all staff
- Promote a ‘high performing’ culture and innovative workforce

1.2 All managers and staff are responsible for contributing to a culture that rewards and recognises staff achievements.

1.3 This Strategy will evolve and develop over time and an Action Plan sits alongside it, which provides a detailed guideline for how and why staff will be rewarded and recognised.

1.4 South Essex Homes is keen to develop a culture of consistent, regular and sincere recognition of, and reward for, excellent staff achievements.

2 Overall Strategy

2.1 Vision 2022: Delivering its Aims through our approach to Reward & Recognition

South Essex Homes has a Mission Statement and a Business Plan, known as Vision 2022, which set out what we aim to achieve over the coming years.

By linking this Reward and Recognition Strategy to our Mission Statement, we can help ensure our successful delivery of this strategy links to the overall aims of the organisation:

2.1.1 Deliver value to the Council: Recognising good work and rewarding it with prizes and privileges has a relatively low cost, yet reaps significant benefits in terms of increasing morale and productivity

2.1.2 Empower residents (and staff): Making staff aware of how their positive actions are noticed and appreciated by other colleagues is empowering

2.1.3 Provide innovative solutions: Creating opportunities for everyone’s voice to be heard, because members of frontline staff who feel valued are often in the best position to identify opportunities to streamline and improve services

2.1.4 Engage with communities: Improving the level of staff satisfaction can only benefit the people and communities that we work with
2.1.5 **Develop our commercial activities**: Maximising the talents of each individual and investing in appropriate training and development will enhance the services we are able to offer in the commercial environment.

3 **Definitions**

3.1 **Recognition** is the act of one member of management or staff recognising the good work of another individual or team to say ‘thank you’ or ‘well done’.

Positive feedback and celebration of achievement should be readily provided by management when it is due, as a matter of good business practice.

3.2 **A Reward** is a prize or perk which is given to a person or team to acknowledge a positive action or behaviour.

3.2 Reward and Recognition are not ‘one size fits all’. Thought needs to go into what would be appreciated by the person or people being recognised or rewarded.

4 **Monitoring**

4.1 This Strategy has been developed in consultation with staff and the first stage commenced in December, 2016.

4.2 The Reward and Recognition Strategy and the linked Action Plan will be reviewed on a 6-monthly basis to ensure that progress is being made on tasks and that feedback is being monitored and embedded within the Strategy. It will continue to evolve to incorporate new ideas, in order to remain relevant.
South Essex Homes
Risk Management Strategy
February, 2015-17–2018 - 2020

Prepared By Beverly Gallacher
Date Effective 11/12/2012
Approved By 28/05/2015
Reviewed 31/01/2018
Approved 01/03/2018

South Essex Homes – Keeping you informed

www.southessexhomes.co.uk  0800-833-160
Minicom-0800-833-162


Appendix 8 to Agenda Item 12

Risk Management Statement

South Essex Homes recognises that it has a responsibility to manage Risks (both threats and opportunities,) and therefore supports a structured and focused approach to managing them by adopting a Risk Management Strategy. The organisation is aware that some risks will always exist and can never be completely eliminated.

The adoption of a formal Risk Management Strategy and process will enable South Essex Homes to review its operations, revisit current risks, identify new risks, manage risk appetite and implement measures to manage risks. This will therefore, enable the company to better achieve its corporate aims and enhance the value of the services it provides to the community.

South Essex Homes is committed to proactive management of key risks, and actively promotes the principles of effective risk management throughout the organisation. The company’s Risk Management Strategy aims to apply best practice to the identification, evaluation and control of key risks and ensure that residual risks are at an acceptable level. This can best be achieved by:

- Integrating Risk Management into the operational and management practices and procedures of South Essex Homes, and promoting a culture of risk awareness
- Adopting an effective and transparent corporate approach to proactive Risk Management
- Raising the awareness of Risk Management by all those connected with delivery of South Essex Homes’ services
- Anticipating and responding to changing social, environmental and legislative requirements.
- Adopting an effective approach for risk appetite
- Adopting an Framework for Ethical Governance framework

1 Introduction

1.1 South Essex Homes has a successful track record of managing risk as an integral part of its governance and management systems. This strategy explains the company’s approach to risk management and its plans to develop and embed this further in the organisation through a comprehensive and consistent risk management structure.

1.2 Risk can be defined as ‘uncertainty of outcome whether positive opportunity or negative threat, of action and events’. In other words, the chance of something happening that will affect South Essex Homes’ ability to achieve its mission, aims and actions originated from its Business Plan – Vision 2020.

1.3 Risk Management is the process in which risks and opportunities are identified, evaluated and controlled and can be summarised as:
- Risk Management is about maximising opportunities for innovation, whilst identifying and managing opportunities and risks attached to them, in order to achieve objectives.
There is an almost infinite number of risks which might occur and many different headings under which to group them, but most can be categorised under the following headings:

- **Strategic risks** – e.g. changes in government policy, competition for new business opportunities, Health and Safety, failure to achieve the management fee, inadequate financial management and liquidity, which will be maintained in our corporate risk register and reported to the Board.
- **Operational risk** - e.g. failure to recruit to key positions, fraud, failure to meet promises and targets, poor value for money in procurement, poor service delivery, natural disaster, fires, loss of IT connections, work place stress, safety of frontline staff, directors’ liability, which will be maintained by the Group Managers and reported to the Senior Management Team (SEMT) for escalation.

### 1.5 High-level policy statement

Organisations vary in the detail that they put into an **appetite risk policy statement**:

- South Essex Homes reviews its [Risk Appetite on an annual basis](https://www.south-essex-homes.org.uk) on a quarterly basis.
- South Essex Homes has different appetite levels for the different aspects of the work it undertakes.
- The company supports innovation and empowerment and have an appetite to accept risks.
- Further, it obtains the support of the Board when taking necessary, calculated and measured risk so the Vision 2020 Business Plan can be achieved.

### 2 Risk Management Framework

#### 2.1 The broad function of risk management is to help South Essex Homes deliver its objectives and to protect the assets business and resources against risk in the most efficient way. The organisation’s strategic approach to risk management is to:

- Identify and assess the opportunities and risks to which the organisation is exposed, both at strategic and operational level, to enable their effective management
- Within the business planning and service planning processes, integrate appropriate measures to ensure that all areas are avoiding, reducing and controlling opportunities and risks
- Support & develop staff to enable them to undertake in their responsibilities for carrying out risk management and promote the benefits of risk management
- Enable effective service delivery to our residents and minimise the risk of service failure
- Protect physical assets, promote employee safety and maximise resources
- Learn from risk failures to improve the systems of internal control and risk management
- Promote good governance
- Embed the culture of risk management throughout South Essex Homes
2.2 Risk Management means identifying the risks facing South Essex Homes and then deciding what, if anything, should be done about them. Risks can have both adverse and positive consequences for the organisation and the risk management process helps to assess what these are likely to be. It also allows the organisation to make an informed decision about how to deal with the identified risk. Aspects of risk management are summarised as:

<table>
<thead>
<tr>
<th>Strategic risks</th>
<th>Other risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>‘Doing the right things’</td>
<td>‘Doing things right’</td>
</tr>
<tr>
<td>Effective risk management</td>
<td></td>
</tr>
</tbody>
</table>

2.3 Risk can never be eliminated completely, so risk management is used to ensure risks are identified and their consequences understood. Based on this information action can be taken to ensure appropriate resources are directed at controlling the risk or minimising the effect of the potential loss. Risks may be dealt with in the following ways:

- **Tolerating** – if we are unable to do anything to reduce it or it is too costly – may require contingency planning to deal with the risk if it does occur. – i.e. ‘do nothing’
- **Termination** – not always possible to stop the action giving rise to the risk, but it may be decided that the risk outweighs benefits.
- **Treating** the risk in an appropriate way to constrain it to an acceptable level
- **Taking** advantage of the risk to gain a potential benefit – this is done in conjunction with the above actions, as whilst the risk might pose a threat to the organisation, there may be opportunities to be exploited from it.

3 Risk Management principles within South Essex Homes

3.1 Risk management is integrated into our values and behaviours. Staff can take calculated risks and try new things, whilst learning from their experiences. Through this we will avoid a ‘blame culture’ and instead learn from the adverse events and continuously improve our risk management processes. The identification of risks will incorporate our values and culture through an ethical framework that directly links to our business plan “Vision 2020” and is compliant with the relevant codes, law and regulations.

By adopting this South Essex Homes can:

- Have increased confidence about achieving its mission and values.
- Increase confidence of stakeholders in our governance and ability to deliver
- Constrain threats to acceptable levels
- Take informed decisions about exploiting opportunities
Appendix 8 to Agenda Item 12

It is important that we encourage innovation and calculated risk but are not cavalier or reckless.

Risk appetite and risk tolerance are not fixed values but vary from person to person, over time and according to circumstances. Nor do we necessarily always have a consistent risk appetite or tolerance, so that we might be risk taking in some areas (community enhancement) but risk averse in others (say, financial). There are both internal drivers and external drivers that influence risk appetites and tolerances.

Bringing all of these factors together, both internal and external drivers, results in a complex mix of conscious and subconscious influences on our organisational and individual risk appetites and approach to risk.

4 Risk Management Process

4.1 Risk is measured in terms of likelihood (the possibility of it happening) and impact (the effect it would have on South Essex Homes if it did happen). South Essex Homes measures the probability of risks occurring and potential impact using a five level matrix. The current Risk Register is attached to this strategy.

4.2 The analysis of risk using the Risk Register results in a risk map which is divided into four sections. This is summarised in the diagram on the next page.

<table>
<thead>
<tr>
<th>High Impact</th>
<th>Low Impact</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Housekeeping</strong></td>
<td><strong>Primary</strong></td>
</tr>
<tr>
<td>These risks have a high likelihood of happening, but do not have a high impact; they require routine management.</td>
<td>These risks have both high impact and high likelihood of happening; these will require prime attention in terms of controls and resources.</td>
</tr>
<tr>
<td><strong>Relatively low risks</strong></td>
<td><strong>Contingency</strong></td>
</tr>
<tr>
<td>These risks have high impact, but the probability of them happening is relatively low. They are catastrophic-disastrous events.</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Low Likelihood</th>
<th>High</th>
</tr>
</thead>
</table>

4.3 South Essex Homes Risk Management Strategy was adopted by the Board in 2006, reviewed in 2012 and reviewed again in 2015, and a further light touch review in 2016 which communicated information on risk management throughout the organisation via bulletins and short workshops subsequently communicated to everyone in the organisation. The introduction of operational risk maps will develop a greater focus throughout the whole of South Essex Homes. The Strategy is linked to the operational objectives and is integrated into existing business planning and service planning processes. Risk is a key element for the Board, Senior Managers and Staff.

4.4 The Risk Management Cyclical Process is shown here.
4.5 The key stages of our risk management process are

Risk identification
Risk Assessment
Risk treatment (as above)
Continual review, monitoring and escalation of risks
Monitoring of risk in accordance with the roles and responsibilities above

4.6 A full risk assessment is carried out on the following areas:

- Employment posts - staff working environments are subject to risk assessment. Training has been provided to relevant managers to carry out the assessments.
- Health and safety – South Essex Homes has a Health & Safety Coordinator who acts as a competent person, along with a number of other trained staff undertaking these competency duties. In addition the Board has established the role of the Health and Safety Scrutineer to challenge the work undertaken in this area and to report back to the Board. The Health & Safety Strategy – Policy which has recently been reviewed and approved by the Board is included with the Human Resources and Health and Safety Policy which identifies action specific risks e.g. Lone Working DSE.
Appendix 8 to Agenda Item 12

- New Project Plans – South Essex Homes uses the Prince II methodology for project planning. Risk Impact assessment is an integral part of the process and as such project remits are subject to regular review.
- Vision 2020 Action Plan – risk assessment is part of the review.
- Board and Committee reports – a risk element is included in every report
- All new business opportunities are risk assessed and scored for further review and discussion by the New Business Committee in advance of any new business lines being brought forward

4.7 The continual development of the risk register to facilitate opportunities to reduce duplication between departments in identifying and managing overlapping risks whilst providing opportunities for shared learning across the organisation

4.8 High scoring risks are monitored at Executive Management Team SMT meetings and decisions on escalation of risks are fed back down. Risks added to the Corporate Risk Register are also monitored by the Audit & Risk Committee

5 Risk Control Structure

5.1 Risk Management is not always straightforward and we recognise the need for managers to have a sound understanding of the subject in order to embed our principle of risk management into working practices.

5.2 A hierarchy of responsibility is set out below:

Risk Hierarchy

- Board
- Audit & Risk Committee
- Senior Executive Management Team
- Group Managers

Red Risks (Exceptions)

Strategic

Strategic Operational

Operational Risks
5.3 Delivering South Essex Homes’ Risk Management principle means all staff need to have an understanding of risk identification and management at a level appropriate to their work. This will ensure a uniform approach to identifying and prioritising risk. This means:

6. Board & SEMT & Group Managers
- Know about the significant risks facing South Essex Homes
- Ensure appropriate levels of knowledge and understanding within the organisation
- Know how South Essex Homes will manage a crisis
- Be assured that risk management is working effectively
- Ensure a clear policy is available
- Know how to manage communications with stakeholders and external influences
- Know how to protect and enhance reputation with stakeholders.
- Know and identify the risk type ie. Strategic, financial or reputational risks

7. Group Managers
- Be aware of the risks which fall into their area of responsibilities such as operational risks
  - Have performance indicators and benchmarking data to measure performance
  - Be provided with appropriate financial information to effectively run their service
  - Have systems of communication and escalation in place to allow action to be taken in the event of variance or interruption in service.
  - Report systematically and promptly on variances or any failures of a control measure

78. Individuals
- Should understand their accountability for individual risk and eventual implications.
- Understand how they can act or react in a manner that can treat or terminate risk.
- Understand risk management and risk awareness as part of the organisation’s culture
- Report systematically on service variations or failures

89. Risk Registers

89.1 The SEMT, in consultation with other Directors and Managers, will maintain a register of the critical risks faced in implementing the company’s Vision 2020 Business Plan. The Register will be in the form of a Risk Management Plan which will indicate the impact and likelihood of these risks materialising, and will also indicate the controls in place to mitigate their likelihood and anticipated effects. Responsibility for monitoring changes to these risks and maintaining the effectiveness of the controls will be assigned to the Corporate Services Manager/Group Manager Resources and Business Development.
### Appendix 8 to Agenda Item 12

1. The Group Managers will maintain a Risk Register of the operational risks in their area of management responsibility. The format will be similar to the Corporate Risk Register.

2. Changes to the Corporate Risk Register will be considered by the Audit & Risk Committee, as a standing item of Committee business, and, where appropriate, reported to the Board.

### Action Plan 2018/19

<table>
<thead>
<tr>
<th>Action</th>
<th>Action Owner</th>
<th>Due Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Operational Risks to be reviewed by the SEMT on a quarterly basis, taking into consideration the recommendations from the Group Managers on risks that require escalation and are causing concern. These risks to be considered and reported to the Board-Audit and Risk Committee where necessary and as agreed by the SEMT.</td>
<td>SEMT</td>
<td>Quarterly: March / June / September / December</td>
</tr>
<tr>
<td>2. To complete a staff training programme to cascade risk appetite throughout the organisation, directly linked with the area of business managed by staff. To develop an online training programme for front line staff and new starters to identify risks and their implications aligned to the Risk Management Strategy.</td>
<td>Corporate Services Manager, Group Manager Resources and Business Development</td>
<td>November 2015 - March 2019</td>
</tr>
<tr>
<td>3. To update staff at staff briefing on the risk management framework on changes to the Corporate Risk Register using weekly bulletins.</td>
<td>Corporate Services Manager, Group Manager Resources and Business Development</td>
<td>2018/19 July 2015</td>
</tr>
<tr>
<td>4. For Risk Management Updates to be distributed in person on a semi-annual basis to individual</td>
<td>Corporate Services Manager, Group Manager Resources and Business Development</td>
<td>January 2019</td>
</tr>
<tr>
<td>Appendix 8 to Agenda Item 12</td>
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<tr>
<td>teams throughout the organisation by the Corporate Services Manager</td>
<td>EMT</td>
<td>End of June 2015</td>
</tr>
<tr>
<td>5. Short guidance document advising Managers how Risk Information should be linked and presented to the Board, Committees and the EMT where necessary</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Arrange external training for the Audit Committee &amp; Board where applicable on how risk appetite is determined in an organisation</td>
<td>David Lincoln Group Manager Resources and Business Development</td>
<td>April 2018 July 2015</td>
</tr>
<tr>
<td>7. Create a definition for a strategic risk and an operational risk that can be freely used with all audiences</td>
<td>David Lincoln</td>
<td>Completed April 2015</td>
</tr>
<tr>
<td>8. Reduce. Ensure that the strategic risks are relevant and keep down to a reasonable number that enables the Company to monitor its risks promptly and focussing on those that can cause most harm</td>
<td>SEMT</td>
<td>May 2015 Quarterly</td>
</tr>
<tr>
<td>9. Check where we are on the Risk Appetite Performance Ladder &amp; recommend to the Audit Committee and the Board the consensus of opinion on where our appetite should be focussed</td>
<td>EMT</td>
<td>May 2015</td>
</tr>
<tr>
<td>10. Review controls and assurances to ensure that they are smart and achievable</td>
<td>SEMT</td>
<td>September 2018 May 2015</td>
</tr>
<tr>
<td>11. Identify the correct wording for each risk</td>
<td>EMT</td>
<td>May 2015</td>
</tr>
</tbody>
</table>
Roles and Responsibilities

The Roles and Responsibilities are:

<table>
<thead>
<tr>
<th>Group or Individuals</th>
<th>Role &amp; Responsibilities</th>
</tr>
</thead>
</table>
| Board of South Essex Homes | - Board of Directors with responsibility will instruct the SMT to ensure that risk is embedded management throughout South Essex Homes.  
- Approve and adopt the Risk Management Strategy  
- Contribute towards identification of strategic risks  
- Receive reports on key strategic risk exceptions  
- Actively consider the risk management implications contained within all reports.  
- For major projects it sets the parameters of the risk assessment and agrees the main risks. It delegates responsibility to the Executive Management Team (EMT) SMT and Audit & Risk Committee, and monitor Atilius South Essex Property Services Ltd through an Inter-Company Agreement  
- Gain an understanding or risk management and its benefits which includes attending relevant training |
| Chief Executive | - Ultimate officer with responsibility for embedding risk management throughout South Essex Homes. |
| Executive Management Team SMT | - The Executive Directors have responsibility for embedding risk management throughout the Company.  
- **Recommend for approval and adoption** a Risk Management Strategy to the Board |
<table>
<thead>
<tr>
<th>Appendix 8 to Agenda Item 12</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Contribute towards the identification and management of strategic and cross cutting risks and opportunities facing the Company</td>
</tr>
<tr>
<td>• Receive and consider reports on key strategic risk issues.</td>
</tr>
<tr>
<td>• To promote integration of risk management principles into the culture and behaviours of South Essex Homes.</td>
</tr>
<tr>
<td>• Ensure risk management is a regular item on SEMT meeting agendas</td>
</tr>
<tr>
<td>• Sign off Service Risk Registers</td>
</tr>
<tr>
<td>• Maintain an understanding of risk management and its benefits which includes attending relevant training.</td>
</tr>
<tr>
<td>• Establish training requirements of Group Managers in relation to all aspects of risk management (where relevant)</td>
</tr>
<tr>
<td>• Corporate and high scoring risks are monitored at the Executive Management Team SMT meetings and decisions on escalated risk are fed down.</td>
</tr>
<tr>
<td>• Identify, analyse and profile operational risks</td>
</tr>
<tr>
<td>• Provide annual assurance on the effectiveness of controls in place to mitigate/reduce risks within their service</td>
</tr>
<tr>
<td>• Maintain awareness of and promote the approved risk management strategy to all relevant staff.</td>
</tr>
<tr>
<td>• Ensure risk management is a regular item on team meeting agendas</td>
</tr>
<tr>
<td>• Liaise as appropriate with external agencies in identifying and managing risk</td>
</tr>
<tr>
<td>• Establish training requirements of managers and other staff members with regards to strategic implementation</td>
</tr>
<tr>
<td>• Group Managers review new and high scoring risks and escalate up to the SMT by way of a report</td>
</tr>
<tr>
<td>Group Managers</td>
</tr>
<tr>
<td>• Identify, analyse and profile operational risks</td>
</tr>
<tr>
<td>• Provide annual assurance on the effectiveness of controls in place to mitigate/reduce risks within their service</td>
</tr>
<tr>
<td>• Maintain awareness of and promote the approved risk management policy and strategy to all relevant staff.</td>
</tr>
<tr>
<td>• Ensure risk management is a regular item on team meeting agendas</td>
</tr>
<tr>
<td>• Liaise as appropriate with external agencies in identifying and managing risk</td>
</tr>
<tr>
<td>• Establish training requirements of managers and other staff members with regards to strategic implementation</td>
</tr>
<tr>
<td>• Group Managers review new and high scoring risks and escalate up to the Executive Management team by way of a report</td>
</tr>
<tr>
<td>All other Service Managers</td>
</tr>
<tr>
<td>• Identify, analyse and profile service risks with Group Managers</td>
</tr>
<tr>
<td>• Ensure risk management is a regular item on team meeting agendas</td>
</tr>
<tr>
<td>• To maintain awareness of and promote the approved risk management policy and strategy to all relevant staff.</td>
</tr>
<tr>
<td>• Ensure that risk management is incorporated into service plans.</td>
</tr>
</tbody>
</table>
| Corporate Services Group Manager Resources & Business Development | - Provide a focus for and co-ordinate risk management activities throughout South Essex Homes  
- Ensure the maintenance of robust arrangements to identify, evaluate, quantify and limit the risk exposure in relation to all functions (insurable and non-insurable) which may threaten the achievement of the Company’s objectives  
- Proactively identify and manage risk opportunities in accordance with best practice.  
- Maintain the risk management internal control framework so that it reflects current good practice and enables us to satisfy the requirements of any external assessment the Company is subject to  
- Monitor progress against delivery of the risk management framework in particular:  
  - Maintain the risk management strategy document so that it reflects current good practice and meets our needs;  
  - Ensure that action taken, to raise staff awareness of and train staff, in risk management is targeted and meets the our needs;  
  - Keep under review the approach adopted to identify and record risk to ensure that it operates in a manner that proactively helps the Company to manage its business; and  
  - Ensure that the risk management process is properly integrated with other relevant processes.  
- Look for common themes and issues that need to be referred to Executive Management Team SMT  
- Keep key risk areas under regular review and ensure that actions identified to mitigate risk are being addressed within timescales agreed  
- Consider opportunities to further embed the application of risk management principles in other corporate processes and arrangements  
- Co-ordinate activities to obtain a more effective risk management solution from existing resources  
- Continually develop and maintain the Risk Register  
- Promote a culture of risk awareness within the organisation  
- Co-ordinate risk management initiatives within the organisation  
- Ensure the provision of service based advice, support and training as required  
- Report regularly to Board Members. |
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<tbody>
<tr>
<td>Audit &amp; Risk Committee</td>
<td>- Provide scrutiny of the Risk Management Process and the Risk Register as delegated by the Board and in accordance with the Terms of Reference.</td>
</tr>
</tbody>
</table>
| Internal Audit | - Provide independent review of corporate approach to risk management and compliance therewith  
- Contribute to the accuracy and integrity of the corporate risk register (as part of the risk based approach to audit) |
| External Audit | - External Audit – primarily reports on South Essex Homes |
Appendix 8 to Agenda Item 12

<table>
<thead>
<tr>
<th>All Employees</th>
</tr>
</thead>
<tbody>
<tr>
<td>• All staff generally have a duty to be aware of and consider the risks involved in their day to day activities and to report any changes to these risks through the line management of the organisation. All staff will be required to participate annually in a review of operational risks.</td>
</tr>
<tr>
<td>• Liaise with their line manager to assess areas of risk in their job</td>
</tr>
</tbody>
</table>

Glossary of Terms

**Annual Governance Statement** is an annual statement made by all local authorities detailing the outcome of the annual review of effectiveness of the Authority’s system of internal control.

**Assurance** is the evidence identified against the controls that are in place to help mitigate or reduce the risk.

**Business Continuity Plan** is a documented set of procedures and information intended to restore and deliver continuity of predetermined critical functions in the event of a disruption.

**Control** is the measure/activity established to provide control of the risk and the assurance of effective and efficient operations and compliance with laws and regulations (financial and other).

**Corporate Governance** is the system by which organisations control their functions and relate to their communities. It is the way in which organisations manage their business, determine strategy and objectives and go about achieving these objectives within the underlying principles of openness, integrity and accountability.

**Hazard** is the inherent ability to cause harm (not to be confused with risk).

**Operational Risks** are those faced in the day-to-day delivery of services.

**Risk** is the threat or opportunity which an event or action can have which can adversely affect or enhance an organisation’s ability to achieve stated objectives and to successfully deliver approved strategies. This will include both external and internal risks and opportunities.

**Risk appetite**: The amount of risk that the organisation is willing to seek or accept in the pursuit of its long-term objectives.

**Risk Management** is the process by which risks and opportunities are identified, evaluated and managed. Risks are managed by terminating, transferring, treating or tolerating them.

**Risk Profiles** are extracts from a risk register listing the risks and opportunities relating to particular activities.

**Risk Register** is the document which captures key risks and mitigating controls. Registers can include strategic, corporate, and operational and project risks and opportunities. These risks and opportunities are scored with and without controls and will usually have defined actions to assist in further mitigation of the risk.
Appendix 8 to Agenda Item 12

**Risk tolerance:** The boundaries of risk taking outside which the organisation is not prepared to venture in the pursuit of its long-term objectives.

**Strategic Risks** are those that could impact upon more than one service and may be potentially damaging to the achievement of the organisation's key aims and objectives as set out in the business plan Vision 2022.
### Annual Performance Targets 2018/19 / Final Benchmarking Results

**A Public Agenda Item**

<table>
<thead>
<tr>
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<th>Purpose of Report</th>
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<tbody>
<tr>
<td>1</td>
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<tr>
<td></td>
<td><strong>1.1</strong> To advise the Board of the outcomes of the Benchmarking exercise undertaken with Housemark for 2016/17 data.</td>
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<td></td>
<td><strong>1.2</strong> To advise the Board of the targets which have been discussed with Southend Borough Council for 2018/19.</td>
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<td><strong>1.3</strong> To provide the Board with information relating to complaints for 2017/18 (year to date)</td>
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<tr>
<th>2</th>
<th>Recommendations</th>
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<tr>
<td></td>
<td>The Board are requested:-</td>
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<tr>
<td>2.1</td>
<td>To note the outcomes of the performance Benchmarking exercise for 2016/17 as shown at Appendix 1 with year to date performance and proposed targets.</td>
</tr>
<tr>
<td>2.1.1</td>
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<tr>
<td>2.1.2</td>
<td>To note the outcomes of the Value for Money Benchmarking exercise for 2016/17 as shown at Appendix 2</td>
</tr>
<tr>
<td>2.1.3</td>
<td>To agree the targets for performance indicators as discussed with Southend Borough Council and as recommended by the Audit &amp; Risk Committee as contained in Appendix 1, and as shown with year to date performance for 2017/18</td>
</tr>
<tr>
<td>2.1.4</td>
<td>To note the complaints information for 2017/18 as shown at Appendix 3.</td>
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</table>
3 Background

3.1 Performance Benchmarking

3.1.1 South Essex Homes has undertaken the annual benchmarking exercise for 2016/17. The data was analysed by Housemark, and comparative data against our peer group (those organisations with similar stock sizes and location) as well as all organisations in the UK. The results of this are shown at Appendix 1, with the previous year’s results also shown for information.

3.1.2 South Essex Homes are above median position for most indicators for our peer group, with the exceptions being shown below:

- KP4 – Collection rate for rents
- KP19 – Percentage non decent council homes
- Local R14 – Former tenant arrears as a percentage of debit
- Local V3 – Void loss as percentage of debit
- Local V8 – Percentage of property void and relettable

3.1.3 KP4 Collection rate for rents was affected by additional collection of water rates, which always impacts on our ability to reach top quartile.

3.1.4 KP19 Percentage non-decent homes is impacted by properties held for potential redevelopment subject to the Council’s decision.

3.1.5 Local R14 is impacted by the same factors as KP4, i.e. a proportion of our Former Tenant Arrears is caused by uncollected water rates.

3.1.6 Local V3 and Local V8 are affected by the properties which are currently empty as a result of the Better Queensway regeneration project and the review into Sheltered Housing being undertaken by the Council.

3.2 Value for Money Benchmarking

3.2.1 As well as benchmarking our performance information, South Essex Homes also benchmarked via Housemark our cost information against our peer group and all organisations in the UK. The results of this are shown at Appendix 2, with the previous year’s results also shown for information.

3.2.2 Our results indicate that our costs are in the top quartile of our peer group for;

- total cost per property of housing management
- total cost per property of rent arrears and collection
- total cost per property of lettings
- total cost per property of major works and cyclical maintenance
- total cost per property of cyclical maintenance (management)
- total cost per property of responsive repairs and void works
- total cost per property of responsive repairs (service provision)
- total cost per property of responsive repairs (management)

3.2.3 Resident involvement remains an area where we are in the lower quartile areas for cost. However our team includes tenancy sustainment work, as well as community development. This work is undertaken with other teams such as income management and tenancy services, and helps us to identify vulnerable tenants who may be at risk of failing their tenancies due to various social or economic issues.

3.2.4 The total cost of Anti-Social Behaviour per property is also an area where we are in the lower quartile areas for cost. Further analysis has shown that we have a high number of cases per 1,000 properties.

3.2.5 Other areas where we are also lower quartile for cost include some Void costs, Estate Services and Leasehold Services.

3.2.6 Estate Services have historically shown as being more expensive than other organisations. We cannot determine the depth of the services offered by other organisations, but many other authorities, Housing Associations or ALMOs do not manage the same numbers of high rise properties as South Essex Homes. This combined with our number of low rise buildings with communal areas and other regular estate requirements means that we spend more per property than some others. This position would therefore be unlikely to change in the near future.

3.2.7 As we manage a relatively low number of leasehold properties, we consider that Leasehold Services show as more expensive than some other organisations that are able to achieve economy through scale.

3.3 Performance Targets 2018/19

3.3.1 Following receipt and analysis of the performance benchmarking information, South Essex Homes have been in discussion with Southend Borough Council to agree performance targets for 2018/19. These are contained within the final column of Appendix 1.

3.3.2 Targets have been agreed to reflect top quartile with the following exceptions:
KP4 – Collection rate for rents
KP7 – Void turnaround time
KP24 – Working days lost due to sickness absence
KP32 – Satisfaction with viewing and letting process
Local R14 – Former tenant arrears as a percentage of debit

3.3.3 As with performance benchmarking, KP4 is affected by additional collection of water rates, which always impacts on our ability to reach top quartile. This equally impacts upon the target set for Local R14.

3.3.4 KP7 – void turnaround time has remained broadly within target for the last 2 years. However we propose to undertake a review of the void process during the early part of 2018/19. This will improve our understanding of the ‘pinch-points’ in all aspects of the void service.

3.3.5 KP24 has been targeted to reflect the fact that 2017/18 has seen a substantial increase in sickness absence. For much of the year, this was caused by long term absence (periods of 14 days absence or longer). We have however seen an increase in spells of absence (both short term and long term) during January 18 which is a 21% increase from the previous month.

3.3.6 Top 3 absence reasons for January are :-
   1. Surgery - 51 days
   2. Mental health - 36 days
   3. Flu – 24 days (slight improvement on the previous month)

Top 3 absence reasons for the last 12 months:-
   1. Mental health - 476 days
   2. Surgery - 138 days
   3. Flu - 105 days

3.3.7 While long term absence still remains significant, we have had a number of staff members return from long term absence during February so we are hopeful that this will positively impact on sickness levels. We continue to rigorously follow our absence procedures and our HR Business Partner is attending the next Service Manager CMG meeting to reinforce the importance of robust sickness management and support Managers to achieve this.

3.3.8 KP32 has been targeted in line with previous years. Given the numbers of our lettings, it requires only a small number of respondents to be dissatisfied with any of the process, and the result will immediately drop. Additionally, one recurring cause of negative feedback is the lack of suitable properties to match what the applicants consider are their own specific needs.
3.4 Complaints analysis for 2017/2018

3.4.1 Contained within Appendix 3 is an analysis of complaints received. This is presented by service area, with additional information to show whether complaints are upheld (fully or partially) or not upheld. The charts also show where there are spikes in particular types of complaints, and the reason for the complaints.

3.4.2 The level of complaints for 2017/18 is broadly similar to those received in 2016/17. Anti-social Behaviour and Responsive Repairs remain the service areas with the most complaints.

3.4.3 The complex and emotive nature of Anti-social Behaviour issues can result in complaints where residents consider we are not taking the relevant action. This is not the case but we cannot usually share full updates due to data protection requirements. Of course we endeavour to deal with all complaints regarding anti-social behaviour sensitively but we have found that we have not upheld any of the ASB complaints that we have received this year.

3.4.4 The reasons for complaints relating to responsive repairs vary according to the season. As always, the winter months have seen an increase in complaints relating to boiler repairs or replacements. We have recently seen tenants dissatisfied at having to wait a few days from when a boiler ceases to function to when a new one is installed. Although the period of time taken is a small number of days, we appreciate that this can cause some inconvenience to the tenant particularly during the colder months. However this is not always in line with their expectations so we must do what we can to manage these expectations going forward.

3.4.5 The overall percentages of complaints which are fully or partially upheld remain broadly similar against previous years.

3.4.6 So far, 9 complaints have proceeded to stage two. Of these, 3 have been upheld in full, and 3 have been partially upheld. The remaining 3 were not upheld. Lessons learned from complaints are logged on a learning register and lessons from 17/18 include;

- Contractors to be reminded to display ID Badges
- Include an action plan for each ASB case to ensure that the complainant is kept up to date on action we are taking
- Additional guidance and training supplied to Tenancy Team so they do not miss potentially rechargeable works at pre-termination inspections.
- Improve signage in area where parking was causing a problem for
residents
- Resident felt that Elderly Persons Decoration Scheme policy was unfair. Agreed to work with resident representatives to capture their views on this when reviewed.

3.4.7 The Council have requested that as we will not be collecting satisfaction data in 2018/19 that we provide them with monthly reports on our complaints and an overview on which are upheld, partially upheld or not upheld.

4 Equality and Diversity

4.1 All equality and diversity issues identified from the report have been considered and are in accordance with the South Essex Homes Equality and Diversity Policy.

5 Risk

5.1 Any risks identified from the proposals contained in this report have been considered by the Senior Management Team.

6 Financial Implications

6.1 All costs associated with the performance targets and value for money results have been fully considered and are within budget.

7 Resident Consultation

7.1 Not applicable.

8 Background Papers

8.1 Not applicable.

9 Appendices

9.1 Appendix 1 – Performance benchmarking, target setting and year to date performance.
Appendix 2 – Value for Money comparative benchmarking information
Appendix 3 – Complaints data 2017/18 year to date.
### Performance Benchmarking, Target setting and YTD performance appendix

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</tr>
</thead>
<tbody>
<tr>
<td>KP 1</td>
<td>Overall Satisfaction of tenants</td>
<td>89.55%</td>
<td>90%</td>
<td>89.93%</td>
<td>89.70%</td>
<td>96.6%</td>
<td>95.6%</td>
<td>Indicator not to be collected during 18/19 (95%)</td>
<td></td>
</tr>
<tr>
<td>KP 2</td>
<td>Overall satisfaction of sheltered tenants</td>
<td>93%</td>
<td>94.18%</td>
<td>93.3%</td>
<td>93.40%</td>
<td>95.01%</td>
<td>95.36%</td>
<td>Indicator not to be collected during 18/19 (95%)</td>
<td></td>
</tr>
<tr>
<td>KP 3</td>
<td>Careline calls answered in 1 minute</td>
<td>TSA Standard</td>
<td>TSA Standard</td>
<td>TSA Standard</td>
<td>TSA Standard</td>
<td>98.5%</td>
<td>98.7%</td>
<td>97.9%</td>
<td>97.5% (97.5%)</td>
</tr>
<tr>
<td>KP 4</td>
<td>Collection rate for rents</td>
<td>100.27%</td>
<td>100.05%</td>
<td>100.58%</td>
<td>100.33%</td>
<td>99.85%</td>
<td>99.98%</td>
<td>99.43%</td>
<td>99.7% (99.7%)</td>
</tr>
<tr>
<td>KP 5</td>
<td>Current rent arrears as % of rent due</td>
<td>1.80%</td>
<td>1.80%</td>
<td>1.71%</td>
<td>1.88%</td>
<td>1.37%</td>
<td>1.35%</td>
<td>1.51%</td>
<td>1.77% (1.77%)</td>
</tr>
<tr>
<td>KP 6</td>
<td>Satisfaction with property condition</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>99%</td>
<td>99%</td>
<td>100%</td>
<td>97% (97%)</td>
</tr>
<tr>
<td>KP 7</td>
<td>Void turnaround time</td>
<td>17.2 days</td>
<td>19 days</td>
<td>16.08 days standard</td>
<td>24.29 all voids</td>
<td>18.7 days</td>
<td>15.5 days</td>
<td>16.9 days</td>
<td>17 days (17 days)</td>
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### Top quartile from Housemark Results

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<tbody>
<tr>
<td>KP10</td>
<td>Satisfaction with Estate Services</td>
<td>83.28%</td>
<td>84.47%</td>
<td>Dropped by Housemark</td>
<td>Dropped by Housemark</td>
<td>92.5%</td>
<td>90.6%</td>
<td>Indicator (90%)</td>
<td></td>
</tr>
<tr>
<td>KP11</td>
<td>Satisfaction with outcome of ASB complaints</td>
<td>87.43%</td>
<td>89.5%</td>
<td>88.85%</td>
<td>91.75%</td>
<td>100%</td>
<td>99%</td>
<td>99%</td>
<td>93% (93%)</td>
</tr>
<tr>
<td>KP12</td>
<td>Responsive repairs completed in target times</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>98.46%</td>
<td>97.51%</td>
<td>98.51%</td>
<td>99% (99%)</td>
</tr>
<tr>
<td>KP15</td>
<td>Average time to complete all jobs</td>
<td>8.66 days</td>
<td>6.80 days</td>
<td>8.50 days</td>
<td>6.46 days</td>
<td>6.8 days</td>
<td>8.74 days</td>
<td>7.43 days</td>
<td>8.25 days (8.5 days)</td>
</tr>
<tr>
<td>KP17</td>
<td>Gas safety certificates</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100%</td>
<td>100% (100%)</td>
</tr>
<tr>
<td>KP19</td>
<td>% non-decent council homes</td>
<td>0%</td>
<td>0%</td>
<td>0.70%</td>
<td>0%</td>
<td>2.5%</td>
<td>1.7%</td>
<td>3.5%</td>
<td>0% subject to Queensway (0%)</td>
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<tr>
<td>KP20</td>
<td>Improvement Programme completed</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>103.3%</td>
<td>92.4%</td>
<td>42%</td>
<td>100% (100%)</td>
</tr>
<tr>
<td>KP21</td>
<td>Satisfaction of tenants with repairs and maintenance</td>
<td>86.4%</td>
<td>87%</td>
<td>87.4%</td>
<td>85.99%</td>
<td>92.9%</td>
<td>88.3%</td>
<td>- (88%)</td>
<td></td>
</tr>
<tr>
<td>KP22</td>
<td>Satisfaction that views are listened to and acted upon</td>
<td>77.9%</td>
<td>76.15%</td>
<td>81.58%</td>
<td>78.30%</td>
<td>87.7%</td>
<td>86.3%</td>
<td>- (80%)</td>
<td></td>
</tr>
<tr>
<td>KP23</td>
<td>Leaseholder satisfaction with South Essex Homes</td>
<td>71.56%</td>
<td>72.25%</td>
<td>Not enough data</td>
<td>65.08%</td>
<td>86%</td>
<td>83%</td>
<td>- (82%)</td>
<td></td>
</tr>
<tr>
<td>KP24</td>
<td>Working Days Lost Due to Sickness Absence</td>
<td>6.69 days</td>
<td>7.27 days</td>
<td>7.31 days</td>
<td>7.50 days</td>
<td>6.63 days</td>
<td>8.93 days</td>
<td>9.85 days</td>
<td>8.75 (revised to 8.75 days)</td>
</tr>
<tr>
<td>KP25</td>
<td>Complaints responded to</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>100%</td>
<td>98%</td>
<td>99%</td>
<td>100% (100%)</td>
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## Appendix 1 to Agenda Item 13

### Top quartile from Housemark Results

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<tr>
<td></td>
<td>within 10 days</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>KP29</td>
<td>Satisfaction with Neighbourhood</td>
<td>91.43%</td>
<td>89%</td>
<td>89.26%</td>
<td>88.56%</td>
<td>92%</td>
<td>90.9%</td>
<td></td>
<td>Not to be collected in 18/19 (91.5%)</td>
</tr>
<tr>
<td>KP30 NEW</td>
<td>Satisfaction that rent provides value for money</td>
<td>88.3%</td>
<td>87%</td>
<td>91.7%</td>
<td>88.20%</td>
<td>-</td>
<td>96.8%</td>
<td></td>
<td>Not to be collected in 18/19 (90%)</td>
</tr>
<tr>
<td>KP31 NEW</td>
<td>Percentage of respondents very or fairly satisfied with the overall quality of their home</td>
<td>87%</td>
<td>88.7%</td>
<td>90.3%</td>
<td>88.50%</td>
<td>-</td>
<td>95.89%</td>
<td></td>
<td>Not to be collected in 18/19 (90%)</td>
</tr>
<tr>
<td>KP32 NEW (was KSS25)</td>
<td>Tenants satisfied with viewing and letting process</td>
<td>Quartile not available</td>
<td>97.40%</td>
<td>98.03%</td>
<td>98%</td>
<td>98%</td>
<td>100%</td>
<td>97% (97%)</td>
<td></td>
</tr>
<tr>
<td>KP33 NEW</td>
<td>Tenants satisfied that service charges provide value for money</td>
<td>79.48%</td>
<td>78.35%</td>
<td>77.69%</td>
<td>78.87%</td>
<td>-</td>
<td></td>
<td></td>
<td>Not to be collected in 18/19 (80%)</td>
</tr>
<tr>
<td>Local N20</td>
<td>Anti-Social Behaviour cases successfully resolved</td>
<td>99.57%</td>
<td>99.43%</td>
<td>Dropped by Housemark</td>
<td>Dropped by Housemark</td>
<td>99.7%</td>
<td>100%</td>
<td>100%</td>
<td>Proposed to drop (99.6%)</td>
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<tr>
<td>Local R2</td>
<td>Number of evictions for rent arrears</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>45</td>
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<td>Local R7</td>
<td>Write-offs (cash value)</td>
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<td>£135,468</td>
<td>£92,982</td>
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<td>Local R13</td>
<td>Current rent arrears (in cash)</td>
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<td>£449,893</td>
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<td>Local R13a</td>
<td>Former tenant arrears</td>
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### Appendix 1 to Agenda Item 13

**Top quartile from Housemark**

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<tr>
<td>Local R14</td>
<td>FTAs as a percentage of debit</td>
<td>0.45%</td>
<td>0.74%</td>
<td>0.62%</td>
<td>0.73%</td>
<td>1.10%</td>
<td>1.03%</td>
<td>1.06%</td>
<td>1.20% (1.20%)</td>
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<tr>
<td>Local R66b</td>
<td>% of Tenants in arrears over 7 weeks</td>
<td>-</td>
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<td>2.85%</td>
<td>3.06%</td>
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<td>Local SP8</td>
<td>Occupancy rate for hostels</td>
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<td>82%</td>
<td>87%</td>
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<td>Local V3</td>
<td>Void loss as % of debit</td>
<td>0.52%</td>
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<td>Local V8</td>
<td>Percentage of property void &amp; relettable</td>
<td>0.20%</td>
<td>0.25%</td>
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<td>1.40%</td>
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<td>Local V21</td>
<td>Proportion of lettable voids empty for over four weeks</td>
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<td>31%</td>
<td>30.4%</td>
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<td>Local V22</td>
<td>Percentage of tenants underoccupying due to spare room subsidy who we have contacted</td>
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<td>100%</td>
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<td>Number of tenants underoccupying due to spare room subsidy who we have contacted</td>
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<td>9.08</td>
<td>14.17</td>
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<td>9.08</td>
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## Housemark Value for Money comparative data

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<td>Median</td>
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<td>Lower Middle (3rd Quartile)</td>
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<th>2016-17 Peer Group</th>
<th>2016-17 All of UK</th>
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<th>2016-2017</th>
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<td>Total cost per property of Housing Management</td>
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<td>Total cost per property of rent arrears and collection</td>
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<td>Total cost per property of resident involvement</td>
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## Major Works & Cyclical Maintenance

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<th>2015-16 All of UK</th>
<th>2016-17 Peer Group</th>
<th>2016-17 All of UK</th>
<th>2015-2016</th>
<th>2016-2017</th>
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<td>Total cost per property of major works and cyclical maintenance</td>
<td>£1,404.34</td>
<td>£1,181.15</td>
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<td>£1,116.34</td>
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<td>Total cost per property of major works (service provision)</td>
<td>£950.36</td>
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<td>Total cost per property of major works (management)</td>
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<td>Total cost per property of cyclical maintenance (service provision)</td>
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<td>Total cost per property of cyclical maintenance (management)</td>
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### Responsive repairs and void works

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<th>2016-17 Peer Group</th>
<th>2016-17 All of UK</th>
<th>2015-2016</th>
<th>2016-2017</th>
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<tbody>
<tr>
<td>Total cost per property of responsive repairs and void works</td>
<td>£685.49</td>
<td>£700.65</td>
<td>£698.11</td>
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### Responsive repairs (service provision)

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<th>2015-16 Peer Group</th>
<th>2015-16 All of UK</th>
<th>2016-17 Peer Group</th>
<th>2016-17 All of UK</th>
<th>2015-2016</th>
<th>2016-2017</th>
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<tbody>
<tr>
<td>Total cost per property of responsive repairs (service provision)</td>
<td>£376.24</td>
<td>£351.66</td>
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### Responsive repairs (management)

<table>
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<th>2015-16 All of UK</th>
<th>2016-17 Peer Group</th>
<th>2016-17 All of UK</th>
<th>2015-2016</th>
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<tbody>
<tr>
<td>Total cost per property of responsive repairs (management)</td>
<td>£89.07</td>
<td>£90.89</td>
<td>£105.94</td>
<td>£91.45</td>
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### Void works (service provision)

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<th>2016-17 Peer Group</th>
<th>2016-17 All of UK</th>
<th>2015-2016</th>
<th>2016-2017</th>
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<tbody>
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<td>Total cost per property of void works (service provision)</td>
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<td>£138.94</td>
<td>£134.39</td>
<td>£190</td>
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### Void works (management)

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<th>2016-17 Peer Group</th>
<th>2016-17 All of UK</th>
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<td>Total cost per property of void works (management)</td>
<td>£24.16</td>
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### Top quartile from Housemark

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<tr>
<td><strong>Estate Services</strong></td>
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<tr>
<td>Total cost per property of Estate Services</td>
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<td><strong>Leasehold Services</strong></td>
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<td>Total cost per property of Leasehold</td>
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### Appendix 3 to Agenda Item 13

#### SERVICE AREA

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#### BY MONTH

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#### REASON FOR COMPLAINT

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<th>Compensation</th>
<th>Customer Care</th>
<th>Disagree with decision</th>
<th>General dissatisfaction</th>
<th>Missed appointment</th>
<th>Standard of service</th>
<th>Time taken</th>
<th>Grand Total</th>
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### Reason for complaint

- **Communication**: 28
- **Compensation**: 11
- **Customer Care**: 5
- **Disagree with decision**: 12
- **General dissatisfaction**: 9
- **Missed appointment**: 5
- **Standard of service**: 5
- **Time taken**: 2

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**Tab 10.3 Appendix 3 to Agenda Item 13 - Complaints Data 2017/18 year to date**