

# Cabinet

## UNPUBLISHED BACKGROUND DOCUMENTS

15 October 2012

<u>Item</u>		<u>Pages</u>
10.	ANNUAL CHILD PROTECTION REPORT 1 APRIL 2011 TO 31 MARCH 2012	1 - 6
12.	TROUBLED FAMILIES - DEVELOPING AND IMPLEMENTING A TRI-BOROUGH APPROACH	7 - 462
16.	BUILDING A HOUSING LADDER OF OPPORTUNITY, INCORPORATING HOUSING STRATEGY, HOUSING ALLOCATION SCHEME, TENANCY STRATEGY, HOMELESSNESS STRATEGY	463 - 495
17.	MEASURED TERM CONTRACT FOR BOROUGHWIDE CYCLICAL PLANNED MAINTENANCE TO COUNCIL-OWNED HOUSING PROPERTIES 2012 – 2015	496 - 714

# Agenda Item 10

## London Borough of Hammersmith and Fulham

### Evaluation of Assessment Framework Pilot

#### Introduction

This report details the initial evaluation of the implementation of a single assessment framework in Hammersmith & Fulham which is being undertaken as part of the Department of Education's pilot concerned with testing more flexible assessment processes.

This pilot replaces the use of the 7 day initial and 35 working day core assessment process and assessment framework form with a 45 working day process, using one form for all assessments and initial child protection conference reports. It did not include section 47 enquires and strategy meeting processes and forms.

We began the first phase (relaxation of timescales) in October 2011. The introduction of the single assessment record however did not commence until February 2012 because of the need to develop the new format and make the necessary changes to our ICS system.

#### Quantative Information

The following table provides information as to the number of Family Assessments that have been completed since the pilot began.

Completed Child and Family Assessments from 06/02/2012-25/04/2012					
	0 - 10 days	11 - 20 days	21 - 44 days	45 + days	Total:
Contact and Assessment Team 1	26	3	7	4	40
Contact and Assessment Team 2	21	6	11	1	39
Contact and Assessment Team 3	39	15	3		57
Contact and Assessment Team 4	23	9	17		49

<b>Disability Services Team 1</b>	1				1
<b>Disability Services Team 2</b>	2				2
<b>Family Support and Child Protection Team 1</b>	1	1			2
<b>Family Support and Child Protection Team 2</b>	1		1		2
<b>Family Support and Child Protection Team 3</b>	2				2
<b>Looked After Children 4</b>	1				1
<b>Looked After Children 5</b>				1	1
<b>Total</b>	117	34	39	6	196

There have been 196 Family Assessment, 117 have been completed within 10 working days with a further 73 within 44 working days. There are 70 assessments currently underway and as they have no end date they do not show in the table above. This then gives a total figure of 266 family assessments.

The tables below illustrate the numbers of Initial and Core assessments previously undertaken within the same reporting period in 2011 in order to contrast assessment activity.

<b>Initial Assessments completed over same period last year (2011-12)</b>					
	<b>0-7 days</b>	<b>8-10 days</b>	<b>11-20 days</b>	<b>21-50 days</b>	<b>Total:</b>
<b>Contact and Assessment Team 1</b>	75	7	3		85
<b>Contact and Assessment Team 2</b>	61	33			94
<b>Contact and Assessment Team 3</b>	55	10	16	1	82
<b>Contact and Assessment Team 4</b>	50	31	1		82
<b>Total:</b>	241	81	20	1	343

<b>Core Assessments completed over same period last year (2011-12)</b>				
	<b>0-35 days</b>	<b>36-50 days</b>	<b>51-99 days</b>	<b>Total:</b>
<b>Contact and Assessment Team 1</b>	26	2		28
<b>Contact and Assessment Team 2</b>	43	1	7	51
<b>Contact and Assessment Team 3</b>	32	7	6	45
<b>Contact and Assessment Team 4</b>	15			15

Disability Services Team 1	2		2	4
Disability Services Team 2	4			4
Family ASSIST	2			2
Family Support and Child Protection Team 1	5		1	6
Family Support and Child Protection Team 2	2			2
Family Support and Child Protection Team 3	2			2
Family Support and Child Protection Team 4	3	4		7
UASC Team	1			1
No longer allocated to team (worker has left LBHF)	1			1
Total	138	14	16	168

There were a total of 343 assessment carried out of which 168 were core assessments.

For both reporting periods there were approximately 1800 contacts. However in 2012 there were 76 fewer child referrals. Taking this into account, proportionately there has been no discernable change in the overall ratio of assessment activity in comparison to the same period in 2011.

There is a ratio decrease in assessments lasting more than 10 days. Although it is too early to consider this as a pattern further quality assurance work will be undertaken in order to understand this change.

### **Quality of Assessment**

It is too early in the pilot to be able to provide a view that is richly evidenced by qualitative data; however the early indications are as follows:

- Assessments are easier to read and provide a narrative that covers observation, assessment, intervention and analysis in a more focussed and concise format.
- Each assessment prompts the social worker to consider the tool and scales issued with the Assessment Framework as aids to the

assessment thereby enabling each assessment to be better tailored to the needs of the family and individual child. This being done without compromising the 'flow' of the narrative style that we are aiming to achieve.

### **Workforce Implications**

- Social workers report satisfaction with the new single assessment format in that it gives them more time to concentrate upon doing the assessment rather than data entry onto separate forms. This, as evidenced by the quality assurance audits being undertaken, indicates that that social workers are able to function more efficiently and are adopting a more reflective and family/child centred approach to the work being undertaken as they have more time to do so.

### **Parent and Child Views**

- Parents and children have reported that they are able to understand and follow what is being written about them and their children easily. Initial feedback also indicates that parents have been able to engage with the social worker more effectively partly because the social worker has more time to undertake the assessment.

### **Multi-agency Implications**

- We have had some encouraging feedback especially with those family assessment reports that are presented at children in need and child protection meetings. We are in the process of setting up a formal feedback system with our key stakeholders to take place over the next 3 months phase of the pilot to evidence this more fully.

## **Assessments over 45 Days**

- A small number of assessments (3% of the completed total) have exceeded the benchmark of 45 working days. These have been analysed and we are satisfied that the level of complexity warranted the extra time it took to complete the assessment. We will continue to monitor this through the fortnightly performance and quality assurance meetings.

## **Performance Management/Quality Assurance Systems**

- Despite the relaxation of the traditional timescales, all Family Assessment are required to have a “health check” within 10 working days where the manager considers, comments and provides direction as necessary. This includes what is required in further assessment activity in order to ensure a clear picture of the issues being considered and outcomes being sought. This is recorded on our ICS system.
- The Safeguarding Unit completes a quality assurance check on all assessments that are presented to initial child protection conference. So far child protection conference chairs have welcomed the assessments and the format for discussion at initial conference. Parents are better informed about the reasons why conferences have taken place making some conferences easier to manage.
- A random audit of cases has also shown that assessment quality has improved as the intervention quality has increased due to social workers having more time to consider and reflect upon planned or ongoing interventions. This has also led to closer multi-agency working especially where needs are assessed a complex rather than where needs are considered as ‘at risk’

- There is a fortnightly meeting chaired by the Assistant Director where reporting on numbers of assessments and timescales are monitored and where timescales appear to be outside of acceptable tolerances an interrogation of those cases is undertaken.

# Agenda Item 12

**Department for Work and Pensions**

**Research Report No 602**

## **Work-focused services in children's centres pilot: evaluation baseline report**

**Rachel Marangozov**

A report of research carried out by the Institute for Employment Studies on behalf of the Department for Work and Pensions



© Crown Copyright 2009. Published for the Department for Work and Pensions under licence from the Controller of Her Majesty's Stationery Office.

Application for reproduction should be made in writing to The Copyright Unit, Her Majesty's Stationery Office, St Clements House, 2-16 Colegate, Norwich NR3 1BQ.

First Published 2009.

ISBN 978 1 84712 640 5

Views expressed in this report are not necessarily those of the Department for Work and Pensions or any other Government Department.



3	Pilot approaches and early implementation experiences.....	39
3.1	Pilot aims, approaches, and core elements .....	39
3.1.1	<i>Pilot aims and key approaches of the local authorities</i> .....	39
3.1.2	<i>Core elements in the delivery of the pilots</i> .....	40
3.2	Early views around implementation.....	44
3.2.1	<i>The role of the Jobcentre Plus Personal Adviser</i> .....	44
3.2.2	<i>Pilot activities</i> .....	45
3.3	Hopes and expectations of the pilot.....	45
4	Summary of key findings.....	47
4.1	Key observations .....	48
5	Next stages of the evaluation .....	51
5.1	Qualitative research with children’s centre users (summer 2009 and 2010) .....	51
5.2	Case studies (autumn 2009 and the end of the pilot).....	52
5.3	User survey (towards the end of the pilot).....	53
5.4	Comparison study.....	53
Appendix A	Report data .....	55
Appendix B	Review of local authority bids .....	65
Appendix C	Baseline user survey questionnaire .....	79

## List of tables

Table A.1	Economic activity and inactivity in the pilot local authorities, October 2007 to September 2008 .....	56
Table A.2	Key benefits claimed in the pilot local authorities (working age client group), August 2008.....	56
Table A.3	Numbers of unfilled Jobcentre Plus vacancies in the pilot local authorities, April 2007, 2008 and 2009 .....	57
Table A.4	Economic activity and inactivity in the key wards served, by the pilot children’s centres, 2001 .....	58
Table A.5	Levels of deprivation among the pilot local authorities .....	60
Table A.6	Reach area profile for the pilot children’s centres.....	61
Table A.7	Number of workless lone parent households in the pilot local authorities .....	63

Table A.8	Numbers of IB and JSA claimants in the ten pilot local authorities .....	63
Table A.9	Number of IS and JSA clients at the end of January 2009 who are lone parents.....	64

## List of figures

Figure 2.1	Demographic distribution of respondents (percentages).....	21
Figure 2.2	Number of dependent children among respondents (percentages) .....	22
Figure 2.3	Respondents' housing circumstances .....	23
Figure 2.4	Respondents' employment status (percentages) .....	24
Figure 2.5	Employment status by caring responsibilities (percentages) .....	25
Figure 2.6	In receipt of benefits or tax credits – respondents or their partners (percentages) .....	26
Figure 2.7	Weekly household income of survey respondents (percentages) .....	26
Figure 2.8	Frequency of visits to the children's centre – all respondents.....	27
Figure 2.9	Frequency of visits to the children's centre – parents out of work and claiming benefit entitlements .....	28
Figure 2.10	Usual reason for visiting the children's centre .....	29
Figure 2.11	Usual reason for visiting the children's centre, by demographic group .....	30
Figure 2.12	Past, present and future take up of Jobcentre Plus services (percentages) .....	31
Figure 2.13	Current users of Jobcentre Plus services, by age, gender, partner and work status.....	32
Figure 2.14	Intention to use Jobcentre Plus services in the future, by gender, age, partner and work status, number of children under five, and ethnicity (percentages) .....	32
Figure 2.15	Types of Jobcentre Plus services <b>currently</b> used, by parents out of work and claiming benefit entitlements.....	33
Figure 2.16	Types of Jobcentre Plus services used <b>in the past</b> , by parents out of work and claiming benefit entitlements .....	34
Figure 2.17	Preferred site for Jobcentre Plus services (percentages) .....	35
Figure 2.18	Reasons for favouring Jobcentre Plus services <b>at children's centre sites</b> over same services at the Jobcentre Plus office – categories with ten or more responses (percentages).....	35
Figure 2.19	Reasons for favouring Jobcentre Plus services <b>at Jobcentre Plus office</b> over same services at children's centre sites – categories with ten or more responses (percentages) .....	36
Figure 2.20	Jobsearching strategies among parents out of work and claiming benefit entitlements (percentages) .....	37



# Acknowledgements

The Institute for Employment Studies (IES) research team would like to acknowledge the many staff within the pilot areas who contributed their experience and perceptions so usefully to the research, and likewise those children's centre users who took part in our interviews.

The author would like to acknowledge the work of Sharon Gibbens and the research team at GfK NOP in carrying out and analysing the user survey. The author would also like to thank Maria Sigala at IES for her further work in analysing the survey results and Helen Barnes for her input throughout the research. Special thanks should go to Karen Elsmore, who managed the research for the Department for Work and Pensions (DWP), and who provided valuable feedback into various stages of the project.

# The Author

Rachel Marangozov is a Senior Research Fellow at IES, where she specialises in the employment of minority ethnic groups and migrant workers.

# Abbreviations

CAP	Childcare Affordability Pilot
CCA	Children's Centre Assistant
CTC	Child Tax Credits
CTB	Council Tax Benefit
ESF	European Social Fund
HB	Housing Benefit
IAG	Information, Advice and Guidance
IB	Incapacity Benefit
IS	Income Support
JSA	Jobseeker's Allowance
JobMAET	Job Multi-Agency Employment Team
LEGI	Local Enterprise Growth Initiative
LEP	Local Employment Partnership
LSC	Learning and Skills Council
LSP	Local Strategic Partnership
NDLP	New Deal for Lone Parents
NDP	New Deal for Partners
NRF	Neighbourhood Renewal Fund
PCT	Primary Care Trust
TfC	Together for Children
WFIs	Work Focused Interviews





# Summary

## Introduction

This report presents the baseline findings for the evaluation of the 'work-focused services in children's centres' pilot. The main research reported here is taken from a baseline survey of Sure Start children's centre users, which took place in January 2009, and from familiarisation visits to the children's centres which took place in December 2008 and January 2009. However, this is supplemented throughout by information provided in the pilot bids, as well as publicly available labour market and demographic statistics. Together, it provides robust baseline information on the pilot local authorities and children's centres from which to measure the subsequent impact of work-focused services.

## The work-focused services in children's centres pilot

The work-focused services in children's centres pilot is one of a suite of Child Poverty Pilots that were announced in 2008. The pilot will be operating in three children's centres within ten local authority areas (30 children's centres in total) and will provide work-focused services through a dedicated Jobcentre Plus Personal Adviser in each children's centre, as well as activities and provision designed to support local parents into the labour market.

The pilot was introduced in October 2008 and went live towards the end of January 2009, giving pilot areas time to make plans for the implementation of the pilot. Therefore, the information in this report reflects the period just before the pilot went live in each of the ten areas, although some limited activity may have already been up and running.

The ten local authorities chosen to run the pilot are:

- Blackpool;
- Ealing;
- Kingston-upon-Hull;

- Lambeth;
- Nottingham City;
- Redcar and Cleveland;
- Sandwell;
- Somerset;
- Southampton;
- Westminster.

## Pilot approaches and early experiences of implementation

All the pilot local authorities have a sound grasp of the overriding pilot aim: to reduce child poverty by integrating work-focused services into children's centres and multi-agency working, thereby improving access to employment for those parents who are farthest from the labour market.

Overall, the approaches of the local authorities combine the delivery of standard work-focused services with additional packages of support, bespoke services, outreach and/or activities around promoting and increasing awareness of work-focused services. The local authorities have demonstrated a strong commitment to this approach in theory and a good understanding of why this approach is necessary to reach the most vulnerable families.

There are five core elements of the local authority pilot approaches:

- work-focused services (delivered through Jobcentre Plus Personal Advisers);
- additional packages of support and bespoke services to address the additional needs of the target client group;
- partnership working;
- integration of the Jobcentre Plus Personal Advisers into the children's centres;
- identifying and engaging parents.

Views expressed before the start of the pilot reveal that almost all Jobcentre Plus Personal Advisers were enthusiastic about their new role and expressed a commitment to action aimed at addressing child poverty. There were notable concerns among children's centre managers and Jobcentre Plus Personal Advisers alike around 'cultural' differences that might emerge between Advisers and children's centre staff, both of whom are used to working in different organisational environments and to different working practices and priorities. Resolving any differences that might arise, therefore, and being able to successfully integrate the Jobcentre Plus Personal Adviser into the children's centre, is seen to be absolutely critical to the success of the pilot. A lesser, but no less significant concern is

the negative perceptions of Jobcentre Plus that exist among some parents and children's centre staff.<sup>1</sup> Again, addressing these perceptions effectively, is seen to be important to engaging parents and securing the support of centre staff.

## Baseline information about the pilot local authorities and children's centres

All the ten pilot local authorities are currently ranked within the **top 75 most deprived local authority districts in England** (out of 354 districts in total), with five being among the top 20 most deprived local authority districts: Kingston-upon-Hull, Blackpool, Nottingham, Sandwell and Lambeth. All but one of the local authorities have equal or **lower levels of economic activity than the national average** (79 per cent), and a similar story emerges when looking at economic inactivity rates across the ten local authorities. Westminster, Sandwell, Nottingham and Kingston-upon-Hull all have exceptionally high levels of economic inactivity compared to both the national average and the other local authority pilots.

Half of the pilot local authorities have double the proportion of jobseekers than the national average of two per cent (Kingston-upon-Hull, Lambeth, Nottingham, Redcar and Cleveland and Sandwell). The rest have the same levels, or slightly higher levels than the national average. Six of the ten pilot local authorities have **higher levels of Incapacity Benefit (IB) claimants than the national average**, of which two have a significantly higher level (Blackpool and Redcar and Cleveland). Four areas (Lambeth, Nottingham, Sandwell and Kingston-upon-Hull) have high numbers of workless, lone parent households, with Lambeth having a notably high number compared to the rest of the pilot local authorities.

The demographic and labour market profiles of the wards served by the children's centres broadly reflect the profiles of the local authorities, with the exception that the majority of these wards constitute some of the most deprived pockets of worklessness within the local authorities. Most of the centres are located within disadvantaged areas and serve deprived communities.

In most of the reach areas of the children's centres, a **high proportion of children aged under five are in workless households** – as high as 30 to 40 per cent in many wards. All areas also have **high proportions of lone parents**, with 20 to 30 per cent of all families in the reach areas of the pilot children's centres in Blackpool, Southampton and Westminster being lone parent families.

All of the children's centres share some important other features, reflecting the selection criteria which was used to determine which local authorities would participate in the pilot:

---

<sup>1</sup> Dowson, L., House, S. and Sanderson, I. (2004). *Jobcentre Plus Customer Satisfaction 2003: Findings from Qualitative Research*. GHK and Policy Research Institute.

- All of the children's centres have had a mixed level of pre-pilot Jobcentre Plus involvement. Most (approximately two-thirds) have had a low use of pre-pilot Jobcentre Plus resource, reflecting the fact that most children's centres do not offer work-focused services as part of their core services.<sup>2</sup>
- In demographic and geographic terms, most of the children's centres are well positioned to deliver multi-agency working to improve the circumstances of families living in poverty.
- All children's centres indicate potential to successfully integrate work-focused services into the children's centres' activities and services, based on details provided in the local authority bids around how a close partnership would be developed between Jobcentre Plus and children's centres.

## Baseline information about the children's centre users

From the baseline user survey, most users (parents) of the pilot children's centres were women (87 per cent), white (73 per cent), and aged between 25 to 34 (49 per cent). Approximately two-thirds of parents were either married or living as a couple and 11 per cent reported having a long-standing illness or disability, of which most were from the older age group (45-54 year old parents).

The vast majority of parents had at least one child under five years old (94 per cent) whilst one in three had at least one child between five and 11 years old. Among parents with children under five years old in the children's centres, the majority had only one child in this age group whilst only one in three had two or more under fives.

Thirty seven per cent of all respondents were in employment at the time of the survey, with most being in part-time work (20 per cent), some being in full-time work (13 per cent) and a minority in self-employment (four per cent). Sixty-two per cent of respondents were not in employment, of which the majority said this was because they were looking after the home and/or family.

Among those who were unemployed or inactive, most had been unemployed or inactive for two to five years, broadly reflecting the ages of most respondents' children (under five). Indeed, there was a significant relationship between parents' employment status and the number of their children under five years old. Parents with only one child under five were more likely to be in full-time or part-time paid work, compared with those who had two or more children under five. Following a similar pattern, those parents with two or more children under five were more likely to be out of work because of family and home care responsibilities than those parents with only one child under five.

---

<sup>2</sup> Whilst all children's centres are required to have links with Jobcentre Plus, most do not offer work-focused activity as part of their core services.

The majority of parents were claiming benefit entitlements and tax credits. Most were claiming Child Tax Credits (CTC), followed by a smaller number claiming Housing Benefit (HB), Income Support (IS) and Council Tax Benefit (CTB). The majority of parents were from low-income households.

Most parents were frequent users of the children's centre, and the most frequent visitors were those parents who were out of work and claiming benefit entitlements.

Use of children's centre services reflected the core services on offer at the time of the survey: mostly childcare/nursery education facilities. Only one per cent of all respondents reported that they were currently making use of employment advice/support. Women were more likely than men to visit the children's centre in order to use parent/toddler groups or to socialise and meet others. 'Black or mixed' parents were more likely than other minority ethnic parents to visit the children's centre to use childcare/nursery education.

When asked about the use of Jobcentre Plus services, 15 per cent of respondents were using Jobcentre Plus services at a Jobcentre Plus office at the time of the survey and three per cent were using Jobcentre Plus services at their children's centre (mostly for jobsearch in both cases). However, those parents who were out of work and on benefits at the time of the survey had a higher level of take-up of Jobcentre Plus services than all other parents. They also used fewer jobsearch services and a much higher proportion sought advice on claiming benefits. Higher levels of take-up were also prevalent among the under-25 group of users and among lone parents. Over half of parents had never used Jobcentre Plus services at either a Jobcentre Plus office or children's centre.

Forty-eight per cent of all respondents said that they intended to use Jobcentre Plus services in the future, mostly for jobsearch, but this percentage is much higher among those parents who were out of work and on benefits (85 per cent), lone parents, parents with children under five, and black and 'other' minority ethnic groups. Of the 15 per cent of this group who said they did not intend to use Jobcentre Plus services in the future, most said this was because they would not be looking for work.

As a promising indication for the potential of the pilot, most respondents (66 per cent) said they would prefer to access Jobcentre Plus services in their local children's centre, while 24 per cent had no preference and ten per cent said they preferred the Jobcentre Plus office. Most said they would prefer to access Jobcentre Plus services in their local children's centre because it was nearer to home or because it was more convenient and accessible. The fact that parents thought the children's centre was a more comfortable and friendly environment was also an important factor.

Among those who said they preferred to access Jobcentre Plus services at the Jobcentre Plus office, the majority said this was because they thought they could access more jobs, contacts and knowledge of the labour market. Locality was also an important factor in understanding their preference for the Jobcentre Plus office, as was the preference to keep, as separate, the services at the children's centre and the Jobcentre Plus office.

Almost all of the findings from the user survey confirm recent findings on the profile of children's centre users, particularly regarding the ethnic and age profile of users, the household incomes of users, the main services used and the age profile of users' children.<sup>3</sup>

## Key observations

Taken together, it is possible to draw four key observations from the baseline findings:

- Firstly, it is evident from their demographic and labour market profiles, that all the pilot local authorities and children's centres are well positioned, and have a good reach into their target communities.
- Second, the user survey shows that there is more than sufficient demand for both work-focused services, and for having this service located on site, at the children's centre. Importantly, this demand is particularly strong among those parents who are out of work and claiming benefit entitlements.
- Third, the user survey indicates that some parents with children under five may present greater challenges for the pilot as they do not necessarily see work as an option in the short to medium term, alongside their primary childcare responsibilities. This suggests the importance of getting these parents to think about, or prepare for their longer term employment options, along with promoting the benefits and availability of good quality childcare, so that they can consider work as an option once their children start school, or earlier. This will be an important criterion within the evaluation for assessing progress on the pilots.
- Fourth, it is clear that a great deal of the success of the pilot hinges upon the role and the skills of the Jobcentre Plus Personal Adviser and the support they receive from children's centre staff. This is particularly the case in the task of engaging parents, promoting work-focused services and facilitating multi-agency working.

---

<sup>3</sup> TNS (2009). *Sure Start Children's Centres. Survey of Parents*. Department for Children, Schools and Families Research Report No. DCSF-RR083.

# 1 Introduction

This report presents findings from the baseline stage of the evaluation of the work-focused services in children's centres pilot. This involved a review of the pilot bids, submitted by the ten successful local authorities; familiarisation visits to all the children's centres, which took place in December 2008 and January 2009 (before the pilot went live at the end of January 2009); and a baseline survey of children's centre users, which took place January 2009.

The importance of Jobcentre Plus involvement in children's centres has been highlighted in the past through the Harker (2006) and Freud (2007) reports, the review of the child poverty strategy, and recent Welfare Reform Green papers.<sup>4</sup> Previous research by Dench *et al.* (2008) has shown that, although a considerable amount of Jobcentre Plus activity takes place within children's centres, it tends to be relatively limited in scope, ranging from simply providing leaflets and information, to vacancy boards and telephone or computer contact points, and one-off events such as job fairs.<sup>5</sup>

The greatest impact on parents' engagement and take-up of employment-related services has been observed in the minority of centres where there has been a Jobcentre Plus adviser available, whether via outreach activities or through funded sources such as Neighbourhood Renewal Fund (NRF). Providing such a resource is costly, however, and Dench *et al.* (2008) argued that there was scope for a 'minimum offer' consisting of leaflets and vacancy boards, and an 'enhanced

---

<sup>4</sup> Harker, L. (2006). *Delivering on Child Poverty: what would it take?* Department for Work and Pensions; Freud, D. (2007). *Reducing Dependency, increasing opportunity: options for the future of welfare to work*. Department for Work and Pensions.

<sup>5</sup> Dench, S., Aston, J., James, L. and Foster, R. (2008). *Jobcentre Plus and Children's Centres*. DWP Research Report No. 485. Leeds: Corporate Document Services.



offer' in those areas which appear to offer most potential for beneficial impact on parental employment rates and reductions in child poverty, which might include a linked adviser.

## 1.1 About the work-focused services in children's centre pilot

At the end of 2007, the Government created the Child Poverty Unit (CPU) to bring together key officials in the Department for Work and Pensions (DWP), the Department for Children, Schools and Families (DCSF) and HM Treasury. The work of the unit focuses on taking forward the Government's strategy to eradicate child poverty for the long term and driving a co-ordinated approach to tackling child poverty. Work has included developing a range of child poverty pilots to test and explore new approaches to tackling child poverty at local level. The work-focused services in children's centres pilot is one of a suite of Child Poverty Pilots that were announced in 2008, which aim to build up the evidence base of what works in tackling child poverty.

This pilot provides for a dedicated Jobcentre Plus Personal Adviser in each of three children's centres in ten local authority areas. The long-term vision is for the adviser to be seen as part of the children's centre staff. Each pilot will offer a common core set of services, consistent across the ten local authority areas. This will be supplemented by services or delivery mechanisms designed to support local parents into the labour market. Core services include outreach to those not using the centre and those using the centre but not using Jobcentre Plus services, providing lone parent adviser services such as New Deal for Lone Parents (NDLP), and offering services to those outside the traditional Jobcentre Plus contact group, such as potential second earners. An important part of the role is awareness raising, via seminars, events and training for centre users and centre staff, and the development of partnership working arrangements.

The aim of the pilot is to test whether children's centres can offer an effective means of engaging parents in labour market activity, moving them closer to work and ultimately into employment. While the pilot is not linked to the achievement of specific employment outcomes or targets, the aim is to increase engagement with a variety of services and activities which have this as their eventual goal.

The ten local authorities chosen to participate in the pilot are:

- Blackpool;
- Ealing;
- Kingston-upon-Hull;
- Lambeth;
- Nottingham City;
- Redcar and Cleveland;
- Sandwell;

- Somerset;
- Southampton;
- Westminster.

The process for selecting the ten local authorities effectively took place in two rounds. In the first, all local authorities in England were invited to express an interest in the pilot. Sixty-nine local authorities expressed an interest, of which 20 local authorities were invited to submit a full bid. In selecting those local authorities, the CPU:

- prioritised those local authorities from each region that had the highest proportion of children living in workless households;
- accounted for the Government Office assessment of local authorities' capacity to deliver the pilot and strengths of current partnerships;
- ensured that the expressions of interest were in line with the proposed model (or would be capable of being adapted);
- accounted for overall Jobcentre Plus capacity to deliver;
- ensured that the selection contained a spread of rural and urban authorities and a mix of deprived and more affluent authorities with pockets of deprivation, from across the different regions in England.

These 20 local authorities were then asked to provide more detail on how they would deliver the core model of the pilot; how they would develop the relationship between the children's centres and Jobcentre Plus; and what additionality the pilot would provide to existing working arrangements and services.

From this second round of bids, the final ten local authorities were then selected for the pilot. They were selected based on the following criteria:

- commitment and capability of the local authority to deliver a successful pilot in partnership with Jobcentre Plus, children's centres as well as regional Learning and Skills Councils (LSCs), relevant voluntary groups and others in accordance with the guidance issued on what information should be covered in the bid;
- the need to achieve an appropriate mix of sites in terms of demographics and geography, and target areas of deprivation/poverty;
- the need to ensure a mix of children's centres with differing levels of current engagement with Jobcentre Plus to see how the pilot would work under different circumstances, to maximise any learning;
- the need to run some of the CPU pilots concurrently, as well as independently, so some pilot areas will have more than one of the nine pilots in operation in their local authority. Ealing and Lambeth authorities are also involved in an HM Revenue & Customs (HMRC) pilot providing tax credit advice through children's centres and it was thought particularly useful to have an overlap in children's centres operating both pilots.

Each of the ten local authorities were asked to select five children's centres for the pilot, from which three were chosen using the same criteria listed above.

## 1.2 About our evaluation

The evaluation runs from December 2008 to June 2011. Key objectives of the evaluation are to assess:

- impact on take-up of work-focused services within children's centres, both by those already accessing centre services and those who access them for the first time as a result of the pilot
- 'reach' into groups of parents not normally accessing such services, such as partners of people who are on benefits or in low-paid work
- any observed impact on parents' attitudes to Jobcentre Plus services, and to work and training, which may affect future take-up of opportunities
- any observed impact on the understanding and communication of key messages about employment and child poverty by children's centre staff – to what extent are these now 'owned' by all stakeholders?
- development of partnership working between Jobcentre Plus Personal Adviser and children's centre staff, and the extent to which the Personal Adviser role and services have become integrated into children's centre core service offer.

The evaluation in its entirety consists of a mixed methods impact study, comprising surveys of centre users and longitudinal qualitative research designed to provide deeper insights into individual motivations and trajectories as well as analysis of administrative data held by the Department for Work and Pensions (DWP) and evaluation data collected specifically for the pilot, and a qualitative implementation study, designed to draw out pilot learning.

This baseline report is intended to set the scene for the pilot and evaluation and is based on the first round of the survey of centre users (a baseline survey), familiarisation visits to each of the pilot children's centres and a review of each of the local authority bids.

The baseline survey was conducted in January 2009, in partnership with GfK NOP. It involved a face-to-face visitor survey at the children's centres using CAPI (Computer Assisted Personal Interviewing). Survey questions centred around personal and demographic details, employment status of respondents and their partners, benefits claimed and level of income, use of Jobcentre Plus services, preferred site for the location of work-focused services (Jobcentre Plus office or children's centre), and use of children's centre services. In total, 1,177 interviews were carried out across the 30 pilot children's centres – an average of 9.8 interviews per shift. A copy of the questionnaire used for the survey is attached as Appendix C.

The familiarisation visits were carried out in December 2008 and January 2009. These consisted of visits to all the pilot children's centre, where key observations could be made about the centre's location, layout and services. During these visits, qualitative interviews were carried out with children's centre staff and Jobcentre Plus Personal Advisers. Some of the Jobcentre Plus Personal Advisers were not in post at the time of the visits, and in these cases, the interviews were carried out over the phone approximately four weeks after they had been recruited. Jobcentre Plus district leads were also interviewed as part of this stage of the research. Common questions for all interviewees centred around the aims of the pilot, planned delivery, parental engagement and how this might be done, the intended outcomes of the pilot, key risks and critical success factors.



## 2 The pilot local authorities and children's centres

This chapter provides background and baseline information on the pilot local authorities and children's centres. It draws on data collected from the Baseline User Survey, the pilot local authorities and the Department for Work and Pensions (DWP). The chapter provides:

- a brief overview of the pilot local authorities and children's centres;
- a description of the level and nature of pre-pilot work-focused services in the pilot local authorities and children's centres;
- an outline of the socio-economic contexts of the pilot local authorities;
- contextual information on the pilot children's centres, which includes a robust profile of centre users drawn from the baseline survey.

The chapter concludes by pulling together some of the key points about the background and baseline information on all the areas and any key implications for the work of the pilots going forward.

### 2.1 Overview of the pilot local authorities and children's centres

All of the 30 pilot children's centres share some common features. Not surprisingly, given the aims of the pilot in targeting child poverty, most of the centres are located in disadvantaged areas, and serve deprived communities. Alongside these demographic features, a review of the local authority bids for the work-focused services pilot shows that the majority of the centres all share the following:

- a potential for multi-agency working to improve the circumstances of families living in poverty. This is important as previous evidence has shown that disadvantaged families have the greatest need for integrated services;<sup>6</sup>

---

<sup>6</sup> National Audit Office (2006). *Sure Start Children's Centres*. London: National Audit Office.

- a potential to integrate the work-focused services into the children's centres' activities and services;
- relatively low levels of pre-pilot work-focused services within children's centres.

## 2.2 Pre-pilot work-focused activity in the local authority areas

There were a number of work-focused activities, pilots, projects and initiatives already underway in the pilot local authorities, that are too numerous to individually detail here. While they vary between the local authorities, in terms of their respective aims, target groups, design, etc., they do share some key common features that are worth outlining here in order to better understand the local contexts in which the work-focused services pilots have been launched.

The types of work-focused projects in the pilot local authorities share some common aims and design features, which are listed below.

### 2.2.1 Local and national pilots and projects

Local and national pilots and projects constitute most of the key work-focused activity in the pilot local authorities. A good proportion of these projects aim to **improve accessibility to work-focused services**, including information, advice and guidance (IAG); training; education; and benefits. These projects include:

- work focused interviews (WFIs) which have been piloted in children's centres in Westminster, Redcar and Cleveland, and Sandwell;<sup>7</sup>
- adult education and training classes which are being offered in some children's centres in Kingston-upon-Hull, Redcar and Cleveland and Westminster (the latter local authority targeting lone parents within their provision of NVQs);
- Jobcentre Plus activities in children's centres in Somerset and Redcar and Cleveland and other local authorities, including 'Options and Choices' events<sup>8</sup>; drop-ins; the provision of a linked Jobcentre Plus Adviser; information sessions on a demand led basis; and a named Jobcentre Plus contact;
- improved access to benefits. In Lambeth, the In and Out of Work Pilots aim to offer a streamlined approach to the provision of benefits to ensure quicker payments and encourage the take-up of employment, especially among those offered short-term employment. In Nottingham, the Primary Strategy for Change identifies cold spots in benefit uptake and targets these areas to address perceived stigma around benefit entitlement. In Redcar and Cleveland, there are six Citizens Advice Bureau sessions across the children's centres providing advice on benefits;

<sup>7</sup> This provision, however, did not offer dedicated Jobcentre Plus resource on a full-time basis.

<sup>8</sup> Options and Choices events are events where lone parents can develop their skills and understanding of the labour market.

- support for parents who wish to enter employment or training. In Ealing, the Work Opportunities for Women pilot supported parents in Southall and Northolt to enter training and employment.

Several pilots and projects in Lambeth aim to **improve access to childcare provision** so that parents may be supported into work. These projects mostly offer financial assistance to help towards childcare costs. They include a Childcare Affordability Pilot (CAP)<sup>9</sup>, which assists parents in London with affordable and flexible childcare, and the Free Childcare for Training and Learning for Work Pilot, which is a nationwide scheme to provide free childcare to workless parents to enable them to access training leading to work. The latter targets potential second earners as a priority group. Other projects in Lambeth which also help parents with childcare are the 3 and 4 Pathfinder and Communication, Language and Literacy (CLLD) Programme.

Ealing also had the CAP which supported over 100 parents with childcare while they accessed training and employment. In Redcar and Cleveland, the Family Information Service (FIS) based in children's centres provides information to parents regarding childcare while they access training opportunities.

A few pilots and pathfinders are targeted at broader family outcomes among the hardest-to-reach groups, but which include a focus on educational achievement and training. These include a Westminster project on developing parenting skills as a first step for many parents into learning. Westminster local authority is also part of the national pilot, Think Family. Both of these projects aim to use multi-agency working to respond to the needs of whole families, particularly those with multiple and acute needs. A European Social Fund (ESF) project in Somerset – Family Focus – adopts a similar approach to responding to the needs of the most vulnerable and disadvantaged families.

### **2.2.2 Local strategic work-focused activity**

A great deal of work-focused activity in the pilot local authorities takes place at a strategic local level, utilising key partnership working to address unemployment and worklessness. Most of this activity is conducted either through Local Strategic Partnerships (LSPs) or through Local Employment Partnerships (LEPs). The work-focused activity varies, but all of these partnerships target specific areas of deprivation, or particularly disadvantaged groups. Westminster Works, the Employment Network of the LSP, targets its activity on those neighbourhoods with the highest concentrations of residents claiming out of work benefits, while another partnership in Nottingham, the Employment and Skills Strategic Partnership, is

---

<sup>9</sup> The CAP was formed in 2005 as part of a three year funding package with the London Development Agency (LDA) and the Government's Sure Start unit. It is a pilot childcare programme providing affordable day care and flexible childcare across London to enable parents on low incomes to return to, remain in, or take up full or part time employment or training.



undertaking cross-cutting work with the Health Strategic Partnership to reduce long-term Incapacity Benefit (IB) claimants.

### **2.2.3 Public sector recruitment strategies targeting the local community**

A handful of children's centres and one London Borough consciously target their recruitment from the local communities. This is the case among some of the children's centres in Redcar and Cleveland, where there are specific schemes in place to support parents' career development in childcare, either through offering voluntary work or work as Children's Centre Assistants (CCAs). In Ealing, the borough has signed up to a Jobs Pledge to enable jobseekers to access opportunities in the council, including access to apprenticeship schemes for young people and adults. This also includes developing voluntary opportunities with the council, which has committed to creating 30 voluntary placements over the period October 2009 to October 2010.

### **2.2.4 Other work-focused activities**

A number of local authorities engage in other types of work-focused activity which is less widespread and consistent across the pilot areas. These include:

- Work-focused activity around employer engagement

These work-focused activities focus on employer engagement as their primary strategy for supporting people into work. This is often done at a strategic level, with organisations, such as Jobcentre Plus working with employers to support unemployed people into work, either through training, work placements or employment opportunities. Both 'The Employment Offer' in Ealing and Jobcentre Plus in Nottingham have adopted this approach as part of their efforts to support priority groups into work.

- Projects targeted at stimulating local enterprise

Two local authorities (Redcar and Cleveland, and Blackpool) are participating in the Local Enterprise Growth Initiative (LEGI). LEGI aims to boost local business and enterprise by providing support, premises and facilities to support people to start their own business.

- Work-focused activity using outreach

Many of the work-focused activities and projects in the pilot local authorities include some element of outreach work. However, one project, based in Nottingham, has an explicit focus on outreach as its central design feature. JobMAET (Job Multi Agency Employment Team) in Nottingham provides for a team of outreach workers to identify the barriers that some groups may face in gaining employment and to help them gain the training and skills they need. The aim is for the outreach workers to use a multi-agency approach to identify and work with specialist organisations who can provide tailored support to help these groups into work. In Kingston-upon-Hull, there has also been a strong outreach presence in the community, including children's centres, via the Jobcentre Plus Action Teams and, subsequently, outreach advisers.

- Regeneration projects

A few regeneration projects in the pilot local authorities feature aspects of their overall design which are intended to assist work-focused activity in the local area. One such example is the redevelopment of a library in Redcar and Cleveland, which will also function as an additional training venue for parents, undertaking training and education courses.

- Jobcentre Plus employment programmes and mandatory schemes

Jobcentre Plus also has a number of national employment programmes in place to support customers back into work, particularly the New Deal programmes and other pathways to work, operational in all the local authorities. The most relevant to the pilot target groups are New Deal for Lone Parents (NDLP) and New Deal for Partners (NDP).

NDLP is a voluntary programme designed to help parents into work, which is provided through Jobcentre Plus Personal Advisers. It offers practical advice and help on issues such as childcare, training and tax credits. New Deal for Partners provides similar support to partners of claimants on certain benefits or receiving either pension or tax credits.

In addition, benefit claimants are expected to engage in certain activities as part of claiming benefit. Lone parents claiming Income Support must currently attend mandatory WFIs when an initial claim is made, and thereafter every six months. A sanction may be applied if a client does not attend or participate in a mandatory WFI. They must also attend quarterly WFIs in the year prior to their Income Support ending<sup>10</sup>.

Those starting on Jobseeker's Allowance (JSA) have to attend an initial interview where a jobseeker's agreement is made, with a mandatory fortnightly signing. After three months, the jobseeker's agreement is reviewed and the client is required to look for a greater variety of work in a wider area. What follows is six weeks of weekly signing which then reverts back to fortnightly signing. Similar reviews take place after six, 12 and 18 months of starting on JSA, with jobseeker's activity increasing in intensity as the time spent out of work increases.

---

<sup>10</sup> The Social Security (Lone Parents and Miscellaneous Amendments) Regulations 2008 introduced increased obligations for lone parents. Since November 2008 lone parents with a youngest child aged 12 or over are no longer eligible to claim IS, and may claim Jobseeker's Allowance (JSA) if they are capable of paid work, or another appropriate benefit such as Employment and Support Allowance (ESA) if they are not. The age limit for a youngest child will be reduced to ten or over from October 2009, and seven or over from October 2010.

### 2.3 Pre-pilot work-focused activity in the children's centres

As Section 2.2.1 highlighted, there was some work-focused activity taking place in children's centres prior to the work-focused services pilots. However, most of the pilot children's centres (approximately two-thirds) could be said to have had a 'low'<sup>11</sup> use of pre-pilot Jobcentre Plus resource, reflecting the fact that most children's centres, while required to have links with Jobcentre Plus, do not offer work-focused activity as part of their core services. A minority of the pilot children's centres (approximately one-third) could be said to either have a 'medium'<sup>12</sup> or 'high'<sup>13</sup> use of pre-pilot Jobcentre Plus resource.

Among this minority of pilot children's centres, Jobcentre Plus resource mostly consisted of having a linked Personal Adviser, who would visit the centre on regular days (for those with 'high' levels of Jobcentre Plus resource), or on a demand-led basis (for those with 'medium' levels of Jobcentre Plus resource). A couple of centres only had a named Jobcentre Plus contact, but did not have regular Personal Adviser visits. On a less frequent basis, some Personal Advisers in these centres would run 'Options and Choices' events, or information sessions for parents. Other pre-pilot work-focused activity in the children's centres centred around adult learning and training courses, although these were not offered consistently across all centres, and were not offered as core services. Also WFIs had been trialled in a few children's centres in three of the pilot local authorities, prior to the work-focused services pilot (Redcar and Cleveland, Sandwell and Westminster).

Much of this work-focused activity had come about from local partnership initiatives with Jobcentre Plus or from pilot activity – all of which aimed to improve the accessibility of work-focused services by locating them in children's centres. A very small number of activities had come about after a children's centre had identified a particular demand or need among parents for a particular adult education or training course.

Given the small-scale and inconsistent nature of these activities, no formal evaluations of work-focused activities have been conducted prior to the work-focused services pilot.

### 2.4 The socio-economic contexts of the pilot local authorities

Most of the pilot local authorities are currently ranked within the top 75 most **deprived local authority** districts in England (out of 354 districts in total). Out

---

<sup>11</sup> Defined here as no regular Personal Adviser visits.

<sup>12</sup> Defined here as a centre with a linked Personal Adviser and/or regular Personal Adviser visits at least once a month.

<sup>13</sup> Defined here as regular Personal Adviser visits at least once a week.

of the ten local authorities, half are ranked among the top 20 most deprived local authority districts: Kingston-upon-Hull (11th), Blackpool (12th), Nottingham (13th), Sandwell (14th), and Lambeth (19th) (Table A.5).<sup>14</sup>

In terms of **employment**, Table A.1 shows that all but one of the local authorities have equal or lower levels of economic activity than the national average (79 per cent). Only Somerset has a higher proportion of economically active individuals (83 per cent).

Westminster, Sandwell, Nottingham and Kingston-upon-Hull all have exceptionally high levels of economic inactivity when compared to both the national average and the other local authority districts in the pilot.

It should be noted that the figures in Table A.1 are likely to have changed across most local authority districts since September 2008, with the onset of the economic recession and rising unemployment.

With regards to numbers of **benefit claimants**, Table A.2 shows that half the pilot local authorities have double the proportion of jobseekers than the national average of two per cent (Kingston-upon-Hull, Lambeth, Nottingham, Redcar and Cleveland and Sandwell). The rest have the same levels, or slightly higher levels than the national average. Somerset has a lower level by one per cent.

Among the ten pilot local authorities, Kingston-upon-Hull, Sandwell, Nottingham and Lambeth have the highest numbers of jobseekers (Table A.8).

Three pilot local authorities have slightly lower levels of Incapacity Benefit (IB) claimants than the national average of seven per cent; four have a higher level (Sandwell, Nottingham, Lambeth and Kingston-upon-Hull); and two have significantly higher level than the national average (Blackpool with 13 per cent and Redcar and Cleveland with ten per cent).

Among the ten pilot local authorities, Somerset, Nottingham and Sandwell have the highest numbers of IB claimants (Table A.8).

Again, it should be noted that the data in Table A.2 (August 2008) is not likely to reflect the impacts of rising unemployment that happened after this date, particularly among jobseekers, which is likely to have increased since.

Table A.7 shows that Lambeth, Nottingham, Sandwell and Kingston-upon-Hull have the highest numbers of **workless, lone parent households** out of all the ten pilot areas, with Lambeth having a notably high number compared to the rest (9,000 compared to 5,500 in Nottingham and Sandwell).

The service sector dominates the total number of employee jobs in all pilot local authorities, although there is some variation in how this breaks down among the sub-service sectors of distribution, hotel and restaurants; transport and communications, finance, IT, other business activities; public administration,

---

<sup>14</sup> Source: Indices of Deprivation, 2007.

education and health; and other services. After the service sector, the manufacturing sector has the second largest number of employees in Sandwell, Somerset, Redcar and Cleveland, and Kingston-upon-Hull.<sup>15</sup>

From Table A.3, it is possible to see in quite clear terms the impact of the recession on the pilot local authorities. Taking the number of **Jobcentre Plus vacancies** as just one indicator of the impact of the recession on local labour markets, it is possible to see that the number of jobcentre vacancies has declined by more than half between April 2008 and April 2009 in all but two of the pilot local authorities. This is likely to be the combined effect of a significant increase in the number of jobseekers entering the labour market in the latter half of this time period, and employers recruiting fewer staff.

## 2.5 Contextual information on the pilot children's centres

### 2.5.1 Areas served by the children's centres

All of the children's centres are well used within their local areas, with registration data showing that the average number of registered users across all pilot centres is approximately 371. There is some variation between individual centres which can be explained by factors such as how long the centre has been established, the overall size of the local community, and the centre location (whether it is part of a school or nursery, or other local services and amenities).<sup>16</sup>

From Table A.5, it is clear to see that many of the pilot children's centres are based in and/or serve some of the most deprived neighbourhoods within their respective local authorities. Many of the children's centres serve pockets of particularly deprived wards. From Table A.4, it is possible to identify only five out of the 29 key wards served by the children's centres which have lower levels of economic inactivity than the local authority average. In some wards, levels of economic inactivity are considerably higher (i.e. more than ten percentage points) than the local authority average, highlighting particular geographical concentrations of high unemployment and worklessness within the local authority district (Westminster Church Street, Southampton Bevois, Redcar and Cleveland Grangetown, Kingston-upon-Hull Newland, Kingston-upon-Hull Orchard Park and Greenwood).

Table A.9 lists the key wards served by the pilot children's centres and the numbers of IS and JSA claimants in each of these wards who are lone parents. From these figures, it is possible to see that pockets of worklessness exist within many local authorities. In particular, Park ward in Nottingham and Aspley ward in Nottingham stand out as having exceptionally high numbers of IS claimants in comparison to other wards in those areas.

---

<sup>15</sup> Source: ONS annual business inquiry employee analysis.

<sup>16</sup> Source: information supplied by the pilot local authorities.

All but two of the reach areas are urban and levels of ethnicity vary, depending on the size of minority ethnic communities living in the local neighbourhoods and the broader local and regional ethnic profile. In most of the reach areas, a high proportion of children aged under five are in workless households (Table A.5) – as high as 30 to 40 per cent in many wards. All areas also have high proportions of lone parents, with 20 to 30 per cent of all families in the reach areas of the pilot children’s centres in Blackpool, Southampton and Westminster being lone parent families.

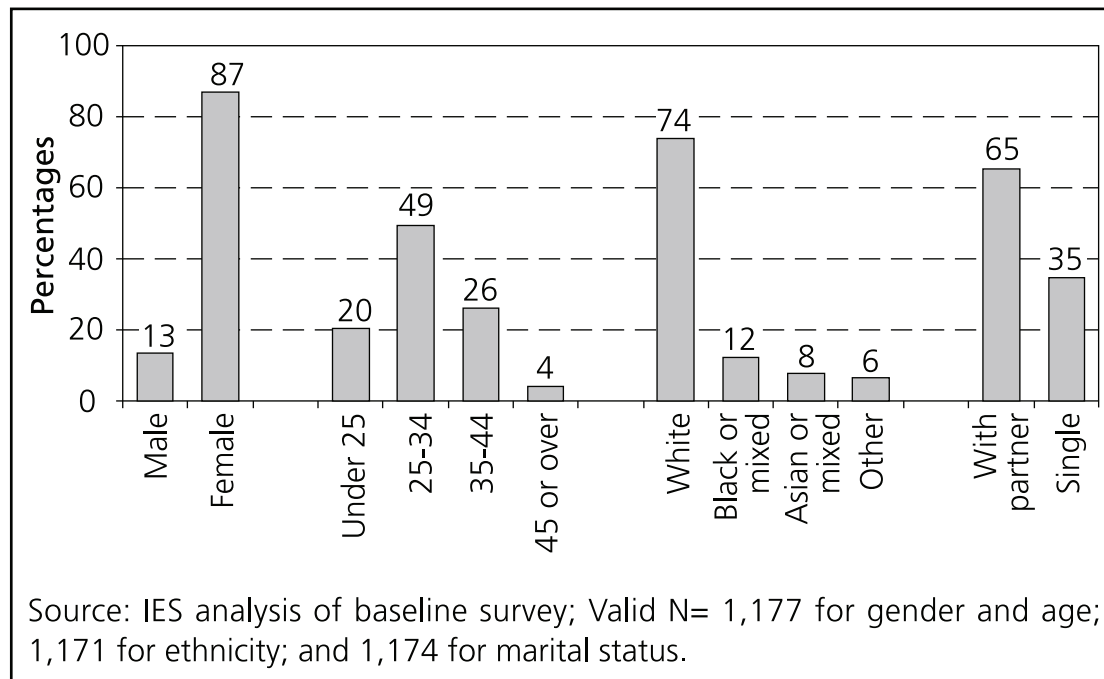
**2.5.2 Profile of pilot children’s centre users<sup>17</sup>**

*Demographic profiles*

**Gender, age, disability and partner status**

All the centre users we interviewed in our Baseline Survey were parents (as opposed to other family members, carers or guardians) and most were women (87 per cent) (Figure 2.1). The majority of respondents were white (74 per cent), followed by black/black British and Asian/Asian British. Most parents were aged 25 to 34, followed by those aged 35 to 44, and then those aged 18 to 24. One in five parents were under 25 year of age.<sup>18</sup> Approximately two-thirds of respondents were either married or living as a couple. Eleven per cent of all respondents reported having a long-standing illness or disability, of which most (31 per cent) were aged 45 to 54 years of age.

**Figure 2.1 Demographic distribution of respondents (percentages)**



<sup>17</sup> All information in this section is sourced from the Baseline Survey of children’s centre users, which included 1,177 interviews with parents in total.

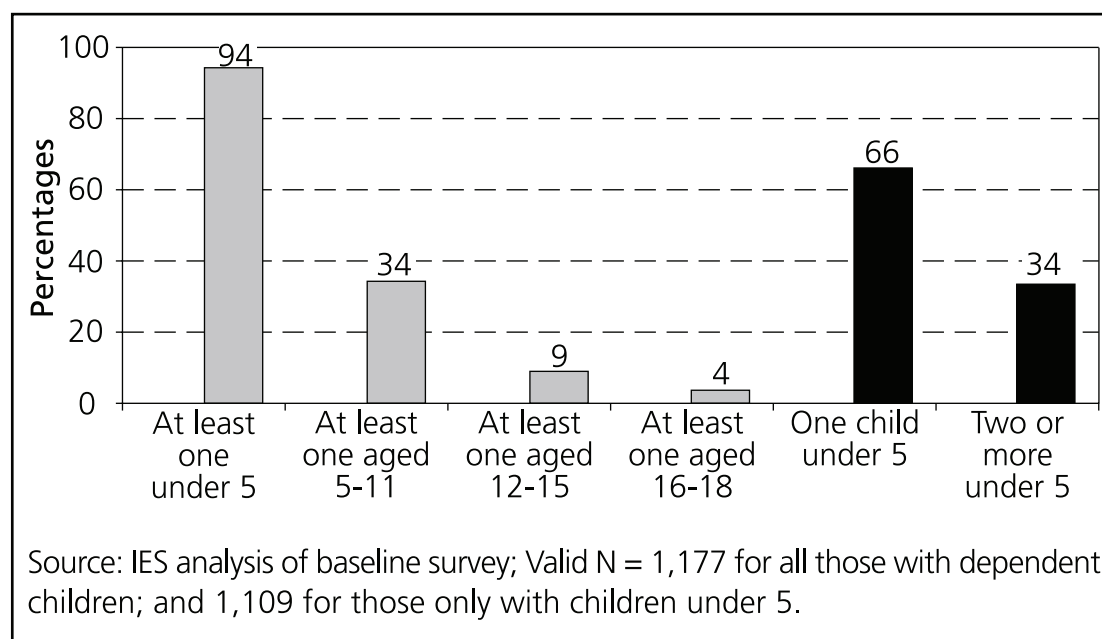
<sup>18</sup> 231 respondents were in the 18-24 age category and only nine were in the 16-17 category; there were no respondents in the 14-15 age category.

The demographic profile of centre users closely matches that of the most recent Department for Children, Schools and Families (DCSF) survey of parents in children's centres, which also found that 49 per cent of parents were 24-34 years of age and a similar proportion (74 per cent) were white.<sup>19</sup>

**Number and age of dependent children**

The vast majority of parents interviewed had at least one child under five years old (94 per cent) whilst one in three parents had at least one child between five and 11 years old. Only a small minority had children 12 years old or older. Among parents with children under five years old in the children's centres, the majority had one child in this age group whilst only one in three had two or more under fives (see Figure 2.2). Again, this closely matches that of the recent DCSF survey of parents in children's centres, which also found that the majority of parents had children under the age of five, with only a small minority having none.<sup>20</sup>

**Figure 2.2 Number of dependent children among respondents (percentages)**



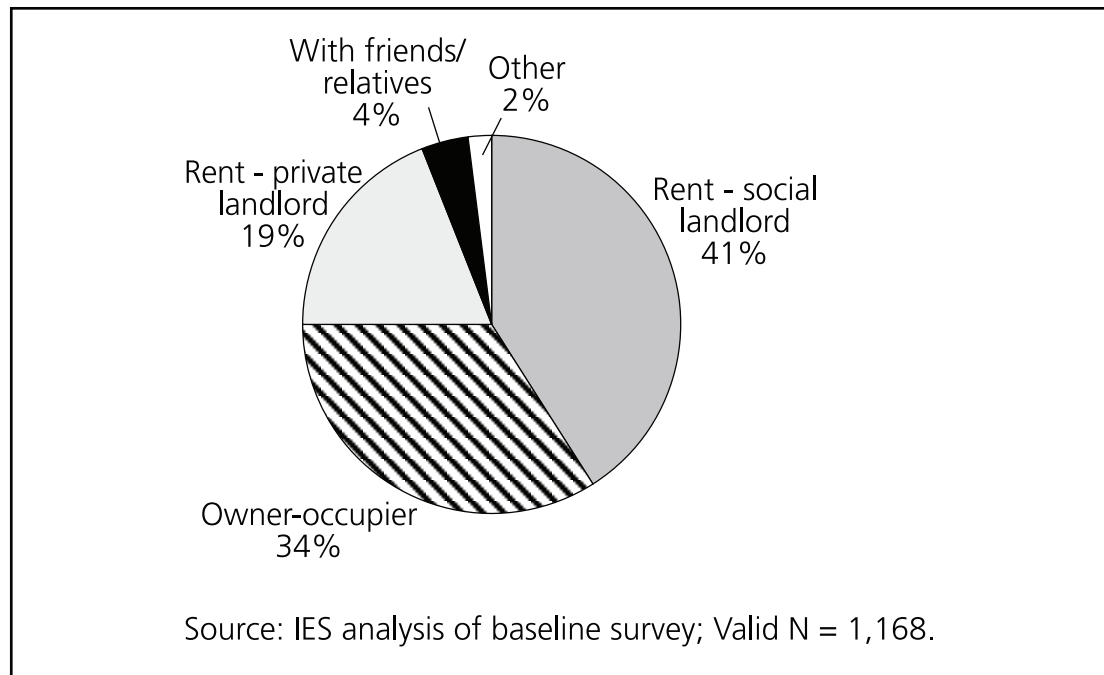
<sup>19</sup> TNS (2009). *Sure Start Children's Centres. Survey of Parents*. Department for Children, Schools and Families Research Report No. DCSF-RR083.

<sup>20</sup> Ibid.

## Housing circumstances

Over half of respondents were living in rented accommodation, with approximately one-third being owner-occupiers (Figure 2.3).

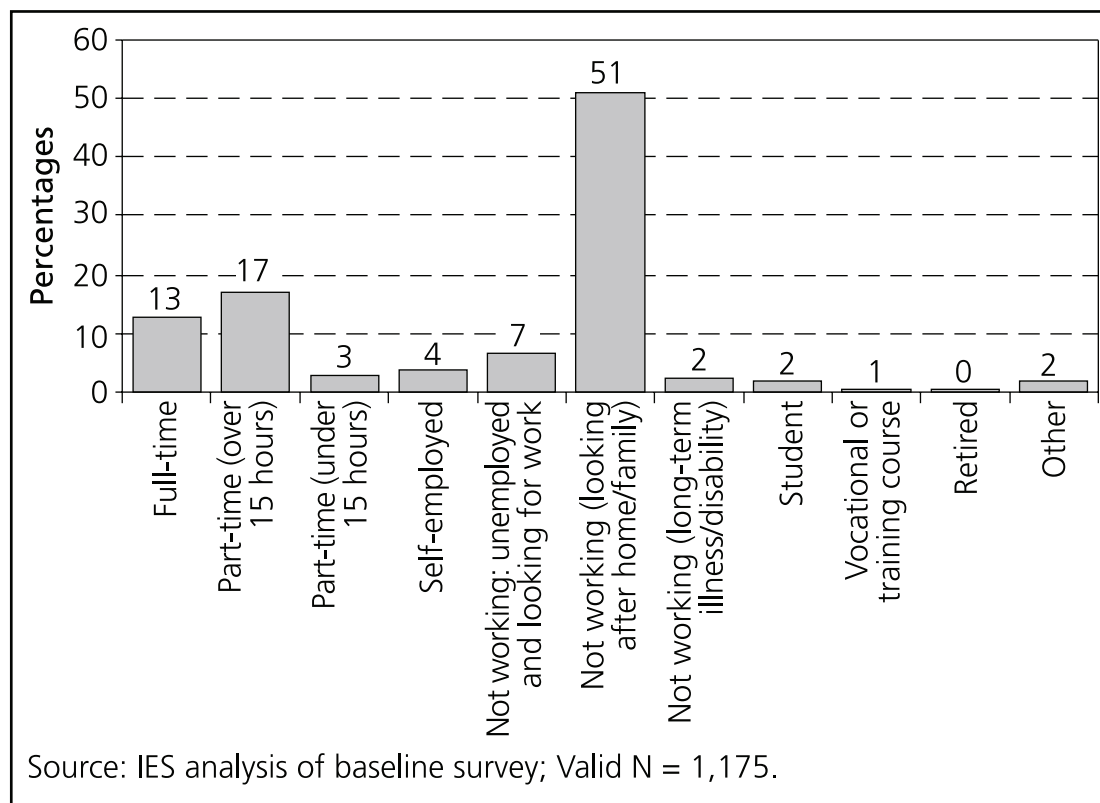
**Figure 2.3 Respondents' housing circumstances**



## Employment

Thirty-seven per cent of all respondents were in employment at the time of the survey, with most being in part-time work (20 per cent), some being in full-time work (13 per cent) and a minority in self-employment (four per cent). Sixty-two per cent of respondents were not in employment, of which the majority said this was because they were looking after the home and/or family. Seven per cent were unemployed and looking for work whilst only two per cent were not working because of long-term disability (see Figure 2.4).



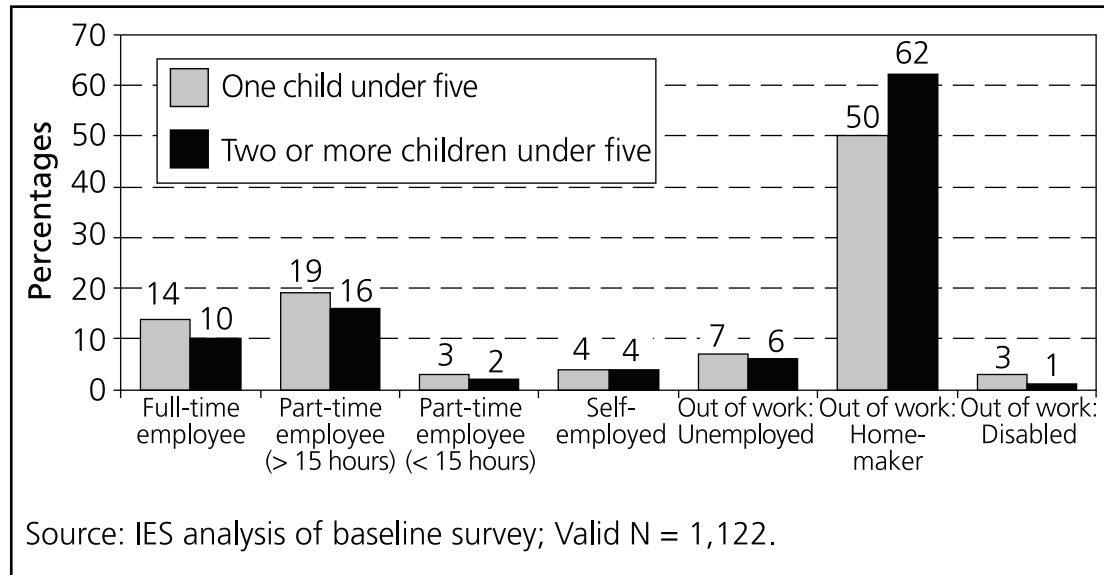
**Figure 2.4 Respondents' employment status (percentages)**

Among those who were unemployed, most had been unemployed for two to five years (33 per cent), broadly reflecting the ages of most respondents' children (under five). A smaller group (21 per cent) had been unemployed for five to ten years and a similar sized group had been unemployed for less than a year (19 per cent). A small percentage had been unemployed for more than ten years (11 per cent).

### Employment status and caring responsibilities

There was a statistically significant relationship between parents' employment status and the number of their children under five years old. As Figure 2.5 shows, parents with only one child under five were more likely to be in full-time or part-time paid work, compared with those who had two or more children under five. Following a similar pattern, those parents with two or more children under five were more likely to be out of work because of family and home care responsibilities ('homemaker') than those parents with only one child under five.

**Figure 2.5 Employment status by caring responsibilities (percentages)**



The majority of respondents' partners were in employment (79 per cent). Seven per cent were unemployed; six per cent were not looking for work because they were looking after the home and/or family; five per cent were unemployed because they had a long-term illness or disability; and two per cent were students.

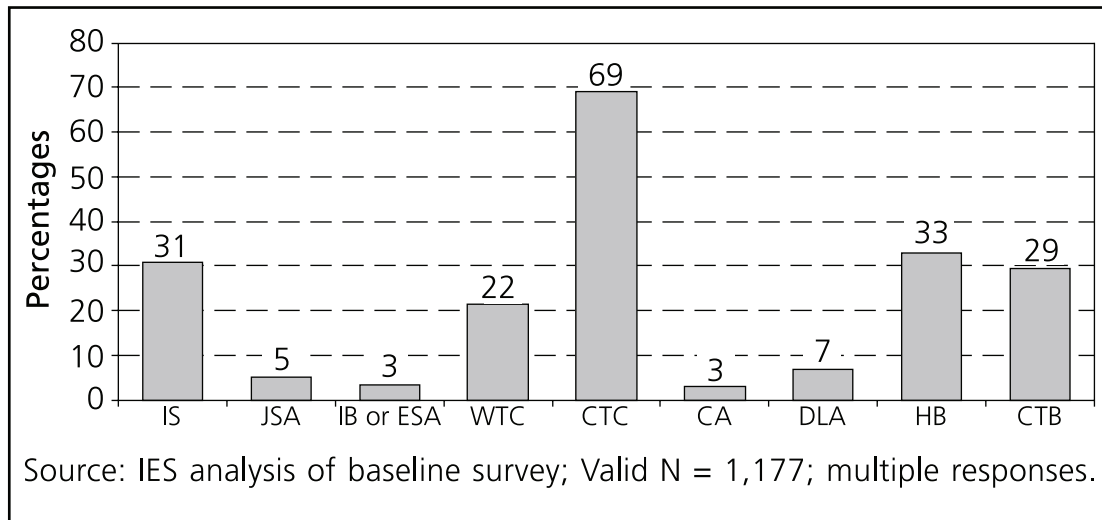
### *Benefits and income*

#### **Receipt of benefits and tax credits**

The majority of survey respondents were claiming benefit entitlements and tax credits. Almost 70 per cent said they were claiming Child Tax Credits (CTC)<sup>21</sup>, followed by a smaller number saying they claimed Housing Benefit (HB), IS and Council Tax Benefit (CTB) (Figure 2.6).

<sup>21</sup> It should be noted that although this figure is high it is still likely to be an underestimate. Although the exact amount of entitlement is based on income, most people with children are eligible for some element of CTC. Given that respondents of the baseline user survey were on relatively low incomes, it would be expected that more of them would have been claiming CTC.

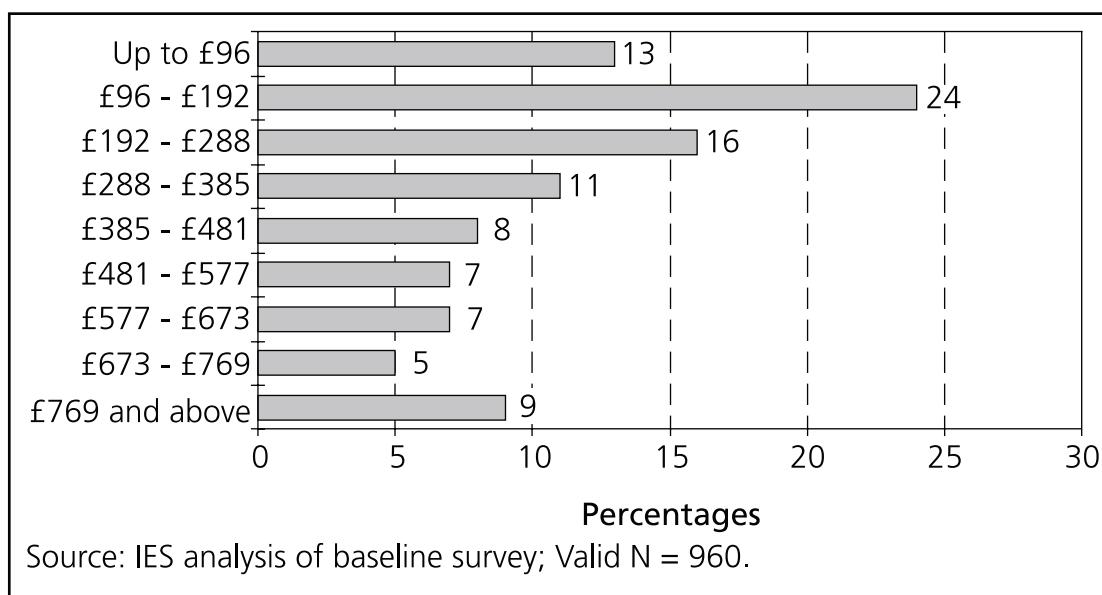
**Figure 2.6 In receipt of benefits or tax credits – respondents or their partners (percentages)**



### Household income

The majority of respondents were from low-income households (Figure 2.7), with over one-third saying they received an income of £192 or less. The DCSF survey also found that the majority (76 per cent) of respondents were on low incomes.<sup>22</sup>

**Figure 2.7 Weekly household income of survey respondents (percentages)**

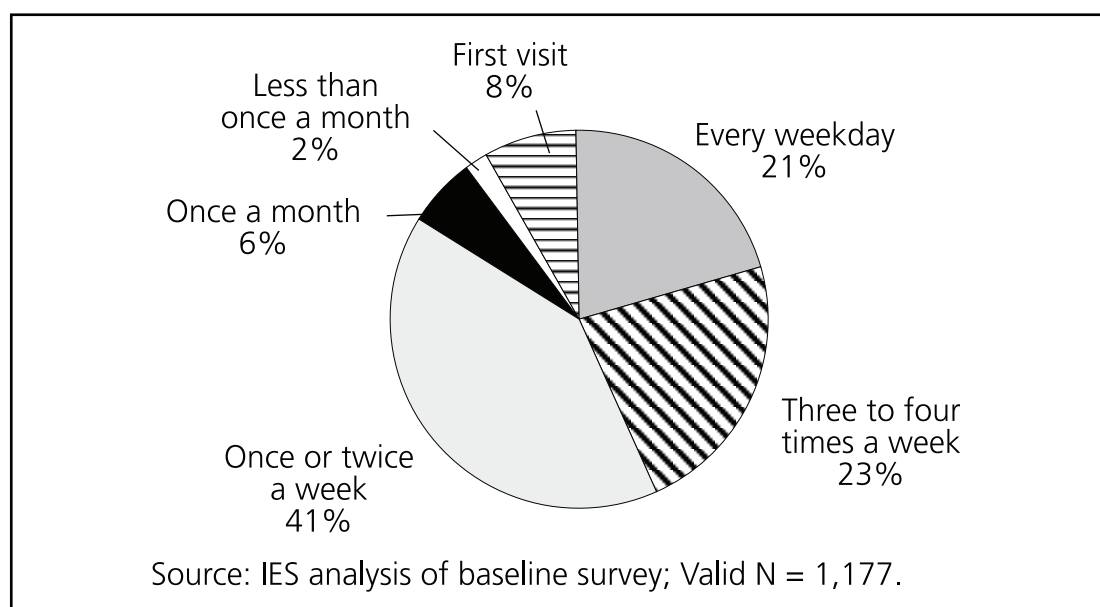


<sup>22</sup> TNS (2009). *Sure Start Children's Centres. Survey of Parents*. Department for Children, Schools and Families Research Report No. DCSF-RR083.

*Use of children's centre services***Frequency of visits**

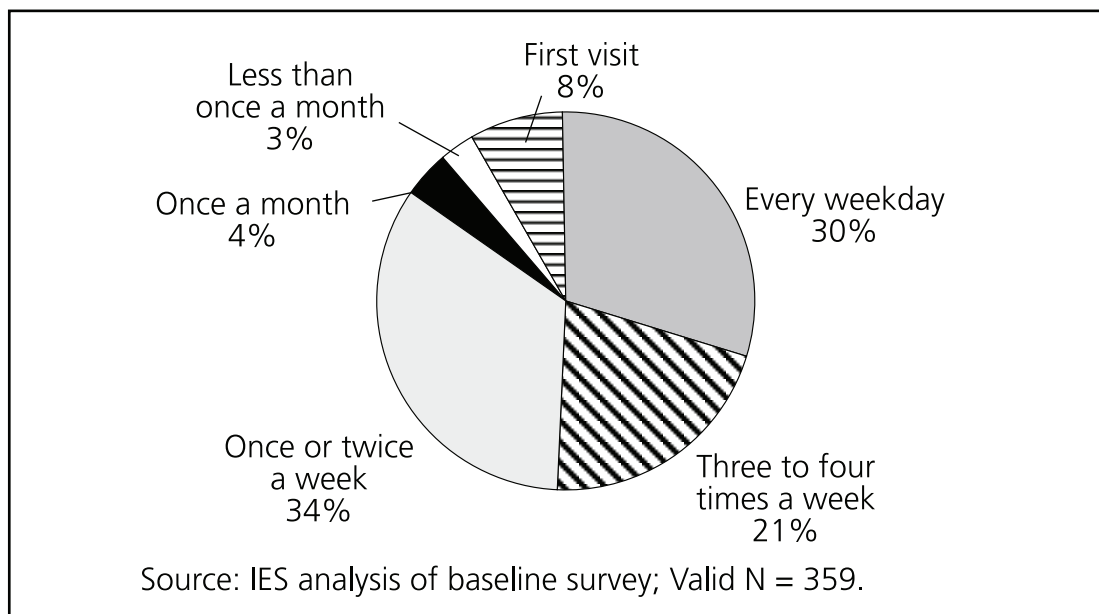
Most respondents were frequent users of the children's centre, with 41 per cent visiting the centres once or twice a week. Also, just under ten per cent of respondents were visiting the children's centre for the first time (Figure 2.8).

**Figure 2.8 Frequency of visits to the children's centre – all respondents**



Among the respondents, those parents who were out of work and claiming benefit tended to visit the children's centres more frequently, 30 per cent compared to 21 per cent of all respondents (Figure 2.9).

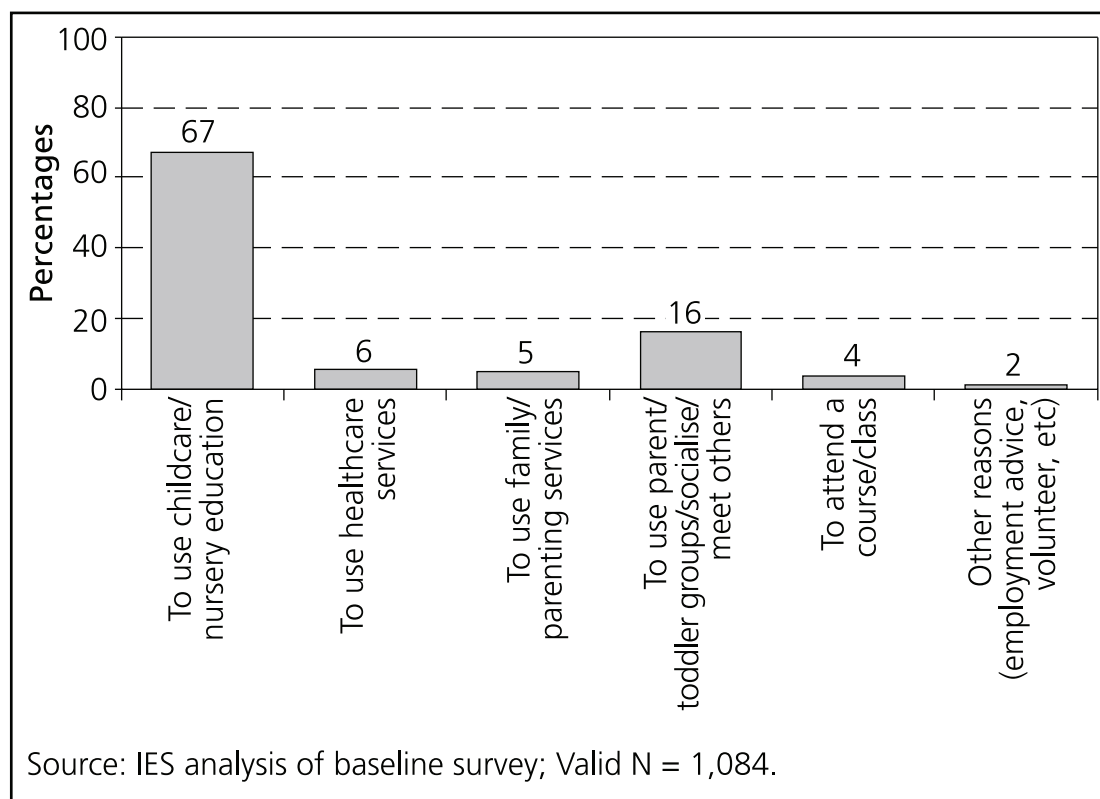
**Figure 2.9 Frequency of visits to the children's centre – parents out of work and claiming benefit entitlements**



**Use of particular services**

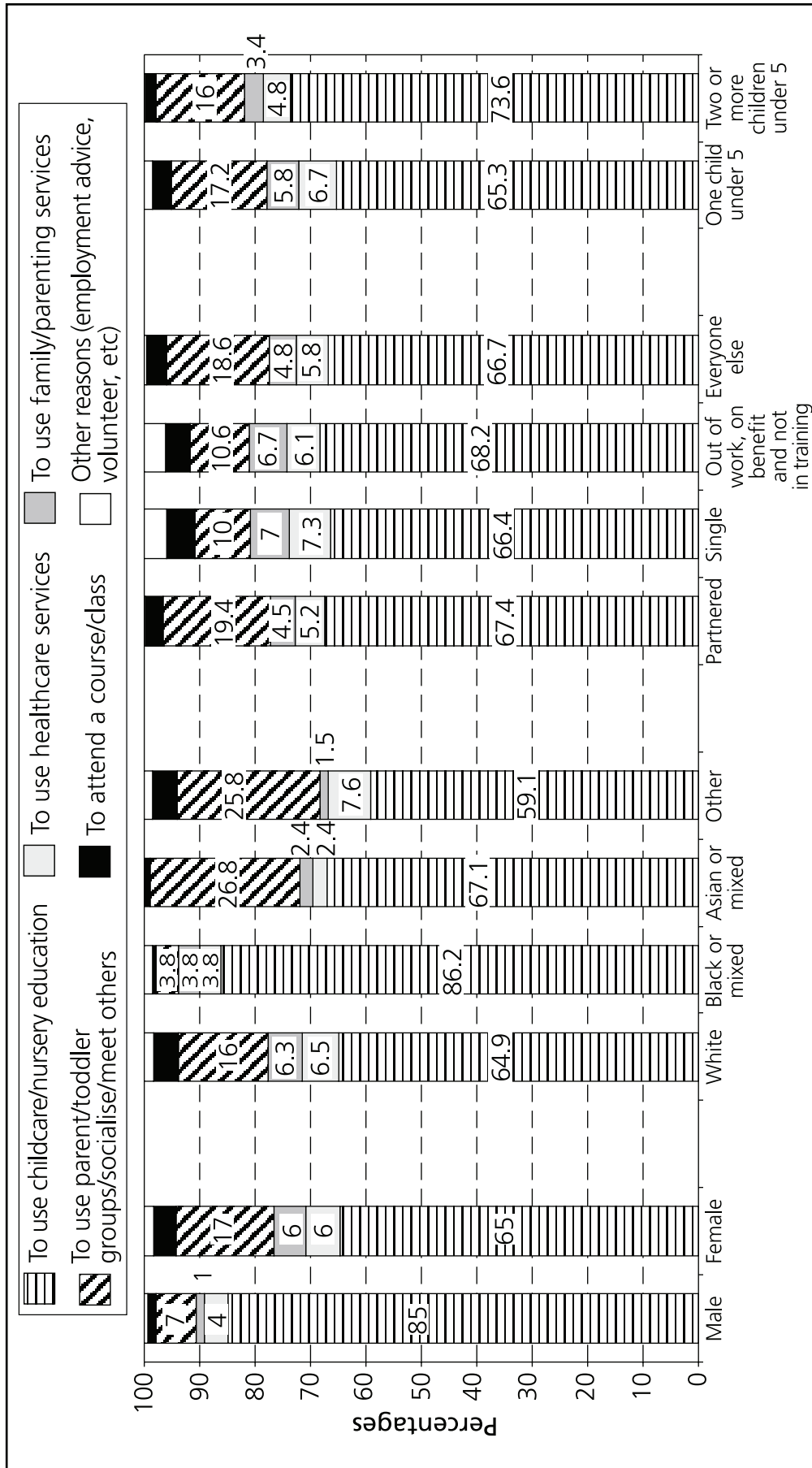
Use of children's centre services reflected the core services on offer at the time of the survey: childcare/nursery education facilities. Sixty-seven per cent of respondents said they usually visited the children's centre to use these services, with the rest accessing parents and toddlers groups, other social groups and services (Figure 2.10). Only one per cent of respondents reported that they were currently using employment services, which is not surprising given that only a minority of the pilot children's centres had, what could be termed, a 'high' level of pre-pilot Jobcentre Plus resource (see Section 2.3). These results are consistent with the DCSF survey, which found that childcare and nursery education services were the most heavily used.<sup>23</sup>

<sup>23</sup> TNS (2009). *Sure Start Children's Centres. Survey of Parents*. Department for Children, Schools and Families Research Report No. DCSF-RR083.

**Figure 2.10 Usual reason for visiting the children's centre**

There were some significant differences among the different groups regarding use of some services (Figure 2.11). In particular, women were more likely than men to visit the children's centre in order to use parent/toddler groups or to socialise and meet others. Also 'black or mixed' parents were more likely than other minority ethnic parents to visit the children's centre to use childcare/nursery education.

**Figure 2.11 Usual reason for visiting the children's centre, by demographic group**



Source: IES analysis of baseline survey; Valid N = 1,084 for gender; 1,078 for ethnicity; 1,081 for marital status; 1,084 for benefit status; and 1,024 for those with children under five.

*Use of Jobcentre Plus services – levels of take-up*

**Levels of past and current take-up**

When asked about past use of Jobcentre Plus services, 56 per cent of centre users said that they had never used Jobcentre Plus services at either a Jobcentre Plus office or children’s centre.<sup>24</sup> The majority of survey respondents (82 per cent) said that they were not using any Jobcentre Plus services at the time of the survey, 15 per cent were using Jobcentre Plus services at a Jobcentre Plus office at the time of the survey and three per cent were using Jobcentre Plus service at their children’s centre (Figure 2.12). Virtually no respondents were accessing Jobcentre Plus services at both their children’s centre and the Jobcentre Plus office.

**Figure 2.12 Past, present and future take up of Jobcentre Plus services (percentages)**

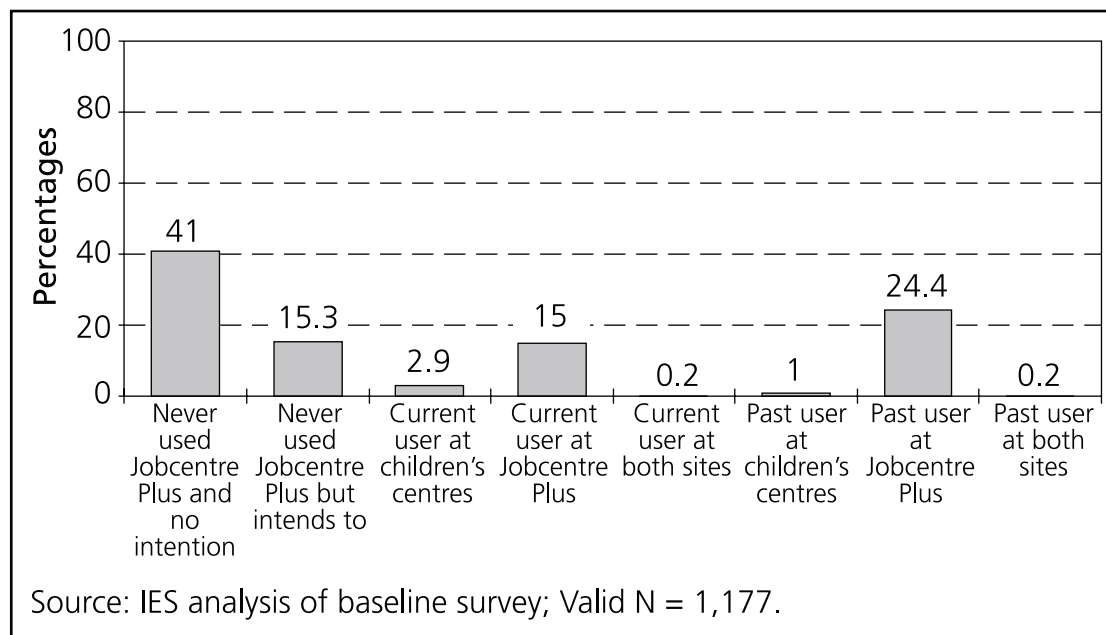
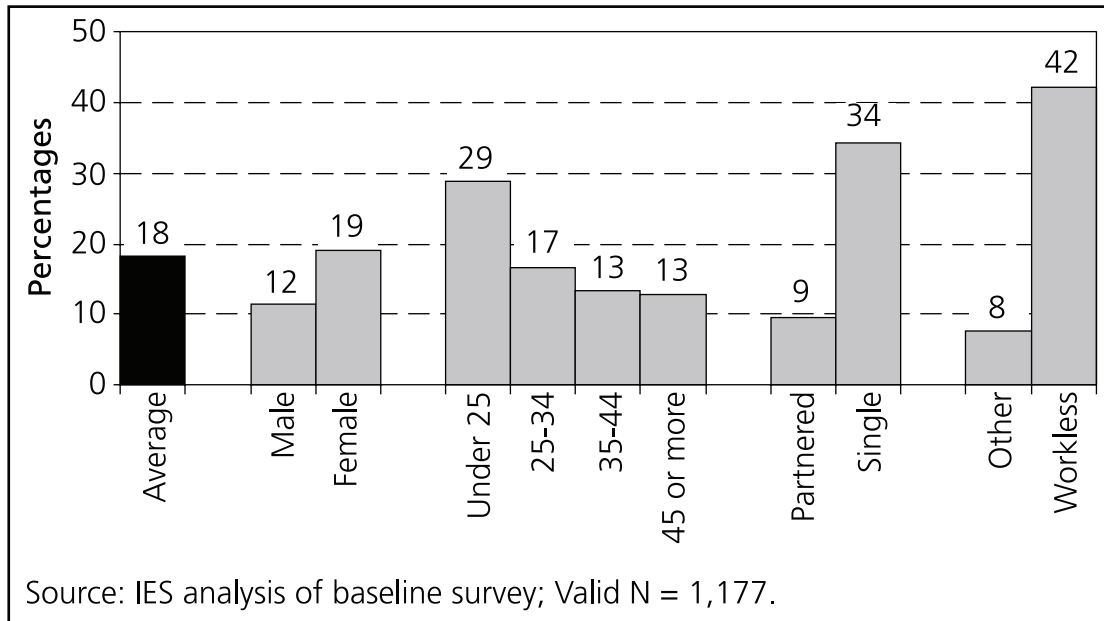


Figure 2.13 shows in more detail the variations in the current take-up of Jobcentre Plus services across the demographics of children’s centre users who are out of work and on benefits. Not surprisingly, those out of work and on benefits (‘workless’) have a higher level of take-up of Jobcentre Plus services. Higher levels of take-up were also prevalent among the under-25 group of users and among lone parents.

<sup>24</sup> ‘Jobcentre Plus services’ was not defined in the question asked, so it is possible that some parents who answered ‘never used Jobcentre Plus services’ are likely to have had some contact with Jobcentre Plus for their benefits.



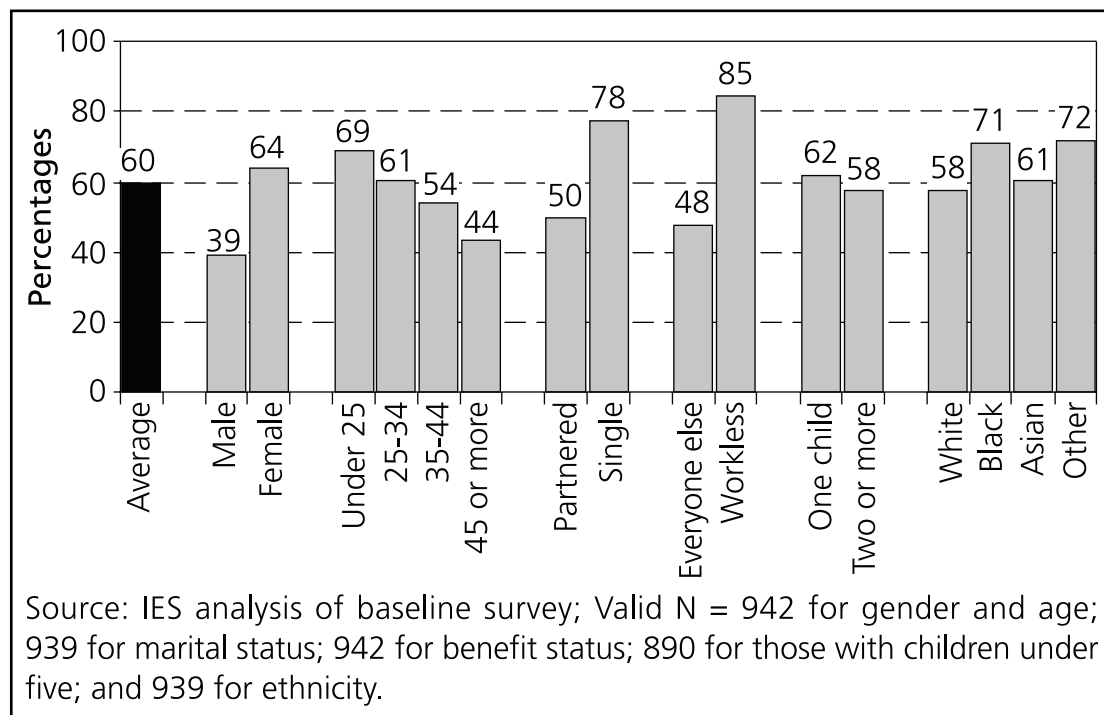
**Figure 2.13 Current users of Jobcentre Plus services, by age, gender, partner and work status**



#### Levels of future take-up

Forty-eight per cent of respondents said they intended to use Jobcentre Plus services in the future. This response was particularly high (85 per cent) for those who were out of work and on benefits, lone parents (78 per cent), parents with children under five (69 per cent) and black and other minority ethnic groups (Figure 2.14).

**Figure 2.14 Intention to use Jobcentre Plus services in the future, by gender, age, partner and work status, number of children under five, and ethnicity (percentages)**



### *Use of Jobcentre Plus services – type of services used*

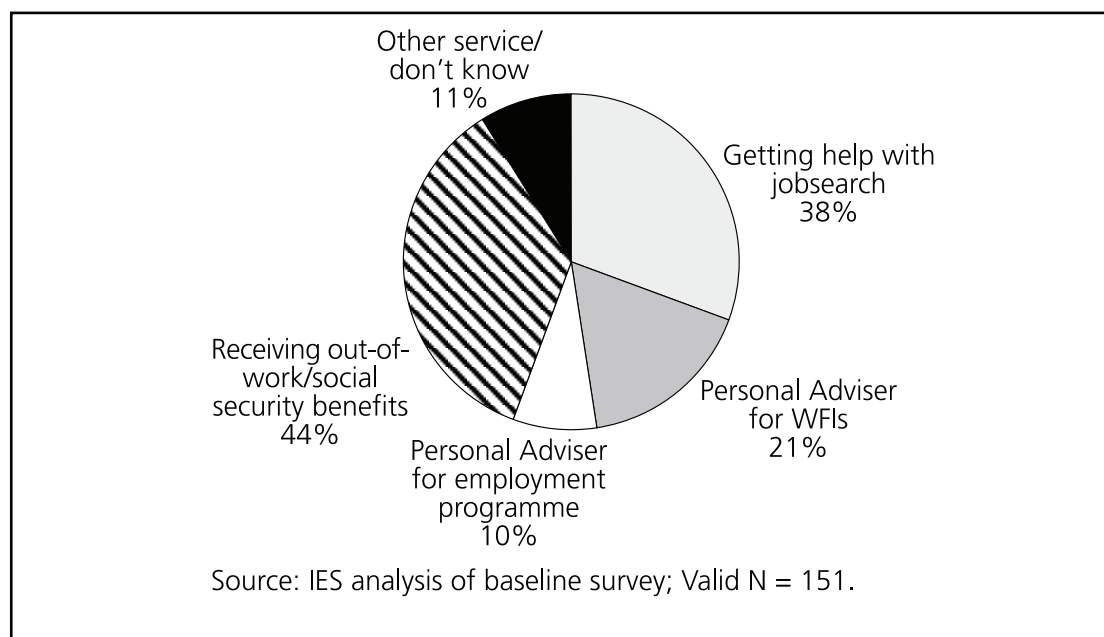
#### **Past and current use of services**

Of all of those who said they had used Jobcentre Plus services in the past, respondents were asked which services, out of a list provided, they had used. Seventy per cent said this was for jobsearch services, 17 per cent said it was for WFIs, nine per cent said it was to see an Employment Adviser, and eight per cent said it was to seek advice on claiming benefits, or to claim benefits<sup>25</sup>.

This pattern of service use differed, however, among those parents who were currently using Jobcentre Plus services – i.e. fewer used jobsearch services (36 per cent) and a much larger proportion used the service to receive out-of-work/social security benefits (43 per cent). There was a similar pattern of current service use among those parents who were out of work and on benefits (see Figure 2.15).

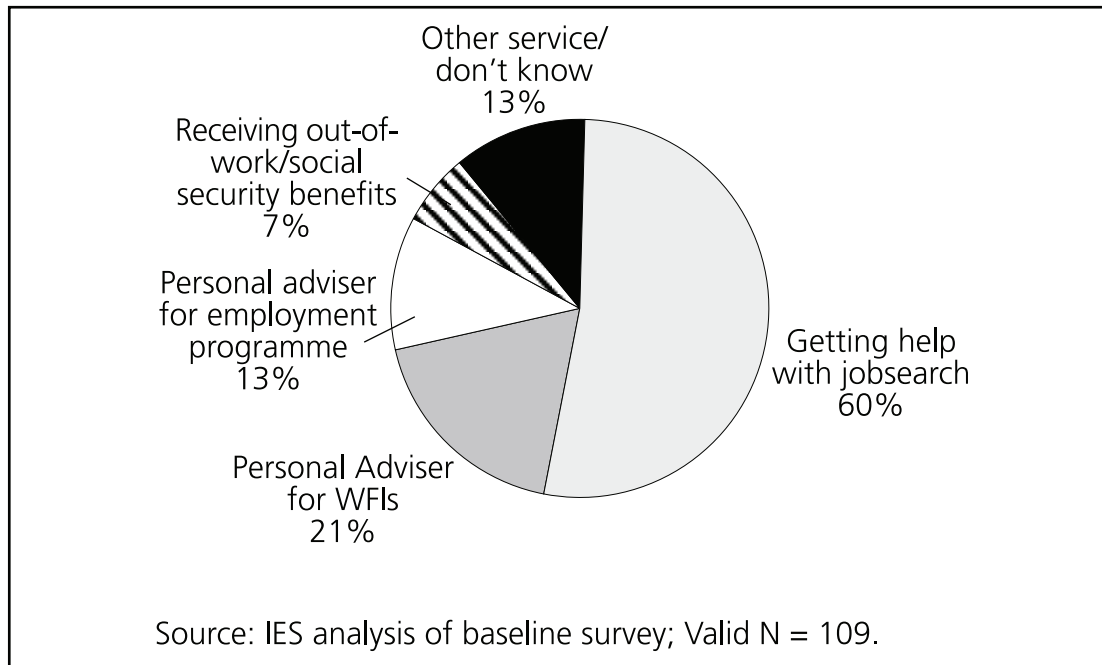
It is likely that this reflects the change of circumstances brought about by having a child, in that fewer parents were likely to access help with jobsearch now that they had a child (see fig. 2.16 and 2.15). It is also likely that this reflects the particularities of those parents who were not in employment at the time of the survey, the majority of whom, our survey revealed, had been out of work for more than two years, and therefore more likely to be accessing out-of-work benefits.

**Figure 2.15 Types of Jobcentre Plus services *currently* used, by parents out of work and claiming benefit entitlements**



<sup>25</sup> Respondents were not asked about the receipt of social security benefits, but if they gave this as an answer these responses were recorded.

**Figure 2.16 Types of Jobcentre Plus services used *in the past*, by parents out of work and claiming benefit entitlements**



### Future take-up

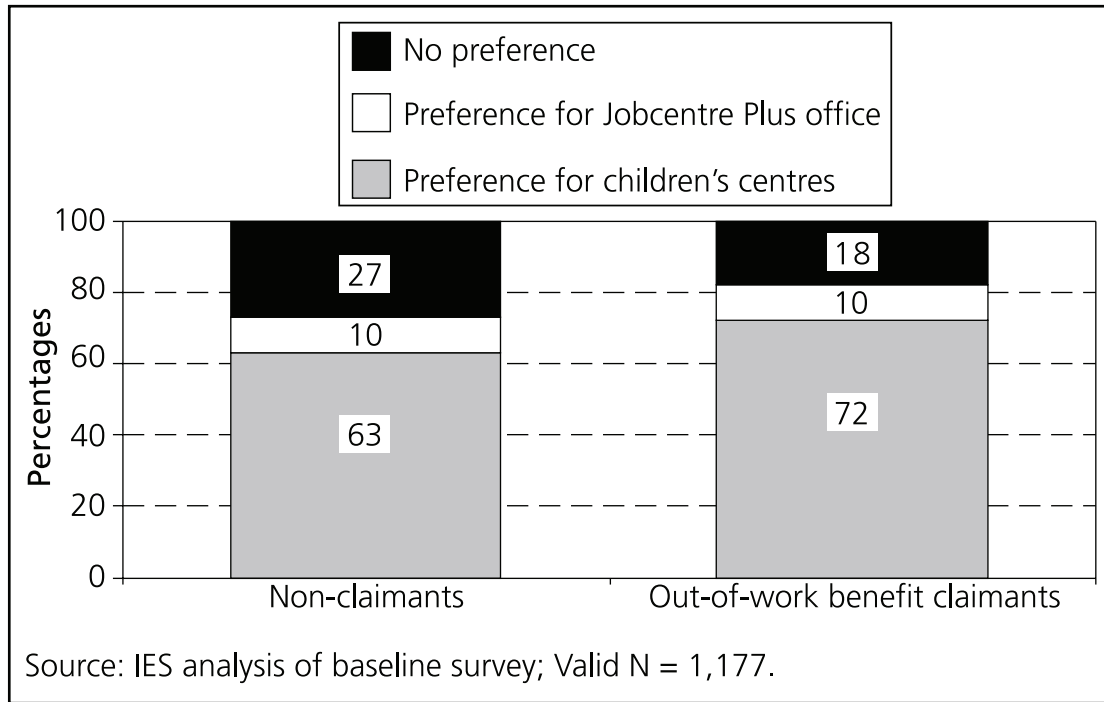
Forty-eight per cent of all respondents said that they intended to use Jobcentre Plus services in the future, mostly for jobsearch (80 per cent), advice (38 per cent), enquiries about benefits (14 per cent), enquiries about training (12 per cent), or about working (12 per cent).

This figure is much higher among those parents who were out of work and claiming benefits, with 85 per cent of these users expressing an intention to use Jobcentre Plus services in the future, with a fairly similar pattern of intended service use as that expressed by all respondents. Of the 15 per cent of this group who said they did not intend to use Jobcentre Plus services in the future, most said this was because they would not be looking for work. A small minority (nine per cent) said they would prefer to use other ways of looking for work.

### *Use of Jobcentre Plus services – preferred site for access*

As a promising indication for the potential of the work-focused services pilots, most respondents (66 per cent) said they would prefer to access Jobcentre Plus services in their local children's centre, while 24 per cent had no preference and ten per cent said they preferred the Jobcentre Plus office (Figure 2.17). There were no significant differences in responses to this question across the demographic groups.

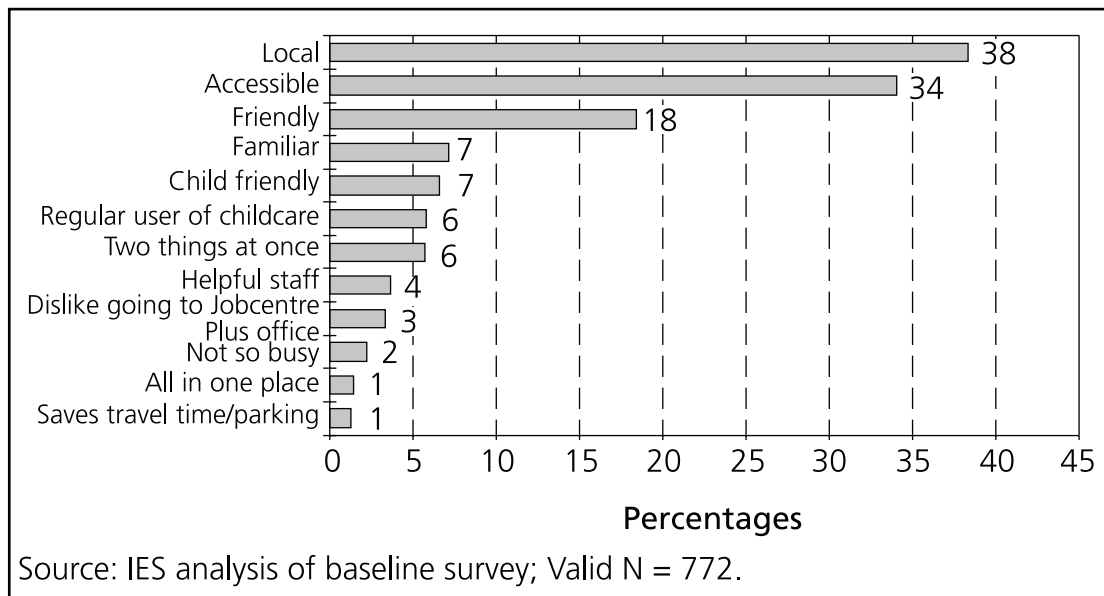
**Figure 2.17 Preferred site for Jobcentre Plus services (percentages)**



**Reasons for preferred site of access to Jobcentre Plus services**

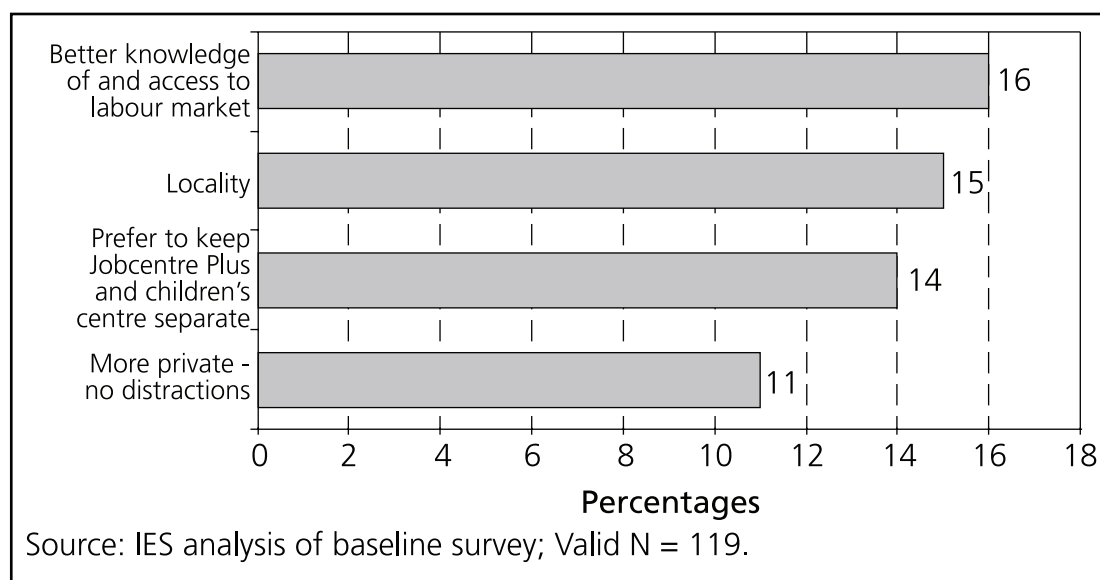
Most said they would prefer to access Jobcentre Plus services in their local children's centre because it was nearer to home or because it was more convenient and accessible. Almost one in five (18 per cent) said it was because their children's centre was more comfortable and friendly (Figure 2.18).

**Figure 2.18 Reasons for favouring Jobcentre Plus services at children's centre sites over same services at the Jobcentre Plus office – categories with ten or more responses (percentages)**



Among those who said they preferred to access Jobcentre Plus services at the Jobcentre Plus office, the majority said this was because they thought they could access more jobs, contacts and knowledge of the labour market (Figure 2.19). Locality was also an important factor in understanding their preference for the Jobcentre Plus office, as was the preference to keep as separate the services at the children's centre and the Jobcentre Plus office.

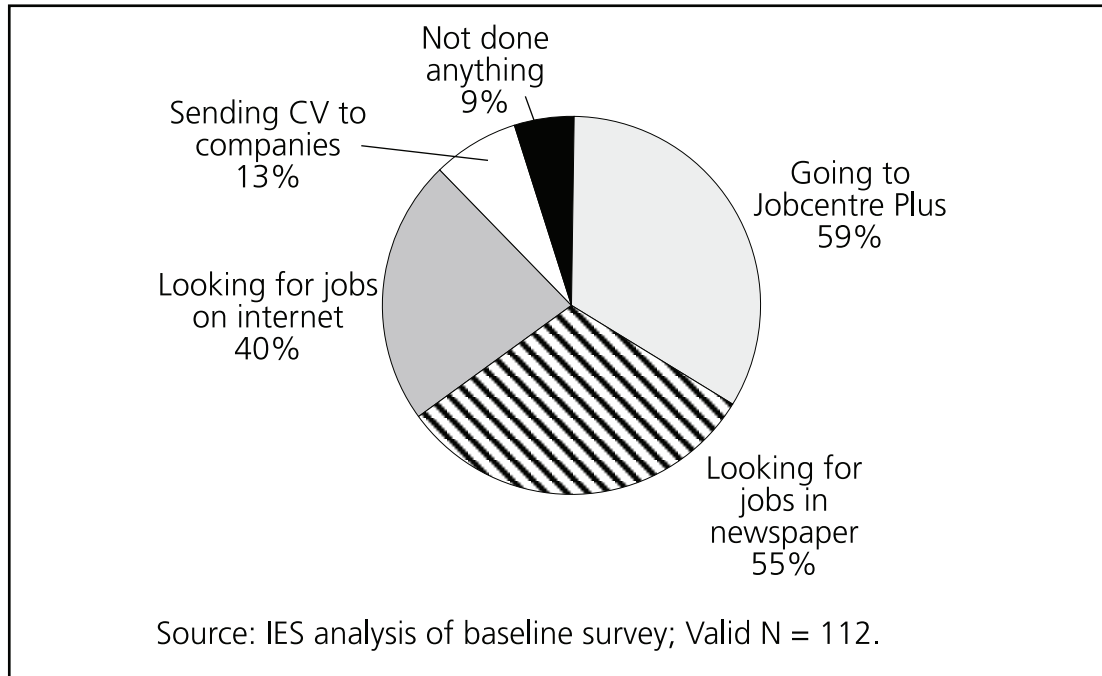
**Figure 2.19 Reasons for favouring Jobcentre Plus services at Jobcentre Plus office over same services at children's centre sites – categories with ten or more responses (percentages)**



### *Jobsearch strategies*

Thirty-one per cent of parents were looking for work at the time of the survey and were using a variety of jobsearch techniques (Figure 2.20). The most popular was going to the Jobcentre Plus office (59 per cent), followed by looking at job advertisements in the newspapers (55 per cent), and looking for jobs using the internet (40 per cent).

**Figure 2.20 Jobsearching strategies among parents out of work and claiming benefit entitlements (percentages)**



### 2.5.3 Core and supplementary services

All of the pilot children's centres offered childcare/nursery education facilities as their core service. After this, parent and toddler groups were also widely offered as well as other social groups and activities, such as keep-fit and yoga classes. Health and midwifery services were offered in many of the children's centres and were in high demand among parents with newborn babies. A number of children's centre sites were co-located alongside schools and nurseries, some of which doubled up as training venues for local training providers. A significant number of centres offered a wide range of supplementary activities alongside their core services. These ranged from adult education courses and after-school clubs to community/outreach play services.

## 2.6 Chapter summary

It is possible to summarise the baseline information on the pilot local authorities and children's centres as follows:

- **Most of the local authorities have had some prior experience in hosting work-focused activity as well as partnership working** to target particularly vulnerable groups or to respond to the needs of the family as a whole. All the pilot local authorities have had a number of pre-pilot work-focused activities, focused either on removing the barriers to employment, targeting hard-to-help groups, or improving access to work-focused services. Most of these work-focused activities took place at the local authority level, often with a strategic focus on those wards and neighbourhoods that featured the highest

concentrations of residents claiming out-of-work benefits. Most activities were funded through central or local government, the Learning and Skills Council (LSC) or ESF and a significant minority are geared towards achieving greater employment outcomes through multi-agency working. Very little of this work-focused activity has been based in children's centres, but this prior experience does indicate that the pilot local authorities have the potential to deliver work-focused services in a new agency setting.

- **All the pilot local authorities and children's centres are well positioned in, and have a good reach into their target communities.** Most pilot local authorities are currently ranked within the top 75 most deprived local authority districts in England (out of 354 districts in total). Out of the ten local authorities, half are ranked among the top 20 most deprived local authority districts. All but one local authority has higher levels of economic inactivity than the national average and most have higher levels of benefit claimants than the national average. Most of the children's centres are located in and/or serve the most deprived wards and populations in their local authorities. Many serve wards that constitute the most deprived communities in England, according to the Index of Multiple Deprivation, 2007. The most deprived wards also feature high concentrations of worklessness and unemployment, high numbers of lone parents and high numbers of children in workless households. The fact that these children's centres appear to have a good reach into their target population is backed up by other recent survey findings on children's centre users.<sup>26</sup>
- From the baseline survey data on the profiles of centre users, it is possible to conclude that not only are the pilots in a good position to reach their target groups, but that **there is more than sufficient demand for having Jobcentre Plus services located within children's centres. This demand is particularly strong among the pilot target groups (those parents who are out of work and claiming benefit entitlements).**

---

<sup>26</sup> TNS (2009). *Sure Start Children's Centres. Survey of Parents*. Department for Children, Schools and Families Research Report No. DCSF-RR083.

# 3 Pilot approaches and early implementation experiences

This chapter provides detail of the early implementation experiences of the pilot local authorities. It draws on:

- a review of the local authority bids for information on the aims, delivery and core elements of the pilot;
- familiarisation visits, conducted at each of the pilot sites in the early stages of pilot implementation, to provide detail on the experiences of early implementation, the demographics of the local areas served by the children's centres, and the hopes and expectations of the pilot among the centre managers and Jobcentre Plus staff.

## 3.1 Pilot aims, approaches, and core elements

The majority of the information presented in this section has been obtained through a review of the pilot bids. A full review of this information is presented in Appendix B. Only key information from this review is presented here, including common or differential approaches to delivery and use of pilot resource.

### 3.1.1 Pilot aims and key approaches of the local authorities

The pilot aims, as understood by the local authorities, are consistent with the overriding aim of the pilot to reduce child poverty by integrating work-focused services into children's centres and multi-agency working. There are some slight differences of emphasis in terms of how the local authorities intend to achieve this (for example, a few stress multi-agency working as an important element, while others stress the importance of removing barriers to work), but overall, the overriding aim to improve access to employment for those parents who are furthest from the labour market and facing multiple deprivation, vulnerability or poverty.



In broad terms, the approaches of the local authorities have combined standard work-focused activities (delivered in the children's centres) with additional packages of support, bespoke services, outreach and/or activities around promoting and increasing awareness of work-focused services. This model is more explicitly outlined in the local authority bids of Ealing and Blackpool, but is evident across all the pilot local authorities. All the local authorities combine work-focused activities with some or all of these additional features, depending on the needs of the local communities served by the children's centres and prior experience of what has worked well in the past.

### **3.1.2 Core elements in the delivery of the pilots**

It is possible to identify five core elements of the local authority pilot approaches. These are detailed below.

#### *Work-focused services (Jobcentre Plus provision)*

Common to all of the local authority approaches is the provision of work-focused services. In all the pilot local authorities, these are provided through a Jobcentre Plus Personal Adviser located at the children's centres.

Work-focused services can include Work Focused Interviews (WFIs), jobsearch, action plans and advice on employment, training and benefits. In this sense, very little of this provision differs from what a parent might receive in a Jobcentre Plus office, except for the fact that it is physically located on different premises, and therefore likely to be more accessible to the target group of pilot beneficiaries, and the fact that it sits alongside other engagement/outreach activities. The balance between the Jobcentre Plus provision and other engagement/outreach activities is likely to differ between the local authorities and children's centres.

In all of the local authorities, the provision of work-focused services is accompanied by 'softer' pilot activities to ensure that work-focused services engage the hard-to-reach families (see below). Overall, the local authorities and Jobcentre Plus have demonstrated a strong commitment to this approach in theory and a good understanding of why this approach is necessary to reach the most vulnerable families. A small minority of Jobcentre Plus advisers did appear to favour a strong work-focused approach over other 'softer' activities at the time of the familiarisation visits, setting aside most of their time to carrying out work-focused interviews. However, it is likely that this is because the familiarisation visits were carried out at the very early stages of the pilot, before formal guidance was issued around the role of the Jobcentre Plus Personal Adviser. It will be important to confirm this in future stages of the evaluation.

The formal role of the Jobcentre Plus Personal Adviser is built around balancing work-focused services alongside other activities to identify, engage and build trust with parents, as well as promote work-focused services among wider agencies and family services too. Pilot guidance for the Jobcentre Plus Personal Advisers advises that specific times in a Personal Adviser's diary be allocated to WFIs with

the rest of the time to be reserved for other activities, such as becoming familiar with the children's centre and centre staff, engaging with parents, or networking with partner agencies. It is anticipated that Jobcentre Plus Personal Advisers will need to work with parents to help them identify their chosen work-focused goals and offer ongoing support on this basis, including training, education or referral to specialist help for those who may be farthest from the labour market.

While Jobcentre Plus Personal Advisers involved in the pilot will remain accountable to, and managed by, Jobcentre Plus, their targets differ to account for the atypical work that much of the job will entail outside work-focused services. Jobcentre Plus Personal Advisers, therefore, are exempt from the Adviser Achievement Tool (AAT), which ensures that all Jobcentre Plus Personal Advisers contribute to Jobcentre Plus aims but does not account for periods when advisers may be engaged in outreach or engagement work. In place of this, Jobcentre Plus Personal Advisers working in children's centres are to work to a modified objective:

*'To embed Jobcentre Plus work focused services within the children's centre, working in partnership with children's centre staff, establishing and building rapport and trust with parents, providers, employers and the local community. Provide core Jobcentre Plus services, encouraging people who would not otherwise do so to access them, and act as a role model in leading, managing relationships with Jobcentre Plus and children's centre colleagues and developing self.'*<sup>27</sup>

It is important to note how this objective encourages an important element of flexibility in the role of Jobcentre Plus Personal Advisers working in children's centres that marks something of a departure from the traditional role and systems of accountability found in Jobcentre Plus offices. It also places more of an emphasis on particular skills that are needed in order to guarantee the success of the pilot – such as relationship building skills, partnership working skills, interpersonal skills and communication skills. Arguably, this emphasis also marks something of a departure from the traditional Personal Adviser role in Jobcentre Plus offices.

### *Packages of support and bespoke services*

Alongside work-focused services, the pilot makes provision for additional activities and provision designed to support local parents into the labour market. In some cases, these are packages of support that have been tailored to include activities that are likely to address the needs of the target client group, based on experiential insights of the local authorities. This includes training to build the capacity of children's centre staff (in Southampton and Nottingham for example); buddying/mentoring activities to support parents through their journey to work (in Redcar and Cleveland and Lambeth for example); intensive basic skills and other training (a number of local authorities); and specialist outreach.

---

<sup>27</sup> Formal pilot guidance.

In a few local authorities, the intention is to use pilot resources to commission bespoke services when sufficient demand for a particular service is identified. In Blackpool, for example, it is anticipated that such bespoke services might include confidence-building courses, lifestyle advice or help with transport costs.

These additional support services constitute a central element of planned delivery among the local authorities and, alongside (arguably more rigid) work-focused services on offer, they allow the pilots a degree of flexibility to respond to the often complex needs of their local communities and target groups.

### *Partnership working*

Another central element of the local authorities' approach to the pilot has been partnership working. Much of this builds on existing partnerships already in place at the local level as a foundation upon which to embed work-focused activities into a multi-agency setting.

The range of partners vary across local authorities, but key partners include Jobcentre Plus, training providers and adult learning services, children's centre staff (outreach teams, health advisers, centre managers, etc.), city councils (employment teams, Children and Young Peoples Services, education services, etc.), voluntary and third sector organisations for specialist advice (regarding traveller families, drug and alcohol services, etc.), the Primary Care Trust (PCT), and to a lesser degree, anti-poverty networks and groups. It is not entirely clear at the time of writing what part local employers will play in the pilots, although a number of local authorities do plan to engage them through Jobcentre Plus Local Employment Partnerships (LEPs).

It is intended that these services will be drawn into the planned delivery of work-focused services in Children's Services through either contractual partnership arrangements or less formal partnership arrangements. In some cases, services will be specially commissioned should the need arise.

It is clear from the pilot bids that the role of the Jobcentre Plus Personal Adviser will be key in facilitating multi-agency working. While this is not their sole responsibility (many of the local authorities have committed to facilitating the Jobcentre Plus Personal Adviser in this role), it is likely to fall to the Jobcentre Plus Personal Adviser to build working relationships with partner organisations to ensure they can refer to or draw upon appropriate support to assist their client groups or progress towards employment. The success of these working relationships is likely to be key in embedding work-focused services within a multi-agency setting and ensuring that the benefits of the pilot can be sustained in the longer term.

### *Integrating the Jobcentre Plus Personal Adviser into the children's centres*

An important element in the delivery of the pilots centres around a two-way process of integrating the Jobcentre Plus Personal Adviser into the activities, staffing and environment of the children's centre. Pilot areas see this as key to ensuring that:

- Jobcentre Plus Personal Advisers can identify and engage with target groups of parents, building trust with parents, networking and making themselves known in the children's centres;
- Jobcentre Plus Personal Advisers are able to promote the benefits and raise awareness of employment and training in countering poverty among children's centre staff, while also countering negative perceptions of Jobcentre Plus among staff;
- children's centre staff are able to help facilitate the work of the Jobcentre Plus Personal Adviser helping them to settle in, integrate and be a potential source of onward referral.

Further phases of the evaluation will assess how this key element of delivery is progressing, but the success of this element of the pilot was seen as absolutely key among children's centre managers and Jobcentre Plus Personal Advisers during our familiarisation visits.

#### *Identifying and engaging parents*

Many of the pilot areas plan to develop a community outreach strategy, or outreach strategy in the early stages of the pilot that will set out strategic details of exactly how parents will be engaged. Most of the pilot areas envisage that, within these strategies, the process of identifying and engaging parents will include the following key activities:

- the **promotion of work-focused services in the children's centre**. This will be done through the Jobcentre Plus Personal Adviser and/or outreach workers and teams already based in the children's centre. Recruitment fairs held in the community will also help raise awareness of work-focused services and help counter negative perceptions of Jobcentre Plus;
- the **use of children's centre outreach workers**, who can act as a source for onward referrals to the Jobcentre Plus Personal Adviser, especially where specialist outreach is available (bilingual outreach or home visits);
- **developing the capacity of local and community organisations** to facilitate community engagement and provide onward referrals to the Jobcentre Plus Personal Adviser;
- the use of **existing children's centre facilities and services** which have been identified as particularly good 'access points' through which to engage parents (for example, the community café in Blackpool, or the health services in Southampton, which are the first point of contact for all families);
- drawing on the **wider children's centre network of agencies** and family services to ensure that the Jobcentre Plus Personal Adviser can receive and pass on referrals;

- **informing children’s centre staff about employability issues**, and the importance of work-focused services in addressing child poverty;
- running **Jobcentre Plus group information or ‘Choices’ sessions** and disseminating employability material in the children’s centres.

It is clear that the role of the Jobcentre Plus Personal Adviser will be key to identifying and engaging parents, particularly when based on site, at the children’s centre. However, it is also clear that the success of this will be heavily dependent on the help, support and advice of other frontline staff in providing onward referrals, promoting the work-focused services, signposting the Jobcentre Plus Personal Adviser to other family services and networks, and countering any negative perceptions of, or fears about, Jobcentre Plus among parents.

## 3.2 Early views around implementation

As previously mentioned, the familiarisation visits to the children’s centres took place before the pilot had ‘gone live’ – before many Jobcentre Plus Personal Advisers had even been recruited to the new role. The information presented in this section, therefore, is limited to early views around the implementation.

Our familiarisation visits gleaned some valuable insights which are worth reporting here.

### 3.2.1 The role of the Jobcentre Plus Personal Adviser

The majority of Jobcentre Plus Personal Advisers were working full-time in one of the pilot children’s centres, or were due to start working full-time in one of the pilot children’s centres. However, in a minority of cases, where footfall in a particular centre was low, or where a children’s centre consisted of a central ‘hub’ site and several outreach sites, Jobcentre Plus Personal Advisers either worked part-time or divided their time between sites. It was unclear at the time of the familiarisation visits whether this was to be a permanent arrangement and so it will be necessary to clarify this in the future stages of the evaluation.

Among the children’s centre managers, the Jobcentre Plus Personal Advisers and the Jobcentre Plus district leads, there was a good overall understanding of the role and aims of the Jobcentre Plus Personal Adviser – particularly regarding the need to balance standard work-focused provision with outreach and engagement activities. The majority of Jobcentre Plus Personal Advisers, having worked with similar target client groups before (particularly lone parents), understood that the pilot was more likely to progress a client’s journey towards employment in the short- to medium-term, rather than to achieve job outcomes.

There appeared to be a particularly strong understanding of what the new role might entail among those Jobcentre Plus Personal Advisers who had previously worked in outreach roles within Jobcentre Plus (for example, working with clients in prisons, or with clients out in the community). These particular Jobcentre Plus

Personal Advisers were confident about the atypical nature of the role (which is why many had applied for the position), the flexibility it entailed and the prospect of working with hard-to-reach groups. This was in contrast to a small number of Jobcentre Plus Personal Advisers who had previously worked in traditional Personal Adviser roles in Jobcentre Plus offices, and who expressed a degree of anxiety about undertaking the 'atypical' aspects of the role. However, it is worth noting that the vast majority of Jobcentre Plus Personal Advisers were enthusiastic about the role (nearly all had voluntarily applied for the position), and excited about the prospect of working in a new environment that offered a degree of flexibility in engaging clients. Moreover, all Jobcentre Plus Personal Advisers expressed a commitment to addressing child poverty.

### 3.2.2 Pilot activities

Few pilot activities were actually underway at the time of conducting the familiarisation visits. Jobcentre Plus Personal Advisers were very much familiarising themselves with the children's centre staff, the centre activities and services, local family networks and the centre users. A small minority of advisers had begun to book WFIs with some parents or had started to promote and market the work-focused services through attending drop-ins or crèches, but overall, settling into the role was the priority at the very early stages of the pilot.

Most of the pilot activities at the time of the visits centred around establishing the IT facility that would enable the Jobcentre Plus Personal Adviser to conduct work-focused activities and WFIs from the children's centre. Activity also centred around induction training for Jobcentre Plus Personal Advisers, as well as ensuring they had all been cleared to work with children and vulnerable people by the Criminal Records Bureau (CRB). In a few children's centres, concerns had been raised around the need to find private space for the Jobcentre Plus Personal Adviser to conduct their work with parents and about what childcare facilities could be made available while parents are meeting with the Jobcentre Plus Personal Adviser.

## 3.3 Hopes and expectations of the pilot

Many of the children's centre managers, Jobcentre Plus district leads and Jobcentre Plus Personal Advisers were hopeful about the overall outcomes of the pilot in helping parents' progress towards employment. Progress towards employment, rather than immediate employment outcomes, was expressed as the most realistic expectation of the pilot.

In addition to this, interviewees also thought the following factors were critical to the success of the pilot:

- the ability to resolve any 'cultural' differences between Jobcentre Plus and children's centre staff;
- the ability to effectively counter negative perceptions of Jobcentre Plus among parents and some children's centre staff;

- the successful integration of Jobcentre Plus Personal Advisers into the children's centre's services, working practices and teams of staff;
- the ability of the Jobcentre Plus Personal Adviser to improve the understanding of employability and child poverty issues among frontline children's centre staff, and the receptiveness of children's centre staff to work with Jobcentre Plus Personal Advisers to identify and engage parents.

Among these factors, the 'cultural' differences between Jobcentre Plus and children's centre staff, both of whom were used to working in different organisational environments and to a different set of working practices and priorities, was seen to be the most critical risk factor to the delivery of the pilot. Resolving any differences that might arise, therefore, and being able to successfully integrate the Jobcentre Plus Personal Adviser into the children's centre, was seen to be absolutely critical to the success of the pilot. A lesser, but no less significant, concern expressed was the negative perceptions of Jobcentre Plus that exist among some parents and children's centre staff. Again, addressing these perceptions effectively, was seen to be important to engaging parents and securing the support of centre staff.

There was little mention of multi-agency working or partnership working as being important to the success of the pilots. However, this is likely to be because of the time at which the interviews were conducted and the fact that in the early stages of implementing the pilot, many interviewees were preoccupied with the immediate practicalities of getting the pilot up and running. This will be pursued further in other stages of the evaluation.

## 4 Summary of key findings

Taken together, our research points to the following key findings:

- All of the pilot areas seem to be well placed to deliver the pilot, based on previous work-focused activity in the districts and on previous experience of partnership working.
- Nearly all of the local authorities and most of the children's centres are geographically and demographically well positioned to reach the pilot's target communities. This is particularly the case for those children's centres that are based in, or serve particularly deprived wards, or geographic concentrations of workless communities.
- From the user survey, we can see that most children's centre users are women who have at least one child under five years of age. Most (around two-thirds) are not in employment, mostly because they are looking after the home and/or family.
- Over half of parents said that they had never used Jobcentre Plus services at either a Jobcentre Plus office or children's centre. Fifteen per cent were using Jobcentre Plus services at a Jobcentre Plus office at the time of the survey and three per cent were using Jobcentre Plus service at their children's centre (mostly for jobsearch). Among those currently using work-focused services, those parents who were out of work and on benefits had a higher level of take-up than all other parents, with a much higher proportion seeking advice on benefit entitlements over other work-focused services.
- Forty-eight per cent of parents said they intended to use Jobcentre Plus services in the future. This response was particularly high for those who were out of work and on benefits, lone parents, and parents with children under five, a positive indication for the potential of the pilot to reach these groups.



- Most parents said they would prefer to access Jobcentre Plus services in their local children's centre, indicating more than sufficient demand for work-focused services in children's centres. Importantly, this demand is particularly strong among those parents who are out of work and claiming benefit entitlements. Twenty-four per cent had no preference and ten per cent said they preferred the Jobcentre Plus office. Most said they would prefer to access Jobcentre Plus services in their local children's centre because it was nearer to home or because it was more convenient and accessible. The fact that parents thought the children's centre was a more comfortable and friendly environment was also an important factor.
- The pilot local authority approaches have five central elements to the delivery of the pilot. These are:
  - the core provision of work-focused services delivered through Jobcentre Plus Personal Advisers;
  - the provision of additional packages of support and bespoke services to address the additional needs of the target client group;
  - partnership working;
  - integration of the Jobcentre Plus Personal Adviser into the children's centres;
  - identifying and engaging parents.

Early views on the implementation of the pilot reveal there are notable concerns among children's centre managers and Jobcentre Plus alike around 'cultural' differences that might emerge between Jobcentre Plus and children's centre staff. A lesser, but no less significant, concern is the negative perceptions of Jobcentre Plus that exist among some parents and children's centre staff.

#### 4.1 Key observations

Taken together, our research also highlights three emerging issues that are worth exploring in the further stages of the evaluation:

- The first is the central role and skills of the Jobcentre Plus Personal Adviser in contributing to the overall success of the pilot. This is particularly relevant to the atypical aspects of the Jobcentre Plus Personal Adviser role: the work of engaging and assisting parents who may have multiple and complex needs; the work of promoting work-focused service through outreach activities; and the work of embedding work-focused services in a multi-agency environment. It will be important to see how Jobcentre Plus Personal Advisers are managing these tasks and whether they are able to successfully strike an appropriate balance between the provision of 'standard' work-focused services and the more atypical outreach activities.

- The second issue is the importance of support from children's centre staff in contributing to the success of the Jobcentre Plus Personal Adviser role. This is particularly relevant to the work of familiarising the Jobcentre Plus Personal Adviser with the centre facilities, services, working practices and local family networks; the work of promoting work-focused services through centre activities and countering negative perceptions of Jobcentre Plus among parents; and the work of identifying parents and passing on referrals to the Jobcentre Plus Personal Adviser.
- Finally, given that many parents with young children, who were surveyed in our research, did not consider employment an option in the short to medium term alongside their childcare responsibilities, it will be important to see how successful the pilot is in getting parents to think about, or prepare for their longer-term employment options, along with promoting the benefits and availability of good quality childcare, so that they can consider work as an option once their children start school, or earlier.



# 5 Next stages of the evaluation

This chapter outlines the next stages of the evaluation, up to June 2011.<sup>28</sup>

## 5.1 Qualitative research with children's centre users (summer 2009 and 2010)

In Summer 2009, we intend to carry out depth interviews with 60 children's centre users, recruited from the ten case study sites, using longitudinal depth interviews to provide the primary means of interpreting impact over time. Interviews will explore the following issues:

- the current employment or benefit status of the interviewee and any partner;
- age and previous work history;
- the number and ages of children;
- the health of the interviewee and family;
- other relevant circumstances (housing, partner's work status, caring responsibilities, etc.);
- the current pattern of service use at the children's centre;
- the extent of awareness/contact with the Jobcentre Plus Personal Adviser;
- current attitudes towards training and work;
- future plans, including any estimate of time before the likely return to work or training.

---

<sup>28</sup> Management Information (MI) is being collected separately as part of the pilot and this will be integrated into the outputs from the evaluation, to bring together comprehensive findings from across the evaluation.

The interview sample will be determined by the local user profile. However, we would expect to include the following groups:

- lone parents;
- partners of people claiming benefit;
- partners of those in low paid work;
- parents with children of different ages;
- low- and higher-income parents;
- people who have used Jobcentre Plus services and those who have not.

Participants will receive £20 as a thank you for taking part. They will be advised that this is a gift which does not affect any benefits they may be receiving.

In summer 2010, we will contact and aim to secure depth interviews with all of those interviewed the previous year. Interviewers will record in field notes their own perceptions of any changes in the interviewees' attitudes, manner and presentation. These longitudinal interviews will explore similar issues to the ones explored in the previous year, but will identify and explore key changes in circumstances, employment/training/benefits status, attitudes to work and training, use of Jobcentre Plus services and future plans.

## 5.2 Case studies (autumn 2009 and the end of the pilot)

The aim of this stage of the research will be to explore the experience and perceptions of the pilot both within and outside children's centres, in order to provide formative evaluation and share good practice which can guide the last two years of delivery. It will explore in particular:

- to what extent services are being delivered in accordance with the core model, and how the flexible elements are being deployed;
- staff experiences and perceptions of working together on delivering work-focused services;
- the response of other organisations, such as Primary Care Trusts (PCTs) and local authorities, to the pilot;
- how key messages about poverty and employment are being communicated to staff and to parents;
- parents' perceptions of how using the centres' services has impacted on their attitudes and employment-seeking behaviours;
- stakeholder perceptions of changes in parental attitudes and outcomes to date, and factors underpinning this.

The aim will be to interview four to six stakeholders at each of the ten case study sites (55 interviews), including pilot staff, PCTs, Together for Children (TfC) staff, local authorities, and other childcare and employment support services providers. We will also carry out discussion groups with parents using the centres (one at each centre), and carry out structured observations of interaction between parents and centre staff. Parents who take part in discussion groups will be paid £20 as a thank you for their participation.

### 5.3 User survey (towards the end of the pilot)

This will form the second wave of the user survey (the first being the baseline survey conducted in January 2009). This will follow a similar format to that of the baseline survey (described in Chapter 1), with around 90 per cent of the same questions being included as well.

### 5.4 Comparison study

This stage of the evaluation will aim to assess whether or not increased take-up of work-focused services, and use of such services as a motive for visiting children's centres, is attributable to the pilot, or would have occurred in its absence. The comparison study will contextualise findings for the pilot areas, comparing them with around eight children's centres, across three to four areas. The areas to be included will be selected to provide as close a match as possible for the pilot areas, in terms of labour market and demographics.

The comparison study will consist of both a qualitative case study and a survey of parents.



# Appendix A

## Report data



**Table A.1 Economic activity and inactivity in the pilot local authorities, October 2007 to September 2008**

Percentage	Blackpool	Ealing	Kingston-upon-Hull	Lambeth	Nottingham	Redcar and Cleveland	Sandwell	Somerset	Southampton	Westminster	GB
Economically active	73	77	71	77	70	73	71	83	79	70	79
Economically inactive	27	23	30	24	30	27	30	17	21	31	21

Source: ONS Annual Population Survey.

Notes: Percentage given to the nearest whole number and is a proportion of total working age population (16-59/64).

**Table A.2 Key benefits claimed in the pilot local authorities (working age client group), August 2008**

Percentage	Blackpool	Ealing	Kingston-upon-Hull	Lambeth	Nottingham	Redcar and Cleveland	Sandwell	Somerset	Southampton	Westminster	GB
Jobseekers	3	3	5	4	4	4	5	1	2	2	2
Incapacity benefits	13	6	9	7	9	10	9	6	6	6	7
Lone parents	3	3	3	4	3	3	3	1	2	2	2
Carers	2	1	2	1	1	2	2	1	1	1	1
Others on income-related benefits	1	1	1	1	1	1	1	-	-	1	1
Disabled	2	1	1	1	1	1	1	1	1	1	1
Bereaved	-	-	-	-	-	-	-	-	-	-	-

Source: DWP benefit claimants – working age client group.

Note: Percentage is a proportion of total working age population.

**Table A.3 Numbers of unfilled Jobcentre Plus vacancies in the pilot local authorities, April 2007, 2008 and 2009**

	<b>April 2007</b>	<b>April 2008</b>	<b>April 2009</b>
Blackpool	514	1,156	1,331
Ealing	900	1,268	1,244
Kingston-upon-Hull	508	1,292	1,403
Lambeth	611	1,173	714
Nottingham	1,254	2,802	2,290
Redcar and Cleveland	448	540	437
Sandwell	808	2,545	2,022
Somerset	1,976	2,634	3,005
Southampton	638	1,411	1,875
Westminster	1,012	1,395	1,453

Source: Jobcentre Plus vacancies – summary analysis.

**Table A.4 Economic activity and inactivity in the key wards served, by the pilot children's centres, 2001**

	<i>Percentages</i>		
	<b>Economically active</b>	<b>Local authority</b>	<b>Local authority</b>
	<b>Economically active</b>	<b>Economically active</b>	<b>Local authority</b>
Blackpool Talbot	71	74	26
Blackpool Brunswick	68		32
Blackpool Clifton	71		29
Blackpool Park	68		32
Blackpool Layton	76		24
Ealing Cleveland	75	75	25
Ealing Dormers Wells	67		33
Ealing Northolt West End	71		29
Ealing Norwood Green	65		35
Ealing South Acton	73		27
Kingston-upon-Hull Southcoates West	80	71	20
Kingston-upon-Hull Newland	55		45
Kingston-upon-Hull Orchard Park and Greenwood	59		41
Lambeth Larkhall	75	76	25
Lambeth Brixton Hill	78		22
Lambeth Coldharbour	70		30
Nottingham Basford	73	65	27
Nottingham Bestwood	70		30
Nottingham Aspley	65		38

Continued

**Table A.4 Continued**

	<i>Percentages</i>			
	<b>Economically active</b>	<b>Local authority</b>	<b>Economically active</b>	<b>Local authority</b>
Redcar and Cleveland Loftus	67	70	33	30
Redcar and Cleveland Grangetown	55		45	
Redcar and Cleveland Kirkleatham	62		38	
Sandwell Friar Park	68	73	32	27
Sandwell Wednesbury North	73		27	
Sandwell Tipton Green	73		27	
West Somerset Watchet	73	75	27	25
West Somerset Williton	71		29	
South Somerset Chard Jocelyn	81	81	19	19
Southampton Bevois	57	72	43	29
Southampton Peartree	79		21	
Southampton Woolston	76		24	
Westminster Church Street	60	71	40	29
Westminster Queens Park	64		36	
Westminster Harrow Road	69		31	

Source: Census of Population.

Note: Percentages are based on working age population.

**Table A.5 Levels of deprivation among the pilot local authorities**

<b>Local authority</b>	<b>Rank of average score*</b>
Blackpool	12
Ealing	84
Kingston-upon-Hull	11
Lambeth	19
Nottingham	13
Redcar and Cleveland	50
Sandwell	14
West Somerset	106
Southampton	91
Westminster	72

Source: Indices of Deprivation 2007.

Notes: \*A relative ranking of areas, according to their level of deprivation is provided here (out of 354 districts in England).

**Table A.6 Reach area profile for the pilot children’s centres**

Children’s centre	Area description	Proportion of children in workless households, 0-4	Proportion of lone parent families	Ethnicity (percentage of BME)	Percentages
Blackpool Clifton	Urban	40	35	1	
Blackpool Talbot and Brunswick	Urban	38	35	2	
Blackpool Grange Park	Urban	42	31	3	
Ealing Dormers Wells	Urban	33	15	74	
Ealing South Acton	Urban	38	12	33	
Ealing Limetrees	Urban	40	15	34	
Kingston-upon-Hull Macmillan	Urban	48	9.4	-	
Kingston-upon-Hull Escourt	Urban	29	2	-	
Kingston-upon-Hull Fenchurch	Urban	35	2	-	
Lambeth Lark Hall	Urban	41	21	27+	
Lambeth Brixton	Urban	45	17	44+	
Lambeth Tree House	Urban	38	-	-	
Nottingham Basford	Urban	37	-	-	
Nottingham North West	Urban	56	-	-	
Nottingham Bestwood Park	Urban	37	-	-	
Redcar and Cleveland Loftus	Urban	35	9	1	
Redcar and Cleveland Grangetown	Urban	37	25	1	
Redcar and Cleveland Redcar	Urban	35	13	2	

Continued

Table A.6 Continued

Children's centre	Area description	Proportion of children in workless households, 0-4	Proportion of lone parent families	Percentages	
				Ethnicity (percentage of BME)	Ethnicity (percentage of BME)
Sandwell Friar Park	Urban	12	10	4	4
Sandwell Tipton	Urban	10	8	6	6
Sandwell Wednesbury North	Urban	7	10	11	11
Somerset Watchet	Mostly rural	-	-	-	-
Somerset Williton	Mostly rural	-	-	-	-
Somerset Chard	Mostly urban	-	-	-	-
Southampton Central	Urban	-	29	-	-
Southampton Woolston	Urban	-	20	-	-
Southampton Weston Park	Urban	-	25	-	-
Westminster Church Street	Urban	49	32	-	-
Westminster Harrow Road	Urban	46	36	-	-
Westminster Queens Park	Urban	47	38	-	-

Source: Information provided by the pilot local authorities, 2008.

**Table A.7 Number of workless lone parent households in the pilot local authorities**

<b>Local authority</b>	<b>Workless lone parent households</b>
Ealing#	4,800
Lambeth	9,000
Westminster#	3,700
Sandwell	5,500
Redcar and Cleveland	2,100
Blackpool	3,200
Kingston-upon-Hull, City of	5,400
Nottingham	5,500
Southampton#	2,700
Somerset*#	4,100

Source: ONS Annual Population Survey 2007.

Notes:

All numbers are rounded to the nearest 100.

# Has a sample size below 30.

\* Somerset is made up of Mendip, Sedgemoor, Taunton Deane, South Somerset and West Somerset.

**Table A.8 Numbers of IB and JSA claimants in the ten pilot local authorities**

<b>Local authority</b>	<b>Claims IB</b>	<b>Claims JSA</b>
Ealing	11,500	5,700
Lambeth	12,400	7,800
Westminster	9,800	3,400
Sandwell	14,800	9,200
Redcar and Cleveland	7,400	3,800
Blackpool	10,000	3,500
Kingston-upon-Hull, City of	13,000	10,600
Nottingham	15,500	8,700
Southampton	8,600	4,500
Somerset*	16,100	5,100

Source: DWP Information Directorate Work and Pensions Longitudinal Study (WPLS), November 2008.

Notes: All figures are rounded to the nearest 100.

\* Somerset is made up of Mendip, Sedgemoor, Taunton Deane, South Somerset and West Somerset.



**Table A.9 Number of IS and JSA clients at the end of January 2009 who are lone parents**

<b>Ward (local authority)</b>	<b>IS</b>	<b>JSA</b>	<b>Total</b>
Aspley (Nottingham)	1,185	50	1,235
Basford	561	31	592
Bestwood	620	39	659
Brixton Hill (Lambeth)	420	34	454
Coldharbour	951	67	1,018
Larkhall	561	34	595
Brunswick (Blackpool)	522	38	560
Clifton	535	25	560
Layton	161	8	169
<b>Park</b>	<b>3,118</b>	<b>194</b>	<b>3,312</b>
Talbot	436	18	454
Chard Jocelyn (Somerset)	26	0	26
Watchet	60	1	61
Williton	55	2	57
Church Street (Westminster)	570	29	599
Queens Park	262	32	294
Dormers Wells (Ealing)	386	20	406
Northolt West End	666	29	695
Norwood Green	412	23	435
South Acton	415	20	435
Friar Park (Sandwell)	378	21	399
Tipton Green	461	26	487
Wednesbury North	281	14	295
Grangetown (Redcar and Cleveland)	849	44	893
Loftus	172	10	182
Kirkleatham	206	15	221
Pickering (Kingston-upon-Hull)	266	15	281
Southcoates West	161	13	174
Sholing (Southampton)	162	14	176
Woolston	457	26	483

# Appendix B

## Review of local authority bids

### Blackpool

#### **Specified aims**

Through the pilot, the local authority broadly aims to increase the number of economically active parents through:

- access to benefits, particularly in-work benefits;
- access to formal childcare;
- access to volunteering opportunities;
- provision of vocational training, accredited courses and basic skills in employment;
- support into employment and self-employment;
- support to sustain employment and self-employment.

#### **Core elements/approach and implementation**

##### *Blackpool Worklessness Progression Model*

The Blackpool Worklessness Progression Model will underpin the core model of the pilot. In addition to this, the local authority will establish an additional post of Specialist Outreach Worker for Employment and Worklessness, who will co-ordinate the support for engaged parents to support them through the Progression Model. The local authority will also commission bespoke services if necessary where gaps and barriers are identified, including lifestyle advice, confidence building courses, crèche support and transport costs. This approach also aims to include some ongoing mentoring to support the parents in their transition to work and in work.

The local authority aims to provide additional core model enhancement to the three pilot children's centre sites. These are:

- Site 1: Core offer + work to address health issues.
- Site 2: Core offer + work to build on a volunteer programme; work to roll out the 'Working for Health' programmes which offer 15 paid volunteer placements; and work focused around transient families.
- Site 3: Core offer + a bespoke approach to analysing the skills and needs of specific groups.

### *Identifying and engaging parents*

Each of the children's centres has a community café where a Jobcentre Plus Personal Adviser can engage with parents. The Jobcentre Plus Personal Adviser will also aim to use the extensive number of activities at the children's centre to engage with parents in an environment which they are familiar with.

A named member of children's centre staff in each centre will work with the Jobcentre Plus Personal Adviser to target and develop an engagement strategy that is linked with the centres outreach programmes.

### *Implementation through a multi-agency approach*

The local authority plans to support the multi-agency model of working by facilitating the Jobcentre Plus Personal Adviser to work closely with key agencies, particularly the children's centre Outreach Team and the Positive Steps into Work (the council's outreach employment team). Home Start and Barnardo's family support teams will also provide personal support for those furthest away from the labour market, and five specialist outreach workers will concentrate on the hard-to-reach. The Jobcentre Plus Personal Adviser will have access to multi-agency support for families. This will include health, housing and benefit advice.

### *Integrating the Jobcentre Plus Personal Adviser into the children's centre*

The intended approach of the local authority is to have Jobcentre Plus Personal Advisers undertaking core Jobcentre Plus business but working as part of an established integrated team, and familiarising themselves with the centre's activities and parents.

## **Supplementary activities**

Supplementary activities will include working with employers through extending Jobcentre Plus' existing work with local employers; through inclusion of employers representatives on the local children's centre Work Journey Steering Groups; and through linking the pilots to the Blackpool Jobs Pledge.

## **Key partners and partnerships**

Key partners in the delivery of the pilot are Children's Services; Jobcentre Plus, the Positive Steps into Work Team; Advice Link; the Lifelong Learning Team; and the children's centre managers.

## Ealing

### **Specified aims**

Through the pilot, the local authority aims to break down the barriers to employment for groups experiencing multiple deprivation or those who are particularly vulnerable. These groups include:

- those receiving Income Support (IS), Incapacity Benefit (IB) or Jobseeker's Allowance (JSA);
- low income families;
- lone parents;
- black and minority ethnic (BME) groups;
- refugees;
- parents and children with additional needs;
- victims of domestic violence;
- parents misusing substances;
- teenage parents.

The approach of the local authority is one which aims to raise aspirations and improve informed decision-making among parents in recognition of the fact that some parents are unable or unwilling to enter employment as they bring up their child.

### **Core elements/approach and implementation**

#### *A four-stage programme of implementation*

The pilot will be delivered through a four-stage programme which aims to support parents through their 'work journey'. The pilot children's centres are required to cover set elements within these four stages, but have some flexibility to respond to their local contexts.

Stage 1 of the programme (Work Receptivity) will help build capacity within families and the community in readiness for progression into employment. Parents will be offered a menu of evaluated programmes to choose from (around work receptivity) and will gain credits through participation. These credits can then be redeemed on the completion of Stage 1 as a grant to assist in personal or family development. Examples of content include family learning classes, work on communication skills, and confidence building workshops.

Stage 2 (Work Preparation) will offer parents more work-focused support, through a menu of related programmes and support measures. Parents will gain credits through participation which can be redeemed through the completion of Stage 2. Examples of content include jobsearch support, interview and CV development and the organisation of work placements.

Stage 3 (Work Transition) follows a similar format as Stage 2, but offers a package of support tailored to helping parents through the work transition period. Examples of support include support with tax credit and childcare tax credit applications, the provision of links to financial and housing advice, and support and guidance with physical and mental health problems.

Stage 4 (Work Retention) offers support to those who may experience broken work journeys. Examples of support include opportunities to enhance skills, ongoing childcare through the children's centre, and ongoing financial, housing and health advice.

### *Identifying and engaging parents*

The local authority intends to advertise the programme widely among the target communities, utilising a team of outreach workers to access the hardest-to-reach. Outreach workers will be led by an Outreach Co-ordinator for each children's centre involved in the pilot. The Outreach Co-ordinator will be responsible for developing and implementing outreach strategies that have a work focus; ensuring the outreach teams offer personalised, professional and empathetic support for parents; and establishing trust with parents. Once trust has been established with parents, the Outreach Co-ordinator will work closely with the Jobcentre Plus Personal Adviser to ensure that the parent accesses the appropriate stage of their work journey.

To facilitate community engagement, the pilots will aim to develop and enhance the capacity of community and local organisations to take part in partnership working. These organisations will work closely with the outreach team and be included within the Economic Development Groups.

### **Supplementary activities**

Supplementary activities will include working with employers through extending Jobcentre Plus's existing work with local employers; through inclusion of employers representatives on the local children's centre work journey steering groups; and through linking the pilots to the Ealing Jobs Pledge.

### **Key partners and partnerships**

Key partners include Jobcentre Plus, which will provide additional provision in addition to its current in-house provision. This will include one-to-one information, advice and guidance (IAG, sessions at parent and toddler groups, participation in outreach work and working with the local authority to new children's centre services).

Empowering Action and Social Esteem (EASE) will aim to provide advice on finance, benefits and housing and the Northolt Worklessness Group will provide a co-ordinated approach to work-focused services.

## Kingston-upon-Hull

### **Specified aims**

Through the pilot, the local authority aims to deliver work-focused services in an inclusive way using children's centres as a base and as a part of the integrated network of services that the centre is part of. This is intended to extend the reach of Jobcentre Plus services to those who do not use them.

The pilot will include those who are furthest from the labour market and families living in poverty, including lone parents. Intended outcomes for parents include:

- a move into permanent/temporary employment;
- a referral for assistance with establishing self-employment;
- information on moving into work including in-work calculations;
- identification of suitable training and take-up of training;
- identification of suitable self-development courses and take-up of courses;
- referral to other services that will impact upon their family's wider outcomes;
- identification of suitable volunteering opportunities and take-up of opportunities;
- take-up of New Deal options.

### **Core elements/approach and implementation**

#### *Standard range of Jobcentre Plus services delivered in children's centres*

The pilot will deliver the standard range of Jobcentre Plus services in the pilot children's centres, including Work Focused Interviews (WFIs), jobsearch and action plans. The Personal Adviser will also undertake information sessions and will participate in networking events and outreach sessions.

#### *Support from a project co-ordinator*

The pilot will be supported by the employment of a project co-ordinator (PC). The PC will be responsible for:

- ensuring a level of consistency across the pilot;
- carrying out work to directly support the provision of work-focused services;
- overall management of the pilot;
- assessing risks to the pilot work.

*Identifying and engaging parents*

Jobcentre Plus Personal Advisers will engage parents through attending centre events and meeting groups. The children's centre staff will also help ensure that the Personal Adviser is able to promote the service through a wider network of agencies and to ensure that the Personal Adviser can both receive and pass on referrals. This is aimed at embedding the Jobcentre Plus activity within the wider family service network.

**Key partners and partnerships**

Key partners include a set of established partnerships with Hull City Council Children and Young People's Services, Hull and Yorkshire Credit Union, Hull Primary Teaching Care Trust, Hull Community Legal Advice Centre and Jobcentre Plus.

## Lambeth

**Specified aims**

The pilot aims to deliver the following across the three pilot children's centres:

- increase the number of workless parents supported into employment (25 in year 1; 120 in year 2; and 135 in year 3);
- increase the uptake of New Deal for Lone Parents and New Deal for Partners;
- increase the uptake of in work credit payments.

**Core elements and how they will be implemented***Jobcentre Plus Personal Adviser role*

The pilot aims to raise awareness of Jobcentre Plus services through the Jobcentre Plus Personal Adviser role in children's centres. The Jobcentre Plus Personal Adviser will do this through a number of functions, including outreach, brokerage and job matching; marketing and publicity; managing caseloads; workshops and information sessions; and training centre staff to improve their understanding of the role of Jobcentre Plus.

*Specialist outreach*

The pilot intends to fund one full-time specialist outreach worker to work across the pilot children's centre and to specifically target workless households who have had little previous engagement with Jobcentre Plus or the children's centre.

*Parent mentoring*

The pilot will identify a pool of employed parents within the community and training them to act as parent mentors.

*Employment Pathway Incentive Fund*

This will provide incentives at key stages throughout the employment pathway aimed at tackling the financial barriers to employment. The incentives will aim to directly benefit children and parents.

*Training*

Training offered through the pilot will include work-focused skills training, accredited work-focused training courses, basic skills and family learning.

**Key partners and partnerships**

Key partners in the delivery of the pilot will include The Baytree Centre and High Trees Community Trust to deliver a range of employment training and support for the children's centres. Core partners also include The Early Years Employment and Training Forum and Lambeth's Children and Young People's Service.

**Nottingham City****Specified aims**

The pilot in Nottingham City has a number of key aims. These are to:

- increase capacity to complement the existing work of Jobcentre Plus within the children's centres to co-ordinate and deliver an enhanced service around worklessness and child poverty;
- introduce a case management approach for targeting families, including lone parents, teenage parents and families with potential second earners;
- raise aspirations and break the cycle of intergenerational deprivation;
- build the capacity of wider centre staff through training and awareness-raising sessions around effective engagement techniques for targeted families;
- commission specialist intensive basic skills training for vulnerable groups along with childcare.

**Core elements and how they will be implemented***Community engagement*

The Jobcentre Plus Personal Adviser and the centre staff are to develop a community engagement approach to target the long-term unemployed and other priority groups at an early stage of the pilot. This would be done in a number of ways, including training sessions and recruitment fairs and through engaging other mainstream services to ensure that families with multiple or complex needs also have the support to access the service.



*Partnership approach*

The Jobcentre Plus Personal Adviser and the children's centre worker will co-ordinate local partners to map and analyse the situation of the most deprived people in each area. This will involve setting up an Economic Wellbeing steering group with partner agencies in local communities and developing links with GP surgeries and the Primary Care Trust (PCT) for incapacity benefit advice.

*Building capacity of existing children's centre workers*

This would aim to develop a robust pathway to employment for parents, through mentoring and shadowing arrangements for existing staff and volunteers.

**Key partners and partnerships**

Key partners in the delivery of the pilot will include drug and alcohol services, local homeless centres, Early Support programmes for disabled children, the PCT, the Skills Board of Greater Nottingham and traveller groups.

## Redcar and Cleveland

**Specified aims**

The aim of the pilot in Redcar and Cleveland is to reduce child poverty through supporting parents into work. The pilot aims to achieve the following outcomes from the pilot work. These are:

- an increased number of parents participating in work and training activities;
- a key worker working in partnership with the Jobcentre Plus Personal Adviser and actively encouraging parents to engage in training and to seek employment opportunities;
- parents having clear, attainable goals regarding employment and training;
- parents able to access high quality childcare;
- parents having increased awareness of employment services in the local area.

**Core elements/approaches and implementation***Jobcentre Plus Personal Adviser embedded within the children's centre*

The Jobcentre Plus Personal Adviser will deliver the core pilot activities and will be an integral part of the children's centre staff and activities. The Jobcentre Plus Personal Advisers will also be available to other community-based activities such as community centres, advice surgeries and school parent meetings. Jobcentre Plus Personal Advisers will be supported by a Project Key Worker.

### *Personalised Intervention Plan (PIP)*

Each parent will have a Personalised Intervention Plan (PIP), which will be outcome-based and focus on how to progress outcomes towards employment. The PIP will include an individual Learning and Development Programme linked to an employment pathway, which will offer support to progress work readiness and personal development.

### *Sign-posting service*

This service will build upon existing sign-posting services to ensure that families can access the right additional support at the right time.

### *Parent champion role*

The pilot intends to build upon a successful volunteer programme to create a parent champion role. This will facilitate access to services by having parents who will promote the effectiveness of the programme to other parents.

### *Buddy support*

A buddy support task will be undertaken by Project key workers to help parents navigate through different training opportunities and support parents into work. This role will complement that of the Jobcentre Plus Personal Adviser but will focus more on improving retention issues associated with commencing or returning to work.

## **Key partners and partnerships**

Key partners in the delivery of the pilot will include a wide variety of organisations, including Redcar Opportunities (for people with disabilities), The Junction (for young carers), Coast and Country (a social landlord) and Kara (for family support).

## Sandwell

### **Specified aims**

The aims of the pilot in Sandwell are to extend the good practice being currently undertaken in children's centres, as well as to roll out innovative new ways of engaging parents, and to use the Jobcentre Plus Personal Adviser as a base for employment and training advice within the local community.

### **Core elements/approaches and implementation**

#### *Jobcentre Plus Personal Adviser embedded within the children's centre*

A key strand of the pilot involves embedding the Jobcentre Plus Personal Adviser within the general operation of the children's centre. This will involve the Jobcentre Plus Personal Advisers developing relationships with parents and staff; undertaking more in-depth meetings with parents; and familiarising themselves with the centre's activities.

*Identifying and engaging parents*

It is intended that the pilot will identify and engage with parents through a number of outreach functions that the children's centres already utilise. These are the outreach home visiting services and buddy schemes which have also proven effective.

*Targeted promotion of the pilot services*

The pilot intends to target parents of children who access the Free for 2 scheme, the centre nursery and parents whose children are due to start nursery or school in three to six months time. This is based on anecdotal evidence from centre staff that suggests that these groups of parents are more likely to be seriously thinking about training and work.

Targeted promotion would also be assisted by the eStart centralised database, the Family Support team, and existing partnerships with other organisations.

**Key partners and partnerships**

Key partners in the delivery of the pilot will be Jobcentre Plus, Sandwell Council's Children and Young People's Services, children's centre research officer, Learning and Skills Council (LSC), training providers, local parents, and partners of children's centres.

## Somerset

**Specified aims**

The pilot has several aims:

- to increase the number of households in the local authority with working parents;
- to provide continued support and advice for those starting work and to sustain this employment;
- to increase the number of parents accessing training, mentoring and volunteering opportunities;
- to encourage the take-up of tax credits;
- to boost work readiness and employability skills;
- to promote community cohesion;
- to improve soft skills and outcomes;
- to increase IT and debt management skills and knowledge;
- support literacy, numeracy, problem solving skills and volunteering opportunities.

It is envisaged that these outcomes will be achieved by:

- identifying where the low income families are within the reach area of the centres;
- developing key strategies to engage with and support parents;
- providing joint training for centre and Jobcentre Plus staff;
- building on existing partnerships.

### **Core elements/approach and implementation**

#### *Jobcentre Plus Personal Adviser embedded within the children's centre*

The pilot aims to embed the Jobcentre Plus Personal Adviser within the children's centre services and activities. The Jobcentre Plus Personal Adviser will support management strategies to engage with parents; will access appropriate training with centre staff; will support the delivery of outreach programmes; and will carry out group information sessions with the centre staff.

#### *Package of support for parents*

The pilot aims to provide a comprehensive package of support that helps people access basic skills training, work-based training and qualifications and develop interview techniques. This will be done by working closely with local employers and colleges and through drawing on a partnership with Somerset Skills and Learning.

#### *Multi-agency working*

Support for the pilot will be delivered through a network of agencies that are able to enhance the wider outcomes for families. Where necessary, the local authority aims to commission tailored services, such as debt management.

### **Supplementary activities**

The pilot aims to develop a Community Mentoring project that will draw on the large population of retired professionals in rural areas to provide mentoring for families.

## Southampton

### Specified aims

Through the pilot, the local authority aims to provide families with a route out of poverty by providing a package of support to help parents back into work. The intention is that this will be achieved through:

- improving confidence and skills;
- improving employability;
- improving access to information about local job opportunities;
- improving access to employment;
- linking training and employment with raised aspirations, health and well-being.

The pilot aims to make initial contact with 2,000 parents across the three pilot centres.

### Core elements and how they will be implemented

#### *Standard range of Jobcentre Plus services delivered in children's centres*

The Jobcentre Plus Personal Advisers will offer the full range of Jobcentre Plus services in the pilot children's centres, working closely with the children's centre link workers to become a full member of the staff team.

#### *Embedding work-focused services within the centre's health services*

The health visitors and midwives are the first point of contact for all families. The aim is to embed questions around work and training aspirations into the current child health assessment. Early identification of parents with employment and/or training aspirations would lead to a 'passport to success' interview (see below).

#### *Passport to success and staff training*

The local authority aims to develop a local version of the 'Wishes' tool and commission a training programme for all frontline staff and local partners. The passport to success will be a bespoke logbook to help workers and parents discuss and record employment/training aspirations as well as start to recognise skills and experience that might be relevant to the workplace. The overall aim is that this will continue the parent's journey into employment with the contribution of more experienced IAG advisers, the Jobcentre Plus Personal Adviser and other local partners.

#### *Training*

The pilot will build on existing training provision and offer childcare assistance if this acts as a barrier to participating in training courses.

### *Identifying and engaging parents*

Parents will be identified through existing partner agencies including health visitors.

### **Supplementary activities**

Supplementary activities will include identifying and working with local debt agencies in the voluntary and statutory sectors; appointing a volunteer co-ordinator to develop volunteering opportunities.

### **Key partners and partnerships**

Key partners in the delivery of the pilot will be health visitors and midwives; other Sure Start frontline service providers; Wheatsheaf Trust; local and national training providers; voluntary sector advice services; local employers; Southampton Anti-Poverty Network; and Adult Learning Services.

## Westminster

### **Specified aims**

The pilot here aims to achieve a number of outcomes for parents. These include:

- entering into sustainable employment;
- progressing in employment;
- maximising income;
- participation in training and/or education;
- participation in activities and volunteering to increase confidence.

### **Core elements/approaches and implementation**

#### *Children's centre Employability Framework*

The Westminster children's centre Employability Framework will provide a core offer and associated actions to deliver support for parents to help them into work. Key to this work will be raising levels of awareness and understanding of employability issues facing families across the children's centre staff and the Jobcentre Plus Personal Adviser. This will better position these staff to support families out of poverty through integrated working, training and professional development.

*Jobcentre Plus Personal Adviser embedded within the children's centre*

The intention is for the Jobcentre Plus Personal Adviser to be embedded into the children's centre core. The Jobcentre Plus Personal Adviser will work closely with the Family Information Service outreach staff and the children's centres career advisers. In the first year, the Jobcentre Plus Personal Adviser will work to build up a caseload of parents and extend the reach of the service through outreach activities. The Jobcentre Plus Personal Adviser will offer traditional Jobcentre Plus services but also work with parents in other ways, including through drop-ins, baby clinics, housing estate offices and parent activities in the local area.

*Identifying and engaging parents*

Identifying and engaging with parents will be done through Jobcentre Plus Group Information Sessions and the dissemination of information on employability and training through frontline staff. More generally, engagement will be facilitated through a friendly and accessible environment with services tailored to the needs of the parents. Outreach conducted by outreach workers and the Jobcentre Plus Personal Adviser will also be important in engaging parents, particularly those who do not currently access work-focused services.

*Multi-agency working*

The pilot intends to draw upon multi-agency working to offer integrated and holistic services to support parents into sustainable employment. For example, individual support plans will be negotiated with parents who enrol onto a training course and a staff member will then co-ordinate services and provide personalised support for the most excluded parents. Packages of support will also be developed for parents with an allocated key worker who require multi-agency services.

**Key partners and partnerships**

Key partners in the delivery of the pilot will include:

- Westminster City Council Family Information Service which will support parents to access childcare and training;
- Work Directions, a Jobcentre Plus, New Deal and Pathways to Work provider;
- Westminster Adult Education Services;
- Westminster Kingsway and City of Westminster Colleges;
- the PCT;
- Local Area Renewal Partnerships;
- Jobcentre Plus LEPs;
- Paddington Development Trust to offer advice and support on engagement;
- National Children's Homes to provide benefits and housing advice.

# Appendix C

## Baseline user survey questionnaire



### Questionnaire

Good morning, my name is ..... and I am an interviewer from GfK NOP, an independent market research company. I'd like to ask you some questions about your use of services within the Children's Centre and whether you currently use any services provided by Jobcentre Plus. It should only take about 10/15 minutes to go through the questions with you.

We need to ask you for your name and telephone number as part of the survey, but this will remain confidential to us and will not be passed on to any other organisation, including Jobcentre Plus.

Once we have completed the survey, we will be passing all other information on to a company called the Institute of Employment Studies who will be writing up the results of the survey. All responses will remain anonymous and it will not be possible to identify any individual or household.

Can I just check, are you happy to take part in the survey?

**INTERVIEWER ADD IF NECESSARY:** The survey is being conducted on behalf of the Department for Work and Pensions.

**INTERVIEWER ADD IF NECESSARY:** The report will not be able to identify individual responses to the survey

#### A. Relationship to child

A1. Are you

The child's parent or guardian

Nanny or childminder -close

Grandparent -close

Other family member -close

Other-close

[Proceed with rest of questionnaire if response is 'parent/guardian'. Otherwise thank person and explain only interviewing parents. Do not proceed with interview, but do retain record of response]

---

#### B Use of Children's Centre services:

B1 Can you tell me why you are visiting the children's centre today? Is it...READ OUT. CODE ALL THAT APPLY

B1x If MORE THAN ONE ASK: Which is the main reason for your visit today? CODE ONE ONLY

..To use childcare/nursery education

..To use healthcare services

..To use family/parenting services

..To use employment advice/support

..for some other reason, please specify

**ASK ALL**

B2 How often do you come to the Children's Centre? CODE ONE ONLY

This is my first visit (filter to C1)

Every weekday

3-4 times a week

At least once or twice a week

At least once a month

Less than once a month

B3 What is usually your main reason for visiting the Children's Centre? READ OUT: CODE ONE ONLY

To use childcare/nursery education

To use healthcare services

To use family/parenting services

To use employment advice/support

Some other reason, please specify

B4. How regularly do you use (insert answer at B3)? READ OUT CODES IF NECESSARY

Every weekday

3-4 times a week

At least once or twice a week

At least once a month

Less than once a month

B5 What other services do you use at the centre? Do you use.. READ OUT AND CODE ALL THAT APPLY

Childcare/nursery education

Healthcare services

Family/parenting services

Employment advice/support

Some other services, please specify

B6 How regularly do you use this/these services? RECORD FOR ALL MENTIONED AT B5

Every weekday

3-4 times a week

At least once or twice a week

At least once a month

Less than once a month

B7 How long have you been using this Children's Centre? CODE ONE ONLY

Less than 4 weeks

4 weeks but less than 2 months

2 months but less than 6 months

Between six months and a year

A year or longer

Don't know/Can't remember

B8 What was your main reason for first using the Children's Centre? Was it... READ OUT. CODE ONE ONLY

To use childcare/nursery education

To use healthcare services

To use family/parenting services

To use employment advice/support

For some other reason, please specify

**C. Use of Jobcentre Plus Services**

C1 Thinking about some other issues, are you personally currently getting any help from Jobcentre Plus - either here at the Children's Centre or at the Jobcentre Plus office?

Yes: at Children's Centre (route to C2)

Yes: at Jobcentre Plus office (route to C2)

No (route to C3)

**IF YES AT C2**

C2. What help are you receiving? READ OUT. Are you ... CODE ALL THAT APPLY

Getting help with jobsearch/finding a job

Seeing a personal adviser for work-focused interviews

Seeing a personal adviser as part of an employment programme

[Do not read out] Receiving out-of-work/social security benefits

Getting help or advice with something else (specify)

**Now Go to C5****IF NO AT C1**

C3 Have you used any Jobcentre Plus services in the past -either at the Children's Centre or at a Jobcentre Plus office?

Yes: at Children's Centre (route to C4)

Yes: at Jobcentre Plus Office (route to C4)

No (route to C5)

**IF YES AT C3**

C4 Which services did you use? READ OUT. CODE ALL THAT APPLY

Help with jobsearch/finding a job/another job

Saw a personal adviser for work-focused interviews

Saw a personal adviser as part of an employment programme

Some other service (specify)

Don't know/can't remember

**ASK ALL**

C5 Do you think you will use any Jobcentre Plus services in the future?

Yes (route to C5x)

No (route to C6)

Don't know (route to C6)

**IF YES AT C5**

C5x for what purpose? DO NOT READ OUT: CODE ALL THAT APPLY

Help with jobsearch/finding a job/another job

To get general advice about working

To find out whether I would be better off in work

To find out what support would be available if wanted to work

To find out about/use training

To get advice on claiming benefits

Other (specify)

Don't know/can't say

**IF NO AT C5**

C6 Why is this? DO NOT READ OUT. CODE ALL THAT APPLY

Not looking for work

Not required to attend Jobcentre Plus Office

Don't like going to the Jobcentre Plus Office

Prefer to look for work in other ways

Other (specify)

**ASK ALL**

C7 If you had a choice about whether to use Jobcentre Plus services here at the Children's Centre or at the Jobcentre Plus Office, which would you prefer?

Prefer Children's Centre (route to C8)

Prefer Jobcentre Plus Office (route to C8)

No preference (route to D1)

C8 Can you tell me why this is? What other reason? PROBE FULLY

[record answer]

**D. Employment status**

D1. Please could you tell me whether you are: CODE ONE ONLY

- 1 Employed full-time (30 hours or more)
- 2 Employed part-time (16-29 hours per week)
- 3 Employed part-time (1-15 hours per week)
- 4 Self-employed
- 5 Not working: unemployed and looking for work (ask D2 and D3 then route to D5)
- 6 Not working (looking after home/family)
- 7 Not working (long-term illness/disability)
- 8 Student
- 9 At school (route to D4)
- 10 Vocational or training course
- 11 Retired
- 12 Other

**ASK ALL EXCEPT THOSE CODED AT SCHOOL**

D2. How long you have been .... Insert text as appropriate according to response at D1: CODE ONE ONLY

- (Codes 1-4) working in your current job?
- (Code 5) in this spell of unemployment?
- (Code 6) looking after your home/family?
- (Code 7) not working due to your illness or disability?
- (Code 8) a student?
- (Code 10) undertaking training?
- (Code 11) retired?
- (Code 12) use text inputted on CAPI?

Under 6 months

6 months to a year

More than a year to 2 years

More than 2 years up to 5 years

More than 5 years up to 10 years

More than 10 years

Don't know

Prefer not to say [Do not prompt]

**IF UP TO A YEAR (CODES 1 and 2 AT D2) ASK D3: OTHERS GO TO D4**

D3 Can you tell me what you were doing before.....insert text as appropriate according to response at D1:  
CODE ONE ONLY

(Codes 1-4) working in your current job?

(Code 5) this spell of unemployment?

(Code 6) looking after your home/family?

(Code 7) not working due to your illness or disability?

(Code 8) being a student?

(Code 10) undertaking this training?

(Code 11) retiring?

(Code 12) use text inputted on CAPI?

Employed full-time (30 hours or more)

Employed part-time (16-29 hours per week)

Employed part-time (1-15 hours per week)

Self-employed

Not working, unemployed and looking for work

Not working: not looking for work (looking after home/family)

Not working: not looking for work (permanently sick/disabled)

Student

At school

Vocational or training course

Retired

Other

**ASK ALL (EXCEPT CODE 5 at D1)**

D4. Can I just check, are you currently looking for work?

Yes [route to D5]

No [route to D6]

**IF YES At D4 or CODE 5 AT D1**

D5. How are you looking for work? What other way? DO NOT READ OUT. CODE ALL THAT APPLY

Going to Job Centre Plus

Looking at jobs in newspapers

Looking for jobs on internet

Sending CV to companies

Other, please specify

Not done anything

Don't know

**ASK ALL**

D6. Which of these best describes your current status? SHOWCARD

married/civil partnership (and living with your *wife/husband/partner*)

living with someone as a couple

widowed

divorced

separated

single and never been married

Refused

**ASK D7 and D8 IF RESPONDENT HAS PARTNER (CODES 1-2 at D6)**

D7. Please could you tell me whether your partner is: [select one]

Employed full-time (30 hours or more)

Employed part-time (16-29 hours per week)

Employed part-time (1-15 hours per week)

Self-employed



Not working, unemployed and looking for work

Not working: not looking for work (looking after home/family)

Not working: not looking for work (long term illness/disability)

Student

At school

On vocational or training course

Retired

Other

D8. How long has your partner been... insert text as appropriate from D7. CODE ONE ONLY

(Codes 1-4) working in their current job?

(Code 5) in this spell of unemployment?

(Code 6) looking after the home/family?

(Code 7) not working due to their illness or disability?

(Code 8) a student?

(Code 10) undertaking training?

(Code 11) retired?

(Code 12) use text inputted on CAPI?

Under 6 months

6 months to a year

More than a year to 2 years

More than 2 years up to 5 years

More than 5 years up to 10 years

More than 10 years

Don't know

Prefer not to say

**E. Income and benefits****ASK ALL**

E1 SHOWCARD: Please can you tell me into which of these bands your household's total gross income from all sources after tax and benefits (including your own income and your partner's) falls in? That is income from work and any other sources, such as benefits and pensions, before deductions, income tax, national insurance etc. Just pick the letter that applies. CODE ONE ONLY. PROBE FOR BEST ESTIMATE

B  
G  
F  
A  
C  
I  
E  
H  
D  
Don't know  
Refused  
Estimate

E2 SHOWCARD Please can you tell me which of these benefits and credits you are **personally** claiming  
CODE ALL THAT APPLY

Income Support (IS)

Jobseekers Allowance (JSA)

Incapacity Benefit (IB) or Employment Support Allowance (ESA)

Working Tax Credit (WTC)

Child Tax Credit (CTC)

Carers Allowance (CA)

Disability Living Allowance (DLA)

Attendance Allowance (AA)

Housing Benefit (HB)

Council Tax Benefit (CTB)

Pension Credit(PC)

None of these

**ASK E3 IF HAS A PARTNER (D6 codes 1 and 2): OTHERS GO TO DEMOGRAPHICS**

E3 SHOWCARD: Please can you tell me which of these benefits and credits your partner is claiming CODE ALL THAT APPLY

Income Support (IS)

Jobseekers Allowance (JSA)

Incapacity Benefit (IB) or Employment Support Allowance (ESA)

Working Tax Credit (WTC)

Child Tax Credit (CTC)

Carers Allowance (CA)

Disability Living Allowance (DLA)

Attendance Allowance (AA)

Housing Benefit (HB)

Council Tax Benefit (CTB)

Pension Credit(PC)

None of these

Don't know

**ASK ALL****F.Demographics:**

F1 Interviewer Code:

Male

Female

F2. What was your age at last birthday?

14-15

16-17

18-24

25-34

35-44

45-54

55+

Prefer not to say

F3. To which of these groups do you consider you belong? SHOWCARD. CODE ONE ONLY

<b>A White.</b>	British Irish Any other White background
<b>B Mixed</b>	White and Black Caribbean White and Black African White and Asian Any other Mixed background
<b>C Asian or Asian British</b>	Indian Pakistani Bangladeshi Any other Asian background
<b>D Black or Black British</b>	Caribbean African Any other Black background
<b>E Chinese or other ethnic group</b>	Chinese Any other (specify).

Prefer not to answer

F4. Do you have any long-standing physical or mental impairment, illness or disability? By 'long-standing' I mean anything that has troubled you over a period of at least 12 months or that is likely to affect you for a period of at least 12 months?

Yes

No

F5. Are you:

An owner occupier (including shared ownership)

Renting from a social landlord (local authority, housing association)

Renting from a private landlord

Living with friends/relatives

Living in temporary accommodation (including B&B)

Other

F6. How many dependent children are there living with you in your household aged: RECORD NUMBER AND AGE OF EACH CHILD

- Under 5 years (ENTER NUMBER): record ages of each child
- 5-11 years (ENTER NUMBER): record ages of each child
- 12-15 years (ENTER NUMBER): record ages of each child
- 16-18 years in full time education (ENTER NUMBER): record ages of each child



# **Local authority child poverty innovation pilot evaluation: Final synthesis report**

**Paul Mason, Richard Lloyd, Matt Rayment,  
Andy White and Oliver Jackson (GHK)  
with Mike Coombes and Chris Young  
(Newcastle University).**

This research report was commissioned before the new UK Government took office on 11 May 2010. As a result the content may not reflect current Government policy and may make reference to the Department for Children, Schools and Families (DCSF) which has now been replaced by the Department for Education (DFE).

The views expressed in this report are the authors' and do not necessarily reflect those of the Department for Education.

## Acknowledgements

The evaluation team would like to thank all of those who gave their time to the ten local, and the national, evaluations of the LAIP. A wide range of staff and stakeholders from a wide range of organisations participated with enthusiasm and candour. The core programme teams and programme managers played a particularly important role in organising fieldwork visits, providing information and generally facilitating all of the evaluation team's work. A huge thank you must also go to all of the parents and families who participated in the evaluation, often going out of their way to take part and to give their views honestly and openly.

Thanks are due to staff at the Child Poverty Unit and the support provided by Karin Bosveld and Lorraine Reid in particular, as well as their colleagues from across the Unit, the partner departments and outside organisations that commented on reports and gave guidance at steering group meetings.

The evaluation involved a number of researchers at GHK and these were:

Shane Beadle	Aidan Moss
Sophie Bragg	Rebecca Murray
Steph Charalambous	Ross Neilson
Jessica Daggars	Rakhee Patel
Peter Dickinson	Matt Rayment
Nick Henry	Heather Rose
Oliver Jackson	David Salisbury
Daljeet Johal	David Scott
Richard Lloyd	Ronan Smyth
Paul Mason	Andy White
Leighton Mitchell	Naomi Williamson

GHK's evaluation partner was the Centre for Urban and Regional Development Studies (CURDS) at Newcastle University. The researchers there were:

Prof. Mike Coombes  
Dr. David Bradley  
Chris Young

The evaluation benefited from the advice and insights of Prof. Jonathan Bradshaw (University of York) and Dr. Tess Ridge (University of Bath) through an Advisory Group, which also included Prof. Mike Coombes.



# Contents

- Acknowledgements ..... i
- Executive Summary ..... 1
- 1 Introduction..... 6
  - 1.1 The Evaluation of the Local Authority Child Poverty Innovation Pilot (LAIP)..... 6
  - 1.2 The Structure of this Report ..... 7
- 2 The Child Poverty Context: Recent Policy and Evidence..... 8
  - 2.1 Child Poverty Policy ..... 8
  - 2.2 Understanding Child Poverty in the UK ..... 11
  - 2.3 Pilot Context – New Analyses ..... 14
  - 2.4 Summary ..... 19
- 3 The Ten Local Authority Child Poverty Innovation Pilot Programmes ..... 21
- 4 Evaluation Findings: Effective Practice ..... 54
  - 4.1 Targeting and Engaging Parents and Families..... 54
  - 4.2 Increasing Employment and Employability ..... 58
  - 4.3 Alleviating the impacts of poverty ..... 62
  - 4.4 Addressing Barriers..... 65
  - 4.5 Innovation and Sustainability ..... 69
  - 4.6 Summary ..... 77
- 5 Conclusion ..... 79
  - 5.1 Synthesis Evaluation Key Findings..... 79
  - 5.2 Learning – The Themes of the Child Poverty Strategy 2011..... 80
- Annex Notes on Cost Effectiveness Analysis ..... 85

# Executive Summary

## 1 Introduction

In April 2009 GHK Consulting was commissioned by the Child Poverty Unit (CPU) to undertake the national evaluation of the Local Authority Child Poverty Innovation Pilot (LAIP). The Local Authority Innovation Pilots look at a wide range of innovative activity designed by local areas to tackle child poverty. The LAIP ran from April 2009 to March 2011. This report presents the final findings and conclusions from the evaluation.

LAIP programmes were expected to address at least one of the following themes:

- Increasing parental employment;
- Raising family income, through the improved take-up of tax credits and benefits, and local authority administered benefits;
- Narrowing the outcome gap between children in low income families and their peers;
- Promoting economic regeneration focusing on families and tackling regeneration at a community wide level; and,
- Building the capacity of communities to address child poverty.

The ten pilot authorities successful in their applications for funding to begin in April 2009 were:

- Cornwall; Hammersmith and Fulham; Islington; Kent; Knowsley; North Warwickshire; Sefton; North Tyneside and South Tyneside (in partnership as Tyne Gateway); Waltham Forest; and, Westminster.

This report draws on fieldwork and data collection undertaken in February and March 2011 and builds on three previous stages that were reported in: January 2010; June 2010; and, November 2010. It is based on qualitative interviews with a range of stakeholders, pilot programme managers and team members, and with parents engaged in pilot provision including a longitudinal sample interviewed over time. The report also includes: analysis of monitoring and management information (MI) data for the entire pilot period; an analysis of the costs incurred, including in-kind costs; and, a spatial mapping analysis exploring how targeting of families in poverty and at risk of poverty was achieved.

## 2 The Child Poverty Context: Recent Policy and Evidence

The Child Poverty Act (2010) commits the Secretary of State to four targets to eradicate child poverty by 2020 and to minimise socio-economic disadvantage, and to produce a strategy every three years for reaching these goals. The Coalition Government has broadened the approach of the previous administration from a focus on income to include a focus upon life chances, social justice and social mobility.

At the centre of the Coalition Government's *New Approach to Child Poverty*, the national child poverty strategy, are the principles of '*strengthening families, encouraging responsibility, promoting work, guaranteeing fairness and providing support to the most vulnerable*'. In order to break the intergenerational cycle of poverty, the strategy aims to tackle the interrelated problems of worklessness, debt, educational failure and poor health. The social mobility strategy *Opening Doors, Breaking Barriers* complements the *New Approach*.

Central to both strategies is welfare reform. In particular, statutory changes announced in the Welfare Reform Acts 2009 and 2010 and the introduction of the Universal Credit and the Work Programme emerge as key policy instruments for tackling poverty. A focus on early intervention is another key element. This draws on Frank Field's Review recommendation of an increased emphasis on providing high quality, integrated front-line services, aimed at supporting parents and promoting the development of the poorest children.

These reforms bring some significant challenges. Child poverty has a damaging impact upon children and their families, in the immediate and longer-term. Certain groups face particular risks and there is also a geographical dimension to the problem. Analysis of socio-economic data for the pilot authorities shows that since the LAIP began, child poverty has increased and employment has fallen

in those areas. There is a growing body of evidence about effective approaches for tackling child poverty, to which the national evaluation of LAIP contributes.

### 3 The Ten Local Authority Child Poverty Innovation Pilot Programmes

The report provides an overview of each of the ten LAIP programmes. This includes:

- A summary of the pilot's aim, key features and achievements as well as key findings from an analysis of pilot costs;<sup>1</sup>
- A logic model to present a summary of the pilot programme theory; and<sup>2</sup>
- A map showing the spatial location of beneficiaries across the local authority and the levels of child poverty in the authority's LSOAs.<sup>3</sup>

The section illustrates the breadth and diversity of the different programmes.

### 4 Findings: Effective Practice

Previous LAIP national evaluation reports have identified and explored messages of effective practice. In the final analysis those cross-cutting themes remain and can now be presented as findings for effective practice.

#### 4.1 Targeting and engaging parents and families

Effective targeting and engagement of parents and families is an essential element of support to address child poverty in the short and longer-term. Creating family-friendly brands that present a broad message about the support available, without linking this to stigmatising notions of 'child poverty', is important. Across the ten pilots, a range of approaches were taken to promote the support available for parents and families. These include: publicity; outreach, including peer-based approaches; data-led approaches; persistency; and, work with partners. No single approach emerges as most effective; rather, a combination of different techniques is required. Front-line workers who are engaged with families provide a crucial source of referrals, particularly to new and (innovative) pilot provision. As previously reported, existing staff and services welcome provision that can support parents and families that they are in contact with. But, these staff can also be cautious about new provision and thus it takes time and effort to build the awareness, relationships and confidence that is essential for them to make referrals.

A key feature of the pilots was a focus upon providing family-based approaches to support low-income families towards improved outcomes. The final evaluation reports confirm that providing an effective family-based approach does not necessarily engage the whole family, but it does take each of the individuals and the family as a unit into account. Working with parents as parents, rather than as adults who may or may not have children, is an important theme. It is also important to provide needs assessment and action planning that is undertaken in partnership with parents and families, and to understand that this should be an ongoing process as more is revealed and understood as trust is developed over time. Effective practice is therefore able to support families over the longer-term, as appropriate to them and with clear exit strategies.

#### 4.2 Increasing employment and employability

Increasing parental employment and employability was at the heart of almost all of the LAIP programmes (Cornwall, Hammersmith and Fulham, Islington, Sefton, Tyne Gateway and Westminster). Taking a family-focused approach in working with parents was identified as central to addressing the issues that parents face as parents when returning to or sustaining employment. All of

---

<sup>1</sup> Annex 1 of the report provides a discussion of the limitations of this analysis, the caution that must be taken in interpreting the results and the detail of how the analysis was undertaken for each pilot.

<sup>2</sup> The national evaluation used a programme theory approach to each of the local evaluations, which involves establishing a programme's: context; inputs; target group(s); activities; rationale; outputs; medium term outcomes; and, long term outcomes.

<sup>3</sup> Lower Super Output Areas (LSOAs) are small geographical areas identified by the Office of National Statistics (ONS), with a population of c.1500 people.

the pilots demonstrated a high demand for the holistic, flexible, resourced and responsive models of support delivered or coordinated by a single 'keyworker' that were developed. Females with young children were a key group engaged, primarily as lone parents but also as potential second earners in low-income families. Evidence from the evaluation indicates that parents are motivated to engage with employment support by the benefits that they expect it to bring to their children and their family in the longer-term. Work-life balance is an important consideration, particularly for women with primary carer responsibilities. For these parents, flexible employment is required that can fit around these.

In Sefton and Westminster, the LAIP programmes included an element of employer engagement. Both sought to promote family-friendly employment and identify these vacancies for local parents including those in receipt of LAIP support; Sefton through an 'Employer Award' scheme and Westminster through employment brokerage. Both engaged employers in activities to promote family friendly employment and the evaluation indicates an interest amongst employers in this activity. But the evaluation suggests that there is currently a lack of employment opportunities that meet the needs of parents. In the absence of available employment and reflecting the distance from the labour market of most of the parents engaged, key outcomes have been employability with less parents entering work.

#### 4.3 Alleviating the impacts of poverty

As well as activity to address child poverty in the long term by supporting parents into or closer to employment, a feature across pilot provision was activity to alleviate the impacts of poverty in the immediate and medium term. The evaluation evidence illustrates how the immediate provision of resources can make an immediate impact on the lived experience of child and family poverty. For professionals delivering pilot support, the ability to access flexible funds that LAIPs provided was highlighted as a particularly important feature of effective practice, and was described in contrast to existing mainstream funds. Where pilot flexible funds were used as part of support along a progression pathway, they can be expected to support longer-term and sustained outcomes. The evaluation also indicates that the provision of these resources supports parents' engagement in these progression pathways. The funds also support 'quick wins' that demonstrate early progress and the commitment of keyworkers or other professionals to supporting the parent and family.

Another feature to emerge from the evaluation was the high demand for financial advice and support and the high impact that this provision can have on family income and with related benefits for parental and family wellbeing. Parents can be reluctant to divulge details of their finances to advisers who they do not know. Yet, financial advice including benefits checks and 'better off in work calculations' require specialist skills and knowledge that more general family support and keyworking staff are unlikely to have. Sensitive approaches are therefore required to promote the benefits of these services and once referred, supporting parents to access this provision is more likely to lead them to benefit from it.

#### 4.4 Addressing barriers

Addressing the barriers that parents and families face in accessing support to enable them to progress towards improved outcomes, and to enter or progress towards employment, was key to effective LAIP provision. The barriers are numerous and unpredictable. Flexible and coordinated packages of support are essential for effective practice that identifies and then addresses the range of barriers that parents and families face. Pilots in larger metropolitan areas indicate how it is important that provision is culturally aware and therefore culturally sensitive, understanding any cultural barriers and accessing specialist language provision where required. Pilots in rural areas illustrate the importance of approaches that address transport issues and consider ways of taking services out of their established locations and into communities themselves.

A common barrier that many of the LAIP programmes identified in their pilot design was access to affordable, flexible childcare. This is both childcare for children under 5 but also holiday provision and before and after school provision for school-age children. Access to childcare was confirmed by the LAIP programmes to be a complex issue for parents and families, with several different dimensions that can interrelate. These are:

- Affordability; awareness; availability; funding; and cutting across these, parents' perceptions.

Even if childcare is available, parents can require support and encouragement to access it. Parents were concerned about their ability to afford childcare in the future where an LAIP had assisted them

with meeting costs, despite their recognition of the long-term benefits through employment of increased wages and improved future prospects.

School-based programmes in Kent and North Warwickshire demonstrate the potential of these approaches to engage pupils and build their skills and capacity for longer-term outcomes and preventing future barriers.

#### 4.5 Innovation and sustainability

Each of the LAIP programmes was established to provide innovation in addressing child poverty. This context meant that features that were locally innovative were the primary concern, with national innovation secondary. Despite a focus upon increased partnership working across policy and practice for at least the last fifteen years, partnerships for the effective support of families and to address the child poverty agenda were consistently identified as new and therefore innovative. The partnerships developed by LAIP programmes were then identified as one of the lasting legacies of the pilot, and all of the programmes have provided learning for their local authority child poverty strategy.

The models of support that LAIP programmes developed to support families and to support parental employment in this context – the flexible, holistic, resourced models referred to throughout this section – are recognised as innovative and informing the provision required by the changes from broader welfare reform. Although models for employment support were common to the majority of the LAIP programmes, there were some notable exceptions. North Warwickshire's Branching Out Bus (BOB) built on previous local experience of providing outreach advice for benefits and financial support, but which had a low take-up and was seen as stigmatising. Kent developed an ambitious structure to develop local programmes alleviating poverty in the short term and building resilience in the longer-term. Knowsley developed a peer support 'Volunteer Family Mentor' structure. Tyne Gateway developed a unique Community Entrepreneur model.

Whatever models of provision were developed, the evaluation highlights the importance of strong governance and strong leadership at both strategic and operational levels. Strong pilot leadership ensured clear plans were developed, key milestones were delivered and supported the effective ongoing review, reflection and strategic engagement that emerges as key to sustainability (as well as delivery). It is also important to recognise the need for strong and clear evidence from delivery within this.

## 5 Conclusion

### 5.1 Key findings

- There was a high demand for all of the pilot provision whether providing intensive family support, intensive family-focused employment support, supported signposting and information, or community-based models of provision.
- Employment outcomes were mixed, with the economic downturn limiting the opportunities for parents supported by LAIP programmes and raising questions about the longer-term prospects of parents who have had their skills and employability increased.
- There is a lack of broad and responsive provision that can support families to identify and address barriers to improved outcomes. Targeted interventions often fail to look beyond the focus of their activity, meaning that where a member of a family is engaged their wider and family(s') needs are not recognised or addressed.
- Data should be used to understand local communities and their characteristics, in order to target provision. Collecting data is also important for reviewing and demonstrating progress and longer-term effects.
- The LAIP programmes have been developed and delivered in a true pilot ethos, with local strategic and delivery arrangements that enabled ongoing reflection upon progress and learning and the amendment of delivery as a result.
- Time is an important element for pilot provision – to develop, to engage parents, and to achieve outcomes.

- Context is important, and changing context can limit achievement. But whatever the context, delivering a successful pilot requires strong governance and strong leadership.
- There are clear messages of effective practice:
  - The need for a range of techniques if targeted parents are to be reached and engaged;
  - The effectiveness of packages of support for parents seeking to enter or re-enter employment that are flexible, resourced, and understand them as parents;
  - The need for flexible, accessible resources that can provide immediate impact as well as support progression to more sustainable and long-term outcomes;
  - The importance of flexible coordinated approaches that are parent-led and identify barriers;
  - The lack of confidence that many parents have in accessing local provision and the need for supported signposting that builds self-reliance;
  - Money and debt advice brings key impacts on individual and family wellbeing;
  - The importance of skilled staff, able to support parents and families from a range of backgrounds through a relational and trust building approach;
  - The challenges of developing new practice, and of workforce development to support it; and,
  - Community capacity building approaches can have a transformational impact upon those engaged but supporting this development requires dedicated resources.

## 5.2 Learning – The Themes of the Child Poverty Strategy 2011

### 5.2.1 Supporting families to achieve financial independence

- Parents are motivated to find work to improve their and their children’s life chances and to achieve financial independence, and there is a demand for family-focused employment support.
- Financial problems and debt are an important barrier to work. Support needs to be sensitively promoted and delivered if it is to engage parents effectively.
- The need for flexible, affordable childcare is a key barrier to employment.

### 5.2.2 Supporting family life and children’s life chances

- Parents and families can lack confidence in provision. Flexible offers are required, tailored to parents and families and enabling trust to be built over time.
- Services therefore need to take a range of approaches to targeting and engaging parents, and need to think about outreach and mobile provision.
- Keyworkers or staff who are able to coordinate a range of provision are important, supported by resources that enable them to engage parents and families and provide immediate impacts.

### 5.2.3 The role of place in transforming lives

- Community-based models of provision can be effective but require considerable resources to develop.
- To support parents and families effectively, locally accessible provision must be in place and access coordinated.
- Partnerships are required for effective provision but can be difficult to develop.
- Local authorities have a role to play in working with employers to promote family-friendly and flexible employment within their employment brokerage functions.

### 5.2.4 Further learning

There are some final notable points of further learning.

- The findings of the evaluation indicate the challenges for new Work Programme provision.
- The Universal Credit will provide a single income award to families; any mistakes that are made will have significant impacts for families who rely on it.
- Pilot programmes need to have a strong evidence base to promote learning and sustainability.

# 1 Introduction

In April 2009 GHK Consulting was commissioned by the Child Poverty Unit (CPU) to undertake the national evaluation of the Local Authority Child Poverty Innovation Pilot (LAIP). The evaluation was structured to provide a local evaluation for each of the unique local authority pilot programmes and a synthesis evaluation to CPU. The LAIP ran from April 2009 to March 2011. There were four stages of evaluation data collection and fieldwork. This report presents the final findings and conclusions from the evaluation.

## 1.1 The Evaluation of the Local Authority Child Poverty Innovation Pilot (LAIP)

LAIP programmes were expected to address at least one of the following themes:

- Increasing parental employment;
- Raising family income, including through the improved take-up of tax credits and benefits, including local authority administered benefits;
- Narrowing the outcome gap between children in low income families and their peers;
- Promoting economic regeneration focused on families and tackling regeneration at a community wide level; and,
- Building the capacity of communities to address child poverty.

The ten pilot authorities successful in their applications for funding to begin in April 2009 were:

- Cornwall; Hammersmith and Fulham; Islington; Kent; Knowsley; North Warwickshire; Sefton; North Tyneside and South Tyneside (in partnership as Tyne Gateway); Waltham Forest; and, Westminster.

This report draws on fieldwork and data collection undertaken in February and March 2011 and builds on three previous stages that were reported in: January 2010; June 2010; and, November 2010.

The reports from the first two stages of the evaluation focused primarily upon the analysis of qualitative data. This reflected the formative nature of the evaluation, exploring the processes involved in establishing pilot provision. It also reflected the lack of comprehensive performance management and monitoring information (MI) across the national pilot programme during the developmental stages. The third evaluation report was able to benefit from the inclusion of MI, although issues remained with the coverage and quality. The evaluation team provided support and advice, but not all of these issues were resolved.

This fourth report presents final findings and conclusions about the learning from the LAIP programme. The report has been produced following the conclusion of the pilot in March 2011 so that it is able to benefit from analysis of MI data covering the entire pilot period and thus to report final outputs and outcomes. The final stage of qualitative fieldwork concluded the longitudinal approach of the evaluation. This approach has enabled the evaluation team to follow the development of the pilot programme over time. It has also involved working with a group of beneficiaries over time and therefore a longitudinal sample was included.

The final stage of evaluation activity involved interviews with a wide range of stakeholders and participants in the each of the ten pilot programmes. Table 1.1 details the number of participants from each of four categories that were interviewed across the ten pilot sites for the final fieldwork stage and for the evaluation overall.

Table 1.1 Evaluation Fieldwork Participants

Group	Definition	Final Stage Participants	Overall Participants
Strategic Stakeholders	Senior local authority staff and other key partners involved in management boards and other strategic structures.	47	131

Programme Team	The pilot management and delivery team.	48	254
Delivery Partners	Those involved in delivering elements of a pilot, and providing or taking referrals.	73	247
Beneficiaries	Parents engaged in support.	222	585
	(including a subsample interviewed two to four times)		60

The production of this report has also involved:

- Analysis of MI data for the entire pilot from April 2009 to March 2011 to explore outputs and outcomes;
- Analysis of the cost effectiveness of the pilot and the way in which resources were utilised, although these results need to be treated with caution and are instead presented in this report as a more basic analysis of costs;<sup>4</sup> and,
- Spatial mapping analysis<sup>5</sup> that explores the nature of the child poverty problem in each pilot area, and maps beneficiaries engaged by the pilot to explore how the targeting of families in poverty and at risk of poverty was achieved.

## 1.2 The Structure of this Report

This report is structured by the following sections:

- **Section 2, Policy Context:** provides an outline of the policy context for the Local Authority Child Poverty Innovation Pilot and how this has changed over time;
- **Section 3, Local Authority Child Poverty Innovation Pilot Programmes:** provides, for each of the ten pilot programmes: a logic model that summarises the pilot features, outputs and outcomes; a short discussion of the pilot's key features and achievements; key findings from an analysis of the pilot costs; and, a map to illustrate the targeting achieved.
- **Section 4, Evaluation Findings: Effective Practice:** discusses findings in relation five cross-cutting themes that emerge from analysis of the pilot; and,
- **Section 5, Conclusion:** provides final conclusions about the LAIP programme and the learning for national and local policy and practice under the themes of the national Child Poverty Strategy 2011 as well as recommendations for future pilot programmes.

<sup>4</sup> There were significant problems with the cost effectiveness analysis, due to the availability of robust MI for many of the pilot sites: see Annex for more information. The costs analysis that is presented includes an estimation of the in-kind contributions to the pilots. These are the time and other contributions from local authorities and their partners in developing and delivering pilot provision following the award of LAIP funding by CPU. A full description of how this analysis was undertaken is included in the Annex.

<sup>5</sup> A team from CURDS at Newcastle University worked with the national evaluation team at GHK to map beneficiaries of pilot support against socio-economic data about each of the pilot local authority areas, using postcode data provided as part of pilot MI. Prof. Coombes led the CURDS team and was also a member of the evaluation's Advisory Group, with Prof. Jonathan Bradshaw (University of York) and Dr. Tess Ridge (University of Bath).



## 2 The Child Poverty Context: Recent Policy and Evidence

### 2.1 Child Poverty Policy

#### 2.1.1 Background

In 1999, in response to the worst rate of child poverty in Europe, the then UK government made the historic pledge to eliminate child poverty by 2020. This commitment was subsequently enshrined in the Child Poverty Act 2010<sup>6</sup> and the Coalition Agreement.<sup>7</sup> Whilst the numbers of children living in poverty reduced across that decade, progress slowed with no reduction in the figure for children living in relative poverty from 2005 to 2008.<sup>8</sup> While the latest figures show a fall of two percentage points in one year,<sup>9</sup> the interim target set by that government of halving child poverty by 2010 is likely to be missed. Analysis by the Institute for Fiscal Studies<sup>10</sup> shows that between 1996-1997 and 2009-2010 the proportion of children in poverty fell by a quarter, from 26.7% to 19.7%. However, child poverty would need to be recorded to fall by nearly as much again (900,000) in just one year to meet the interim target for 2010.

To help meet this ambitious target to end child poverty by 2020, the previous government created the Child Poverty Unit (CPU) in 2007 to bring together HM Treasury, the Department for Work and Pensions and the (now) Department for Education. CPU designed nine different national pilot programmes, supported by £125million of funding for 2008-2011, to develop approaches to tackling child poverty and minimise socio-economic disadvantage for children. The Local Authority Child Poverty Innovation Pilot is the largest of these.

The Child Poverty Act (2010) commits the Secretary of State to four targets to eradicate child poverty by 2020, and to produce a strategy every three years for reaching these goals. The targets are:

- **Relative poverty** – to reduce the proportion of children who live in relative low income (in families with income below 60 per cent of the median) to less than 10 per cent;
- **Combined low income and material deprivation** – to reduce the proportion of children who live in material deprivation and have a low income to less than 5 per cent;
- **Persistent poverty** – to reduce the proportion of children that experience long periods of relative poverty; and,
- **Absolute poverty** – to reduce the proportion of children who live in absolute low income to less than 5 per cent.

The Act also conveys responsibilities upon local authorities and named partners to:

- **Cooperate** to put in place arrangements to work to reduce, and mitigate the effects of, child poverty in their area;
- Prepare and publish a **local child poverty needs assessment** to understand the drivers of child poverty in their local area and the characteristics of those living in poverty; and,
- Prepare a **joint child poverty strategy** setting out measures that the local authority and each named partner propose to take to reduce, and mitigate the effects of, child poverty in their local area.

Local authority needs assessments and their resultant strategies require joint action across these areas.

Although the Bill received cross-party support, the Conservative party was critical of the income targets used, arguing a more effective approach would ‘*aim to widen the agenda ...*

<sup>6</sup> HM Government (2011) *A New Approach to Child Poverty: Tackling the Causes of Disadvantage and Transforming Families' Lives*, London: Cabinet Office

<sup>7</sup> HM Government (2010) *The Coalition: our programme for government*: Cabinet Office  
<http://www.cabinetoffice.gov.uk/news/coalition-documents>

<sup>8</sup> DWP (2009) Households below average income, *An analysis of the income distribution 1994/95-2007/08*, [online]. Available at <http://www.dwp.gov.uk/asd/hbai.asp> [Accessed on 27 May 2011]

<sup>9</sup> <http://statistics.dwp.gov.uk/asd/index.php?page=hbai>

<sup>10</sup> Jin, W. et al (2011) *Poverty and Inequality in the UK:2011*, London: Institute for Fiscal Studies

which [is] more likely to address the underlying causes of poverty.’<sup>11</sup> Indeed, while the Coalition Government remains committed to the 2020 target, its stated means of both measuring and tackling child poverty represent a significant change of approach from that of the previous administration.

### 2.1.2 A new approach

The Coalition Government’s Child Poverty Strategy was published in March 2011. Their new approach incorporates to a significant extent the findings of Frank Field’s *Independent Review on Poverty and Life Chances.*, commissioned by the Coalition government. It also builds on the *State of the Nation* report published very early in the term of the government by Iain Duncan Smith,<sup>12</sup> the timing of which itself reflects the high priority given to this issue:

*‘The Coalition Government recognises that poverty is a multifaceted and wide-reaching problem. This report therefore includes a broad range of poverty and deprivation indicators, including income poverty, indebtedness, unemployment, educational and health inequalities, family structure and community breakdown.’*<sup>13</sup>

The Coalition Government’s *New Approach to Child Poverty* emphasises a holistic approach, marrying the broader agendas of social mobility and social justice. This reflects the move away from an approach that focuses upon income as the primary indicator of poverty:

*‘We agree [with Frank Field] that focusing on income measures has distorted policy making... there has been an over-reliance on policies such as income transfers which aim to tackle the symptoms, rather than the causes, of child poverty.’*<sup>14</sup>

At the centre of the new approach are the principles of ‘strengthening families, encouraging responsibility, promoting work, guaranteeing fairness and providing support to the most vulnerable.’<sup>15</sup> In order to break the intergenerational cycle of poverty, the strategy aims to tackle the interrelated problems of worklessness, debt, educational failure and poor health. There are four main aspects of the approach, comprising the *new approach* and the three principles underpinning it:

- **A new approach**, moving beyond a focus on income measures towards ‘a co-ordinated effort to achieve social justice and increase social mobility through radical structural reform.’<sup>16</sup>
- **Supporting families to achieve financial independence**, by better incentivising employment and enabling people to ‘work their way out of poverty’;<sup>17</sup>
- **Supporting family life and children’s life chances**, intervening early to ensure the best possible future for children; and
- **The role of place and transforming lives.** In concert with the broader localism agenda across Government, the strategy calls for ‘empowered, engaged local decision-makers with the right tools, combined with strong local accountability.’<sup>18</sup> Innovation in local service delivery is to be supported by the roll-out of Community Budgets and initiatives such as payment by results and social impact bonds.

The social mobility strategy *Opening Doors, Breaking Barriers* complements the *New Approach*. Together with the Child Poverty Strategy it announces the creation of a Social Mobility and Child Poverty Commission, to be tasked with assessing ‘progress on both social mobility and child poverty, holding the Government and others to account and acting as an

---

<sup>11</sup> Kennedy, S. (2010) *Child Poverty Act 2010: a short guide*, London: House of Commons Library

<sup>12</sup> HM Government (2010) *State of the nation report: poverty, worklessness and welfare dependency in the UK*, London: Cabinet Office

<sup>13</sup> HM Government (2010) *op.cit*

<sup>14</sup> HM Government (2011) *Opening Doors, Breaking Barriers: A Strategy for Social Mobility*, London: Cabinet Office, p. 28

<sup>15</sup> HM Government (2011) *A New Approach to Child Poverty: Tackling the Causes of Disadvantage and Transforming Families’ Lives*, London: Cabinet Office, p. 6

<sup>16</sup> *Ibid.* p. 11

<sup>17</sup> *Ibid.* p. 20

<sup>18</sup> *Ibid.* p. 54

*advocate for change.*<sup>19</sup> The 'new approach' of the twin strategies necessitates a new means of measuring success against the task of tackling child poverty. The four income-based UK-wide targets set out in the Child Poverty Act 2010 are maintained. However, in order to ensure activity is targeted and measured to holistically address the *causes* of poverty, rather than just the symptoms, further child poverty indicators have been set out to measure progress over the lifetime of the strategy towards the long-term goal of eradicating child poverty by 2020. The social mobility strategy includes a number of indicators demonstrating the close links between these agendas. It also sets out further work to improve indicators and introduce new indicators on, for example, higher education destinations. Table 2.1 below demonstrates how the two strategies build upon the indicators set out in the Child Poverty Act 2010.

**Table 2.2 Indicators in the Child Poverty Act 2010 and the twin strategies**

<b>Child Poverty Act 2010</b>	<b>Child poverty strategy</b>	<b>Social mobility strategy</b>
Relative poverty	Relative poverty	
Combined low income and material deprivation	Combined low income and material deprivation	
Persistent poverty	Persistent poverty	
Absolute poverty	Absolute poverty	
	Low birth weight	Low birth weight
	Child development	Child development
	Attainment at school and in further education	School attainment
	Transition from childhood to labour market	Employment and participation in education of 18-24 year olds
	Children in workless households	
	Progression to higher education	Higher education
	In work poverty	
	Severe poverty	
	Teenage pregnancy	
	Young offending	
	Family structures	

### 2.1.3 Welfare reform

Central to both strategies is welfare reform. In particular, statutory changes announced in the Welfare Reform Acts 2009 and 2010 and the introduction of the Universal Credit and the Work Programme emerge as key policy instruments for tackling poverty.

The Welfare Reform Act 2009 altered the entitlement of lone parents to income support. Before the Act, lone parents who are capable of work were able to claim income support until their youngest child reaches the age of twelve. The Act reduced this to age 10 as of October 2009, and to age seven as of October 2010. The Welfare Reform Bill 2011 takes this further, reducing the age to five. From 13 June 2011, lone parents will be compelled to enrol on the Work Programme when their child reaches this age. The Bill also introduces a 'Universal Credit' to replace a range of existing means-tested benefits and tax credits for people of working age. Both measures are intended to incentivise a return to work. Conditionality is imposed via the expectation that *'everyone is given the help they need to get back to work, matched by an expectation that they take up that support.'*<sup>20</sup> By virtue of the changes to entitlement and increased take-up of benefit, the Government expects that as many as

<sup>19</sup> Ibid.

<sup>20</sup> DWP (2008) *Raising expectations and increasing support: reforming welfare for the future*, London: DWP, p. 9

350,000 children and 500,000 working-age adults could be moved out of poverty.<sup>21</sup> International research suggests that personalised, supportive approaches with an element of conditionality are most effective for those who are out of work.<sup>22</sup>

The Bill also restricts Housing Benefit entitlement for social housing tenants ‘whose accommodation is larger than they need’,<sup>23</sup> places a household cap on benefits and links local housing allowance (LHA)<sup>24</sup> to the Consumer Prices Index rather than to the cost of rent. The five-bedroom LHA has been removed, so that the maximum level is for a four bedroom property, and from October 2011 LHA rates will be set at the 30<sup>th</sup> percentile of rents in each Broad Rental Market Area rather than the 50<sup>th</sup> percentile.<sup>25</sup> The household cap on benefits in particular is likely to have a significant impact on London, because the cap is more likely to be breached by households with higher rent costs. These reforms follow the LHA cap passed into law in November 2010.<sup>26</sup> The introduction of size criteria for housing benefits is anticipated to take effect from April 2013. DWP projections are that around a third of claimants will be affected, with an average reduction across this group of £13 per week.<sup>27</sup>

At the heart of welfare reform is the Work Programme: ‘the centrepiece of the Government’s plans to reform welfare-to-work provision in the UK.’<sup>28</sup> Along with Jobcentre Plus, this is intended to support out-of-work benefit claimants back into sustained employment, with providers rewarded for supporting those further away from the labour market into sustained employment. The Work Programme is key to the Child Poverty Strategy 2011: ‘To address the root causes of poverty we will deliver early and effective interventions through the Work Programme targeted at vulnerable groups.’<sup>29</sup>

#### 2.1.4 Strengthening early intervention

A focus on early intervention is another key facet of the *New Approach*. This draws on the Field Review’s recommendation of an increased emphasis on providing high quality, integrated services, aimed at supporting parents and improving the abilities of the poorest children. An early intervention approach is further supported by the recommendations of Graham Allen’s *Early Intervention: The Next Steps*<sup>30</sup> independent review, presented to David Cameron in January 2011.

Recent policy developments suggest a continued commitment to early intervention. They include an expansion of free early years provision for disadvantaged two-year-olds, an expansion of the health visitors scheme, and the extension of Family Nurse Partnerships. Recent IPPR research<sup>31</sup> demonstrates that early years services (or childcare) can promote higher employment rates by enabling families to balance work and caring responsibilities, suggesting that early intervention justifiably has a key role in the Government’s holistic strategy for social justice.

## 2.2 Understanding Child Poverty in the UK

The impact of child poverty on the lives of children and their families is clear.

---

<sup>21</sup> HM Government (2011) *A New Approach to Child Poverty: Tackling the Causes of Disadvantage and Transforming Families’ Lives*, London: Cabinet Office, p. 3

<sup>22</sup> Daguere, A. and D. Etherington (2009) *Active labour market policies in international context: what works best? Lessons for the UK*, London: DWP

<sup>23</sup> <http://services.parliament.uk/bills/2010-11/welfarereform.html>

<sup>24</sup> And, when introduced, the housing element of Universal Credit.

<sup>25</sup> <http://www.dwp.gov.uk/local-authority-staff/housing-benefit/claims-processing/local-housing-allowance/impact-of-changes.shtml>

<sup>26</sup> *Ibid.*

<sup>27</sup> DWP (2011) *Housing Benefit: Size Criteria for People Renting in the Social Rented Sector*, London: DWP

<sup>28</sup> DWP (2010) *The Work Programme Prospectus* [online]. Available at <http://www.dwp.gov.uk/docs/work-prog-prospectus-v2.pdf> [accessed 26 May 2011]

<sup>29</sup> HM Government (2011) *A New Approach to Child Poverty: Tackling the Causes of Disadvantage and Transforming Families’ Lives*, London: Cabinet Office, p. 3

<sup>30</sup> HM Government (2011) *Early Intervention: The Next Steps*, London: Cabinet Office

<sup>31</sup> Ben Galim, D. (2011) *Parents at the Centre*, London: IPPR

*'The experience of poverty in childhood is clearly damaging and it permeates every facet of children's lives from economic and material disadvantages, through social and relational constraints and exclusions to the personal and more hidden aspects of poverty associated with shame, sadness and the fear of difference and stigma.'*<sup>32</sup>

Children and young people responding to a Children's Commissioner consultation<sup>33</sup> reported that being 'less well-off' leads to: a lack of social activities and extra-curricular activities; lack of educational resources; difficult social relationships and occurrences of bullying; reliance on public transport; a more difficult transition to independent living; and, reduced career ambitions and lower expectations regarding higher education.

Parents living in poverty also face a range of challenges, which include balancing the needs of different members of the family (including their own); problems of debt and vulnerability to debt; the difficulties of negotiating the benefits system; and the tensions for working parents in meeting both the needs of their children and the demands of their employers.<sup>34</sup> Everyday life is difficult and uncertain as family equilibrium is easily destabilised or undermined by external and internal shocks.<sup>35</sup>

Despite considerable progress over the past decade, child poverty remains a persistent problem in the UK. In addition to the moral imperative to tackle child poverty there is also a strong economic case – the cost of meeting the 2010 child poverty target was estimated (in 2009) to be £4bn, yet child poverty was estimated to cost the UK £25bn a year in reduced educational opportunities, lower productivity, increased spending on social security, and lower taxes.<sup>36</sup> It is also clear that child poverty has disproportionate impacts across some groups, which include:

- **Ethnic minorities.** Children from households whose head is from an ethnic minority are more likely to be in poverty than other children<sup>37</sup>. Pakistani and Bangladeshi children are at a particularly high risk: for children in a white family in 2009/10, the risk of poverty was 19%, while in a Pakistani or Bangladeshi family the risk was 54%. Children from ethnic minorities also have higher rates of deprivation than other children in poverty (according to a measure of income).<sup>38</sup>
- **Large families.** In 2009/10, 26% of children from families with three or more children were at risk of poverty, compared with 16% for children in families with one child and 18% for children in families with two children.<sup>39</sup> This may have a greater impact on ethnic minority families as they often have more children.<sup>40</sup>
- **Workless families.** In 2009/10, for children in two-parent households where neither adult works, there was a 62% chance of being in poverty; this compares with 3% in families with both parents in full time work.<sup>41</sup> However, employment does not guarantee a route out of poverty. Around half of children living in poverty have a parent in work.<sup>42</sup> This may partially be a result of a low take-up of benefits. Estimates in 2006/07 suggested that there were 400,000 children in poverty as a result of families not claiming

---

<sup>32</sup> Ridge, T. (2010) *Living with poverty: A review of the literature on children's and families' experiences of poverty*, London: DWP

<sup>33</sup> Children's Commissioner (2011), *Trying to get by: Consulting with children and young people*, London: Office of the Children's Commissioner

<sup>34</sup> Ridge, T. and J. Millar (2009) *Work and well-being over time: lone mothers and their children*, London: DWP

<sup>35</sup> Ridge, T. (2010) *op. cit.*

<sup>36</sup> Hirsch, D. (2009) *Ending Child Poverty in a Changing Economy*, York: JRF and Institute for Fiscal Research.

<sup>37</sup> DWP (2011) *Households Below Average Income 2009/2010*. Figures are Relative Poverty (below 60% of median income), before housing costs.

<sup>38</sup> Platt, L. (2009) *Ethnicity and child poverty*, London: DWP

<sup>39</sup> DWP (2011) *Households Below Average Income 2009/2010*. Figures are Relative Poverty (below 60% of median income), before housing costs.

<sup>40</sup> Bradshaw, J., Finch, N., Mayhew, E., Ritakallio, V-M. and Skinner, C (2006) *Child poverty in large families*, Bristol: Policy Press

<sup>41</sup> DWP (2011) *Households Below Average Income 2009/10*. Figures are Relative Poverty (below 60% of median income), before housing costs.

<sup>42</sup> DWP (2011) *op. cit.*

all that they are entitled to, although not all of these would be families where someone is working.<sup>43</sup> In-work poverty can also be the result of employment in jobs with low rates of pay or low hours of work and in occupations that offer poor progression and retention.

- **Parents and children with disabilities.** Families with either an adult or a child with a disability are at greater risk of being in poverty.<sup>44</sup> For example, in 2009/10, the risk of poverty for children living in families where someone is disabled was 25%, compared to 18% for children in families where no-one is disabled.
- **Single parent households.** In 2009/10, 28% of children living in lone parent families were in poverty, compared with 17% of children in couple families.<sup>45</sup> However, levels of worklessness are a key factor. Children in lone parent families where the parent works have equivalent or lower risk of being in poverty than those from working couple families.<sup>46</sup> Single parents are more susceptible to seasonal pressures on work, related to the school calendar as the costs of childcare over the summer holiday period act as a disincentive to remain in work. Furthermore, lone parents, as well as mothers in couples, are most often looking for part-time and flexible work. Nearly three out of four of those looking for part-time work are workless parents.<sup>47</sup>

### 2.2.1 Geographical variation

The incidence of child poverty also has a strong geographical dimension. Analysis by Dorling et al (2007)<sup>48</sup> demonstrates that while overall poverty rates are falling, inequalities between geographical areas have increased since 1970 (although changes since 2000 are less clear). Both poor and wealthy households have become increasingly geographically segregated with poverty clustering in urban areas. Within overall improvements, disadvantaged communities remain and those communities already considered deprived can be expected to suffer more than other areas from the current downturn.<sup>49</sup> Disadvantaged and vulnerable groups tend to be geographically concentrated in the most deprived neighbourhoods.<sup>50</sup>

The child poverty maps recently produced by the End Child Poverty campaign<sup>51</sup> show that levels of child poverty continue to vary greatly between local areas. In three parliamentary constituencies and in one local authority (Tower Hamlets) over half of children are in poverty; this is also the case in 96 local wards. The range of variation between areas is also considerable; those with the lowest levels of child poverty differ by a factor of nearly 10 compared to those with the highest. This demonstrates the very different challenges that local areas face, and the report notes that spending settlements for 2011/12 and 2012/13 tend to be less favourable for those local authorities with higher rates of child poverty, presenting a further challenge to local action.

### 2.2.2 Childcare

High quality childcare is consistently identified as key to supporting parents into work. IPPR analysis<sup>52</sup> shows that despite the key role childcare can play in enabling families to access employment, and despite a great deal of expansion and investment in early years provision over the last decade, it is children from disadvantaged backgrounds – arguably those with

---

<sup>43</sup> Child Poverty Unit (2009) *Take Up the Challenge: The role of local service in increasing take up of benefits and tax credits to reduce child poverty*, London: Cabinet Office

<sup>44</sup> DWP (2011) *Households Below Average Income 2009/2010*. Figures are Relative Poverty (below 60% of median income), before housing costs.

<sup>45</sup> DWP (2011) op. cit.

<sup>46</sup> DWP (2011) op. cit.

<sup>47</sup> Simmonds, D. and Bivand, P. (2009) *Can work eradicate child poverty?*, York: JRF

<sup>48</sup> Dorling, D., Rigby, J., Wheeler, B. Ballas, D., Thomas, B. Fahmy, E., Gordon, D. and Lupton, R. (2007) *Poverty, wealth and place in Britain, 1968 to 2005*, London: DWP

<sup>49</sup> JRF (2009) *Communities in recession: the impact on deprived neighbourhoods*, York: JRF

<sup>50</sup> Stafford, B. and D. Duffy (2009) *Review of evidence on the impact of economic downturn on disadvantaged groups*, London: DWP

<sup>51</sup> End Child Poverty (2011) *Child Poverty Map of the UK: Part One, England*, London: Child Poverty Action Group

<sup>52</sup> Ben Galim, D. (2011) op. cit.

the most to gain – who use these services least. Many of these parents felt that children under two years old should be with their families – either themselves or other family members. Affordability was found to be a major concern with few parents willing to or able to pay additional fees. The proximity of services was found to be very important to parents, and the inflexibility of the free nursery entitlement was cited as problematic, meaning that employment was difficult to sustain.

The Child Development Grant pilot, one of the nine Child Poverty pilots funded by CPU, aimed to encourage disengaged parents to make use of the services offered by their local Children's Centres. The pilot identified that several major barriers prevent access, including: a lack of awareness of Children's Centres and the services they provide; fear of perceived statutory services by families conditioned to be suspicious of government support; and fear of the unknown for families new to the service.<sup>53</sup> Evidence from the Childcare Affordability Pilots suggests barriers relating to work, childcare and finance are interlinked and have to be overcome together, which presents major challenges for parents.<sup>54</sup> For the parents involved, pre-existing attitudes to childcare and work were the most significant barrier to work, rather than childcare affordability. Additional complications were found for parents with a disabled child, related to attitudes towards the feasibility and viability and combining work and childcare.<sup>55</sup>

### 2.2.3 Effective approaches for tackling child poverty

A growing body of literature demonstrates that approaches focusing on all family members, rather than targeted individuals within the family unit, have shown better outcomes.<sup>56</sup> Whole-family approaches are supported by the Field Review of poverty and life chances, which found that the most effective programmes are those that work with both parents and children.

Personalised, flexible and holistic approaches are required to support those out of work into employment. Incentivising progression and facilitating access to childcare are key enablers. Those who are 'harder to help' can '*face complex and often cumulative individual barriers to employment... Support packages must be flexible enough to address this range of complex needs and to ensure that individuals actually stay on the programme*'.<sup>57</sup>

The policy landscape has altered significantly over the past three years, and the evidence base continues to develop. Against this backdrop of change, however, the ten LAIP programmes continue to provide relevant and important lessons for policy and practice. Indeed, the DWP notes that '*Although set up under the previous administration, the pilots and the evaluation evidence base of the suite of Child Poverty Pilots continue to be relevant to the current administration's approach to child poverty*'.<sup>58</sup>

## 2.3 Pilot Context – New Analyses

The first synthesis report provided a 'baseline analysis' of the child poverty position, and the scale of the challenges faced, in each pilot area. The main findings suggested that:

- While there is considerable variation in the position between pilot areas, in aggregate the Pilot areas were close to, and often more deprived than, the national average.
- Pilots in the northern areas had the most consistent set of above average measures related to aspects of child poverty. Whilst the London areas had very high levels of

<sup>53</sup> Department for Education (2011) *Evaluation of the Child Development Grant Pilot*, London; DfE

<sup>54</sup> Hall, S. et al (2011) *Qualitative research into families' experiences and behaviours in the Childcare Affordability Pilots (CAP09): 100% Costs Pilot*, London: Department for Education

<sup>55</sup> Abery, M (2011) *Childcare Affordability Pilots (CAP09): 100% Costs, Disabled Children and Actual Costs pilots evaluation summary*, London: HMRC

<sup>56</sup> Morris, K., et al. (2008) *Think Family: A Literature Review of Whole Family Approaches*, London: Cabinet Office Social Exclusion Task Force

<sup>57</sup> Daguerre, A and D. Etherington (2009) *Active labour market policies in international context: what works best? Lessons for the UK*, London: DWP

<sup>58</sup> Evans, M and K. Gardiner (2011) *CPU Child Poverty Pilots: Interim synthesis report*, London: DWP

some problems they were faring better in relation to others. The more rural areas mostly had values that indicated that they were slightly less deprived than the national average.

- The turn of the millennium saw child poverty rates in the northern areas falling more rapidly than London, but this has changed in recent years with the north faring less well.

The report also described the limitations of available data in examining the scale of child poverty at the pilot area level. These included measures being at best indirect as they relate to levels of income in households with children (rather than the extent to which children in low income households are deprived), and the inevitable time lags in the availability of data.

This section provides an 'update' on the child poverty position within the ten LAIP areas. It uses recently published data to: explore the validity of the initial 'pilot baselines'; and, provide evidence of how the economic situation facing the local programmes has changed in the pilot period.

### 2.3.1 Updating the baseline

Additional data released during the LAIP has been analysed to provide an updated baseline for each pilot area. The findings from this analysis are provided as Table 2.2 below.

Table 2.3 Measures of child poverty levels around the start of the LAIP

# IDACI value *100	# IDACI 2007	IMD 2007	# IDACI 2010	NI 116	Save The Children	End Child Poverty
Source data date	c.2005	c.2005	c.2008	2008	2007-09	"2010"
Tyne Gateway	25.5	26.9	23.9	24.1	16.3	23.5
Sefton	21.4	25.1	20.4	20.7	16.0	20.0
Knowsley	36.9	43.2	34.9	33.8	20.0	33.0
Waltham Forest	39.1	33.2	38.0	34.5	22.0	35.0
Islington	52.2	39.0	48.6	46.1	21.0	46.0
Westminster	37.9	26.3	35.6	39.9	24.0	41.0
Hammersmith & F.	38.4	28.1	35.9	35.4	20.0	36.0
Cornwall	19.3	24.0	18.8	18.8	13.0	19.0
Kent	18.0	17.0	17.8	17.9	11.0	17.6
N. Warwickshire	13.8	16.2	13.7	13.8	13.0	14.0
All Pilots	25.2	24.0	24.2	24.1	15.0	23.9
England	22.5	22.0	21.7	21.6	13.0	21.3

Sources:

[webarchive.nationalarchives.gov.uk/http://www.communities.gov.uk/communities/neighbourhoodrenewal/deprivation/deprivation07](http://www.nationalarchives.gov.uk/http://www.communities.gov.uk/communities/neighbourhoodrenewal/deprivation/deprivation07);

[www.communities.gov.uk/publications/communities/indicesdeprivation07](http://www.communities.gov.uk/publications/communities/indicesdeprivation07);

[www.communities.gov.uk/publications/corporate/statistics/indices2010](http://www.communities.gov.uk/publications/corporate/statistics/indices2010);

[www.education.gov.uk/childrenandyoungpeople/families/childpoverty/b0066347/child-poverty-data](http://www.education.gov.uk/childrenandyoungpeople/families/childpoverty/b0066347/child-poverty-data);

[www.savethechildren.org.uk/en/54\\_14969.htm](http://www.savethechildren.org.uk/en/54_14969.htm);

[www.endchildpoverty.org.uk/why-end-child-poverty/poverty-in-your-area](http://www.endchildpoverty.org.uk/why-end-child-poverty/poverty-in-your-area)

The table is divided into four sections horizontally, grouping as: northern; London-based; and, the more rural pilots. The table also includes 'all pilots' and 'England' measures (the latter being derived from weighted averages to consider different population sizes). Each



column lists the different measures of poverty used, with the source date for the data presented.

- The first two columns show the data available at the time at which the authorities were preparing their applications and plans. Although released in 2007 both the IDACI and IMD<sup>59</sup> used data from 2005 (and were included in the first baseline analysis).
- The second two columns show IDACI 2010 and NI116<sup>60</sup> measures released during the LAIP, based on data collected in 2008. The updating of IDACI 2007 to become IDACI 2010 (using mainly data for around 2008) shows slight falls in deprivation levels generally, but only minor changes in their spatial patterns (and so not affecting the ranking of pilot areas). The key finding is that the updated measures suggest that those available earlier provided a fair indication of the relative levels of child poverty in the pilot areas at the time of their programme design. This also indicates that at the broad area level, the pattern of child poverty tends to change slowly (except when there are major economic events such as those that occurred following the 2005-2008 period, as described at 2.3.2).
- The final two columns show measures produced by independent groups: the Save the Children measures provide estimates of “extreme poverty” and are therefore lower than any of the other measures shown; and, the End Child Poverty measures using similar indicators to NI116 and so showing similar results. The Save The Children estimates suggest that although London areas have the highest proportion of children in extreme poverty, values in the capital are not very much higher than in some other areas and Knowsley in particular.

### 2.3.2 Change during the LAIP

The economic climate in which the pilots were delivered was very different to the time at which they were conceived. The recent recession influenced the available opportunities for parents to secure employment as well as increasing the risk of families falling into poverty. The influence of the recent recession on the ten local areas and the increased challenges resulting are explored below.

#### 2.3.2.1 *Children in families receiving key benefits*

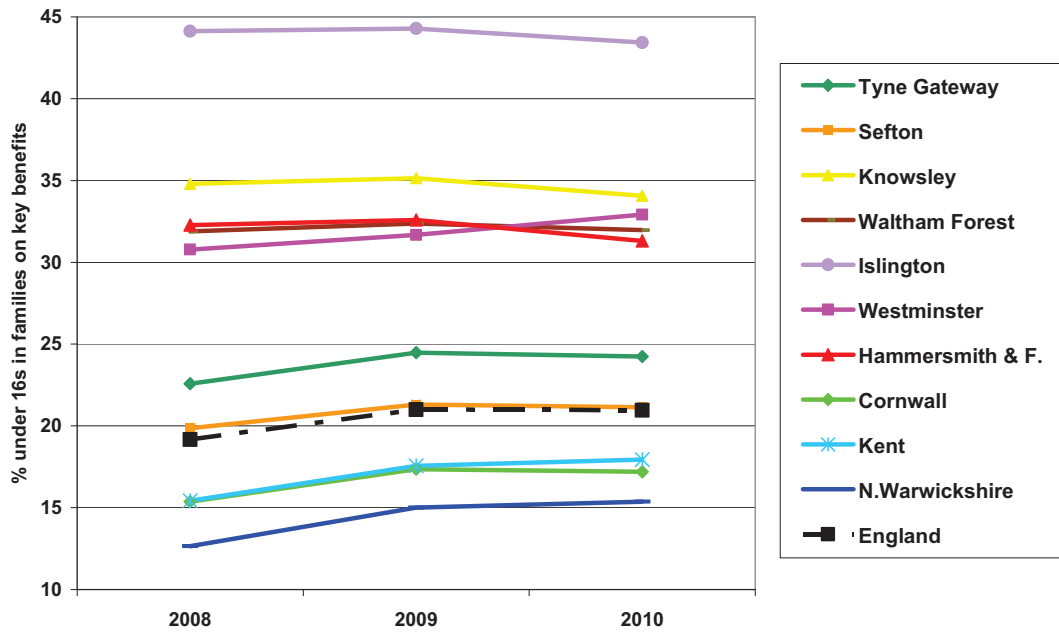
Figure 2.1 shows the change in the proportion of families with children aged below 16 in receipt of key benefits in each of the ten LAIP areas between 2008 and 2010. The table suggests a degree of convergence between the areas, with more rapid growth in those where the share of children in families receiving benefits were initially lower.

---

<sup>59</sup> In contrast to the Index of Multiple Deprivation (IMD) covering a range of issues which are relevant to the whole population, the related Income Deprivation Affecting Children Index (IDACI) only has a focus on children but also disregards aspects of deprivation beyond those of poverty. There is a general tendency for more poverty-specific measures to emphasise the problems of London areas and down-play those of more peripheral areas (with one key factor being the higher cost of living in London). This is why all the IDACI 2007 values are higher than the respective IMD 2007 values for the London pilot areas, as well as for the adjacent Kent pilot area to a lesser extent. In complete contrast, all the other pilot areas – neither in nor near London – have lower values on the IDACI 2007 than on the IMD 2007 which measures more aspects of deprivation.

<sup>60</sup> NI 116 is from the national indicator data set, which ceased in March 2011. However CPU will continue to publish this data under the name of ‘revised local child poverty measure’. The revised measure (formerly NI 116) is defined as the proportion of children living in families in receipt of out-of-work (means-tested) benefits or in receipt of tax credits where their reported income is less than 60% of the median income before housing costs. The data is available on an annual basis, and at local authority level and below e.g. ward, LSOA and parliamentary constituency level.

Figure 2.1 Children in families on key benefits 2008 to 2010 (% of all under 16's)

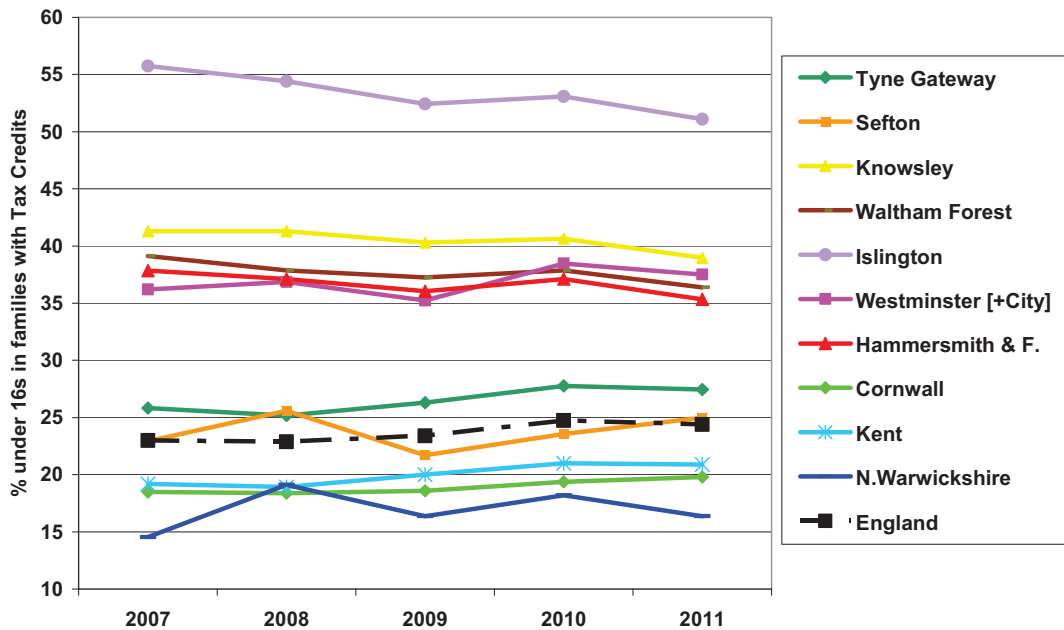


Source: [www.research.dwp.gov.uk/asd/asd1/ben\\_hholds/index.php?page=child\\_ben\\_hholds](http://www.research.dwp.gov.uk/asd/asd1/ben_hholds/index.php?page=child_ben_hholds)

Many of the pilot areas saw increases that were less rapid than the national average, partly resulting from the recession having less impact on London. Between 2009 and 2010 there were few dramatic changes in the NI 116 measure. However, a notable increase in Westminster saw it deviate from the overall pattern of the strongest increases being seen in the three non-metropolitan pilot areas (Cornwall, Kent and NorthWarwickshire).

Figure 2.2 presents a related analysis which shows the numbers of children in families receiving Child or Working Tax Credit due to being out-of-work, between 2007 and 2011.

Figure 2.2 Children in families with Tax Credits 2007 to 2011 (% of all under 16s)



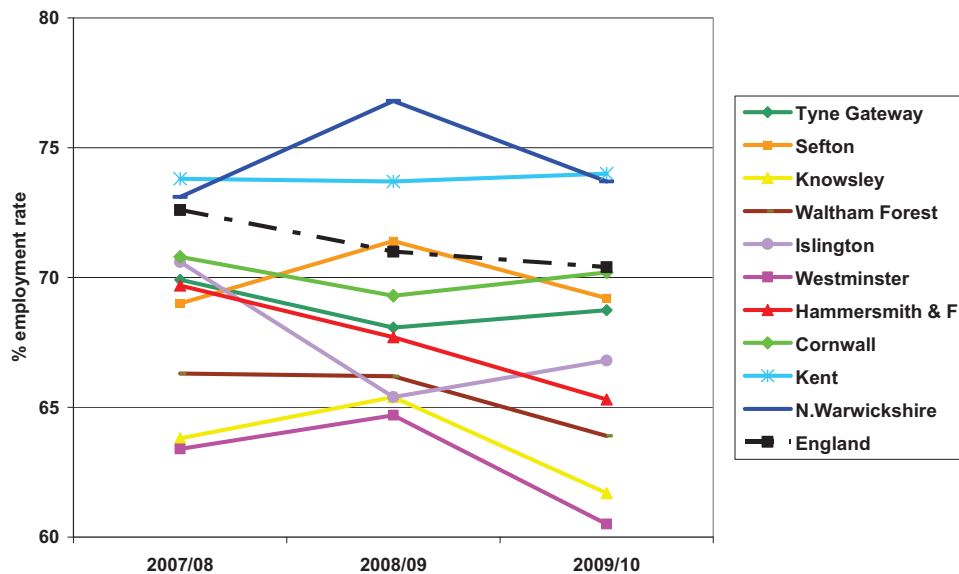
Source: [www.hmrc.gov.uk/stats/personal-tax-credits/cwtc-geog-stats.htm](http://www.hmrc.gov.uk/stats/personal-tax-credits/cwtc-geog-stats.htm)

Comparing Figures 2.1 and 2.2 suggests that the Tax Credit measure echoes the benefits data but with a time lag. Figure 2.2 shows the impact of the recession on Tax Credit in 2009-10, compared to impacting on the wider benefits data in 2008-09.

### 2.3.2.2 Employment rates

Work is key to a route out of poverty. Clearly any change that reduces the availability of employment opportunities or increases competition for those that are available was likely to make the task of the pilots more difficult. Figure 2.3 below shows the change in employment rates for working age adults between 2007/8 and 2009/10 for each of the pilot areas. Although the proportion of parents who are without work in an area can be very different to the proportion of children in workless households (due to different family sizes), robust local data is not available on the economic activity of parents of children aged under 16 years.

Figure 2.3 Employment rates by pilot area (2007/08 to 2009/10)



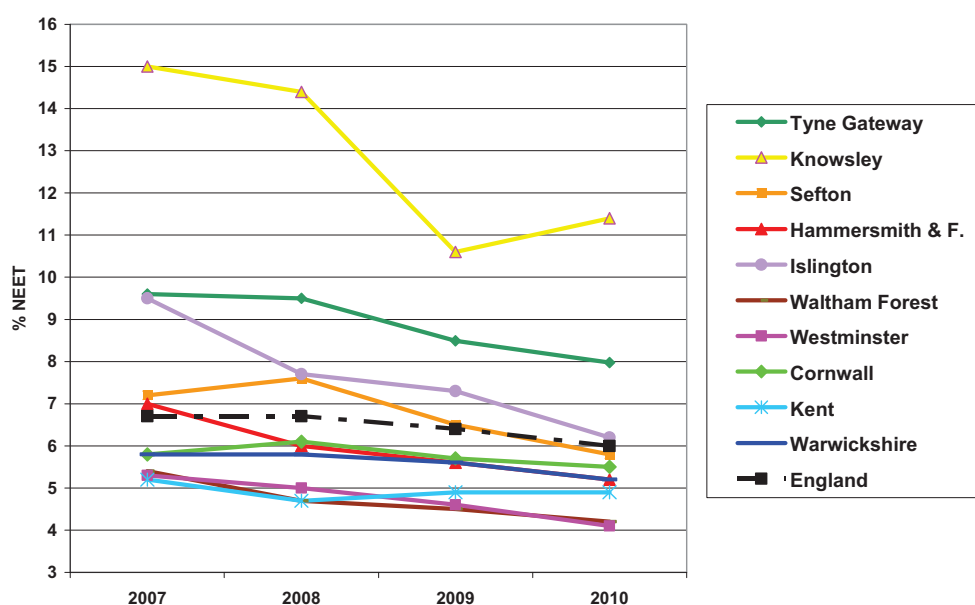
Source: [www.nomisweb.co.uk/articles/530.pdf](http://www.nomisweb.co.uk/articles/530.pdf)

As the figure shows, the geographical patterns in the trends illustrated are quite complex:

- There is no real evidence of convergence between the pilot values on this measure. The changes over the last year shown (2008/09–2009/10) suggest a widening gulf between the areas with low and declining employment rates. The values for those areas nearer the national average appear to be sustained despite the recession.
- Westminster is followed by Knowsley in having the lowest employment rate. This suggests that these pilots face the greatest need to address child poverty through increasing parental employment (although they face very different challenges in doing so).

Finally, Figure 2.4 below shows the change in the proportion of 16 and 17 year olds 'Not in Education, Employment or Training' (NEET) between 2007 and 2010.

Figure 2.4 The proportion of 16 and 17 year olds NEET (2007 to 2010)



Source: [www.education.gov.uk/16to19/participation/neet/a0064101/16-to-18-year-olds-not-in-education-employment-or-training-neet](http://www.education.gov.uk/16to19/participation/neet/a0064101/16-to-18-year-olds-not-in-education-employment-or-training-neet)

The figure reveals that there has been a steady decline in NEET rates over recent years. If the recession is to reverse this trend as might be expected, it had not done so by 2010 (the latest year for which data is available). Within that overall pattern, it is worth noting that:

- Knowsley has by far the highest NEET rate of all the pilot areas, although there is a 'northern focus' as Tyne Gateway and Sefton also the hardest hit areas.
- Westminster has an exceptionally low level and there has also been a marked decline in Islington, especially in comparison to the values seen on the other measures reported above.
- There may be some evidence of some convergence in values, but principally the data indicates a general decline that is broadly proportional to the initial value of most areas.

## 2.4 Summary

This section has presented an outline of the policy context that has emerged since the third report from the evaluation of the LAIP programme. At the centre of this context is the Child Poverty Strategy 'A New Approach' and the three principles that underpin it. The 'new approach' to child poverty is closely aligned with a broader concern to promote social mobility, which is promoted by its own and complementary strategy. The third key element is the welfare reform programme and the introduction of the Universal Credit to incentivise and reward employment alongside the new Work Programme that provides new work-focused support.

Child poverty has a damaging impact upon children and their families, in the immediate and longer-term. Certain groups face particular risks and there is also a geographical dimension to the problem. There is a growing body of evidence about effective approaches for tackling child poverty, to which the national evaluation of LAIP contributes. The themes that emerged during the formative stages of the evaluation are revisited in this report in reviewing the learning from each of the ten pilots.

The socio-economic analyses presented have shown that the levels of child poverty indicated by the datasets available when pilot activity was being planned were a fair estimate of the situation at the start of the pilot.

During the pilot period, the evidence suggests that:

- The recession raised child poverty rates;

- Rises in key measures were less marked where rates were high initially;
- Differences between areas in NEET rates changed little as all the rates fell; and,
- Differences in employment rates in the pilot areas tended to widen in the recession.

In the conclusion the learning for the themes of the Child Poverty Strategy 2011 are explored, as well as some broader learning for policy in the current context.

### 3 The Ten Local Authority Child Poverty Innovation Pilot Programmes

In this section a summary of the ten LAIP programmes is provided, illustrating key features and achievements of each and their breadth and diversity.

The national evaluation used a programme theory approach to each of the local evaluations that form the evidence base for this report. This approach involves establishing:

- The **context** for the programme – what are the circumstances in which it operates?
- The **inputs** into the programme – what are the money and in-kind resources allocated to the programme?
- The **target group(s)** for the programme – what are their characteristics and how are they targeted?
- The **activities** of the programme – that are used to engage the target group and that form the basis of the programme interventions.
- The **rationale** for the programme – why were these activities put in place?
- The **outputs** of the programme – that are delivered by the programme activities (against targets).
- The **medium term outcomes** of the programme – in the LAIP models presented here, these relate to the achievements by the end of the pilot in March 2011 and are organised under the five overarching outcomes identified for the national evaluation:
  - Parental Employment;
  - Parental Employability and Wellbeing;
  - Alleviating the Impacts of Poverty;
  - Addressing Barriers; and,
  - Increasing Capacity to Address Child Poverty.
- The **long term outcomes** of the programme – that are expected to be achieved and which may be broad and ambitious.

For each pilot this section presents:

- A summary of the pilot's aim, key features and achievements as well as key findings from an analysis of pilot costs;<sup>61</sup>
- A logic model to present a summary of the pilot programme theory; and,
- A map showing the spatial location of beneficiaries across the local authority and the levels of child poverty in the authority's LSOAs.<sup>62</sup>

---

<sup>61</sup> Please see Annex for a discussion of the limitations of this analysis, the caution that must be taken in interpreting the results and the detail of how the analysis was undertaken for each pilot.

<sup>62</sup> Lower Super Output Areas (LSOAs) are small geographical areas identified by the Office of National Statistics (ONS), with a population of c.1500 people.

# Cornwall LAIP Summary

## Aim & Key Features

The Cornwall pilot built upon work in the county to address child poverty, within a framework provided by the Cornwall Works Welfare to Work Strategy and using existing partnerships and multi-agency children and families' service teams to deliver three strands of activity:

- An **'Enabling Fund'** - a flexible resource to help families in/at risk of poverty to improve outcomes, address crises and support progression towards employment outcomes. The fund was promoted through a variety of routes, with referrals being made by professionals on an informed basis.
- A **Workforce Development programme** – which sought to raise awareness of child poverty, and the resources in place across the county to help address it. The training materials were delivered mainly in half or full-day sessions, but also as short briefing sessions and presentations. The sessions were for the most part delivered away from the attendees' workplaces, and also included presentations from the core delivery team and partner organisations.
- A **Housing Pathway** strand - that aimed to exploit the opportunity for staff in social housing providers to identify families in poverty through a 'pathway' approach. Although delayed due to staff illness and internal reorganisation, a revised programme was delivered between September 2010 and March 2011. This included training for frontline staff, the re-design of sign-up materials and starter packs, and the recruitment of an Income and Money Management Advisor.
- The Cornwall pilot had a clear and comprehensive governance structure in place, involving a range of partners with a clear reporting line to the county-wide Child Poverty Steering Group, which featured representation from senior council, health authority and third sector professionals.

## Key Achievements

- The Enabling Fund received referrals from a range of professionals from across the county, which helped to support long-term workless households, lone parents and those suffering ill health.
- 30% of Enabling Fund awards supported employment related outcomes and 30% supported access to additional services. Employment awards included childcare, travel/transportation and clothing costs, and awards for gap funding. Access to additional services included training to improve employability, and short break and respite care for families.
- There is strong evidence from the qualitative fieldwork that the support provided through the Enabling Fund improved families' employment, employability and wellbeing.
- Staff from over 40 public and third sector organisations attended Workforce Development sessions - with over 90% reporting raised awareness of child poverty and the resources to address it, and over half (54%) of respondents to a follow-up survey reporting an impact on their practice (with 43% expecting an impact on their practice in future).
- The new 'starter packs' provided more detailed and comprehensive information to tenants on financial support and progression opportunities. The demand for debt related support led to the creation of the new Income and Money Management Adviser post within the housing provider.
- Although CPU funding ended in March 2011, activity under all three strands of pilot activity are being continued for at least another 12 months up to March 2012.

## Costs Analysis

In addition to CPU funding of £455,000, £45,000 was contributed by other partners. In-kind costs are calculated at £136,430, mainly management time and time to attend the sessions.<sup>63</sup> The average Enabling Fund reward was £269, with a total cost per £1 of £2.55. The total cost per hour of Workforce Development was £64.85. The lack of quantitative data for the Housing Pathway means an analysis of costs per outputs isn't possible.

---

<sup>63</sup> Comprising a share of programme management costs and uncosted time inputs for individuals attending the Workforce Development events (assumed to be £100 for each of the 475 attendees).

**Cornwall Local Authority Child Poverty Innovation Pilot – Programme Overview**

*Pilot context: Since 2005 Cornwall has followed a co-ordinated approach to preventative/early intervention services for children and families, supporting the development of integrated, multi-agency and new ways of working, set within the context of the Cornwall Works Wellfare to Work Strategy. This innovative approach led to HMT invest to Save funding for the 'Real Choices' project, following a partnership model as the most effective means of breaking the cycle of poverty. This partnership employs a Child Poverty Coordinator, is tasked with making child poverty everyone's business' and acts as the interface between the County agencies on the ground and families. This led to the County receiving Beacon Status for child poverty. At the start of the pilot period the County was implementing two major change programmes: a move to a single tier Cornwall Council with a strong focus on localism; and the Children's Services Transformation Programme featuring three elements - 'locality' based work with multi-agency teams, a move to common systems, and a focus on responding to need with a focus on prevention*

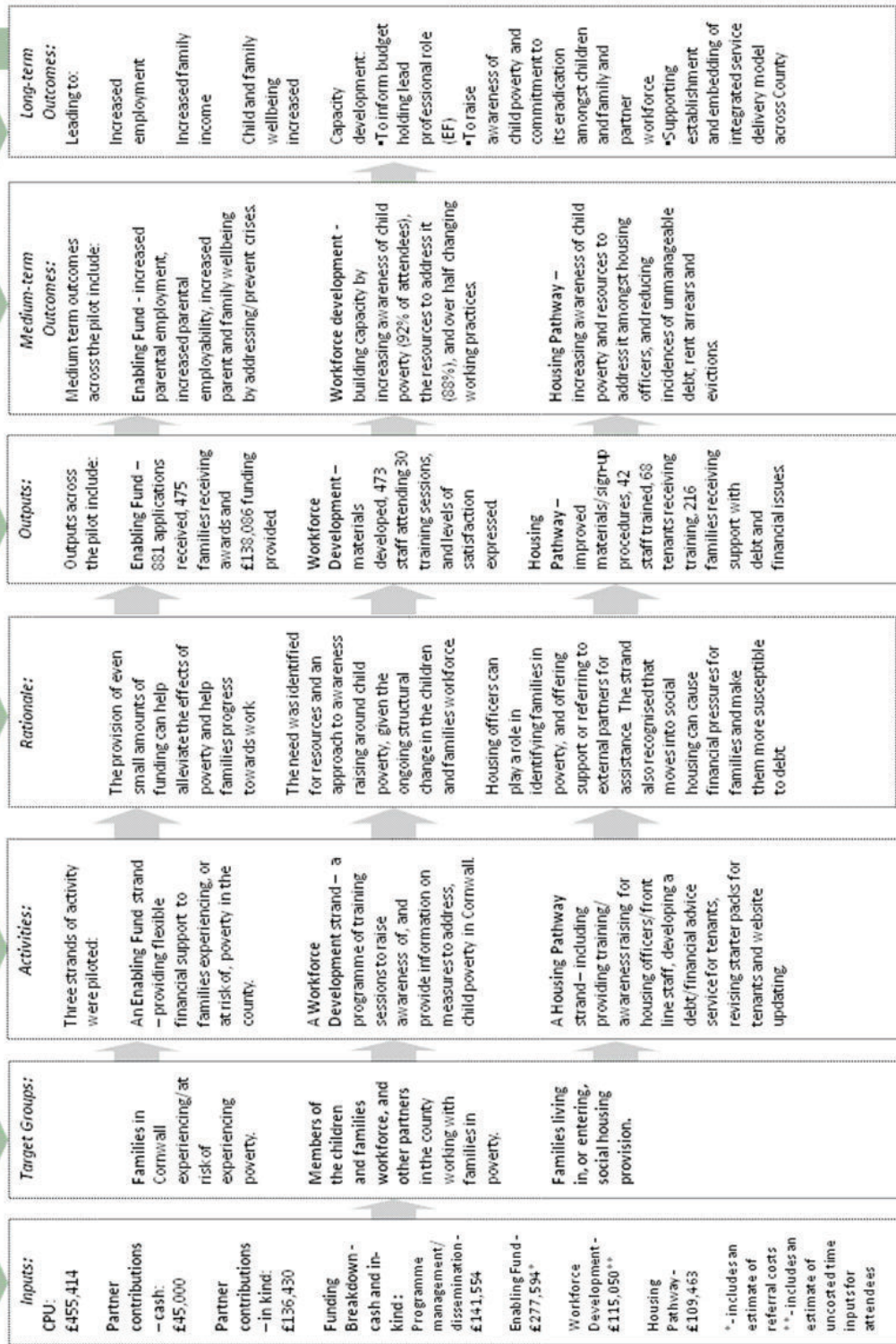




Figure 3.5 Spatial distribution of Enabling Fund applications – Cornwall West

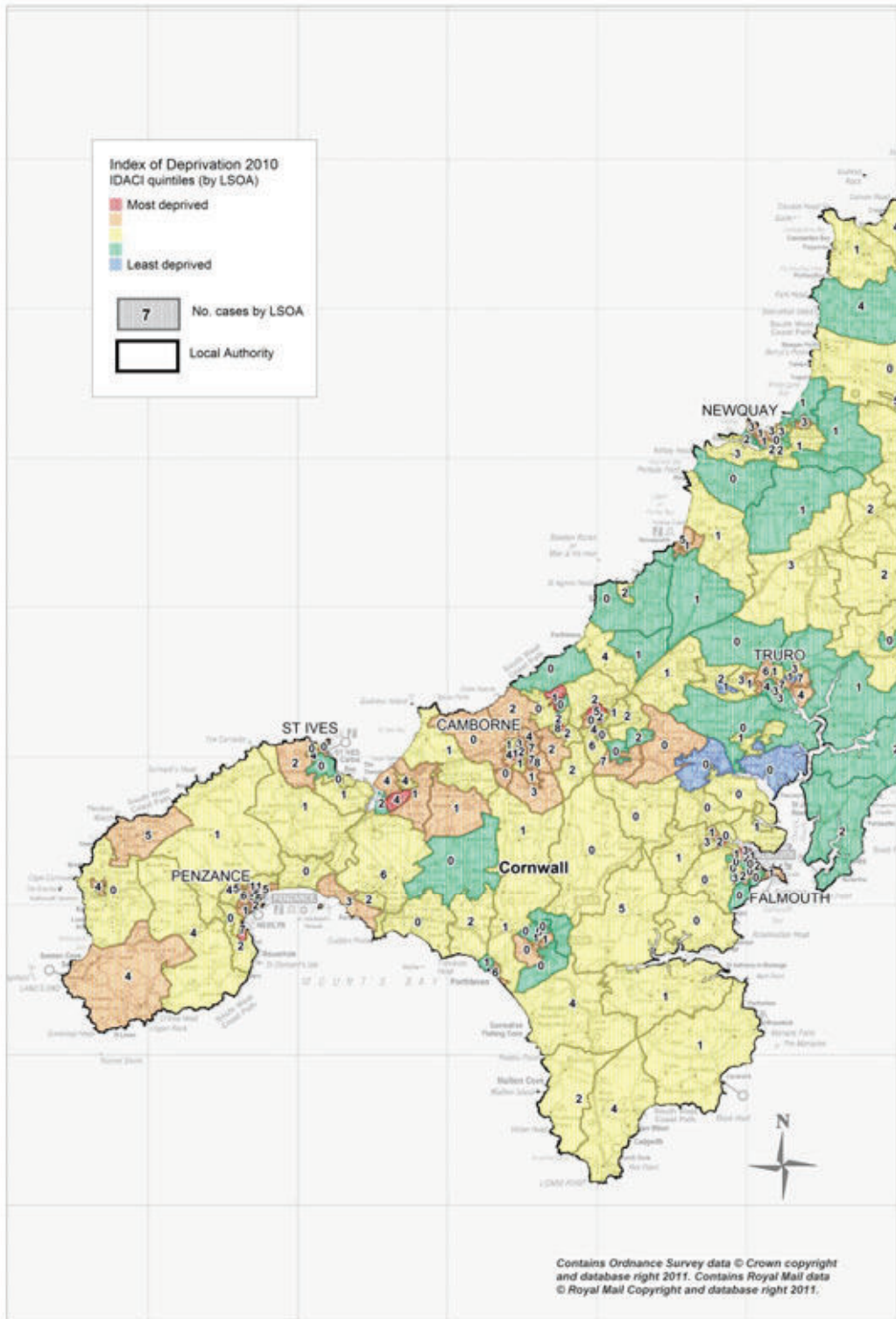
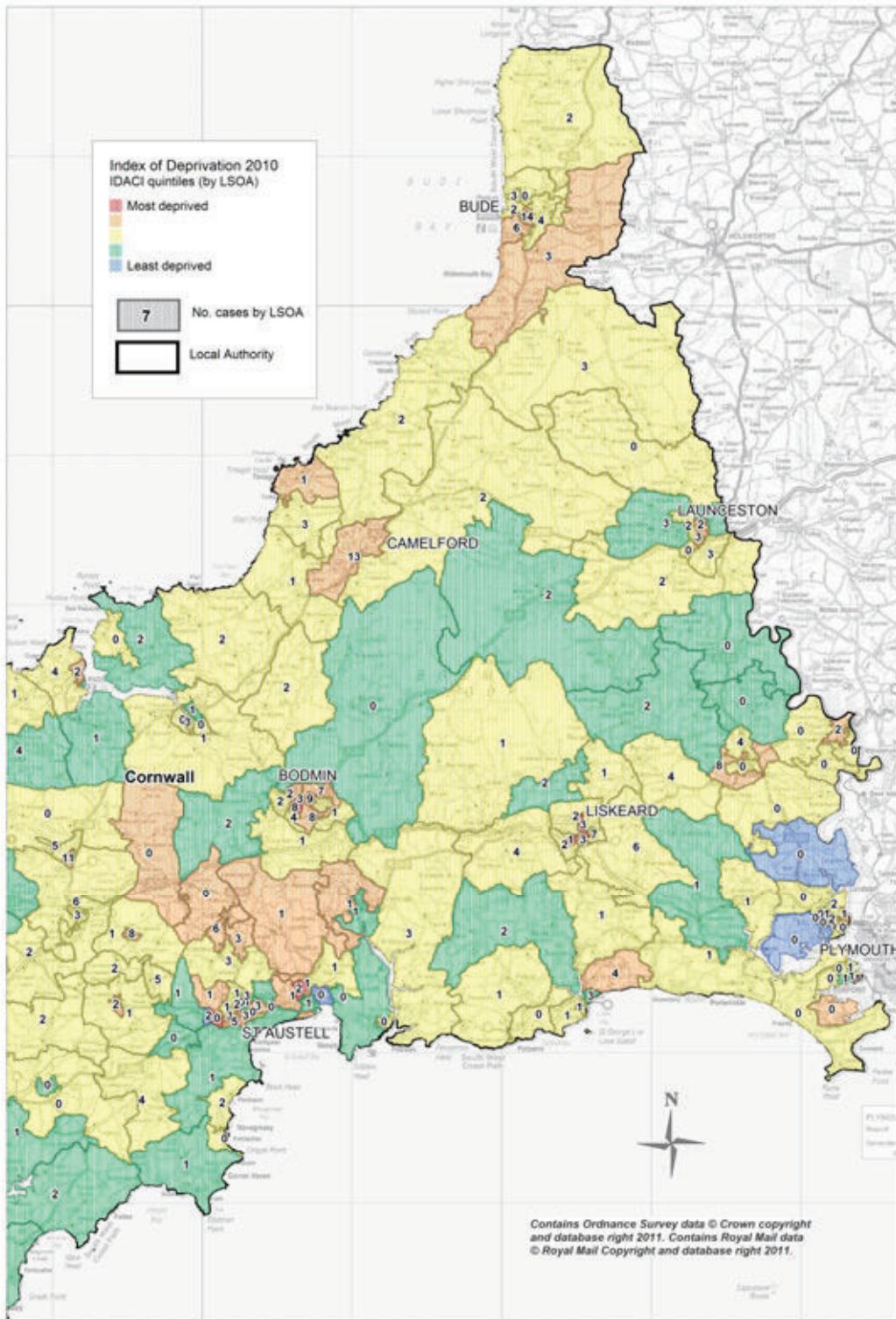


Figure 3.6 Spatial distribution of Enabling Fund applicants – Cornwall East



The spatial mapping shows that there was a spread of recipients of the Enabling Fund across the county. The analysis shows that while the average child in Cornwall lives in a neighbourhood where the level of child poverty is less than 19%, the average Enabling Fund beneficiary lives in an area where the level is 23%. This suggests that the targeting was effective.

# Hammersmith and Fulham LAIP Summary

## Aim & Key Features

The Hammersmith and Fulham pilot aimed to provide a keyworking model of support for families, addressing family barriers to progression towards and into employment.

The '**Family Solutions**' service was intended to bring together employment support, provided by a social enterprise established by the local authority to deliver this service, with child and family services, who led the pilot. Skilled 'Family Facilitators' were recruited and trained to provide holistic support to parents and families, and a flexible fund was created to support their work. Free childcare was a central element of pilot support, provided for training and employability activities, and for the first three months of employment. The keywork support aimed to increase parents' skills, confidence and wellbeing, and increase the uptake of family services, including support for parenting.

- Family Solutions was marketed as a self-referral service for parents. Three estates were initially targeted with promotional door-to-door leaflets, expanding to 18 estates over the pilot period as demand for the service became apparent.
- Support was not limited by time: parents could access the service when they required it, to support a personalised pathway before and after their transitions into training, children's and family services, and then into employment.
- In addition to delivering publicity and promotional materials, a temporary outreach officer was recruited to promote the service. Indirectly by working with partners and encourage them to promote the service, but also by working directly with parents in children's centres and other settings to promote self-referral. This outreach work was initially undertaken by the three Family Facilitators, but as demand for their support and thus caseloads increased their capacity to undertake this diminished.
- The model is unique as it brings together the local authority's Early Years and Childcare Services with a local social enterprise delivering employment support. Although Family Facilitators were recruited to new posts, this partnership in combination with strong pilot management arrangements enabled early progress and delivery with minimal developmental delays.
- A '**Child Passport**' model was created to allow professionals and parents to access a common record of children's development progress. The system intends to improve communication between different service providers and parents by creating an open and lasting record for a child. The voluntary online communication system allows professionals to record assessments, observations and other relevant information and for parents to see information about their child and early years settings, but also to upload reports and other information. Families with at least one unemployed parent, with at least one child under 12 years old and with an income of less than £20,000 were targeted.

## Key Achievements

- 227 parents engaged (target 225) and completing a Family Action Plan, 166 (73% lone mothers).
- Target for parents supported into training far exceeded: 147 (target 80).
- Target for parents supported into work exceeded: 49 (target 35).
- 162 children from 83 families accessed childcare.
- Child Passport system piloted and final model established, with funding for roll-out being sought.

## Costs Analysis

The budget for the project was £1,075,000, funded by the CPU with final expenditure of £997,000. £31,500 was allocated to the Child Passport, with in-kind contributions valued at £11,850. The remainder was spent on Family Solutions, with in-kind contributions of £26,600. The cost per beneficiary supported and receiving a Family Action Plan was £4,372. The cost per employment outcome was £20,255. The cost per beneficiary reporting increased wellbeing was £8,862.

Hammersmith & Fulham L4IP: Programme Theory Logic Model

Context: The LB of Hammersmith and Fulham is the 38th most deprived local authority in the country, and has the 10th highest level of child poverty among the 32 London boroughs. There are many 'pockets' of extreme deprivation with very high out of work benefit rates as high as 32% in particular estates, both large and small, in the borough. Poverty is entrenched in these estates. Local policy is focused on giving unemployed residents a route into work by fostering more integrated services, creating incentives to work and maximising the employment opportunities from local economic development. It was also well known that high quality, affordable childcare was a prerequisite for many benefit-dependent lone parents being able to gain and sustain employment. It was also known that local employment services needed to offer better support for parents and families in order to address the high cost of childcare as a barrier to work. Communication between parents, settings and professionals is important in the effort to improve the quality and appeal of childcare.

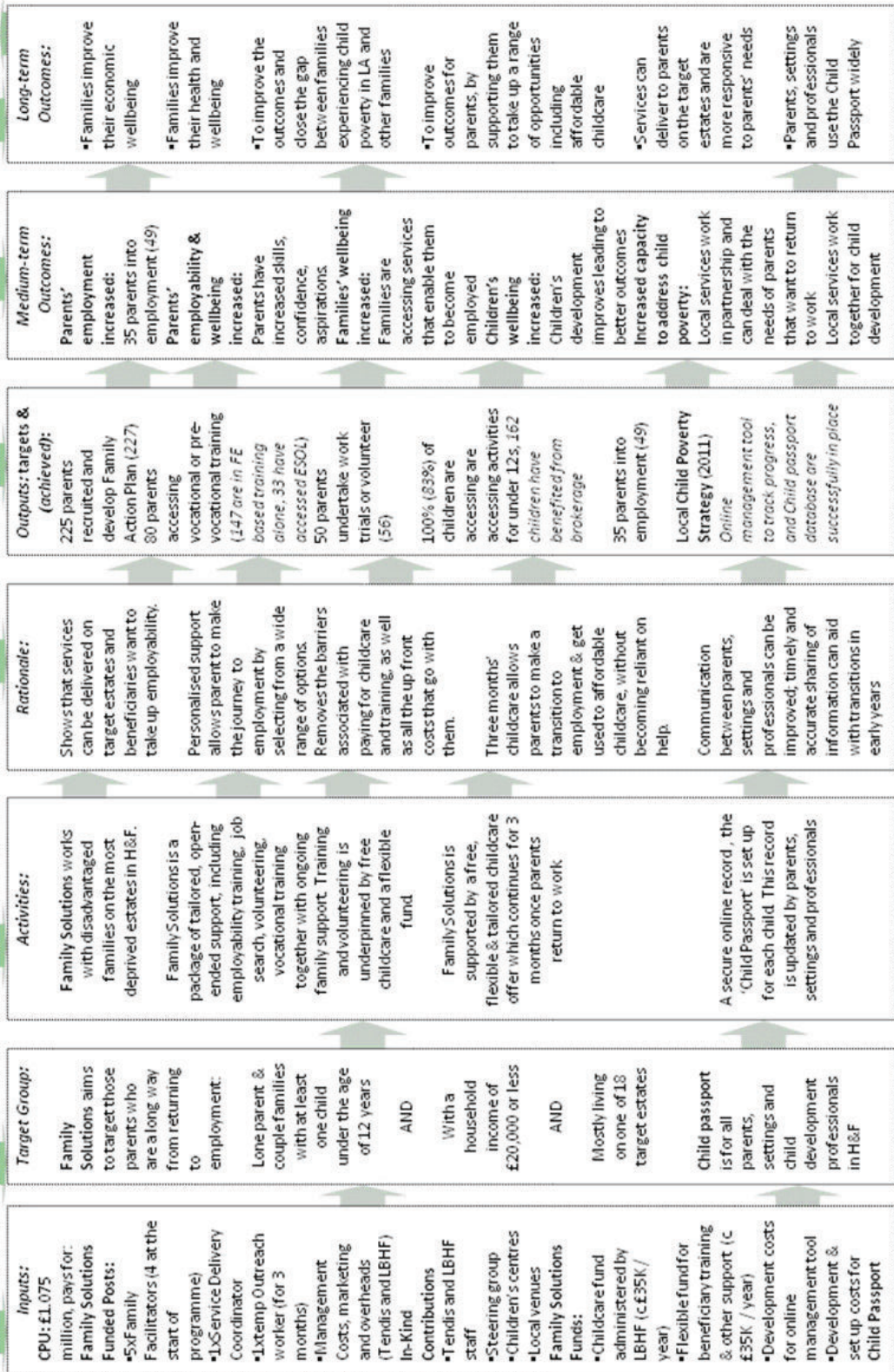
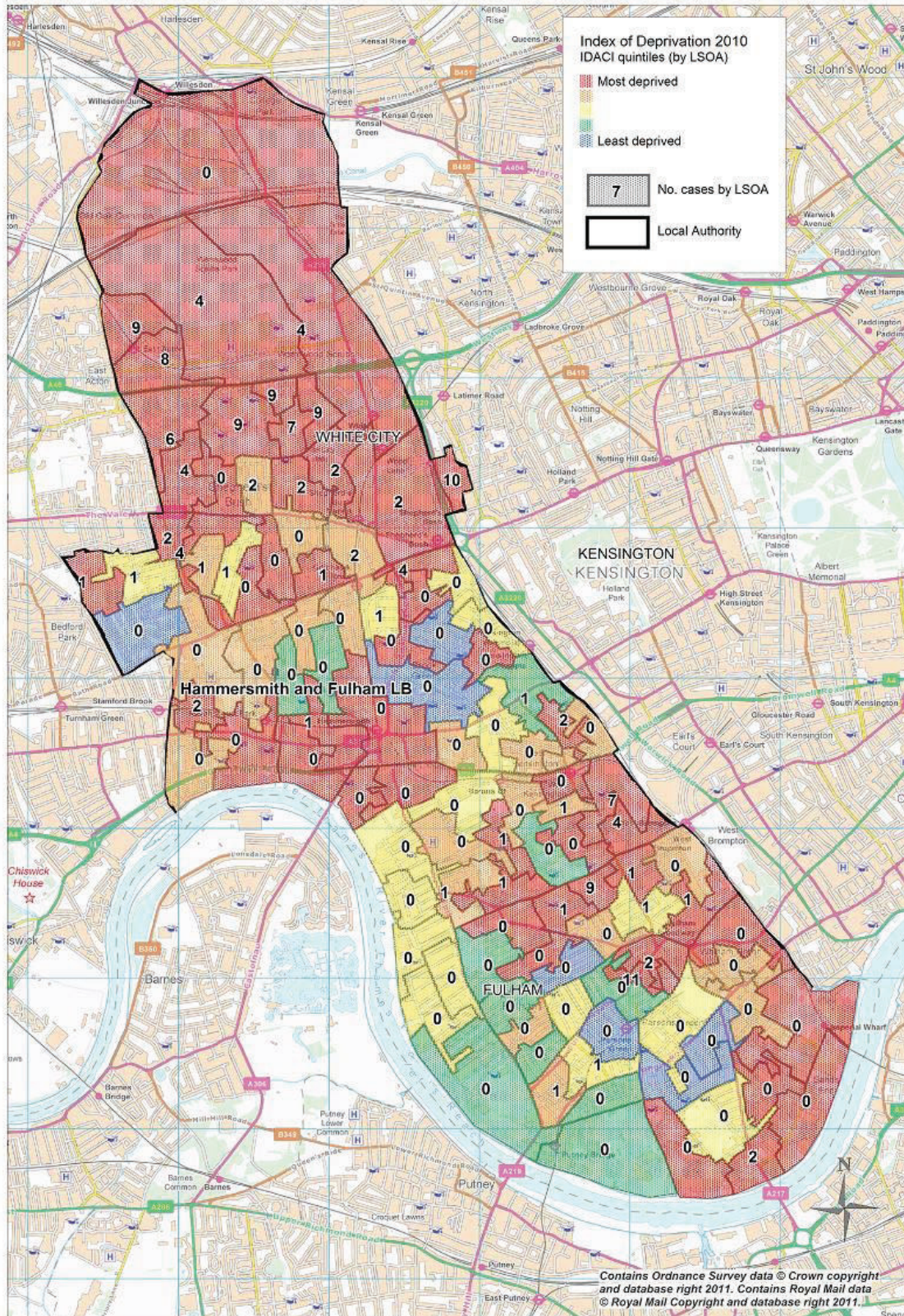


Figure 3.7 Spatial distribution of beneficiaries



The spatial mapping indicates that the targeting of particular estates was successful, with most of the pilot beneficiaries coming from areas with the highest levels of child poverty. Whereas the average child in Hammersmith and Fulham lives in an area where the level of child poverty is close to 36%, the average beneficiary lived in an area where the level is above 55%.

# Islington LAIP Summary

## Aim & Key Features

The Islington pilot aimed to improve the targeting of low-income families and the support they received from local authority services, raising employment through new parent-focused support. There were three interrelated strands:

- **'Intelligence-led Strand'**, adding Housing Benefit and Council Tax Benefit (HB/CTB) data held by the authority to a database being developed within children's services to identify family characteristics and their use of services, in order to identify and target low-income families.
- **'Islington Working For Parents'**, to provide a new parent and family-focused employment service, building on existing local authority provision.
- **'Sustainability Strand'** to map families' pathways through local authority services and to develop action plans to: improve the delivery of services; to raise awareness and provide resources for staff; and, to promote a model of 'no wrong door' for families through a programme of workforce development.
- A Child Poverty Board established for the development and delivery of the pilot was chaired by the Chief Executive of the authority and with membership from each of the authority's directorates. Weekly pilot management meetings oversaw operational delivery.
- The Sustainability Strand ensured that sustainability was addressed from the outset of the pilot. Early in the pilot, extra capacity was created through an expanded Sustainability Team in order to ensure that the challenge of mapping family pathways for each of the authority's directorates could be met alongside an extensive programme of staff training.
- Utilising HB/CTB data led to the identification of legal limitations linked to which consent form was signed by applicants – a national DWP form meant that the data could not be used, a local Islington LA form meant that it could.
- Parent Support Officers were recruited from a range of backgrounds and worked from the authority's Children's Centres to deliver 'Islington Working for Parents' (IWP) flexible, holistic and parent-led employment support.

## Key Achievements

- A new borough-wide dataset created a sophisticated understanding of the location and characteristics of families. This was ambitious and technically challenging, and was recognised as nationally significant in the Frank Field 'Review on Poverty and Life Chances' (see Section 2).
- Children's Centres were provided with data about low income families in their area to support and inform their outreach activities.
- More than 650 parents received the most intensive of three levels of employment support and more than 1,000 received the first level of basic support and advice.
- The focus on sustainability has led to increased awareness of child poverty across the authority at both strategic and front-line levels. It has changed the way services are delivered, and the commitment to transform the way families in poverty are supported has been taken forward through a new *Community Budget* pilot.

## Costs Analysis

In addition to CPU funding of £1,241,000 in-kind contributions are calculated at £432,737, reflecting the contributions of senior staff to programme development and management (£328,291) and the participation of large numbers of staff in workforce development. The average cost per beneficiary supported by the IWP strand was £1,001. Taking account of development costs, the average cost for placing someone unemployed in work was £19,398 and for broader employment-related outcomes (including volunteering, work placements and tasters) was £12,470. The cost per hour for workforce development was £139.

*Islington Local Authority Child Poverty Innovation Pilot*

Context: The Islington Strategic Partnership (ISP) has a history of addressing child poverty through strategic objectives within the Local Area Agreement. Tackling worklessness is a central strategic theme. The LAIP programme itself was seen as part of a step change towards an integrated model of service delivery for children and families and builds on previous initiatives aiming to understand and target communities. More than 4 in 10 children in Islington are living in poverty, the second highest level of child poverty in England. The Pilot Board was subsumed into a broader Child Poverty Programme Board, in practice integrating Pilot activities into a wider programme of activities aimed with eradicating child poverty. Though legal issues constrained the use of data warehouse intelligence during the pilot period, development is continuing with LBI Children's Services team intending pass 'live' data to children's centres at regular intervals moving forward. LBI has also demonstrated its ongoing commitment to the tailored and intensive form of early intervention support (as trialled through IWP) by allocating £500,000 within the baseline budget for 2011/12 to fund continued implementation and development. Moving forward, intelligence generated through all three strands will inform service redesign as part of the forthcoming Community Budget pilot programme to develop more integrated forms of support for families with complex needs.

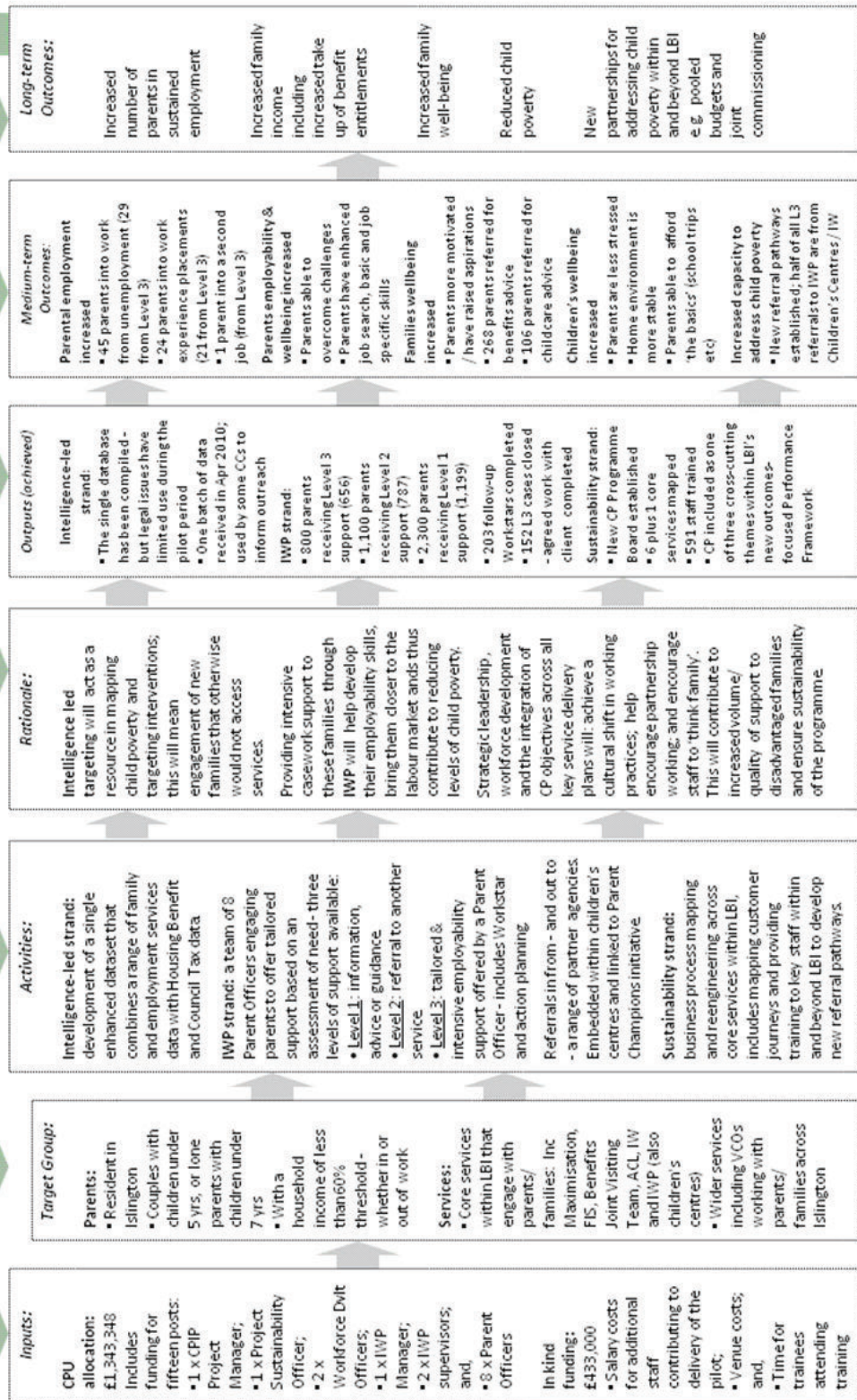
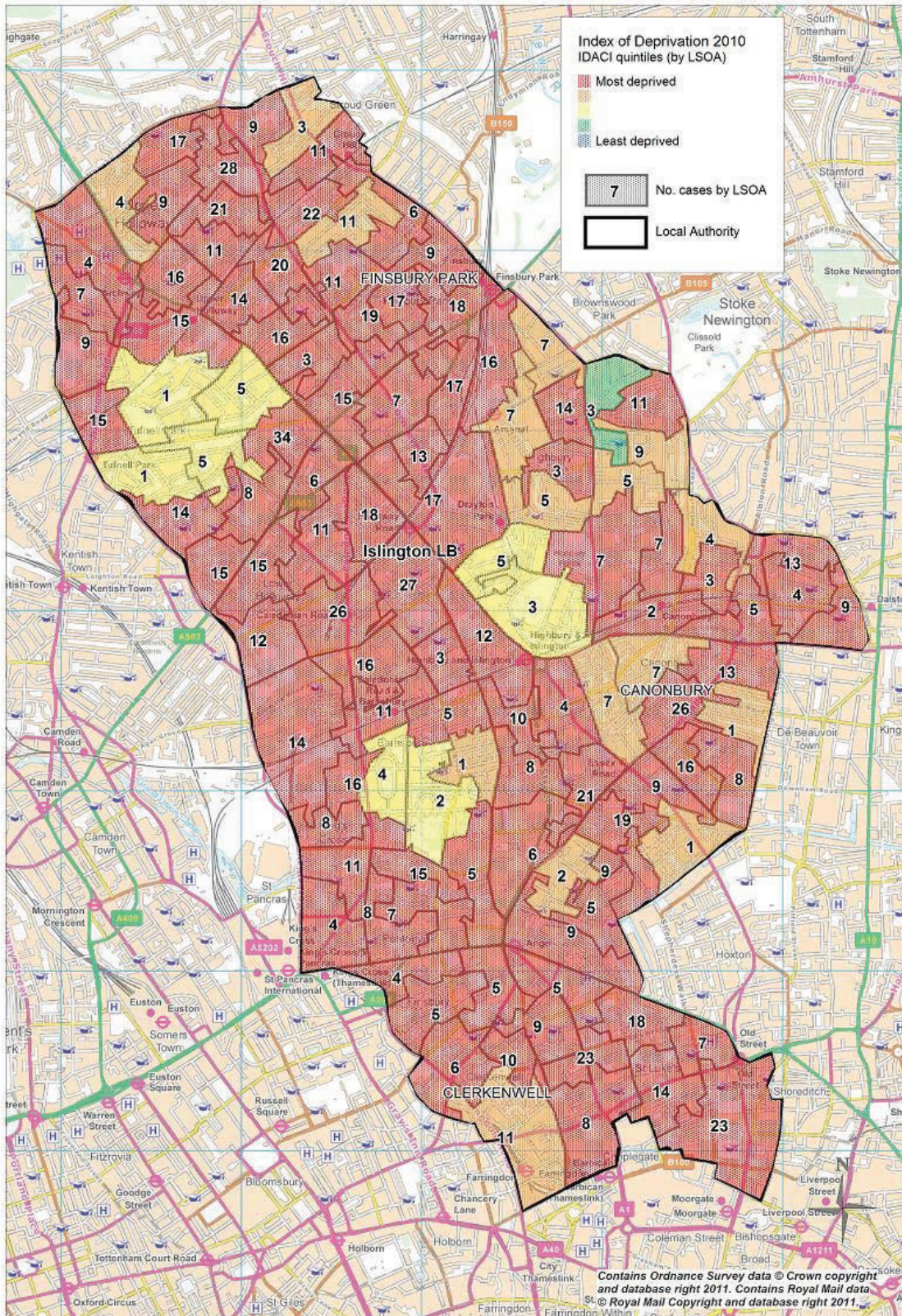


Figure 3.8 Spatial distribution of beneficiaries



The mapping shows the high levels of poverty across the authority. Nonetheless, whereas the average child in Islington lives in an area where the level of child poverty is 49%, the average beneficiary came from an area where the level is 54%.



# Kent LAIP Summary

## Aim & Key Features

The Kent pilot was an ambitious project to build resilience and capacity within children, young people and their families through locality-led programmes of support for families in poverty in each of the four target areas. Building on the work of the Social Innovation Lab Kent (SILK) the pilot also aimed to support the co-production of new provision. The pilot aimed: to explore locality development and delivery; to develop the capacity of the workforce to support families and to involve them in decision making; and, to address material and non-material hardship.

- Four cross-cutting strands were established to achieve the pilot's aims: to increase the capacity of staff working with families, to identify and address child poverty; to develop new programmes to provide non-material as well material support to families; to promote family learning; and, to adapt the PSHE (physical, social, health and economic education) curriculum in schools.
- A programme team supported the development of projects across the four target areas, and some which were specific to each of them which were developed by local teams in the Local Children's Service Partnerships to reflect local needs.
- A flexible 'Hardship Fund' was created as a resource for professionals working with families to enable them to address the impacts of poverty and deprivation.
- Testing a mix of: new approaches, such as to attract families to family learning (Adult Education Service), using family group conferences with families without a child at risk (FGC), and support volunteers to establish a community enterprise (Maidstone Bulk Buying); and, testing approaches used elsewhere, such as to support ex-offenders families (Thanet Cafe project), engage teenage parents (Pinnacle), and raise the career ambitions of Year 5 and 6 pupils (Professor Fluffy).

## Key Achievements

- Almost 60 families participated in the new Family Group Conferencing (FGC) model developed, with over 40 identifying action plans to address financial hardship, family relationships, health, housing, education and broader service access by the end of March 2011.
- 357 awards were made to families from the Hardship Fund, successfully targeting the most deprived areas in the four target areas.
- Family Learning events involved over 500 families, with greater engagement of parents in learning and play at home and raised awareness of broader learning activities and opportunities reported.
- New PSHE teaching materials addressing financial capability and life skills were developed and are now in place in some schools in each of the target areas (four secondary and two primary). There is evidence that the new materials increase children's understanding and improve their management of money, and that a scheme for secondary school pupils to mentor primary school pupils using the materials, brings a range of benefits for both groups.
- A wide range of local projects (over 20) including: people carrier transport for children's centres serving rural areas; support in school for newly arrived children and young people; and, a community-led bulk-buying project.
- 318 staff attended workforce development activities and events. In addition to the continuation of various projects and a legacy of materials, facilities and training, Kent's Community Budget Pilot is being informed by the learning from LAIP.

## Costs Analysis

The budget was £1.4million, with expenditure of £1.375m. Partners also contributed a total of £82,877 while in-kind contributions to the programme are estimated at £225,407 bringing total spend to £1,683,000. This wide ranging programme included a significant period of development, estimated to have been £122,848 of total expenditure with an additional programme management cost of £79,431. The range of costs for outputs are too extensive to list here, but include: £184 per individual trained; £3,628 per FGC completed, and £931 per child benefiting from Better Reading Partnership (see 4.4).

**Kent LAIP: Pilot Programme**

**Context:** The pilot set out to address four problems that were perceived to hinder work with children and families in relative poverty. These are a) there is a complex matrix of services available to provide help but families and workers find it difficult to navigate and access b) workers do not focus on the family in the round and provide a holistic service c) non-material hardship is not addressed (emotional, social and cultural resources) even though this can pave the way to families addressing material hardship, d) service providers neglect to engage families in decision making and service design and this does not result in services that meet their needs. It has focused on a mix of pilot programme and locally developed projects which take this as a starting point and broadly fit into four core activities: building the capacity of workers to make a difference to children and families in relative poverty; provide new opportunities to signpost children and families to services which can address a range of material and non-material hardship in new ways; build the confidence of parents in relative poverty to take up learning which addresses the skills they need to manage and increase their engagement in their children's learning; and build the aspiration and resilience of young people to address the causes of material and non-material hardship.

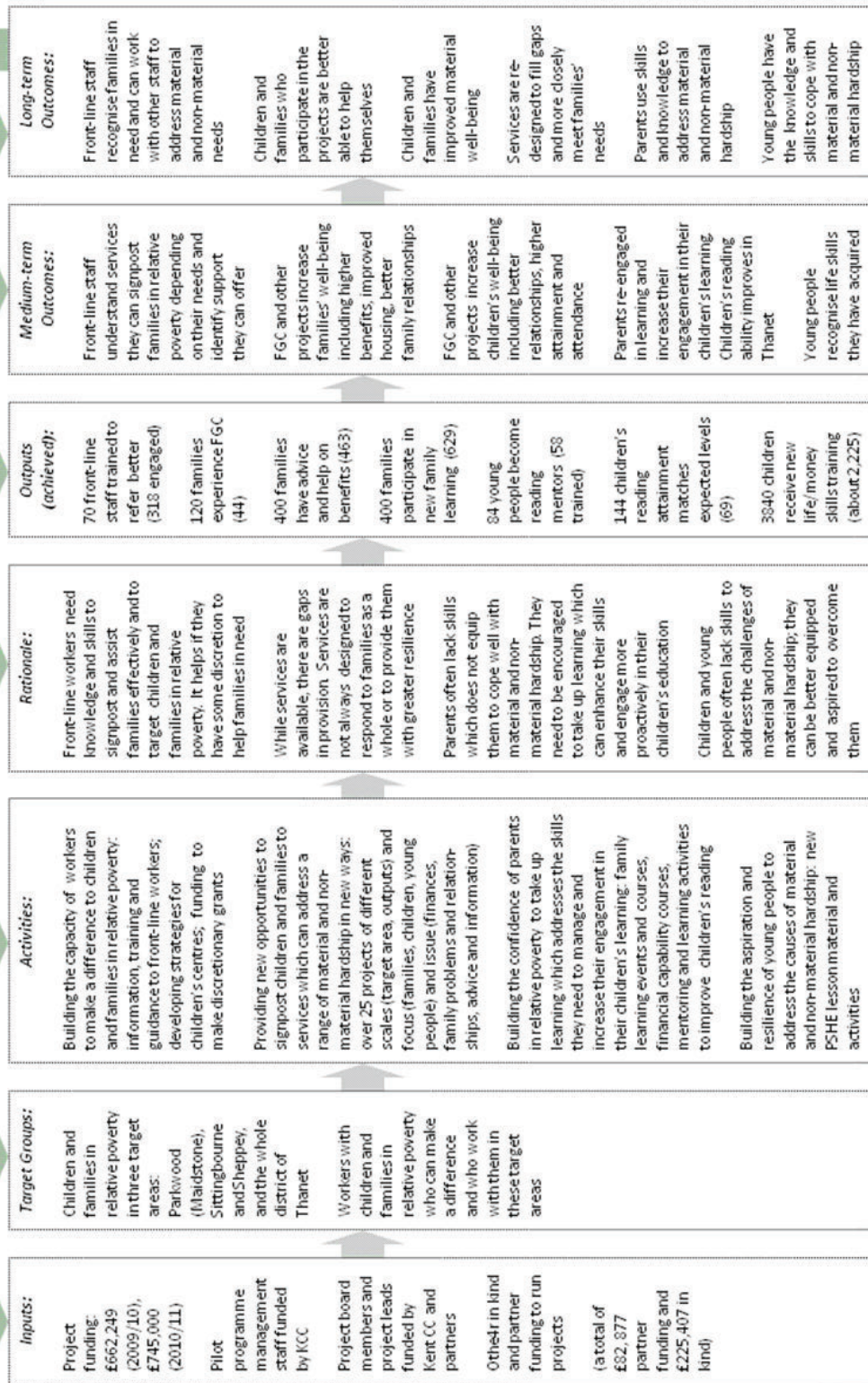
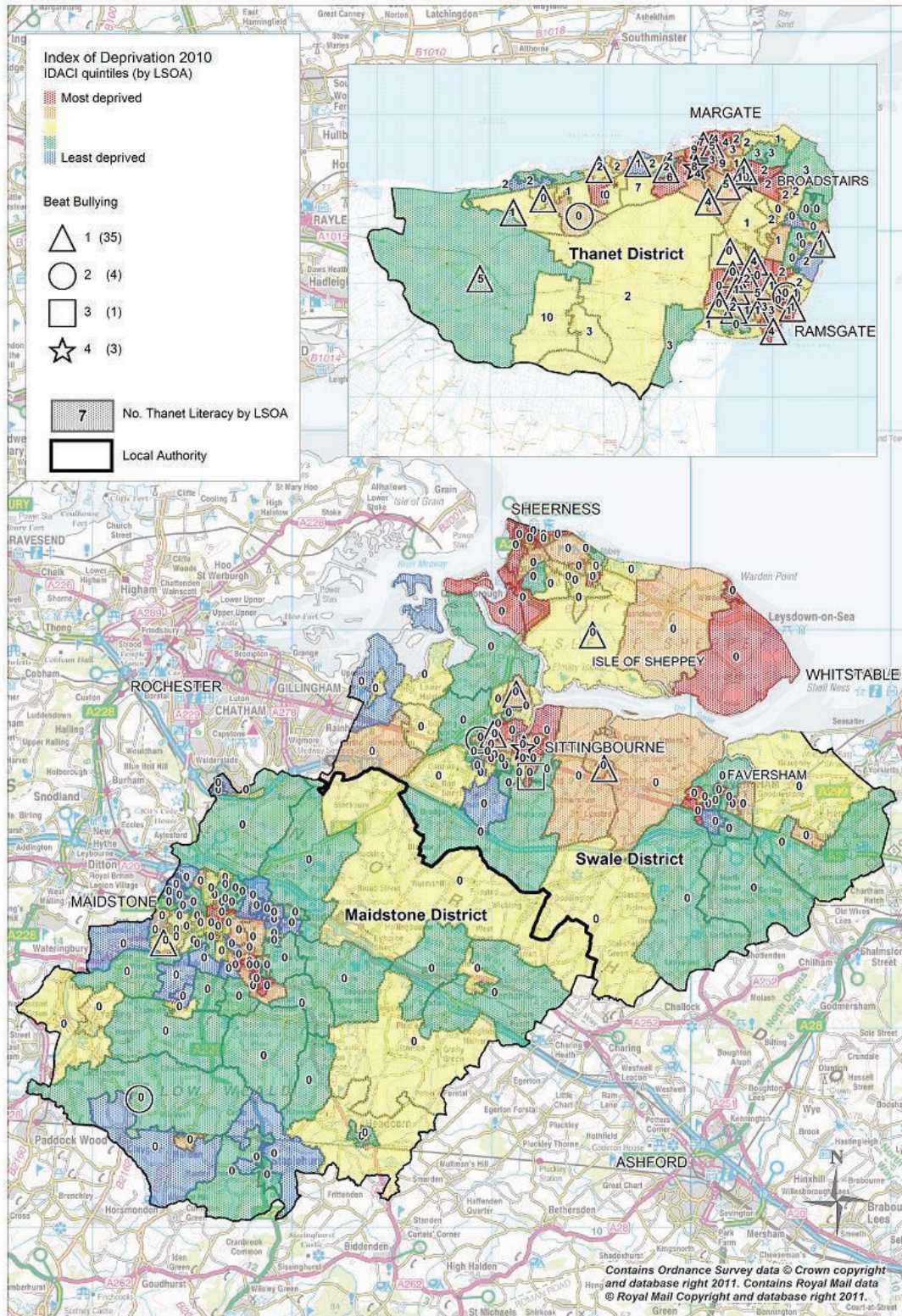
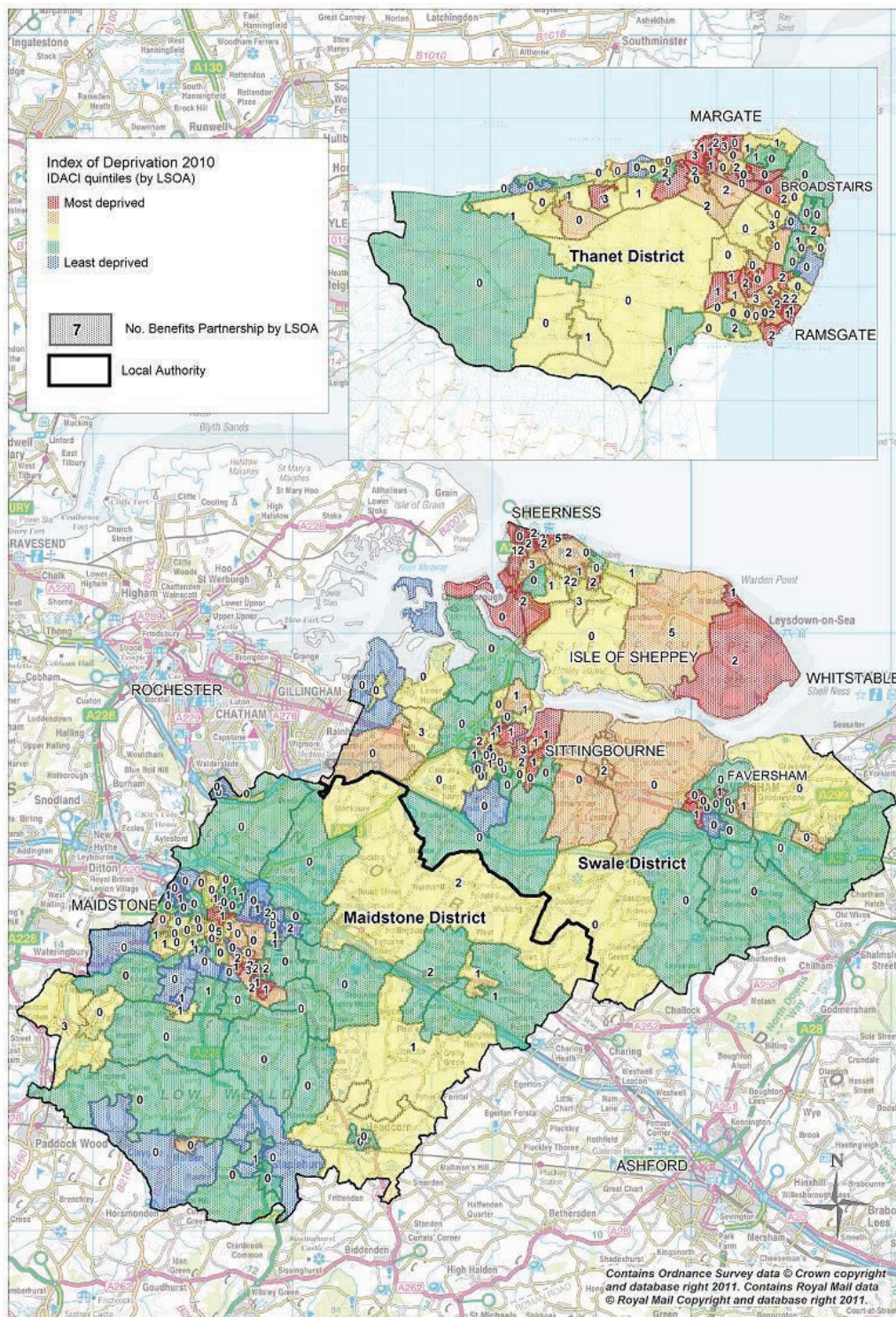


Figure 3.9 Spatial distribution of Beat Bullying and Thanet Literacy



The mapping analysis shows success in targeting. For the Beat Bullying target areas, whereas the average child lives in a neighbourhood where the level of child poverty is under 22%, beneficiary of Beat Bullying lives where it is over 31%; and, the average Thanet child lives where the child poverty rate is 27% whilst for the beneficiaries of Thanet Literacy it is just under 30%.

Figure 3.10 Spatial distribution of Hardship Fund recipients



This mapping analysis shows that whereas the average child lives in a neighbourhood (in one of three Districts) lives where the level of child poverty is under 22%, the average beneficiary of the Hardship Fund lives where the level is over 40% indicating the success of this fund in reaching the most deprived.

# Knowsley LAIP Summary

## Aim & Key Features

The Knowsley LAIP developed a model for recruiting, training and supporting Volunteer Family Mentors (VFMs). The pilot aimed to explore the extent to which families would engage with peer volunteer support to address barriers to service access and thus to improve their outcomes, including in relation to employment. The pilot aimed to develop a model that would be scalable and that could inform new, innovative models of provision across the authority.

- The pilot sat within a Child Poverty Programme structure, which itself was linked to an 'innovation function' for Knowsley that was committed to managing and learning from innovation. A range of different pilots were put in place in different areas of the borough, providing a focus intended to maximise learning from them.
- The pilot invested time and resources in the development of a model that provided a high degree of support and supervision for volunteer mentors. A 'core training' programme was developed with additional training provided in response to issues emerging from families supported (for instance, domestic violence awareness).
- VFMs supported up to two families a week, for up to 2 hours each. Fortnightly 'Peer Support Meetings' brought mentors together to share experiences and knowledge.
- VFMs provided empowering, parent-led support, addressing the issues that they wished to be addressed and using a tool to identify these and to record distance travelled.

## Key Achievements

- The pilot exceeded target numbers for VFMs recruited and trained. At the end of March 2011, 65 had been trained and 22 were actively supporting families, with an initial target of 10. The pilot also exceeded target numbers for families engaged in support. 44 families were engaged, against a target of 40.
- The pilot found that families in receipt of targeted and high level interventions lacked broad support around this and beyond the issue or person targeted or engaged by it. This included families engaged in CAF (Common Assessment Framework) processes.
- The pilot found that volunteers can support families with quite high level needs, but well managed and resourced policies and procedures are required to ensure that this is safe and of a high quality. This is a 'low cost, but not no cost' model.
- The pilot informed two new additional pilots: testing volunteer peer mentor support to address parents' literacy; and, children's centre volunteer peer outreach workers.
- A broad range of outcomes were achieved for VFMs and for the families they supported. The pilot demonstrated that 'primary outcomes' – addressing barriers and building confidence – lead to 'secondary outcomes' – progress towards longer-term outcomes of employment, employability and wellbeing. Outcomes for VFMs were wide-ranging and transformational.
- The VFM model was mainstreamed in an amended form: VFMs were placed within children's centres, with a rolling programme of recruitment and training and a commitment to continue the high levels of support and supervision identified as critical to the success of the pilot.

## Costs Analysis

In addition to CPU funding of £297,117 the pilot involved in-kind costs of £60,500. This includes valuing the time of VFMs. The overall cost of delivering the Knowsley pilot is estimated to total £395,000, comprising CPU funded expenditures (75%), other partner expenditures (5%) and in-kind costs (20%). Excluding the development costs incurred, the analysis identified the cost of recruiting, training and supporting VFMs (£2,530 per volunteer recruited) and of providing family support (£3,627 per family). The analysis also able to provide unit costs of achieving employment related outcomes for VFMs. The cost per VFM entering employment amounted to £27,408, the cost per VFM entering employment, work placement or a training job amounted to £10,278.

**Knowsley Innovation Pilot: Volunteer Family Mentors – Pilot Programme Logic Model**

**Context:** In the 2007 Indices of Multiple Deprivation Knowsley is ranked 5<sup>th</sup> most deprived and 2<sup>nd</sup> for localised hot spots of deprivation. Although this represented an improvement from 2004, 58% of all children in Knowsley live in poverty and levels of worklessness are persistently high. North Huyton is one of the most deprived areas of Knowsley. Knowsley has been the lead authority for child poverty for the Liverpool City Region since its inception in 2007 and was a pilot for Child Poverty Action Group's Child Poverty Toolkit (2008-2009). The children and family services directorate (DCFS) has explored innovation in public service delivery since 2006 when they worked with DEMOS in North Huyton. A primary education 'Parent Pals' volunteer support project was developed through community engagement. The authority also worked with the Cabinet Office Innovation Unit (2008-2009) and used innovation in their approach to the Building Schools for the Future Programme (with NIESTA). DCFS began to explore Kent council's Social Innovation Lab Kent (SILK) as part of this commitment to innovation and they commissioned the Innovation Unit again (now an independent not-for-profit organisation) with the support of the Chief Executive's Policy and Strategy Team, in 2009 to develop an 'innovation function' for Knowsley. Child poverty is an early focus of this work, exploring innovative practice and how new approaches to service provision (through co-production and radical efficiencies, for example) can be developed and capacity for, and commitment to, innovation sustained.

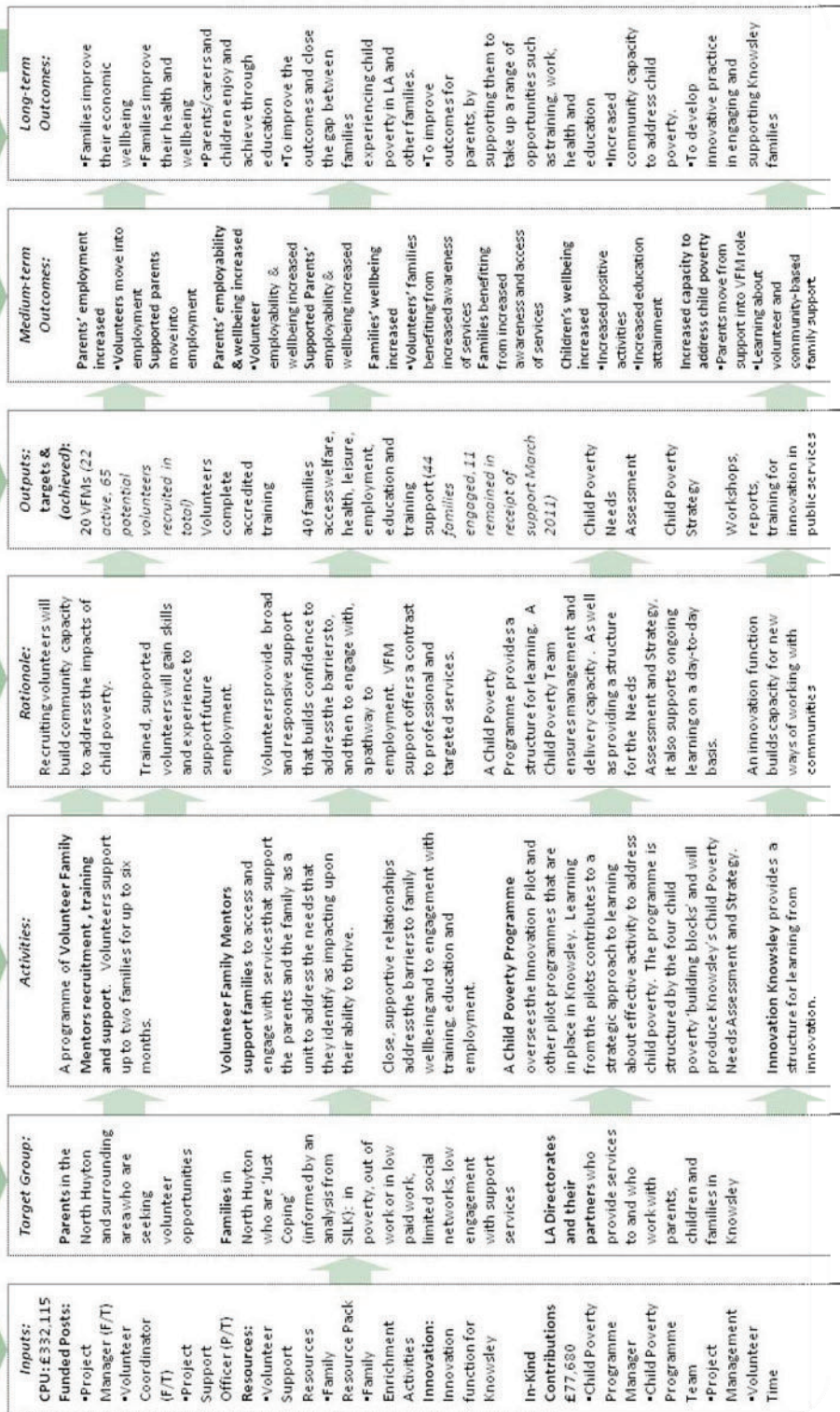
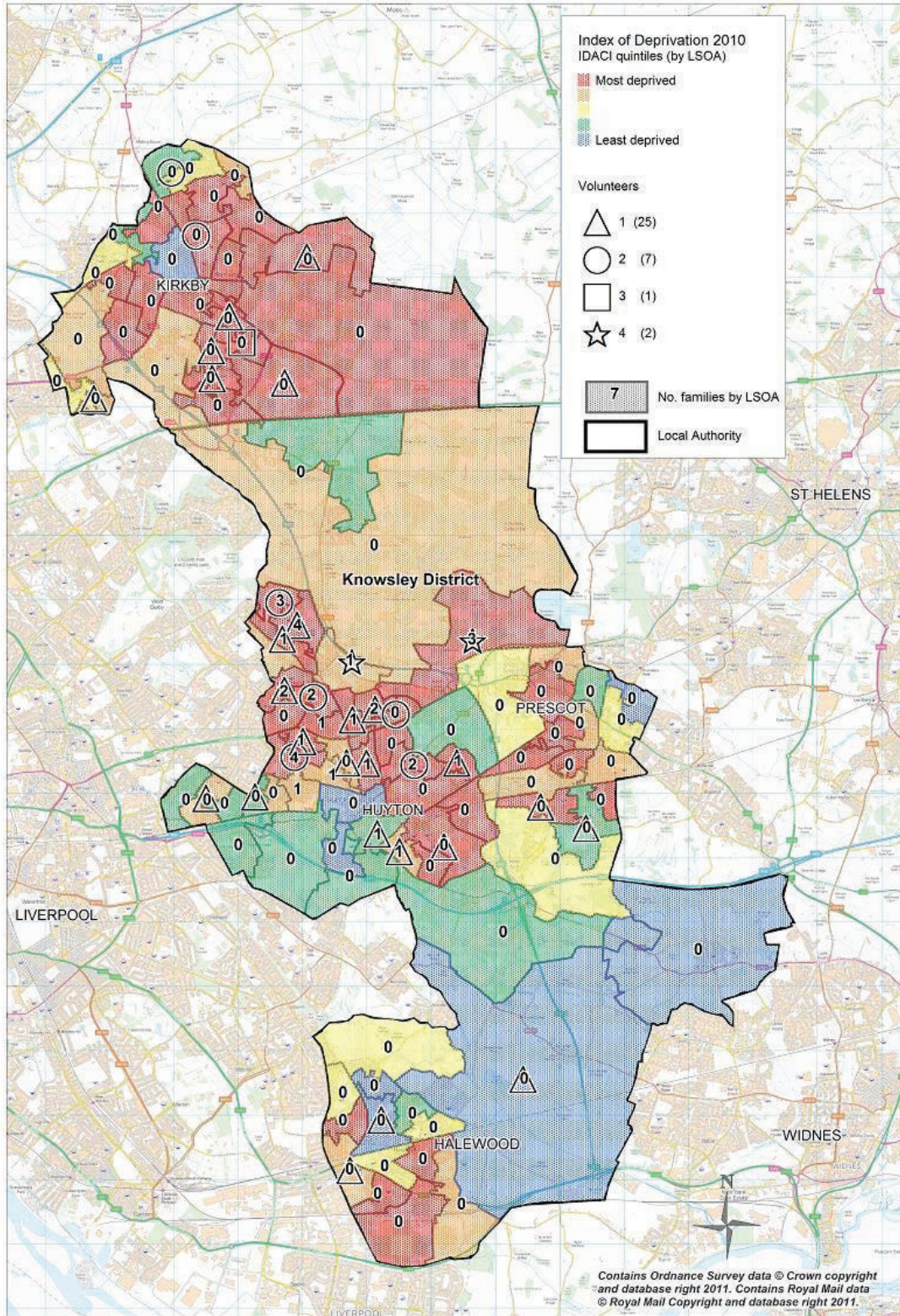


Figure 3.11 Spatial distribution of volunteers and supported parents



The mapping analysis indicates that the targeting of North Huyton and of volunteers from similar areas was effective. It shows that whereas the average child in Knowsley lives in a neighbourhood where the level of child poverty is around 35%: the average volunteer lives where the level is 46%; and, the average beneficiary family came from an area where it is 55%.

# North Warwickshire LAIP Summary

## Aim & Key Features

This pilot aimed to provide accessible and non-stigmatising financial inclusion services through: a mobile 'Branching Out Bus' – BOB – to provide information, advice and guidance (IAG) from a range of locations across this largely rural district county; a programme of school banks, led by the Credit Union but involving children and parents; and, 'financial inclusion workshops' for pupils in primary schools, with a range of activities tailored to three different age groups aiming to increase awareness of money and to promote money management skills.

- A mobile home was purchased and converted, with local children participating in a competition to design a family-friendly logo and name:
  - Citizens Advice Bureau (CAB) provided two core staff.
  - The driver was trained to provide basic IAG and thus fulfilling a dual role.
  - The Coventry and Warwickshire Cooperative Development Agency (CDA) provided a further member of core staff, who provided home visits following referral from BOB staff and delivered the schools activity.
  - A Jobcentre Plus adviser was initially included, although this was withdrawn due to the ability of the IAG and CAB staff to support initial job enquiries. Similarly, advisers from a local college initially staffed the bus but again the core staff were able to make referrals where appropriate and this was withdrawn.
  - Other staff were temporarily hosted by BOB on a less frequent basis, for example staff promoting literacy classes.
- A comprehensive mapping exercise was commissioned, identifying street level information about the location of low-income families from a range of local authority and other data (see 4.1).
- A set of 'priority zones' were identified and used to determine the location of BOB – visiting the same locations at the same times to build awareness and promote access. These locations were regularly reviewed and each quarter were changed to ensure a good geographical spread. Children's Centres and community events were also used as locations.
- 'BOB without the Bus' activity developed during the pilot as formative learning identified the need for outreach and community based services. This is the use of the BOB brand to deliver a broad range of other services and activities, such as a campaign to promote awareness of illegal money lending and CAB outreach from a community premises.
- An appointment system and home visits option were developed from an initial drop-in only basis, to provide confidentiality where necessary and to enable clients and staff to plan their meetings.

## Key Achievements

- The initial pilot Steering Group was developed to a wider Financial Inclusion Partnership for the borough and thus placing the pilot within a strong strategic arrangement. The Partnership includes a wide range of local authority and partner services including third sector organisations and utility providers.
- BOB dealt with almost 1,500 queries from over 1,300 clients.
- Benefits were the main subject of queries (40%), followed by debt and budgeting (10%), housing (10%) college and education queries (5%), and savings and loans (5%).
- Schools banks are in place in 20 infant and primary schools and one secondary school. Financial inclusion workshops have been delivered in six schools.

## Costs Analysis

In addition to the £300,000 funding from CPU, in-kind costs for authority staff developing and managing the pilot including attending the pilot Steering Group are calculated at £67,500. The costs per recorded output are estimated as: £9.30 per hour in which BOB was open for enquiries; £160 per enquiry received; and, £180 per beneficiary engaged.

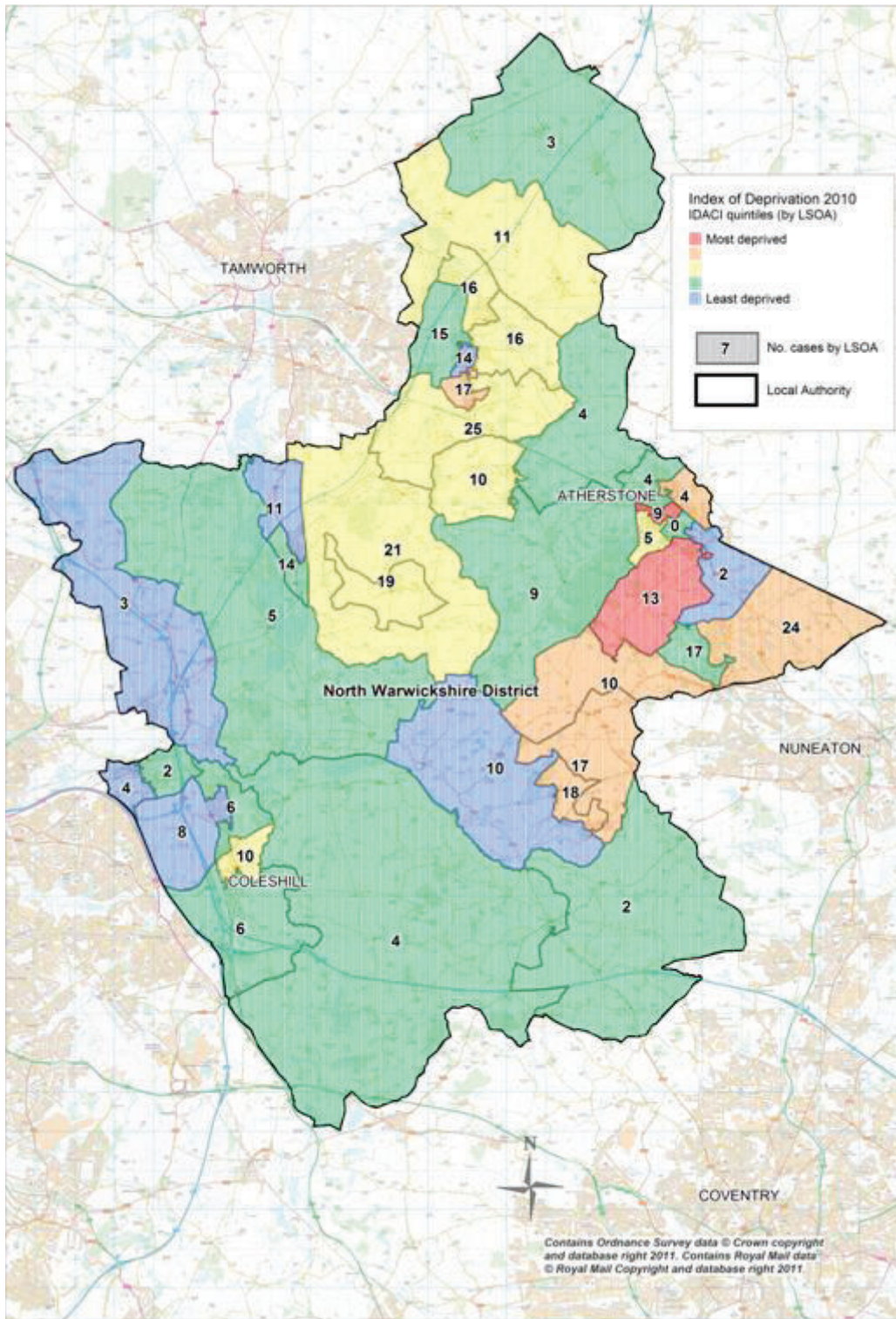


**North Warwickshire LAIP: Pilot Programme**

**Context:** North Warwickshire is a rural and former mining area with pockets of deprivation. The Branching Out Bus (BOB) is based on a public, private, and third sector partnership which underpinned the development of the One Stop Shop based at the Council's Headquarters in Atherstone. The Pilot's Steering Group has developed into the borough wide Financial Inclusion Partnership. The original membership included senior officers from NWBC, WCC, CAB, New Way Credit Union (Coventry and Warwickshire CDA), North Warwickshire and Hinckley College, Jobcentre Plus, Family Information Service, and Warwickshire Welfare Rights. It has since developed to include more partners. The Pilot has clear links with Warwickshire County Council's Child Poverty Strategy.



Figure 3.12 Spatial distribution of postcoded cases



Mapping indicates that BOB clients came from areas with higher rates of child poverty than the authority average. Whereas the average child in North Warwickshire lives in a neighbourhood where the level of child poverty is under 14%, the average beneficiary of the Pilot lives where the level is nearer 16%.

# Sefton LAIP Summary

## Aim & Key Features

The Sefton pilot was led by the Planning, Employment and Regeneration Department of the local authority (in contrast to other pilots being led by children (and family) services) in close partnership with Sefton CVS. It aimed to address child poverty in Southport through four inter-related strands:

- The **Family Coach** strand aimed to provide an holistic and family-based approach to supporting parents towards employment by addressing family barriers, and providing a flexible fund as a resource to support this.
- The **Employer Award** supported employers to achieve good practice in family-friendly employment and providing a scheme to recognise this.
- Additional **Information, Advice and Guidance** (IAG) capacity was created through a new parent-focused post within the CVS's employment service.
- An **Innovation Fund** established for the second year of the pilot provided grants to local organisations to build their capacity and deliver provision to address child poverty in Southport.
- Family Coaches had access to a flexible Incentives and Reward Fund, providing '*something for something*': as well as meeting the costs associated with addressing barriers to employment (e.g. training, childcare, transport), the fund recognised and rewarded parent and family progression by providing for family and family member activities (e.g. leisure passes, activities for children).
- The Employer Award scheme was commissioned from consultants and developed by them through a series of employer engagement events. The Award is achieved through a self-assessment, action plan and then completion process. Progress was supported and moderated by consultants alongside support from the authority Employer Liaison team in order to promote sustainability.
- Innovation Fund led to projects: promoting healthy eating by supporting the expansion of a Fruit and Vegetable Cooperative; providing after-school activities for a youth inclusion project; providing assessments and then access to grants for a fuel poverty and housing improvement service run by the authority; providing a housing support worker for a project addressing the needs of families in inappropriate accommodation; and providing an employment support officer for a local carers organisation, encouraging parents carers of children with additional needs towards employment.

## Key Achievements

- 116 families supported by the Family Coaches, far exceeding the target (40). An additional 89 parents were supported by the IAG Officer.
- Wide range of employability outcomes for parents and associated wellbeing outcomes for families.
- 12 parents entered employment and 2 became self-employed. 50 attended training and 18 took volunteering opportunities.
- 15 employers participated in the Employer Award and 9 completed during the pilot.
- Two Family Coach posts were extended, initially for six months: one Family Coach will pilot an amended employment focused model of provision from a primary school elsewhere; and, one Family Coach post is continuing in Southport, based at the CVS, to continue to support parents there into employment.

## Costs Analysis

CPU funding totalled £1,033,000. Additional in-kind contributions are estimated at £15,540. Total costs were: Family Coaches £855,883; Employer Award £70,000; and Innovation Fund £104,315. The overall cost of delivering Family Support activities, including the incentives and rewards, is estimated at £4,175 per family. The total value of incentives and rewards provided by the pilot was £225,836 and accounted for 26% of the overall cost of delivering the Family Support activities.

**Sefton Local Authority Child Poverty Innovation Pilot**

**Context:** The Sefton pilot targets the coastal town of Southport, which has a distinct visitor economy. There is a history of joint working between the council and its partners to regenerate the town. The geography of the Sefton borough means that Southport is at the opposite end of the locale to the main administrative centre of Bootle and transport links mean the town is isolated from the main conurbations of Merseyside. Southport contains pockets of child poverty that are concealed within the overall prosperity of the town. Sefton council has a history of delivering employment advice and provision and of delivering job brokerage through a labour market intermediary service (Sefton@Work), in partnership with Sefton CVS (Worlzone). These services have become increasingly aware of the need to provide a family-focused approach to address family-based barriers that parents face in returning to or entering the labour market. The pilot offers the opportunity to explore these barriers and how they can be effectively addressed.

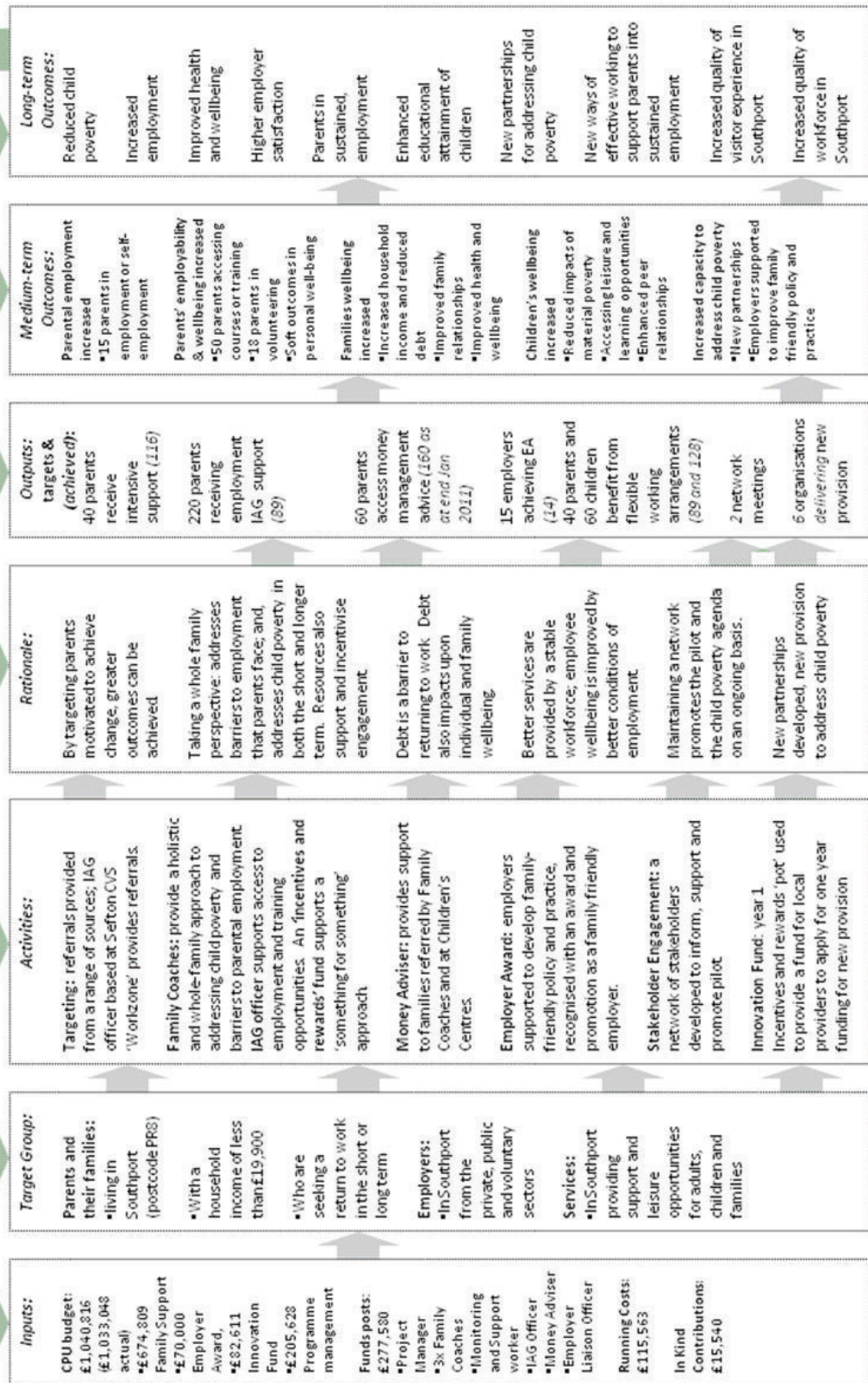
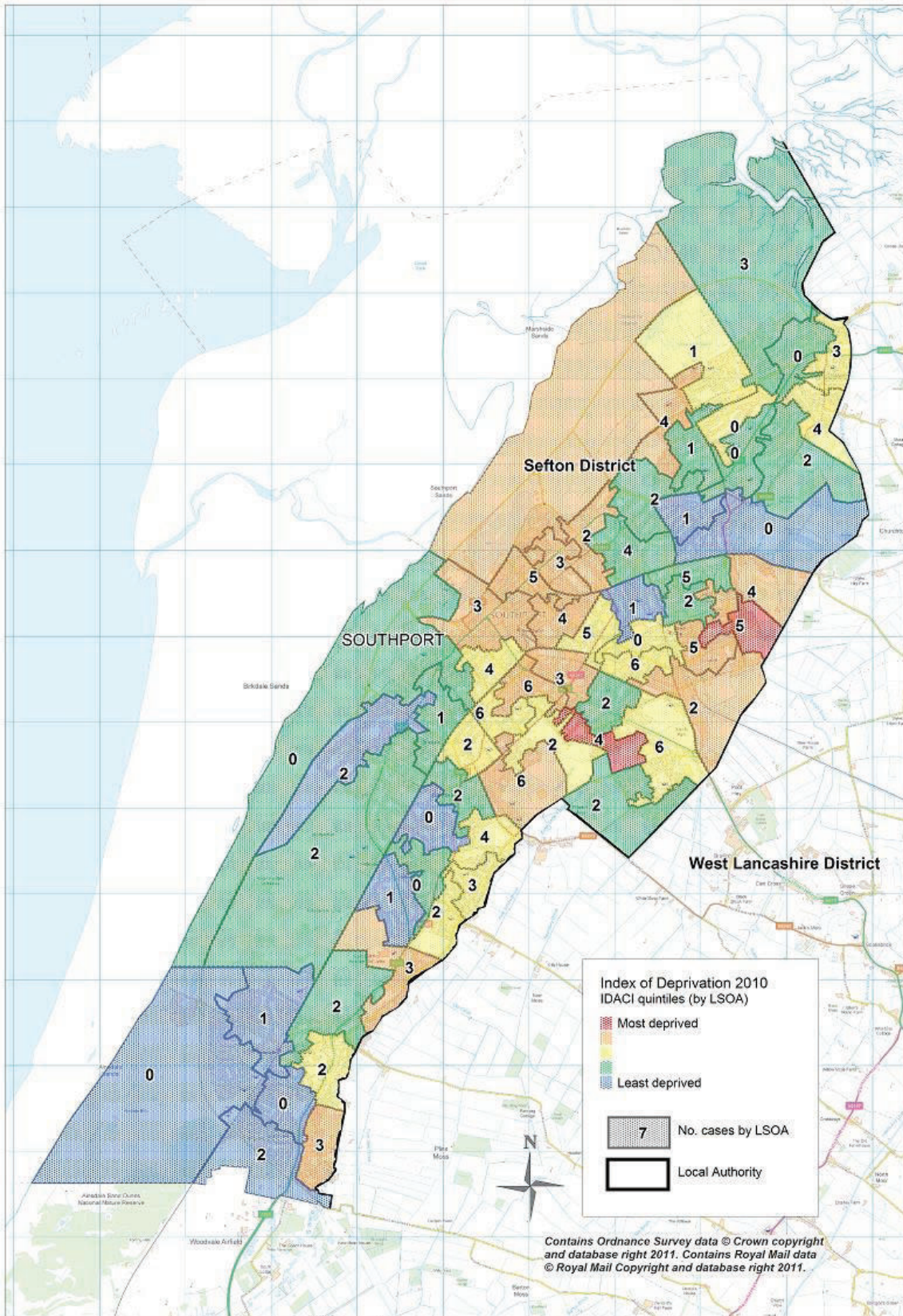


Figure 3.13 Spatial distribution of beneficiaries



The targeting by the Sefton LAIP was successful. The mapping analysis shows that whilst the average child in Southport lives in an area where the level of child poverty is 14%, the average beneficiary of Family Coach support came from an area where it is over 19%.

# Tyne Gateway LAIP Summary

## Aim & Key Features

The Tyne Gateway pilot was a jointly developed programme across the two authorities of North Tyneside and South Tyneside, the only pilot of this nature. Phase 1 involved the recruitment and training of 20 'Community Entrepreneurs', recruited from within neighbourhoods and communities of greatest need, subsequently employed in those neighbourhoods and communities to develop community projects (Phase 2). Projects were intended to act as pathways into sustainable employment for parents in poverty. It was intended that each Community Entrepreneur would work with 10 parents each, therefore helping a total of 200 families out of poverty in the two Boroughs.

- Unique model of community-driven provision, based on national and international learning about the potential of 'barefoot professionals' to understand and support their communities effectively.
- Organisations in targeted deprived areas were asked to nominate active community members for ARC training, led to the successful engagement of a motivated group of parents with little drop-out.
- Two training courses were developed with Sunderland University: an eight-week 'Awareness Raising Course' (ARC) to provide an initial qualification, and a two-year 'Foundation Degree in Community Entrepreneurship'.
- Following ARC qualification, 25 of the 26 participants applied for 20 paid posts. Demand for the ARC course led to a second cohort of 14 completing training, some of whom are known to have moved to other community-based employment.
- 'Senior Mentors' from the local authority, private and third sector organisations who are partners in the pilot each support and advise a Community Entrepreneur. Key is supporting the development and design of the Community Projects, following the Community Entrepreneurs' close work with their communities to identify opportunities and needs.
- High level of support and supervision provided to Community Entrepreneurs, with resources to support their engagement in training and then the paid Community Entrepreneur role. Ongoing training is provided, for example additional project management and ICT training.
- Strong governance arrangements, bringing the two authorities together and a wide range of stakeholders from the public, private and voluntary and community sectors.

## Key Achievements

- Clear and transformational outcomes for those employed as Community Entrepreneurs. Clear demonstration of the innovative potential of the 'barefoot professional model' to access groups that existing interventions have struggled to reach.
- 17 Community Projects developed as social enterprises by 20 Community Entrepreneurs (including two joint-projects) with 170 families engaged in March 2011 and 10 employed.
- 20 employers actively engaged in the Community Projects, recognising the access provided to target populations and communities or recognising the labour market potential of those engaged.
- National and regional award winner: 4 Children: Winner 2010, Award for Supporting Parents and Families; Local Government Awards: Winner, 2011 Community Involvement Award; and, Two Higher Education Social Entrepreneurship Catalyst Awards for two of the Community Projects.
- Continuation funding for 12 months provided by both local authorities and a new social enterprise has been created to seek further funding and to take forward the model in the longer-term.

## Costs Analysis

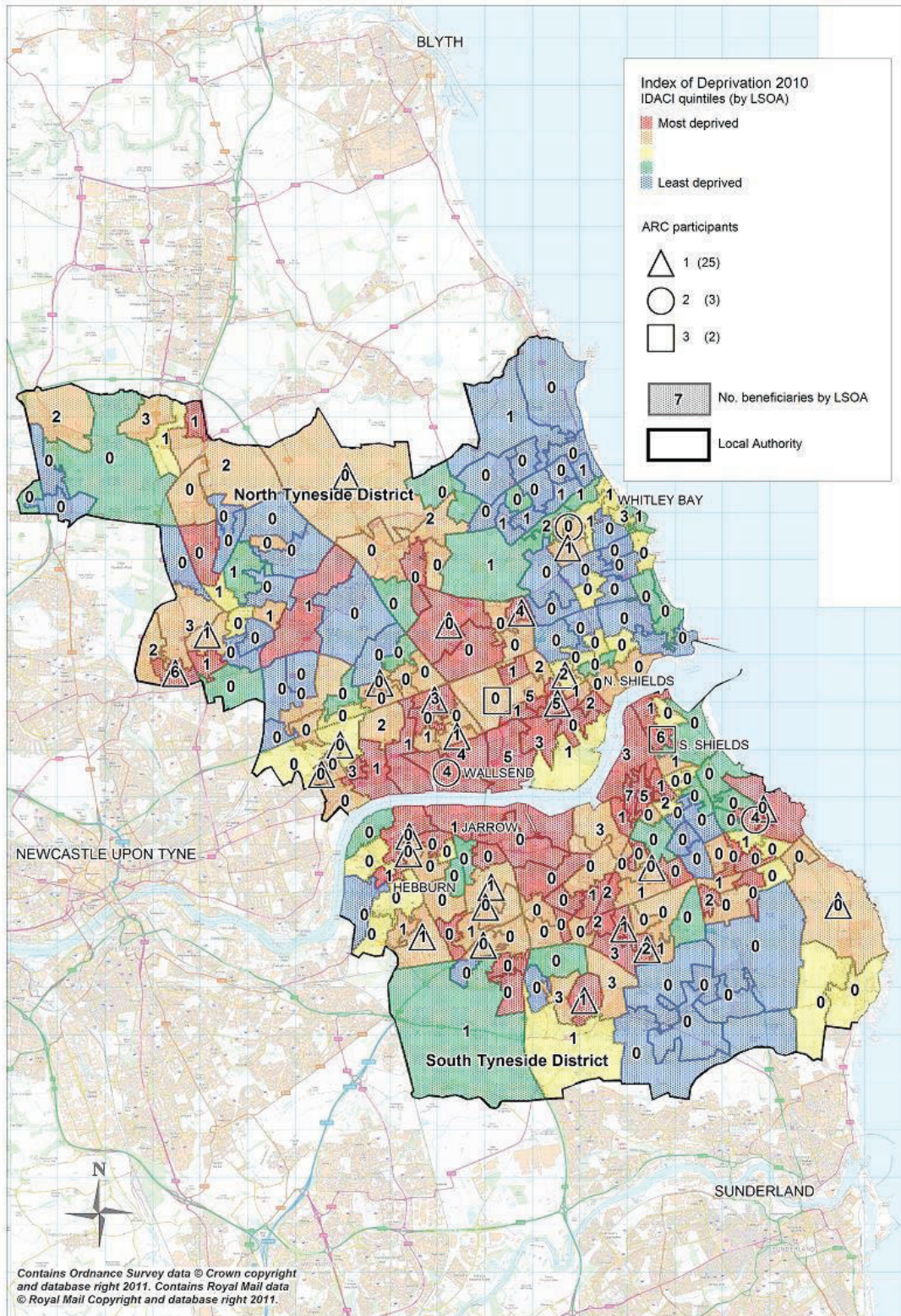
The budget for the Tyne Gateway pilot was £1,647,500, funded by CPU. Community Entrepreneur salaries were the largest expenditure (35%). In-kind contributions totalled £19,000. The cost per CE was £63,472 and the cost of Community Project per family beneficiary (excluding CE employment cost) was £2,338.

**Tyne Gateway Local Authority Child Poverty Innovation Pilot**

In 2007 the boroughs of North Tyneside and South Tyneside jointly contained 21 Lower Super Output Areas (LSOAs) ranked amongst the 10% most deprived areas in England (JMD, 2007). All of these areas contained significant numbers of under 16s. This ranking represented an improvement since 2000, with both North and South Tyneside closing the inequality gap with the rest of the country over the period yet in 2007, there remained a consistent and persistent geographical distribution of deprivation around the mid-Tyne riverside areas (and that crosses the borough 15 joint boundaries). Recognising this, and the recent history of innovative projects on child wellbeing by both borough Councils, the Tyne Gateway Pilot is a joint initiative by the council, alongside partners, to tackle the shared priority of childhood poverty within their borough. Tyne Gateway will do so through a best-practice approach: the training and employment of parents at risk of poverty to become Community Entrepreneurs, who will then develop community-based projects in partnership with local employers and as the basis for offering employment pathways for parents from families at risk of poverty in the Tyne Gateway area. This approach of Community Entrepreneurs draws from the 'barefoot professional' model of community action whereby local people are empowered to undertake development work in their own communities.



Figure 3.14 Spatial distribution of ARC participants



Due to the early nature of the Community Projects, the mapping analysis for Tyne Gateway's LAIP focuses upon the ARC participants and a smaller number of project beneficiaries. It shows that whereas the average child in Tyne Gateway lives in area where the level of child poverty is 24%, the average ARC participant lives in an area where the level is over 35% and the average postcoded beneficiary in an area where it is 28%. This indicates the success of the pilot in targeting households in neighbourhoods with high levels of child poverty.



# Waltham Forest LAIP Summary

## Aim & Key Features

The Waltham Forest pilot targeted families living in postcode areas known to have high levels of deprivation and who had children between the ages of 2 and 5 years. Reflecting the characteristics of the population, families from minority ethnic backgrounds were targeted and this included Gypsy/Roma/Traveller families. A 'Family Partnership Model' aimed to provide a holistic approach to supporting families to address barriers to family wellbeing and to progress towards employment.

- Strong governance arrangements with a project board reporting to the Local Strategic Partnership Child Poverty Task Group chaired by the Leader of the Council.
- A multi-agency team created of: five Family Support Advisers, two Benefits Advisers, one Housing Adviser and one Health Visitor (although this last post remained unfilled due to pressures on this service locally). Joint home visits were undertaken to assess families and identify support plans. Interpretation services were used to support family engagement.
- Initially, the pilot sought referrals from schools and children's centres. They were asked to focus on families eligible for Free School Meals and to draw on their own knowledge of families' circumstances. Referrals were also sought from health, employment and family support professionals working in the target postcode areas.
- The Family Partnership Model is parent or family-led and enabled the coordination of a wide range of support. One-to-one support aimed to build confidence and capacity within families to access services, and address a wide range of needs in the areas of finance, health, education, housing, and social and emotional wellbeing, working towards identifying pathways to training and employment.
- A discretionary fund was created in the early stages of the pilot to address emerging learning that there was a lack of flexible funding for professionals to access when supporting families to address barriers (e.g. to buy a school uniform or mobile phone credit to keep in touch with social worker).
- A research report was commissioned, to explore children's centres' engagement with marginalised groups. This was intended to inform an action plan to address any issues identified, but the cuts to local authority grants and subsequent uncertainty around future funding hindered this second element.
- A Parent Advisory Group (PAG) was created to inform the pilot, meeting monthly and with reports provided from there to the pilot board.

## Key Achievements

- 236 families were assessed, and 215 qualified for the pilot's intensive support. Reflecting the ethnic mix of the area, of the families supported a third were 'Asian' and a third were 'black'.
- Close working with an education professional from the borough's Gypsy, Roma and Traveller service facilitated access to 'Gypsy/Roma' families, who were around 7% of total beneficiaries.
- Alongside broad wellbeing outcomes, 7 parents entered employment and 26 training.
- In initial assessment 51 families (26%) were found not to be in receipt of their benefit entitlement and had their income raised by an average of £80 per week, ranging from £2.50 to £325.

## Costs Analysis

CPU funded expenditure was £862,000. In-kind contributions were estimated at £16,884, including £8,120 towards the administration and management of the pilot from partners and the local authority and PAG costs of £3,984. The total cost per beneficiary engaged was £3,733 and of intensive family support was £2,955 per beneficiary. It is not possible to include unit costs for the outcomes recorded by Waltham Forest.

Context: A high proportion of Worham Forest's residents experience multiple factors of deprivation, there is a high level of long term intergenerational unemployment, the average income of residents is the lowest in London, there is a high take-up of benefits, and there is evidence of low aspirations about learning, skills, jobs and working outside the area. To address the impacts of poverty on children, the Local Strategic Partnership has established a Child Poverty Strategy Board, made up of senior managers in the council, Primary Care Trust, voluntary sector and Job-Centre Plus. The Board recognises that impacts of poverty can be alleviated in the short-term by take-up of available services such as health, education, childcare, parenting support, and that there is a need for a family-focused approach to achieve this. The pilot offers the opportunity to develop the Borough's existing work on using whole-family, holistic support models to increase access to mainstream services and focus on those areas with persistent unemployment.

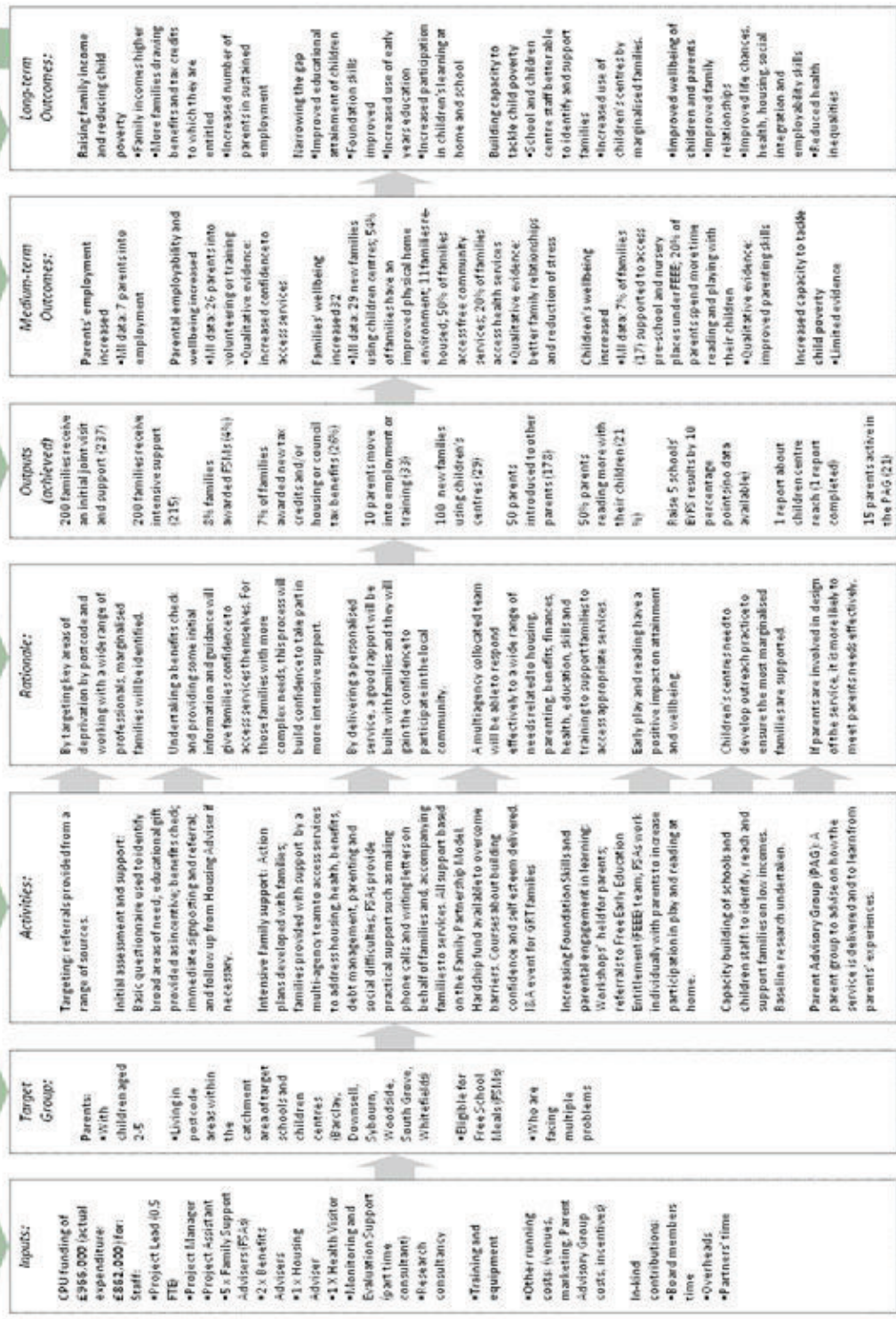
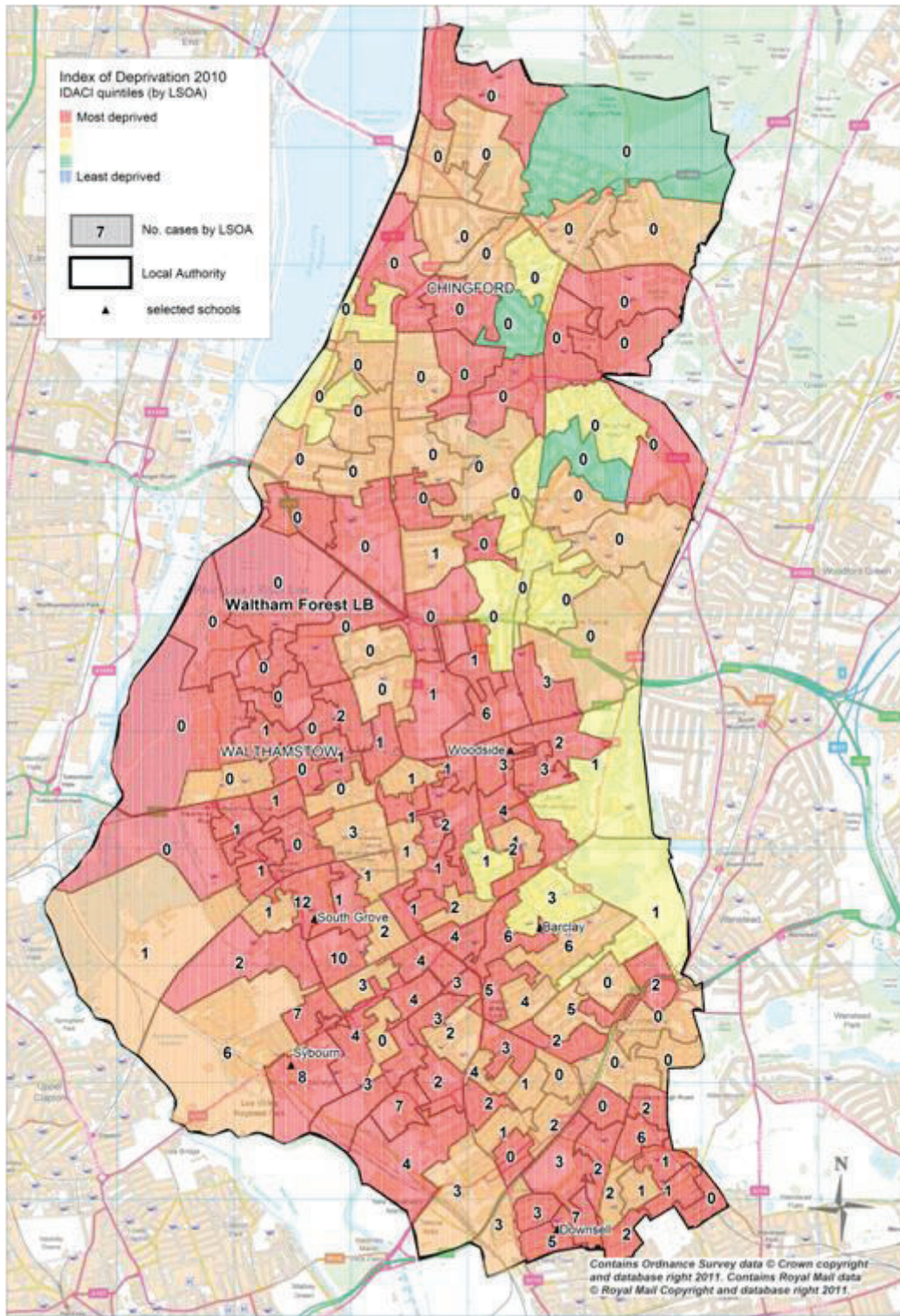


Figure 3.15 Spatial distribution of beneficiaries



The mapping shows the high levels of child poverty in the south of the borough, and how no beneficiaries came from the more affluent north. The analysis shows that whereas the average child in Waltham Forest lives in a neighbourhood where the level of child poverty is 38%, the average beneficiary of the LAIP came from an area where the level is over 42%.

# Westminster LAIP Summary

## Aim & Key Features

The Westminster pilot aimed to provide a 'keyworking model' to bring together different agencies which were already delivering employability services in the borough to disadvantaged parents. Keyworkers coordinate a package of support around their clients. Keyworkers were provided with new and additional resources to provide a personalised package of support to address the barriers that parents can face when entering employment. These were: specialist financial advice to support the transition away from the receipt of benefits; support with childcare costs for the first six months of employment or the duration of training; and, help with in-work housing costs to address the uncertainty that can arise when housing benefit is recalculated when entering employment, using the Discretionary Housing Payment received by all local authorities. A fourth strand of 'employment engagement' sought to identify family-friendly employment opportunities and promote family-friendly practices amongst local employers

- 19 Keyworkers were involved in the pilot, from: Jobcentre Plus; Women Like Us, a local award-winning third sector organisation; the Family Recovery Project, to support families exiting this intensive intervention for families with complex needs; and, the Westminster Works employment partnership coordinated by the local authority. Lone parents and potential second earners in low-income families were targeted.
- Strong governance arrangements linked the pilot to the Westminster Works partnership and through this to: the School Gates initiative; the Work Focused Services in Children's Centre pilot (both funded by CPU); schemes to subsidise childcare ('CAP09' and the 'Two Year Old Offer') and to the Family Recovery Project (a 'think family' pilot funded by DfE). This created a structure for learning from the range of pilots as well as linking their provision.
- An initial plan to supplement Working Families Tax Credit to provide additional support with childcare costs proved unworkable (due to tax implications) and as a result it was decided to meet all employment childcare costs in recognition of the barrier the high costs of this provision in Westminster poses for parents.
- A central pilot management team coordinated the Keywork support, developing common resources and systems where possible and collating pilot information. Resources for training were allocated following early learning about the lack of flexible funding to meet fees and other costs.

## Key Achievements

- 252 parents were registered for Keyworker support. 240 of these were female, and 142 had children aged under 5 years. 135 parents had been employed for more than three years.
- The mapping analysis shows that the pilot supported families from the most deprived areas of the borough.
- 148 parents (59%) received financial advice and support; 63 (25%) benefited from the provision of childcare; and, 67 parents entered employment.
- Westminster successfully applied to be a Community Budget Pilot, and is a site for the new 'Working Families Everywhere' initiative. Westminster Works will use the learning from LAIP to inform these new models of provision. There are also commitments to continue to fund: financial advice in children's centres; and, support for housing costs using the Discretionary Housing Payment which was trialled by the pilot.

## Costs Analysis

Final budget data indicates overall pilot expenditures of £1,194,000, comprising £975,000 (82%) of CPU expenditures and £219,000 (18%) of LAA expenditures. In-kind costs reflect the involvement of a range of partners and are estimated at £66,050. The cost per previously unemployed parent finding work was £18,804. The cost for these parents finding 'sustained' work was £27,997, reflecting the high number of temporary and insecure jobs available in the borough.

Westminster LAIP: Programme Theory Logic Model – Keyworking

Context: Westminster is a central London borough with extremes of wealth and poverty; it has the 6th highest level of child poverty among the 32 London boroughs. There are 9,940 children under 15 living in households dependent on workless benefits, almost double the national average, 17,000 residents of working age have no qualifications and an estimated 33% of parents are out of work with 3,285 lone parents claiming Income Support in the borough, mostly concentrated in a few wards. However, there are 50,000 employers in Westminster, and half a million people work there. The Westminster Pilot uses a keyworking model to bring together different agencies which are already offering employability services in the borough to disadvantaged parents (including the CPU funded Work Focused Services in Children's Centres Pilot), to offer a personalised package of support along the journey to employment. This support is coordinated by a central team and aims to bring about long term cultural change, bringing together local residents with local jobs. There is a focus on partnership working and improving the skills and awareness of keyworkers or employability advisers across the City, as well as filling in gaps in services by linking up the employability offer for parents with childcare support, financial advice and other support that families in poverty need.





## 4 Evaluation Findings: Effective Practice

Previous LAIP national evaluation reports have identified and explored messages of effective practice that emerged from a synthesis analysis of the ten local formative evaluation reports. In the analysis of the final evaluation reports those cross-cutting themes remain and can now be presented as findings for effective practice. The pilots were established to provide learning from innovation in addressing child poverty and were supported and encouraged to explore new models and new features and to adapt and respond to learning as it emerged. It is from the final evaluation of these ten different programmes that these messages emerge. How innovation and the learning it provided was managed and supported, and how this contributed to the sustainability of the pilot, is returned to as the final theme of the discussion.

### 4.1 Targeting and Engaging Parents and Families

Effective targeting and engagement of parents and families is an essential element of support to address child poverty in the short and longer-term. A range of target groups were included by the LAIP programmes. Where an income target was used, this was commonly set at household income that is less than £20,000, the median income in the UK and a key criteria under the policy framework of the previous government (Hammersmith and Fulham, Islington, Sefton, Tyne Gateway, Westminster). Other criteria were: families with children of a particular age (for instance, Hammersmith and Fulham, Islington, Waltham Forest and Westminster); families in receipt of out-of-work benefits (Islington); those ready to return to work (Westminster); and, those ‘at risk of poverty’ or ‘just coping’ using a range of quite open criteria including their geographical location (Kent, Knowsley, North Warwickshire and Tyne Gateway). The success of the different pilots in reaching or exceeding their targets indicates the importance of clear but flexible criteria and the demand for support from ‘low income families’ whatever their characteristics. The £20,000 income measure was considered a more practical measure than the more complex 60% of median income, the relative poverty measure promoted under the previous government and included with the Child Poverty Act (see Section 2), which requires equivalisation: the process for taking account of different family size. This means that using this as an arbitrary line did not take account of different family circumstance, and flexibility and practitioner discretion were practiced. But, this created some confusion about eligibility and some discrepancies in who received support. This suggests that clear guidance is required for front-line staff assessing eligibility, with tools developed that are able to take account of families’ size and circumstance.

Each of the ten pilots thought carefully about how they could promote their service(s) and were conscious that provision labelled for ‘families in poverty’ or to reduce ‘child poverty’ would be stigmatising and therefore would hinder recruitment and engagement. A range of names and brands were created to present a broader message about the support available for parents or families, both for the overall service put in place but also for the staff or roles created.

Table 4.4 Examples of parent and family friendly names used by the Innovation Pilots

<b>Pilot</b>	<b>Service Brand</b>	<b>Staff Title</b>
Hammersmith and Fulham	Family Solutions	Family Facilitators
Islington	Islington Working for Parents	Parent Officers
Knowsley	Opportunities for Families	Family Mentors
Sefton	Promoting Parents	Family Coaches
Waltham Forest	More 4 You	Family Support Advisers

Across the ten pilots, a range of approaches were taken to promote the support available for parents and families. No single approach emerges as most effective; what is clear from the participants in each of the local evaluations is that a combination of different techniques is

important. Promotional publicity in the form of leaflets or flyers was a common technique. In Hammersmith and Fulham, particular estates were targeted with repeated leaflet deliveries and evidence from the evaluation's geographical mapping indicates that this was successful, with concentrations of beneficiaries engaged from these target areas. Nonetheless, the pilot developed an outreach strategy and created a temporary outreach officer post to promote the pilot with parents directly by visiting children's centres and other sites of support in order to raise awareness amongst, and encourage referrals from, these services.

This reflects a theme common across a number of the pilots: that front-line workers who are engaged with families provide a crucial source of referrals, particularly to new and (innovative) pilot provision. As previously reported, existing staff and services welcome provision that can support parents and families that they are in contact with. But, these staff can also be cautious about new provision and thus it takes time and effort to build the awareness, relationships and confidence that is essential for them to make referrals. Particularly in relation to more vulnerable or marginalised families, staff can be concerned that new provision may not deliver what is intended and that as a result their own relationships with their service users, which can have taken time themselves to develop, can be undermined or damaged. In work to engage both families and services, persistence is required. It is also important to recognise that professionals have expert knowledge about the communities within which they work.

In Cornwall, Kent and Westminster pilot models were developed that engaged existing staff and provided new resources to support their work. The rationale for this was that this would enable these professionals to provide more effective support to families. Yet, these models also illustrated the time required to build awareness amongst these staff and confidence in the available resources (with further detail on Workforce Development activities provided below at 4.5). In Islington and Sefton staff employed by the pilots provided services from children's centres, reporting that developing relationships with these core services also took time. Children's centres provide a range of services and have taken time to establish a presence in their local area, and can share the same concerns as other services or professionals. In Waltham Forest, home visits were provided following initial referral and this was consistently highlighted by pilot beneficiaries that participated in the evaluation fieldwork as offering a contrasting approach to other provision, which they could lack the confidence to access alone. This echoes findings from across the pilot evaluations that no single route should be relied upon as a source of referrals if an inclusive service that engages the most marginalised is to be provided.

### Box 1: Targeting rural areas for 'Information, Advice and Guidance': how data was used to inform BOB – the 'Branching Out Bus'.

Two of the LAIP programmes piloted new ways of using data to understand the characteristics of their communities and to use this intelligence to inform the way in which they targeted services.

The Branching Out Bus (BOB) in the largely rural authority of North Warwickshire provides a mobile base for information from the local authority and its partners. The model was based upon a successful 'one-stop-shop' hub in the main town of Atherstone. But travelling to the hub is a problematic journey from many areas of the borough. BOB visits a range of different locations for a set amount of time each week (no less than half a day and no more than a full day). These are varied each quarter to ensure a good coverage of the borough. The locations are based upon a comprehensive mapping exercise that was commissioned at the start of the pilot.

The mapping used 'Mosaic' data<sup>64</sup> to identify a range of population characteristics and families: with children; with a low income; claiming benefits; living in deprived areas; from lowest socio-economic groups; living in social rented accommodation; with low levels of savings; eligible for free school meals; with no bank account; unemployed; and, in debt. This information was used to identify geographical clusters of families, which was then combined with information about benefit claimants

<sup>64</sup> Mosaic is a commercial dataset that uses extensive consumer and market research information to map characteristics, most commonly used to inform commercial and business marketing.



with children that is held by the local authority. This combination of data identified 19 different areas that have been used to identify the range of locales that BOB has visited across the life of the pilot. BOB is an open access service available to everyone. Targeting these locations was intended to provide a service in areas known to have concentrations of low income families. Over the two years of the pilot, almost 1,500 queries had been made by 1,326 clients. The pilot did not collect information from clients in relation to family circumstance. A third of beneficiaries from a randomly selected sample of 30 contacted by the evaluation team were parents with school age children. Citizens Advice Bureau estimate that 80% of all clients accessing their services via BOB are new. 76% of all clients were unemployed, and 55% were women.

The Tyne Gateway and Knowsley LAIPs both developed a model that supported local parents to develop into roles that target, engage and support other parents in their communities. In Knowsley, Volunteer Family Mentors were trained and supervised to provide parent-led broadly based support. In Tyne Gateway, Community Entrepreneurs were developed from a 'barefoot professional' model that considers those within deprived communities as best place to understand and engage them. In both these pilots, these models were acknowledged to have reached parents that traditional, mainstream interventions had failed to.

Two of the pilots used locally available data to map, understand and target their local communities. In rural North Warwickshire, a thorough mapping was undertaken at the outset of the pilot to inform the locations where BOB the Branching Out Bus could reach low income families (see Box 1). In Islington, the LAIP built upon work by the local authority's Children's Services Directorate to expand a 'Data Warehouse', which draws on information about children and their families through eight types of data held by the council and key partners (health and Connexions). The LAIP undertook activity to include housing benefit and council tax benefit data in the 'Warehouse', enabling the authority to identify families living on a low income alongside information about their service use. Significant technical challenges were involved in achieving this, as well as a legal challenge (outlined in Section 3) relating to the ownership of the data: when a local authority application form is completed, the data can be used by the authority; when a national DWP form is used, it cannot unless permission to share the data was obtained. Now that these challenges have been addressed, the authority has a powerful tool for understanding and targeting low-income families, and the data is provided to the authority's children's centres to inform their outreach and targeting. Over time, it will demonstrate the authority's success (or otherwise) in targeting and engaging families in local services and in raising their income, including through employment.

A key feature of the pilots was a focus upon providing family-based approaches to support low-income families towards improved outcomes. The final evaluation reports confirm that providing an effective family-based approach does not necessarily engage the whole family, but it does take each of the individuals and the family as a unit into account. Working with parents as parents, rather than as adults who may or may not have children, is an important theme. It is also delivered by a 'keyworker' who is able to coordinate packages of support (further explored below). Knowing that they will be working with a single point of contact, over time, is attractive to parents who are concerned about working with multiple services. Promoting to parents that support is available to address the issues they identify for themselves as parents, for their children and for their family as a unit is identified by both parents and staff delivering services as an important element of effective practice (and to address the barriers to progression that are discussed further below at 4.4).

The final evaluation reports also confirm that needs assessment should be acknowledged as an ongoing process. A range of initial assessment tools were used by different pilot programmes, and all were viewed as effective by the practitioners and parents who participated in evaluation fieldwork. All of the approaches worked with parents through discussion and agreement and aimed to be parent-led. This way of working was identified as providing an important contrast to service-led provision: 'done with not done to'. Such an approach also enables parent and family strengths to be identified and acknowledged, moving away from a focus on problems and needs to one that identifies how parents themselves can be enabled or empowered to move forward and how there are positives

upon which to build. Nonetheless, it was reported that parents and families would reveal more about their situation in later engagement following initial assessment, as trust was developed over time through a relational approach developed by a single keyworker. A keyworker can also address concerns about how data is shared and who with, informing parents about what needs to be shared and ensuring that only relevant data is shared at appropriate times.

Effective practice is therefore able to support families over the longer-term, as appropriate to them. Part of ensuring families' needs are addressed is the use of a clear action plan for progression, that can demonstrate achievement and be used on an ongoing basis. This supports engagement as a process. It is also important to ensure effective exit strategies from support. As the pilot provision came to an end, ensuring families were exited to other provision was a challenge for some of the LAIP programmes. Due to uncertainty over future funding following the announcement of reduced local authority budgets in the Comprehensive Spending Review (CSR) 2010 (in October 2010), pilots reviewed their caseloads and many stopped taking referrals in order to ensure that those parents and families that they did engage were able to benefit from the full intended model of support.

**Table 4.5 Tools used by LAIPs to identify parent and family areas for support**

<b>Pilot</b>	<b>Tool</b>	<b>Features</b>
Cornwall	Adapted Pre-CAF <sup>65</sup>	A version of the 'Pre-CAF' assessment tool used across England, adapted to contain a set of child poverty indicators including family income and used as a stand-alone assessment.
Hammersmith and Fulham	Assessment and Progression Plan	Focused upon employment needs but exploring parenting support, health and other service use, housing and benefits.
Islington	The Workstar	A self-assessment tool used with support to identify initial needs and then to track 'distance travelled' across a range of domains.
Kent	Family Group Conferencing	The FGC process brings the whole family together, along with children's services professionals, to help enable families to identify their own solutions to their own problems.
Knowsley	The Rickter Scale	A self-assessment tool used with support to identify initial needs and then to track 'distance travelled' across a range of domains. All those using the tool must complete registered training.
Sefton	Assessment and Progression Plan	Broad assessment of family support needs and progression goals.
	Whole Family Distance Travelled Tool	Developed to enable whole family assessment and then distance travelled, it was only occasionally used as parents emerged as the key focus for assessment and identification of outcomes.
Tyne Gateway	Project Assessment	Completed by Community

<sup>65</sup> Pre-CAF is an assessment used by practitioners to help them decide if a full CAF (Common Assessment Framework) assessment is required. CAF is most commonly used with families where there is a concern about the progress of the child or young person. The Cornwall adaptation aims to ensure that child poverty is identified as part of the standard assessment process with families.

	Form	Entrepreneurs at initial assessment and then over time. Also used within some of their Community Projects with engaged parents. Assessment covers a range of social, economic and household characteristics and detailed information on levels of household income (both benefits and earnings).
Waltham Forest	Adapted 'Pre-CAF'	Amended to include a focus of the impacts of poverty across a range of domains (housing, benefits, employment, other), informing an action plan.

## 4.2 Increasing Employment and Employability

Increasing parental employment and employability was at the heart of almost all of the LAIP programmes. Supporting parents into and closer to work was the central aim of pilots in Cornwall, Hammersmith and Fulham, Islington, Sefton, Tyne Gateway and Westminster. In Kent, a range of projects were in place including some supporting employment progression (help with action planning and CVs for women returners and NEETs, a project supporting ex-offenders, and projects promoting adult learning, for instance). In Knowsley and Waltham Forest, support aimed to address broader family issues in support of longer-term progression towards employment. Knowsley also supported the progression of the volunteer mentors recruited and trained towards their own employment outcomes. In North Warwickshire, signposting towards employment and employment support was a feature of the range of information, advice and guidance provided. In Tyne Gateway the pilot created paid employment for 20 Community Entrepreneurs, who then developed a range of Community Projects supporting a range of employment routes and addressing a range of barriers (see Box 8).

Promoting these outcomes through their pilot programmes reflects the centrality of parental employment to the LAIP authorities' aims to reduce child poverty in the longer-term. Taking a family-focused approach in working with parents was identified as central to addressing the issues that parents face as parents when returning to or sustaining employment. All of the pilots demonstrated a high demand for the employment and employability support that was developed. Through the longitudinal approach taken by the local evaluations of LAIP programmes, the range of issues that parents can face and how these can be addressed can be illustrated by case-studies of parents who have engaged with the evaluation over time (see Boxes 2, 3 and 5).

### Box 2: Longitudinal case-study: Sefton parent

GHK first spoke to Claire<sup>66</sup> in May 2010. At that time, she was eight weeks into her Family Coach support, having been referred from a Children's Centre. As a single parent of four children (aged 2, 3, 10 and 11 years old) Claire's efforts to undertake courses or find work were hindered by not being able to meet her childcare requirements and the costs and difficulties of using public transport to move between home, schools and local provision. Claire also suffered from stress and low confidence caused by problems with her ex-partner, who had been stopped by the courts from seeing the children. Her son was also struggling with learning difficulties and behavioural issues.

Claire felt anxiety about the neighbourhood where she lived and without boundaries around her home that she considered adequate, the children were unable to play outside in the garden. Both of her younger children were due to start nursery school in 2010 and Claire saw this as an opportunity to embark on training for a new career, although she was uncertain about what to do. She said at the time:

*"I'm still unsure about what I want to do but I have a lot of interests... I'd like to go into social care,*

<sup>66</sup> Pseudonyms are used and not real names

*working with families, social worker type, or nursing, but I don't really know".*

After discussing the issues with her Family Coach, support was offered to help address key barriers. Claire was provided with funding for her youngest child to attend nursery two days a week. Mobility was immediately helped by family bus passes and Claire was supported with funding for driving lessons. Problems related to her son were the subject of immediate support, with funding for leisure activities provided for him and the other children. The Family Coach referred the eldest child to a youth worker and also attended CAF meetings with the family. The Family Coach also explored training and development goals with Claire. After the initial eight weeks of support, Claire described the impacts for her and the family:

*"Fantastic; brilliant; something to look forward to for the kids, because obviously I couldn't afford to do that; and health wise, because my son's overweight, and he's learning how to swim...financially I'm not having to worry about having to pay for bus fare so that's taken a lot of the pressure off, I can think more about myself, everyone in the house just seems a lot happier, there's more out there than just going home".*

When GHK next spoke to Claire in October 2010, she was due to take her driving test. She had also recently begun a one year full-time NVQ Level 2 Progression to Health and Social Care Diploma at Southport College. The children were benefiting from a range of positive engagement activities such as football, Girl Guides, swimming and particularly ones linked to the after-school club at a local project which works with young people at risk of poor outcomes. She was also supported to install a fence around her garden. Reflecting on her changed situation Claire described:

*"I was clueless; I knew I wanted to do something but I didn't actually know what I wanted to do... We've been given an opportunity to do something; that's all we wanted really. You know, it's not so much about the money... it was just more, yeh I want to be able to drive; I want to be able to go to college".*

The benefits were being felt by the family as a whole: *"everyone's much happier; everything seems more focused. I know what I'm going to be doing".*

The very positive impact of Promoting Parents support was still evident in February 2011 when GHK once again spoke to Claire. She was due to take her driving test again and having completed her Diploma she was planning to enrol in a University Access course, which she was seeking funding for with Family Coach support. The pilot had arranged to provide funding for childcare beyond the end of the pilot so that Claire could continue her learning. Claire was ready to reduce her intensive support from her Family Coach. She felt that her goals were achieved and a transformation had taken place:

*"I know I do want to do something; I want to qualify to be something rather than just making do, really... I'm not going to be able to support four kids on my own just working in a shop or supermarket or what have you; I couldn't do that, it's not what I want to do"*

In addition, her son's behavioural problems had also been successfully addressed. After having been at risk of being taken out of mainstream schooling, his performance at school was continuing to improve.

In Hammersmith and Fulham, Islington, Sefton and Westminster women with young children, including lone parents, were the main client group engaged in these employment and employability-focused pilots:

- In Hammersmith and Fulham 93% of all beneficiaries were female, and 73% were female lone parents.
- In Islington, 92% of beneficiaries across the three levels of support were women and were 94% of those accessing the most intensive level of support.
- In Sefton, two levels of support were provided: short-term parent-focused IAG support, accessed primarily by men (61%); and intensive family-based support, accessed primarily by women (65%).
- In Westminster, 95% of beneficiaries were women, and 69% were lone parents.

This reflects the success of their strategies in targeting these groups in order to learn about how to support them in light of welfare reforms requiring mothers with younger children to return to work. But this success also demonstrates the demand for this support from women with (often young) families in entering work, whether a lone parent or a potential second earner in a low-income family. Each of these pilots also provided holistic, flexible, resourced

and long-term responsive support demonstrating the importance of these approaches in supporting these groups of parents. Evidence from the evaluation indicates that parents are motivated to engage with employment support by the benefits that they expect it to bring to their children and their family in the longer-term. Work-life balance is an important consideration, particularly for women with primary carer responsibilities. For these parents, flexible employment is required that can fit around these needs.

In Sefton and Westminster, the LAIP programmes included an element of employer engagement. Both sought to promote family-friendly employment and identify vacancies for local parents including those in receipt of LAIP support. In Sefton, the Employer Award demonstrated the interest amongst employers in providing family-friendly employment. The approach was reported to benefit those already employed as few new vacancies were created during the pilot period; future benefits will only become apparent over time. In Westminster, employers were encouraged to provide information days and taster sessions as part of corporate social responsibility, and 54 employment-related activities were provided by them. A job brokerage scheme was supported by the pilot, and whilst 88 vacancies were identified through this activity only two were confirmed as taken-up by parents the pilot supported. This suggests that there is a lack of employment opportunities that meet the needs of parents, or a mismatch between the skills and experience of those seeking to enter employment for the first time or following a period out of work and the needs of employers.

Table 4.6 Employment and employability outcomes for LAIP programmes<sup>67</sup>

<b>Pilot</b>	<b>Strand</b>	<b>Employment Outcomes (target)</b>	<b>Employability Outcomes (target)</b>
Cornwall	Enabling Fund	43 awards to sustain employment (none).	138 awards to support progression to new employment (none).
Hammersmith and Fulham	Family Facilitators	49 parents into employment (35).	147 parents into training (80).
Islington	Parent Officers	45 parents into employment 24 parents into employment placement (none).	245 applications submitted for vacancies. 122 parents creating CV. 178 parents supported with interview skills. 406 referrals to training providers (none).
Knowsley	Volunteer Family Mentors	6 VFMs into employment (none).	3 VFMs into training and 7 taking a work placement (none).
	Parents supported to address barriers to employment	4 supported parents into employment (none).	Range of soft outcomes towards employment for all of 44 parents supported (10 parents to access training and skills activities).
North Warwickshire	Branching Out Bus	45 (3%) of 1500 queries related to employment (none).	45 (3%) of 1500 queries related to employment (none).
Sefton	Family Coaches	12 parents into employment 2 into self-employment (none).	18 parents volunteering, 50 parents in training (25).
	Parent-focused IAG	17 parents into employment (none).	10 parents into training (none).
Tyne Gateway	Community	20 parents employed directly	N/A

<sup>67</sup> Kent is absent from this table due the wide ranging nature of the programme, with primary aims to build resilience and provide new services for families.

	Entrepreneurs	(20).	
	Community Projects	10 parents employed through Community Projects.	Range of employability outcomes from the Community Projects (see Box 8).
Waltham Forest	Family Support Advisers	7 parents into employment (10 into employment or training).	26 parents into training (10 into employment or training).
Westminster	Keyworker Support	45 parents into employment (50).	90 parents into training (50).

In the absence of available employment and reflecting the distance from the labour market of most of the parents engaged, key outcomes from the employment and employability focused pilots have been employability. This includes measured outputs such as parents completing training and formal qualifications of different levels, volunteering and work-placements. It also includes measured 'soft' outcomes such as increased confidence and increased awareness of training and other progression opportunities. More systematic use of distance-travelled tools by the pilots would have enabled more comprehensive reporting of quantifiable outcomes.

### Box 3: Longitudinal case-study: Hammersmith and Fulham parent

Benjamin<sup>68</sup> is a lone parent with one ten year old son. English is his second language. He has a number of qualifications including a degree in business administration, and has work experience in accounting. He was 'let go' from his last job because his son was ill and he was unable to secure time off to care for him. He has been struggling since to find more family-friendly employment and a permanent post.

When he joined Family Solutions in December 2009 he was volunteering in the housing sector, but he hoped to find employment in the area of benefits advice. His Family Facilitator started to work with him towards this. Even at this early stage he felt his prospects had changed:

*"I'm on track towards enhancing my prospects for a full-time, financially sustainable job, because that's what I want to do."*

His Family Facilitator helped him with every aspect of job search, which was made far easier by the assistance with childcare:

*"which was really really important, because I try to do most of the job search when he's at school, but I often have to rush to school to pick up the kid, and this often coincides with interviews or meetings with job agencies."*

They met up every couple of weeks to work on his CV and applications for placements.

Benjamin continued to look for placements well into 2010, until Family Solutions were able to connect him with a number of opportunities. He attended a one-day training course at a benefits and advice centre. This meant he could demonstrate his interest in the area, and soon he was able to move on to a volunteer placement at a legal advice centre. The placement was two seven-hour days each week, which he was only able to attend because of the ongoing support with childcare provided by Family Solutions

By the time of his last interview with the evaluation team, in February 2011, Benjamin had been in his placement for over eight months and was feeling more and more confident about finding a paid position suited to him. He had recently attended an event run by Business in the Community, which was aimed at getting people back into work. Following on from this he attended a two-week work placement at Canary Wharf in East London. This was a very positive experience in which he gained insight into various aspects of business administration. He was even invited to apply for a post that came up shortly after he left, and he was shortlisted but did not get the job on that occasion. He was not discouraged, however, as the feedback and the experience overall were very useful.

<sup>68</sup> This is a pseudonym

Benjamin was in a very difficult situation when he came to Family Solutions, and with their help has moved onto a path towards long term employment. Despite his qualifications and work experience, the restrictions on his time that resulted from caring for his son meant he was trapped in low paid and insecure positions. He is also aware that the job market is changing rapidly and so was very grateful for the opportunity to learn new skills.

An additional outcome of his experience was the network that developed between the parents using Family Solutions. Benjamin now feels more part of a community – on visiting his son’s new secondary school, for example, he unexpectedly bumped into someone he knew.

*Figure 4.17 “It’s like a community, a small family in Hammersmith. This was only possible because Family Solutions brought us together.”*

Reflecting on his experience, Benjamin commented:

*“I’ve had a wonderful time. People like me should have the opportunity to work with organisations like Family Solutions.”*

Nonetheless, there is a wealth of qualitative evidence from across the local pilot evaluations of the features of effective practice:

- An action plan based on a holistic assessment and that is ‘owned’ by the parent;
- Quick wins that demonstrate early progress and the commitment to providing support, building self-confidence and confidence in provision;
- A flexible source of funding for professionals to access quickly and easily, and able to support a range of activities and address a range of costs incurred by employment and employability activity (such as training, transport and childcare);
- Tailored support, including taster sessions, that are responsive to individual need; and,
- Long-term support built on a trusting relationship with a single keyworker who can deliver or coordinate the range of support required.

### 4.3 Alleviating the impacts of poverty

As well as activity to address child poverty in the long term by supporting parents into or closer to employment, a feature across pilot provision was activity to alleviate the impacts of poverty in the immediate and medium term. In Knowsley and Waltham Forest, the LAIP programmes had an explicit rationale to address these impacts as a first step towards longer-term employment goals. This approach to addressing parents’ familial barriers to employment are discussed below (4.4). Here, the focus is upon the lived experience of poverty and the importance of provision that addresses this in order to promote parent, child and family wellbeing.

Evidence from the LAIP evaluations illustrates how the immediate provision of resources can make an immediate impact on poverty. The resources that LAIP programme were able to provide to the low-income families that they engaged were welcomed by families, and qualitative evidence indicates the impact that this made on parent, child and family wellbeing. For professionals delivering pilot support, the ability to access flexible funds that LAIPs provided was highlighted as a particularly important feature of effective practice and was described in contrast to existing mainstream funds. These funds were consistently identified as being complex to access and limited in their availability. Where pilot flexible funds were used as part of support along a progression pathway, they can be expected to support longer-term and sustained outcomes. For instance, where they are used to support a move towards or into employment. Where they are used to provide immediate support but without this wider programme, impacts are unlikely to be sustained unless the causes of family circumstance are also addressed. The evaluation also indicates that the provision of these resources supports parent’s engagement in these progression pathways. The funds also support ‘quick wins’ that demonstrate early progress and the commitment of keyworkers or other professionals to supporting the parent and family.

Table 4.7 Flexible funds provided by LAIP programmes<sup>69</sup>

Pilot	Fund	Purpose
Cornwall	Enabling Fund	<ul style="list-style-type: none"> <li>Core element of the LAIP, this flexible fund was provided for all professionals working with families across the county. Professionals submitted a 'business case' application to the pilot team. Funds could support employment but also address hardship.</li> <li>475 awards made for items including beds, white goods, clothing, family activities and transport with an average value of £269.</li> </ul>
Hammersmith and Fulham	Flexible Fund	<ul style="list-style-type: none"> <li>Fund to support Family Facilitators' work with parents.</li> <li>Key purpose was to pay for childcare costs incurred through employability activities and through employment. Childcare costs met for first three months of employment.</li> <li>Paid for tuition and other course fees, transport, resources for training and education courses, play activities for children and leisure activities for families.</li> </ul>
Kent	Hardship Fund	<ul style="list-style-type: none"> <li>A fund available to front-line workers in schools and children's centres working with families in Thanet, Swale and Parkwood districts. Applications made to coordinators for individual family awards and grants for group work.</li> <li>357 family awards made for a wide range of items including household goods, transport, childcare, and learning activities; group awards for emergency support for families fleeing domestic violence and free school meals; with an average value of £193.</li> </ul>
Sefton	Incentives and Rewards	<ul style="list-style-type: none"> <li>Fund available to the team of Family Coaches, to support their work with families and to reward these families for their progression.</li> <li>722 awards made with an average value of £891. This includes meeting childcare costs (average £1,446), training costs (average £840).</li> </ul>
Waltham Forest	Discretionary Fund	<ul style="list-style-type: none"> <li>Created early in the pilot as the need emerged for a flexible resource to support the Family Support Advisers, in light of restrictive mainstream funds.</li> <li>41 awards made with average value of £364. Used for emergency rent contributions, one-off fees such as legal expenses, clothes and household items.</li> </ul>

Another feature to emerge from the evaluation was the high demand for financial advice and support. Many of the LAIP programmes included this as a core element of their initial design (Hammersmith and Fulham, Islington, Kent, North Warwickshire, Sefton, Waltham Forest and Westminster). In all of these pilots, the importance of this provision was highlighted by the high numbers of parents accessing the support and the evidence of the impacts on family income, but also by the qualitative evidence of the impacts on parental and family wellbeing. Reducing the stress associated with debt and managing on a low-income, often

<sup>69</sup> This table does not include the Westminster LAIP, which consisted of 3 core funds to support the transition into work (see Section 3).



due to inaccuracies in the awards of benefits, was reported by parents as well as the benefits brought about by increased family income itself. Once debt was addressed and family income raised, parents were able to engage with other support.

### Box 4: Achievements of the Waltham Forest pilot in raising family income

The Waltham Forest LAIP included a benefits check as part of the initial family assessment. The Family Support Advisers also supported families to access available funds throughout their engagement. The following table provides information about the benefits awarded to families as a result of pilot support.

<b>Benefit</b>	<b>Total of all awards</b>	<b>No. of families</b>	<b>Average increase in income</b>
Social Fund	£2,919	5	£583
Housing Benefit	£1,867 per week	16	£116 per week
DLA	£329 per week	4	£82 per week
Council Tax Benefit	Bills reduced by £9,889	16	Bills reduced by £618
Child Benefit	£94 per week	3	£31 per week
Child Tax Credit	£428 per week	5	£86 per week
Change of address/Gov Savings	£365 per week	3	£122 per week
Council tax refund	£1,781	11	£162
Overpayment refund	£1,083	1	£1,083
Court Costs Removed	£110	1	£110
Council Tax SPD	£325	1	£325
Free School Meals	£79 per week	7	£11 per week
Overpayments created	£2,118	1	£2,118
Home Access Grant	£564	1	£564
JSA/Income Support	£405 per week	6	£67 per week
Family Fund	£450	1	£450
Maternity Grant	£125 per week	1	£125 per week

The checks established that 51 families, 26% of all of those supported, were not in receipt of their benefit entitlement. They were supported to access a combined total of £211,181 per year, which gives an average of £4,140 per annum per family and £80 per week per family. The range of increase in weekly income for families was from £2.50 to £325.

Support with debt and money management was also provided in order to enable parents to understand the impacts that returning to or entering employment would have on family income. In Westminster, this was a core feature of the pilot model. However here, and in other pilots, there was not full take-up by all of the parents that were referred. In Tyne Gateway 'better off in work calculations' were key to the successful recruitment of Community Entrepreneurs. This included instances where the calculation identified that an

individual's family would have a lower income, but they were able to understand by how much and then balance this against the longer-term benefits of the opportunity of employment and career development offered by the LAIP. The learning highlighted in the local evaluations of the LAIP programmes is that parents can be reluctant to divulge details of their finances to advisers who they do not know. Yet, financial advice including benefits checks and 'better off in work calculations' require specialist skills and knowledge that more general family support and keyworking staff are unlikely to have. Sensitive approaches are therefore required to promote the benefits of these services and, once referred, supporting parents to access this provision is more likely to lead them to benefit from it. In Waltham Forest and Sefton a specialist adviser was a member of the pilot team, and this encouraged greater engagement amongst the parents and families supported by core provision.

#### 4.4 Addressing Barriers

Addressing the barriers that parents and families face in accessing support to enable them to progress towards improved outcomes, and to enter or progress towards employment, was key to effective LAIP provision. In Knowsley and Waltham Forest broad family support needs were the primary focus of the piloted model of provision, with progress towards employment to be considered once these issues were addressed. But in the other pilots, parents and families were also found to have a wide range of barriers even where those closer to the labour market were targeted. In Knowsley and Tyne Gateway, parents who joined schemes to deliver support – as volunteers in Knowsley and as paid Community Entrepreneurs in Tyne Gateway – were also found to have a range of barriers to address to enable them to fulfil these roles.

As outlined above, flexible and coordinated packages of support are essential for effective practice that identifies and then addresses the range of barriers that parents and families face. Parents value having a knowledgeable, tenacious and supportive keyworker who is able to support them to access a range of provision.

##### Box 5: Longitudinal case-study: Knowsley

Rebecca<sup>70</sup> is a single mother with three young children. She had first heard about Opportunities for Families through a fellow parent at a mother and baby group she attended. Rebecca was originally interested in becoming a Volunteer Family Mentor (VFM – the role created by the pilot), but following a traumatic family event she withdrew. Another agency that Rebecca was involved with later referred her onto the family engagement trip, organised by the LAIP to provide an open event for families to find out more about the project, where she met the project manager. Very soon after an initial assessment of Rebecca's needs was arranged and carried out.

It was important to Rebecca that she was not matched with a VFM who was in contact with certain members of the community. The project team were very sensitive to her situation and care was taken to ensure that her mentor did not know particular persons. Rebecca found the process to be both quick and thorough.

*"They were really, really good, that through people... my mentor [did not] know [this person]"*

Rebecca was very positive about the relationship she had developed with the mentor. She described how she quickly developed trust in her mentor and that the experience was different to working with professionals. Rebecca felt that volunteers wanted to help her in any way possible, whereas sometimes professionals are only offering support because they are paid to do so.

Seeing the VFM every week provided some structure in Rebecca's life. It gave her an opportunity to converse with an adult and it made her feel less isolated. It provided her with something to look forward to. The mentor also sent text messages to her during the week to check how things were going and this helped her – she felt less alone through the week.

Rebecca was concerned about her family being isolated. The VFM encouraged Rebecca to engage with Sure Start. This provided an opportunity for her and her children to develop relationships with other families and agencies in the local community.

The VFM conducted an initial assessment with Rebecca using the Rickter Scale which helped to

---

<sup>70</sup> This is a pseudonym.

determine the areas of her life in which she most needed support. The VFM was very active in seeking out information on behalf of Rebecca. The VFM signposted Rebecca to a domestic violence organisation and the 2YO project. The VFM also helped her to access legal advice to support her in obtaining a divorce. Rebecca was also supported through the CAF process by the VFM and a member of the project team. Through the CAF process, the family were provided with a carpet to cover the previously bare floorboards in their living room.

*"The first thing we all did was come in and lay down on the carpet... because I had big old blankets and duvets and things down to sort of try and I tried so much."*

Rebecca received a number of items from the resource pack to help with healthy eating and physical activity. Rebecca reported that an important part of the VFM's role was emotional reassurance and support that was offered. She felt that she had not been judged by the VFM and was comfortable to confide in her mentor about any problems or challenges she was facing.

*"I haven't been judged, I know this might sound silly, funny but I've not been pitied either. It's just non-judgemental... I had a fear of people judging me or someone coming in and taking me kids or whatever. I've got no problem, even like a domestic thing, I text my mentor and say this has happened."*

*"I feel comfortable to be upset. I always felt that I was on public view"*

In the past, when dealing with other organisations she had been fearful that talking about problems or challenges would lead to her children being taken into care. Talking about these challenges and receiving support had helped to create a much calmer family environment. Rebecca reported that working with the mentor had helped her to become more confident and understand that she is not alone in facing particular challenges and problems.

*"[Opportunities for Families are the] first organisation that totally listens to you because they are a volunteer. It's a totally different feeling when you're dealing with people who are paid"*

Rebecca described the process of doing the Rickter Scale multiple times. She felt that although the Rickter Scale did reflect the emotional turmoil in her life, she did not 'live by' the scores. Rebecca stated that when she looked back at previous scores she felt that she rated aspects of her life harshly.

The second time Rebecca participated in the evaluation fieldwork, as part of the final phase, she was making plans for her future. She expressed her desire to find work and not wanting to be dependent on benefits. She hoped to go to college in order to develop a career in alternative therapies and was pursuing this with VFM support. She reported that the support from her mentor had changed the lives of her and her family. She felt that the benefits would make a real improvement to her children's future.

Barriers include confidence in, and knowledge of, local provision. But there are also a range of different issues to emerge, emphasising the importance of support that is flexible and responsive rather than prescriptive. The ten LAIP local evaluations indicate that the barriers that parents and families faced are numerous, unpredictable and include:

- Lack of, and limited ability to pay for, transport limiting access to services and taking time and resources for those with big families in particular, where the needs of multiple people are difficult to manage (for instance, visiting different services in different places at different times);
- Lack of financial resources to pay for repairs and to address other housing issues that impact upon wellbeing, such as overcrowding or damp;
- Children and young people's behavioural problems, causing family and parental stress as well as the negative short and longer-term outcomes associated with these behaviours for the individuals demonstrating them;
- Lack of awareness of rights and entitlements, to benefits and to service access;
- Social isolation, with a lack of friends and community contacts;
- Geographical isolation, lacking access to services that are appropriate to their needs;
- Disability and health problems; and,
- Language and cultural barriers.

The Waltham Forest pilot worked with families from minority ethnic communities, including local Gypsy, Roma and Traveller populations. A multi-agency team (see Section 3 for details) provided home visits and used translation services to support the engagement of families with a range of community languages other than English. They worked with local services and professionals targeting and engaging these communities, including mainstream children centre provision and the local 'Gypsy, Roma and Traveller' education service, to reach out to and engage marginalised families often highly isolated from services and their local community. Other pilots engaged families and parents from minority ethnic groups by being aware of cultural issues and barriers, for example expectations around gender roles, and engaging with them (Hammersmith and Fulham, Islington, Westminster) through work organisations and professionals with this specialist knowledge. Another consideration of these pilots was ensuring staff were recruited that reflect these barriers. For the London pilots, this was in part about ensuring the needs of the local community were understood and addressed. For provision to be effective it should be culturally sensitive; to deliver this, it must be culturally aware. Specialist language and other support can then be accessed as part of an effective, holistic whole-family approach.

In North Warwickshire BOB the Branching Out Bus took services out to rural locations. In Kent, one project provided funds to lease two people carrier vehicles for children's centres serving rural areas in Swale, to provide transport to the centres but also to enable them to access other services and activities linked to them. The costs of leasing the vehicles was found to be cheaper than the costs incurred by the centres in reimbursing staff for the use of their own cars, which they had previously used for outreach activities and home visits. The vehicles were reported by children's centre staff to encourage families with shy children and those requiring more intensive encouragement to attend and engage with services. Support for parents with their parenting skills and providing leisure and positive activities for children was a feature of the barriers-focused support that LAIP programmes provided. Once issues with family relationships, linked to parenting problems or potentially risky behaviour of children or young people within the family, were addressed parents were able to consider their own aspirations and ways of moving forward. This was a finding in the local evaluations in Hammersmith and Fulham, Islington, Kent, Knowsley, Sefton, Waltham Forest and Westminster.

A common barrier that many of the LAIP programmes identified in their pilot design was access to affordable, flexible childcare. This is both childcare for children under 5 but also holiday provision and before and after school provision for school-age children. Hammersmith and Fulham, Knowsley (for Volunteer Family Mentors), Tyne Gateway (for Community Entrepreneurs and in some Community Projects), and Westminster all included funding for meeting childcare costs within their pilot models. Cornwall and Sefton expected childcare to be a cost their flexible funding supported. A local project in Kent provided funding towards establishing a nursery at a school so that young parents could return and continue their education. Two of the Community Projects developed by the Tyne Gateway Community Entrepreneurs are childcare-based. One to enable out-of-hours work and another to provide childcare for disabled children (see Box 8). Childcare was also a cost met from the Hardship Fund made available for front-line family workers.

**Table 4.8 How different LAIP programmes supported childcare costs**

<b>Pilot</b>	<b>Support Provided</b>	<b>Take-up</b>
Cornwall	Enabling Fund was available to meet these costs, by application on an individual basis.	35 awards made (8% of the total 475 awards).
Hammersmith and Fulham	Flexible Fund available to support Family Facilitators' work with parents.	83 families (36% of all engaged) accessed childcare for under 5s.
Kent	The Hardship Fund was able to meet childcare costs, although this was not a primary function.	Thanet: no awards. Swale: two awards. Parkwood: one award.
	Baby Moonbeams – a project in a	Five young parents (with 12 places

	school in Swale provided childcare for school age parents during term time.	available).
Knowsley	Childcare available for Volunteer Family Mentors to enable them to train, attend meetings and provide support to families.	Total number not known from pilot MI.
Sefton	Incentives and Rewards Fund available to address parents' barriers to work.	14 parents (12%) .
Tyne Gateway	Childcare available for the substantial range of training which took place for Community Entrepreneurs and several of the employability-based Community Projects.	Substantial (several dozen) but exact number not calculated.
	Everyday Childcare – Community Project developed to provide out of hours childcare.	14 parents in training to become childminders.
	Blossom Forth – a social enterprise in development, to provide specialised childcare for disabled children.	In early stages of development.
Westminster	This was a core stream of the pilot programme, providing for six months of childcare costs once parents entered work.	63 parents.

Access to childcare was confirmed by the LAIP programmes to be a complex issue for parents and families, with several different dimensions that can interrelate. These can be summarised as:

- **Affordability:** childcare is expensive, particularly in London where four of the LAIP programmes were based, but across the pilot sites the cost of childcare in relation to entry level and part-time wages was consistently identified as a barrier to parents seeking to move towards as well as into employment.
- **Awareness:** parents can be unclear about the availability of local childcare and unsure of where to get advice and information (despite the presence of Family Information Services in every local authority).
- **Confidence:** parents can be unsure or concerned about the quality of available childcare and its suitability for their own children, and are therefore reluctant to access it.
- **Availability:** of flexible childcare that meets the needs of parents. Part-time childcare tends to be provided by half-days split into morning or afternoon sessions, and not across the middle of the day, when parents seeking work whilst older children are at school can require it, in evenings or at weekends.
- **Funding:** although some training and education provision is accompanied by childcare, this funding is linked to these courses rather than to the child or parent. Therefore, parents can be concerned about the impacts for their children of moving across multiple providers, compounding their concerns about quality in different settings, as children take time to settle into provision and to build relationships with childcare staff.
- **Perception:** parents' perceptions of the availability of affordable, accessible high quality childcare is important and cuts across the issues above. Even if childcare is available, parents can require support and encouragement to access it for their own children.

Although children's centres provide childcare, this was reported to be oversubscribed where available and at risk of coming to an end in some authorities' centres due to budget cuts (indeed, centres themselves were reportedly at risk in some sites). There were also

concerns amongst professionals and parents about the changes to Tax Credit eligibility (with the level reduced from April 2011) meaning fewer parents would have this to supplement their wages; and, the future introduction of the Universal Credit and the way that this may support childcare costs. The withdrawal of funding for childcare at the end of pilot support in a planned way, or due to the ending of the pilot period and with a lack of future available support, was a concern to parents that participated in the evaluation. Parents who had recently entered part-time, temporary employment on entry level wages were concerned about their ability to continue to meet these costs from their wages. This was despite their recognition of the long-term benefits through employment of increased wages and improved future prospects. In Sefton, pilot funding was assigned to meet all of the childcare costs until August 2011 for those in receipt of this support in January 2011, to enable parents to complete training, education and to support any employed (until this end date and thus promoting a manageable transition).

A feature of the Kent pilot was the provision of educational resources and programmes to build the literacy and financial skills of children and young people, and thus to build longer-term resilience to poverty. Better Reading Partnerships,<sup>71</sup> was identified as a proven scheme to improve underachieving children's reading ability. It was put in place in a group of primary schools in Thanet, with funding for teachers and teaching assistants to complete training, thereby promoting sustainability in schools identified as having greater than expected numbers of children with low literacy skills. 69 children participated from seven schools, with 93% of those for whom data is available (44) improving their reading age by at least seven months and 64% by at least 12 months. Another scheme promoted family learning, providing free family fun days with an educational element to encourage parents to think about learning opportunities for them as well as to engage in their children's learning. 571 families participated across the target areas, many of whom were participating for the first time.

Building children's financial skills and capacity for the longer-term was a focus of the North Warwickshire LAIP. Credit Union School banks were established (by the CDA worker, see Section 3) in 20 primary schools (against a target of 8, with one secondary school also involved) and a waiting list of schools to join the scheme. Pupils and parent volunteers are trained and supported to run the banks themselves, which are open for one session each week. Financial Literacy Workshops were also provided in primary schools once a year, usually in 'My Money Week' – a national government initiative to promote financial literacy – and also delivered by the CDA member of the pilot team. An average of 85 pupils in each of the six participating schools attended one of three workshops, which provided different activities for years 1 and 2, 3 and 4, or 5 and 6. There is also a waiting list for this provision. The evidence from both these evaluations indicates the potential of these school based approaches to engage pupils and to provide the skills for longer-term outcomes and preventing future barriers.

#### 4.5 Innovation and Sustainability

Each of the LAIP programmes was established to provide innovation in addressing child poverty. The learning from the pilots was intended to inform future local provision, with effective practice mainstreamed or sustained beyond the period of pilot funding. Innovation in this context meant that features that were locally innovative were the primary concern, with national innovation secondary. Tailoring models of provision to local context; the socio-economic context but also the local landscape and history of provision, is important for effective practice.

Partnerships at strategic and front-line levels were one innovative feature identified by stakeholders that participated in the local evaluations. These stakeholders were commonly senior strategic managers in local authorities, including heads of local authority directorates and heads of voluntary and community sector bodies. Despite a focus upon increased partnership working across policy and practice for at least the last fifteen years, partnerships

---

<sup>71</sup> Better Reading Partnership was developed in 1996 by Bradford Council and has been used extensively with children from Years 1 to 7 as part of a reading recovery programme. Other users include schools in Derbyshire, Nottinghamshire, Bristol and Northern Ireland.

for the effective support of families and to address the child poverty agenda were consistently identified as new and therefore innovative. Most often, this was partnership working between adult and employment services and provision, and children and family services. Child and family services were identified as lacking a focus upon parents beyond family support issues and towards a focus on parental employment in particular. Conversely, adult and employment services were identified as failing to take account of adults who are parents, and the range of familial barriers that parents seeking to enter work can encounter, prompted by policy to address child poverty, was thus behind the design of many of the LAIP programmes.

A recognition of how these two aspects of local authority and their partners' provision can work effectively together around this agenda was identified to be one of the lasting legacies of the LAIP programmes. Strategic stakeholders have learnt about the mutual benefits of their provision working together around this agenda. Similarly, front-line practitioners have learnt about how working together can support their clients to achieve improved outcomes. It is important to recognise that despite previous initiatives to promote partnership working within local authorities and including voluntary and community sector partners, in all of the LAIP programmes partnerships at all levels took time and resources to develop. In some cases, LAIP partnerships were reported as remaining in development at the conclusion of the pilot. Nonetheless, the strong partnership basis across the pilots is illustrated by contributions to funding in five pilots and in-kind contributions by partners to all. All of the pilots also reported having provided learning for the LAIP authorities' child poverty strategies.

Following this, the models of support that LAIP programmes developed to support families and to support parental employment in this context – the flexible, holistic, resourced models referred to throughout this Section – are recognised as innovative. The welfare reform agenda begun under the previous government and now promoted by the coalition government through the Work Programme and Child Poverty Strategy (as outlined in Section 2) has these models at the fore. The pilot programmes therefore provide valuable learning in this context (and discussed in Section 5, Conclusion), and the outcomes that they have delivered are seen locally as supporting the initial pilot rationales – that these approaches were necessary to support the target groups and women and lone parents in particular.

Although models for employment support were common to the majority of the LAIP programmes, there were some notable exceptions. North Warwickshire's Branching Out Bus (BOB) built on previous local experience of providing outreach advice for benefits and financial support, but which had a low take-up and was seen as stigmatising. Kent developed an ambitious structure to develop local programmes alleviating poverty in the short term and building resilience in the longer-term. Co-production with local communities was one theme, perhaps best illustrated by the Bulk Buying project highlighted in Box 6.

### Box 6: Co-productive approaches in the Kent Bulk Buying Project

Staff in the Social Innovation Lab Kent (SILK) have worked with a group of volunteers to support the development of a community shop in the Parkwood area of Maidstone, an area where *'being done to has become a way of life'* and *'members of the community are not natural volunteers'* (evaluation interview). Together they have shown how co-production can work to build a community run activity over a period of around 18 months with a group of local volunteers with limited experience at the outset.

Before the LAIP, SILK had been working with the community to consider what services and support would benefit from community action. A community event generated ideas and brought forward volunteers to consult on these and consider which to take forward. From this the idea to enable people to obtain bulky everyday groceries and household goods at lower prices and more conveniently emerged. Four volunteers were identified to take this project forward.

SILK staff have always made clear that they are there to help and support as equal partners and that the project belongs to the community. From the outset one member of the SILK team has been the central support to the group, guiding and assisting the volunteers through the stages of the project. From the outset the volunteers have been encouraged and enabled to take each of the steps themselves and to lead planning and delivery, working within the time constraints they have as parents. The team has generally met weekly to plan and discuss activities and roles have emerged with one of the volunteers acting as the lead.

The SILK member of staff has:

- Helped the volunteers set goals in the short and medium term so that the project has gone through the stages of testing the idea, making a business case for the LAIP funding, undertaking the preparation needed to run the activity and to start running and developing the community shop;
- Provided help and guidance to the group and individuals on how to solve problems and carry out the necessary tasks they have agreed to take on, whether it be about marketing, health and safety, or sourcing goods;
- Given them the skills and confidence to undertake tasks they would not be familiar with from public speaking to writing the business case and negotiating with businesses and partners such as the local school;
- Facilitated access to training; and,
- Talked through challenges that have arisen so that energy and enthusiasm is maintained and compromises and changes to plans can be made.

The support has reduced and changed over time. The number of volunteers has increased and the evaluation has found that the volunteers are evidently in control of the project.

This process, and the hard work and commitment of the volunteers, has:

- Ensured that the motivation and leadership came from the group from an early stage, as did the decision making. This has provided momentum and ownership;
- Provided resilience when problems arose. *'the group have had some knocks but they bounce back which is what they need to do if it is to be self-sustaining'* (SILK);
- Built on people's existing capabilities but grown their skills and confidence tremendously. *'I could not have imagined what I do now without thinking'* (volunteer); and,
- Changed their outlook on what they can do and their role in the community. *'I feel I can do other things and want to do them'* (volunteer).

The community shop has been open for some months based in a community room that has been created as a result of the project at the local primary school. Customers are gradually building in number, with the next stage of the project to build greater community awareness. Evidence provided for the evaluation indicates that customers of the shop save three to five pounds a week on their purchases.

Promoting, supporting and embedding new and innovative practice takes time and resources. In Westminster, implementing the 'keyworking model' required front-line staff from a range of organisations to develop a shared understanding of the aims of the pilot and of the resources made available. The pilot team found that it was not practical to develop a set of common tools for assessment, action planning and monitoring given the different organisational contexts and requirements for the different Keyworkers, although a common registration form was created. As a result, considerable costs were incurred through the time required from the pilot team once Keyworkers were in place to monitor and support their pilot activity, including collecting and collating monitoring and performance management data. Similarly in Kent, the scale of the programme provided considerable challenge for the central pilot team. The team itself experienced a great deal of flux through local authority reorganisation and changes in senior staff. As a result, at times the pilot team struggled to ensure that all of the requirements that they made of their four local programmes and the cross-cutting themes were met. To build capacity for sustained change, workforce development was one strand of the pilot, in common with Cornwall and Islington. Innovative



practice challenges established ways of working, which have often been entrenched over many years, and creates tension. Effective workforce development promotes the benefits of new practice and supports transition to new ways of working.

### Box 7: Workforce Development: Effective Practice in Cornwall

The Workforce Development strand sought to embed a preventative and integrated approach to addressing child poverty within the children, young people and families workforce, and the partners they work with, across the county. The training was placed within a broader restructuring programme in place in the county, to transform the organisation of the workforce into locality-based multi-agency integrated teams. The training had the specific aims and objectives of:

- Raising awareness of the child poverty agenda;
- Increasing understandings of the role of different practitioners in identifying and addressing child poverty – including the role of Cornwall Works and the Enabling Fund;
- Making participants more confident when working with client groups experiencing poverty; and
- Enabling access to a wider network of resources to address child poverty in the county – and so leading to increased and more effective working across organisations.

The target groups were:

- Cornwall Council staff – with a specific remit for Children, Young People and Families – including Family and Parent Support Advisors, and a range of individuals based in Locality teams, Children’s Centres and the Family Information Service;
- Other ‘statutory’ service providers – including health practitioners, family learning advisors and others; and
- Partners from civil society organisations – with remits ranging from supporting progress towards employment, housing providers and specialist projects.

A training package was developed which included a range of resources, for instance a DVD providing case-studies of families living in poverty and information about the range of resources available to support professionals’ work. Guest presenters were also included to highlight the range of local provision to each event.

30 training sessions were delivered, with a mix of full (13) and half-days (17). These stand-alone events were organised in order to ensure that sufficient time was given to the training, and so that it was viewed as an important resource and not an ‘add-on’ to existing training or meetings. 473 professionals attended from over 40 organisations. 92% of 129 attendees surveyed reported that the training had raised their awareness of child poverty. Qualitative interviews with 20 attendees indicated a range of benefits for their practice, including increased confidence in supporting families in poverty and increased confidence in the ability of practice to make an impact with these families.

Kent’s commitment to co-production was shared by the LAIP programmes in Knowsley and Tyne Gateway. In Knowsley, the authority has been exploring an ‘innovation function’ informed by the SILK unit in Kent that supported and informed their programme and the Bulk Buying project in particular. SILK commissioned research that suggested a typology of families, summarised here:<sup>72</sup>

Table 4.9 The typology of families that informed the Knowsley LAIP

Thriving	Mobile/aspirant; Professional/regular employment; 2 incomes; Varied social networks, dispersed/extended family.
Coping	Static; 1.5 incomes; Little income growth in real terms; Vulnerable to economic change but resilient and adaptable;

<sup>72</sup> SILK (2008) *Just Coping: A new perspective on low-income families*, Maidstone: Kent County Council.

	Long standing social networks, accessible extended family.
Just coping	Struggling, live week by week, just beyond the reach of social workers, sometimes single parents in extended families, aspire but not sure how to take it forward, low resilience, limited social networks, sometimes dysfunctional extended family.
Chaotic	Two broad categories: 1. As 'just coping' but in chaos, within the scope of agencies. Or 2. Thriving and consciously living outside of social norms. Benefits as a raft of income possibilities; Often strong extended family unit; anti society, anti-community.

Previous pilot programmes in the borough, developed through work with the Innovation Unit and NESTA<sup>73</sup>, had indicated how 'just coping' families lack trust in statutory and targeted provision but will engage with local parents and members of their community or who had similar or shared backgrounds. The Volunteer Family Mentor programme developed by the Innovation Pilot moved away from the specific mentor provision of previous pilots – literacy and parent support – to broader family support. The local evaluation of the Knowsley LAIP confirmed the rationale of its design. It also demonstrated that 'just coping' families are a broad group, from 'only just coping' to 'almost coping well' with an associated range of issues to support. Although not 'chaotic', families engaged were found to often be in receipt of targeted interventions, including CAF processes to address quite high level need, but there was a lack of wrap-around provision to support parents and families through their engagement with this and other targeted services and processes.

Tyne Gateway's pilot developed a unique Community Entrepreneur model, training and then employing local parents to work in target communities – not always their own – to develop Community Projects that address barriers to work and promote routes to sustainable employment. In this way, co-production took place between the Community Entrepreneurs and the communities they worked within, supported by Senior Mentors from the public, private and voluntary and community sectors. A new Tyne Gateway Social Enterprise has been created to take the model forward and to support the development of the projects into social enterprises themselves where possible.

### Box 8: Tyne Gateway Pilot's Range of Community Enterprises

Some 17 Community Projects were developed during the pilot period, with the intention of targeting up to 200 families with their activities. Building on a four stage process of consultation and engagement with communities (including promoting the projects, parents registering an interest with a specific project and engaging with the Community Entrepreneurs), the 17 projects developed included:

- Community energy advisors – where seven parents were trained to provide energy advice to families, with the aim of addressing fuel poverty, two of whom have been employed as Community Energy Advisors by South Tyneside Homes through the Future Jobs Fund. In addition all the Community Entrepreneurs received awareness training to signpost families to energy advice.
- Let's Save Together – featuring the creation of a savings scheme in four schools in an area

<sup>73</sup> NESTA is the National Endowment for Science, Technology and the Arts, an independent organisation supporting and promoting innovation, including in public service. The Innovation Unit was originally established by the Cabinet Office and is now an independent social enterprise promoting and supporting innovation in public services.

which has a high rate of door step loans. The project included the employment of a parent through the Future Jobs Fund.

- Piggy Bank/CU Next Week – this financial literacy and inclusion project comprised of two elements: - the Piggy Bank, a school-based incentivised savings scheme for children; and CU Next Week - a 'Home Collected Credit' service, applying Credit Union principles to replace the use of loan sharks and doorstep lenders. Four parents were trained in financial inclusion and two were employed through the Future Jobs Fund.
- Everyday Childcare – this project sought to raise capacity to reduce child poverty through a new delivery model for childcare that incorporates provision outside of the usual hours. In total, 14 predominantly BME parents received initial training to become childminders, with the aim of providing a childminding service outside of the typical 8am-6pm Monday-Friday times, probably through a self-employment route. This will allow more parents to take up employment opportunities where shift patterns operate.
- Will U? Won't U? U Choose! – this project sought to reduce child poverty through addressing the issue of teenage pregnancy. A total of 15 young parents were recruited to deliver a new teenage pregnancy peer-tutoring scheme to young people and parents through schools.
- Get Up and Go – this project provided intensive and incentivised support for families to increase access to services. It featured the engagement of 12 families and the development of a process of accessing services to support re-entry into education, training and employment opportunities, although the expected need for incentives did not materialise beyond the CEs engagement and mentoring role.
- On the Job - a total of 12 parents of school-aged children with experience of Jobcentre Plus were recruited as voluntary Jobcentre Plus Support Workers, providing an additional, more personalised service to families using Jobcentre Plus in both North and South Tyneside. However the potential for the role to be considered for paid employment was not seen as viable by the employer partners.

The projects featured inputs from a range of partners, and for the most part were in the early stages of implementation at the time of the final fieldwork period. They had, however, faced a series of challenges on their development, including:

- Developing the skills of the Community Entrepreneurs – which needed to be more broad ranging than initially anticipated, as well as putting additional requirements on the Pilot management team;
- The challenge of ensuring projects 'fit' within existing delivery structures and interests; and
- The effects of the recession and public spending – impacting on employers and their willingness to sponsor activities, and making the delivery of employment outcomes more challenging.

Table 4.7 presents an overview of the legacy left by each of the ten LAIP programmes. It shows that much of the pilot provision has indeed been sustained or mainstreamed beyond the end of the LAIP funding. It also shows that some has not been. In part, this is reported by local authority stakeholders as due to reduced budgets following CSR 2010. At the time of the final evaluation fieldwork in February and March 2011 (with funding ending at the end of March), some of the local authorities were still unsure about whether or not funding would be allocated to continue LAIP provision either in part or as a whole. Local authorities were allocating their reduced funds within their different Directorates throughout the early months of 2011. Yet, some of the pilots were able to make early and sustained commitments to continuing pilot provision. An analysis of the different LAIP programmes suggests that of central importance to this and to the commitment to build on the learning from pilot provision was the strength of the strategic governance arrangements in place. Strong links to strategic structures encouraged 'buy-in' from those involved at all levels, and that those closer to pilot provision had a direct means to promote the learning from the pilot and to influence decision makers in local policy structures that were receptive to this. These structures also facilitated an ongoing focus upon sustainability. Within this, strong pilot leadership was required at the strategic level, but also at the pilot management and delivery level. Strong pilot leadership ensured clear plans were developed, key milestones were delivered and supported the effective ongoing review, reflection and strategic engagement that emerges as key to sustainability (as well as delivery).

## Box 9: Islington's Sustainability Focus

The Islington LAIP had a focus upon sustainability from the outset of the programme. The explicit aim of the pilot was to change mainstream practice across local authority services working with low-income families and to provide more effective services to address child poverty. A Child Poverty Programme Board brought together the Directors of all of the authority's service directorates and was chaired by the council's Chief Executive.

The early experience of the pilot, in the first few months of delivery, indicated the scale of the challenge. The services provided by different directorates were 'process-mapped', exploring how low-income families were engaged and then supported. An expanded 'Sustainability Team' was created, with 3 full time staff.

Six core services were identified and mapped to determine potential contributions to addressing child poverty: Income Maximisation; Family Information Service; Benefits Joint Visiting Team; Adult and Community Learning; Islington Working; and Islington Working for Parents. The children's centres were also added as a seventh core service following discussion amongst service directors sitting on the Child Poverty Programme Board.

Following the mapping, the Sustainability Team worked with the services to identify ways in which their provision could be changed and new models were agreed and put in place. At the Board, service directors agreed to the inclusion of child poverty objectives across their strategic 'Service Plans'. In total, 70 objectives were included. Since this was achieved, the authority has undergone a review of structures, and therefore the way in which these objectives are included in the future will change. However, child poverty has been adopted as one of three cross-cutting themes for the authority's new outcomes-focused Performance Framework.

In addition, a range of resources have been created to accompany training that was provided for staff following service mapping, in order to raise awareness of child poverty and effective practice to address it. The average training session was approximately 3.5 hours with various formats utilised to suit local circumstance. Three key documents - 'Parent Guide', 'Staff Toolkit' and 'Key Services' - were also produced as guidance for parents and staff, in support of a 'no wrong door' policy: whichever service parents access across the council, they are considered for broader support and information and guidance provided.

Finally, the pilot's contribution to the authority's ground-breaking work to bring data together to provide intelligence about the local community and to enable the identification and targeting of low-income families, including information about their use of services, leaves a significant legacy for all of the authority's directorates as well as the children's centres who will now be required to use it to inform their outreach.

Islington are a site for the new Community Budget pilot, exploring ways of joint working and pooling budgets to provide more effective provision for disadvantaged families. The learning from the pilot's 'Islington Working for Parents' employment support strand and the partnerships developed are providing the base for a new 'Parental Employment Partnership' between the authority and Jobcentre Plus, with services delivered from universal and thus accessible settings.

An important dimension for promoting sustainability is the need to provide strong evidence of effective practice as the basis for informed learning. An area of weakness for many of the pilots has been the development of rigorous systems for the collection of management information and performance management data. On the one hand, pilots were established to explore new provision and for some this included exploring appropriate techniques for recording and monitoring family outcomes. On the other, the lack of a central requirement to collect a core set of data across the pilot has hampered the ability of the evaluation to provide some comparative analysis of outcomes, and a cost effectiveness of the common features of different pilots in particular. Notwithstanding this, the LAIP programme has been a true pilot programme, with local authorities given the freedom by CPU to develop truly innovative local practice, and the structure of ongoing formative local evaluations and a national synthesis of these has provided a strong evidence base for future provision to address child poverty.

Table 4.10 Beyond Partnership: Legacy of LAIP Programmes

Pilot	Legacy
Cornwall	<ul style="list-style-type: none"> <li>▪ The Enabling Fund has been continued by Cornwall Works and continues to be available to all professionals supporting parents and families.</li> <li>▪ The Workforce Development Programme has been continued as part of the transformation of children and family services and sustained focus upon child poverty.</li> <li>▪ The Housing Pathway is to be continued by the housing association partner following a successful application for internal funding, and is being extended to include other social housing providers and the local authority housing department.</li> </ul>
Hammersmith and Fulham	<ul style="list-style-type: none"> <li>▪ Funding for continuation of childcare for parents in receipt of it in March 2011 secured from local 'Childcare Matters' fund (linked to Westfield retail development and local colleges), to enable completion of training.</li> <li>▪ Tendis – the social enterprise who delivered the Family Solutions provision – providing more family-focused employability support informed by pilot learning. Financial advice and support a core element, provided by partnership with CAB.</li> <li>▪ Children's Centres now to include an employability service as part of borough-wide review and reconfiguration.</li> <li>▪ Child Passport system completed and further investment for implementation being sought by local authority.</li> </ul>
Islington	<ul style="list-style-type: none"> <li>▪ Child poverty one of three cross-cutting themes for the authority's new performance management framework.</li> <li>▪ Child Poverty Board continued, and will oversee new Community Budget Pilot directly informed by pilot learning.</li> <li>▪ Key features of delivery – namely the use of data warehouse intelligence to target provision and a tailored, intensive form of early intervention support for parents – will be retained to be funded using core budget in the future.</li> </ul>
Kent	<ul style="list-style-type: none"> <li>▪ Learning about locality based commissioning and effective approaches to supporting disadvantaged families taken forward into new Community Budget Pilot.</li> <li>▪ Range of partnerships developed through the programme supporting the continuation of seven of 18 projects highlighted by the local evaluation – including new Family Group Conferencing.</li> <li>▪ Materials for workforce development, education resources and improved skills and awareness across the children and families workforce.</li> </ul>
Knowsley	<ul style="list-style-type: none"> <li>▪ Volunteer Family Mentor (VFM) model mainstreamed into the authority's children's centres. At least two VFMs to work from each children's centre, managed by senior staff and provided with resources to support their engagement including childcare.</li> <li>▪ Two new pilot models, exploring volunteer children's centre outreach and family literacy models.</li> <li>▪ Ongoing 'innovation function' within the authority will take forward the learning in continued activity to review new and more cost effective ways of providing public services.</li> </ul>
North Warwickshire	<ul style="list-style-type: none"> <li>▪ BOB the Branching Out Bus to be continued, with one permanent adviser providing IAG and CAB and other services expected to use the facility on an</li> </ul>

	<ul style="list-style-type: none"> <li>ongoing basis.</li> <li>School banks continued by volunteers and school staff.</li> </ul>
Sefton	<ul style="list-style-type: none"> <li>Two of three Family Coach posts continued following successful application for ESF funding, for an initial six month period. One in Southport continuing to support parents post-pilot, one in another area of the borough piloting school-based provision.</li> <li>Economic Development service now includes parents as a target group.</li> <li>New client registration system in employment services to identify parents from families who would benefit from family-focused barriers support.</li> </ul>
Tyne Gateway	<ul style="list-style-type: none"> <li>The Community Entrepreneurs and Community Projects are continuing to be funded to March 2012, within the remit of a newly created Tyne Gateway Social Enterprise, allowing more time for the projects to prove themselves and to develop sustainability.</li> </ul>
Waltham Forest	<ul style="list-style-type: none"> <li>New Early Intervention and Prevention Service directly informed by pilot to consist of area-based multiagency teams with Family Support Advisers, who have the same role as those within the pilot and a social worker. Cross-cutting team of housing officer and benefits officer.</li> <li>Commitment to home visits from housing department.</li> </ul>
Westminster	<ul style="list-style-type: none"> <li>Financial adviser posts and childcare information officers in children's centres to be continued.</li> <li>Working Families Everywhere pilot to fund five posts coordinating support for parents, informed by the learning from the pilot.</li> <li>Community Budget Pilot to include employment support and to develop a family-based model of outreach employability advisers in children's centres, informed by pilot learning.</li> <li>Use of authority's Discretionary Housing Payment to continue to be used to provide transitional housing support for parents entering employment.</li> </ul>

## 4.6 Summary

In this Section the themes that emerged during the formative stages of the evaluation have been confirmed through the final findings as features of effective practice. The discussion has drawn on findings from across the local evaluations of ten pilot programmes that whilst sharing some common features, were diverse in their context and detail of delivery as well as including some unique examples.

The demand for support from parents in low-income families is clear, in relation to both the employment and employability support at the heart of most of the pilot programmes (Cornwall, Hammersmith and Fulham, Islington, Sefton, Tyne Gateway, Westminster) but also in relation to the broader family based support that these pilot models included and that were the primary feature of others (Knowsley, Waltham Forest). Parents face a range of familial barriers in seeking a return to work. These can be practical – skills, the need for childcare – but also related to personal and family circumstance and experience – a lack of confidence, concern about the involvement of professionals. It is also clear that the lived experience of poverty and the day-to-day existence of living on a low income demands parents' attention and limits space for aspirations and planning. Addressing child poverty in a sustainable way requires support for parents towards and into employment. But it also requires work to address the immediate impacts of poverty, as these contribute to the barriers that parents face in progressing towards improved outcomes.

Effective approaches are flexible and holistic, and coordinated by a keyworker who has access to resources to meet costs incurred in accessing services and engaging with employability activity as well as employment. Engaging parents requires skilled staff who

can work in partnership with parents and families through a relational approach that develops over time from an initial assessment of strengths and needs. Partnership and joint working is required and takes time to develop. For child poverty to be recognised as a shared agenda, strong leadership is required at both strategic and operational levels.

Leadership is important for the success of innovation. Delivering and learning from innovation requires strong structures for management and review, using data and evidence to inform development in a context that allows and encourages amendment and review. Although the changed context for local authorities and their reduced budgets has created challenges for sustainability, the LAIP programme has left a promising legacy and strong evidence for future policy and practice.

## 5 Conclusion

This report presents the final findings from the national evaluation of the Local Authority Child Poverty Innovation Pilot (LAIP). The report has provided background information about the LAIP programme and the evaluation design. An overview of the context for the programme, nationally and locally, has also been presented. Following a summary of each pilot's aims, features, achievements and costs, the findings from a synthesis of the evaluations of each of the programmes have been discussed. This discussion was organised around a set of cross-cutting themes that were identified early in the evaluation as 'emerging messages', and that the final evaluation confirms as 'evidence of effective practice'. This final section presents conclusions about the key findings from the evaluation of the LAIP and considers the learning provided for the three core themes of the national Child Poverty Strategy.

### 5.1 Synthesis Evaluation Key Findings

- The evaluation findings support the centrality within policy for child poverty and welfare reform that flexible and holistic approaches are required to support parents and families. It also highlights the challenges in delivering these approaches and the resources that are required.
- Overall, the pilot programmes met or exceeded their targets for parents and families supported and for the outcomes that they aimed to achieve, although there were exceptions. There was a high demand for all of the pilot provision whether providing intensive family support, intensive family-focused employment support, supported signposting and information, or community-based models of provision.
- Employment outcomes are one area where results were mixed, although employability targets were exceeded. The economic downturn was identified by evaluation participants as limiting the opportunities for the parents that they sought to assist into work, and this is supported by the socio-economic data provided in Section 2. This raises questions about the longer-term prospects of parents who have had their skills and employability increased.
- The pilots indicate that there is a lack of broad and responsive provision that can support families to identify and address barriers to improved outcomes. Addressing these barriers increases wellbeing for family members and the family unit as well as providing the basis for progression. Targeted interventions often fail to look beyond the focus of their activity, meaning that where a member of a family is engaged their wider and family('s) needs are not recognised or addressed.
- Data and local professional knowledge should be used to understand local communities and their characteristics, in order to target provision. Developing this intelligence enables the families most at risk of poverty to be targeted as well as those living in the areas with the highest levels of deprivation. The LAIP programme includes two programmes with a strong focus upon new ways of using data in this way (Islington and North Warwickshire). But data is also an essential element of understanding and supporting parents. Concerns about data sharing between agencies are addressed when a single keyworker holds responsibility for coordinating support and reviewing progress: they support parents to access appropriate support and only share what is agreed, whether or not they are within a multi-agency team. Parents will consent to their data being shared within these structures. Collecting data is also important for reviewing and demonstrating progress and longer-term effects.
- The LAIP programmes have been developed and delivered in a true pilot ethos, with local strategic and delivery arrangements that enabled ongoing reflection upon progress and learning and the amendment of delivery as a result. CPU have provided flexible and responsive support, encouraging and embedding these approaches. This has provided the context for the pilot to leave a lasting legacy across the LAIP authorities. Developing and supporting effective structures takes time and resources.



- Time is an important element for pilot provision. Time is required: to explore and develop new provision; to develop strategic and operational partnerships; to support and embed new ways of working; to identify, target, and engage parents and families; for the full range of barriers that parents and families face to emerge; and, to support parents and families towards improved outcomes.
- The context for pilot provision is important. By autumn 2010 the LAIP programmes were in full delivery, following early delays. The CSR 2010 then announced budget cuts for local authorities in order to tackle the national budget deficit. This created an uncertain context for the final stages of the pilot. Local authorities were unsure about the final budgets for different directorates, and then for allocation within directorates, until January and February 2011. In some cases this meant that pilot delivery was hindered as there were concerns over the long-term support that would be available for parents and families newly engaged. With a more certain future for pilot funding, more parents and families would have been engaged by pilots, as there would not have been the same concern about available support post-March 2011, and therefore more outcomes would have been achieved. Delivering a successful pilot, including the ability to navigate changing contexts, requires strong governance and strong leadership.
- The messages of effective practice that emerged in the earlier stages of the evaluation have been confirmed:
  - The need for a range of techniques if targeted parents are to be reached and engaged, and the effectiveness of outreach, including that delivered by parents from or with similar backgrounds to, targeted communities;
  - The effectiveness of packages of support for parents seeking to enter or re-enter employment that are flexible, resourced, and understand them as parents rather than adults who may or may not have children and caring responsibilities;
  - The need for flexible, accessible resources that can provide immediate alleviation from the impacts of poverty as well as support progression to more sustainable and long-term outcomes;
  - The importance of flexible coordinated approaches that are parent-led and identify the barriers to their and their families' progression to improved outcomes;
  - The lack of confidence that many parents have in accessing local provision, when they are aware of it, and the need for supported signposting that builds self-reliance;
  - The demand for money and debt advice and the impact that this can make on individual and family wellbeing;
  - The importance of skilled staff, able to support parents and families from a range of backgrounds in an appropriate, (culturally) sensitive way through a persistent, relational and trust building approach;
  - The challenges of developing new and innovative practice, and of workforce change to support and embed this; and,
  - Community capacity building and co-production approaches are well supported by local stakeholders and can have a transformational impact upon those engaged in delivering provision in their communities, but supporting this development requires dedicated resources.

## 5.2 Learning – The Themes of the Child Poverty Strategy 2011

Section 2 outlined the themes of the Child Poverty Strategy 2011. This section of the report considers the learning that emerges from the evaluation of the LAIP for each of the three themes that underpin 'the new approach', for national and local authority policy and practice.

### 5.2.1 Supporting families to achieve financial independence

This theme is intended to promote employment as the key to improved outcomes for children, young people and families. It recognises that there are disincentives to work for

some and promotes flexibility and approaches that remove barriers and that reward employment as the route out of poverty. This theme also recognises the importance of financial management and the problems associated with debt.

- There is a demand for employment support that is family focused and understands parents as parents and not as adults who may or may not have children. Parents are motivated to find work to improve their and their children's life chances and to achieve financial independence. But they can lack confidence in, and awareness of, provision that can help them address their barriers to work and support their progression towards work. The barriers that parents face can be multiple, complex and unpredictable. Flexible approaches, delivered by a keyworker or coordinated from a single point are effective and need to provide resourced and long-term support along a clear progression pathway. Parents are different distances from the labour market and provision must be responsive to this. Women may be further from the labour market and face key family barriers, due to their primary caring responsibilities. Providing flexible, long-term, family-focused support may be particularly important for this group.
- Financial problems and debt are an important barrier to work – parents are unsure about the impact that returning to work will have on debt and on receipt of benefits; and, debt and financial problems themselves can place huge stress on parents and family life and inhibit progression in their own right. But, financial problems themselves are not necessarily enough to prompt people to seek help. Support with debt and financial problems needs to be sensitively promoted and delivered if it is to engage parents and encourage them to disclose their situation. Parents may not be aware of their full benefit entitlement, and the benefits system is complex and requires specialist knowledge. Provision with these characteristics is difficult to deliver, requires skilled practitioners and is in high demand where available.
- The need for flexible, affordable childcare is a key barrier to employment. Childcare is expensive and parents entering work for the first time or after time away lack the resources to pay for deposits and other upfront charges. Childcare can also be difficult to afford due to low wages. Parents are happy to use quality childcare and to pay for this, and recognise the long term benefits to them and their family that come from employment. Parents also see benefits for their children from attending childcare settings. But there is a lack of childcare outside of standard working hours and in different packages than a day, morning or afternoon. Local authorities can broker childcare, but they have limited influence on the market. There is also a lack of childcare for training and employability activity. Where this exists, it is over-subscribed and limited. Parents have concerns about their children accessing different settings at different times, and funding could be provided for parents and their children, rather than for the employability and training provision.

### 5.2.2 Supporting family life and children's life chances

This theme recognises that poverty is about more than income alone and seeks to ensure that the broad range of issues that can impact upon life chances are recognised and addressed. It promotes support for parents and parenting, early intervention (particularly in the early years and with those families with complex problems) and highlights the need to deliver improved educational and health outcomes for long-term changes in poverty.

- Parents and families can lack confidence in provision and time needs to be given to engaging them and building trust. Existing providers can provide engagement and referral routes, particularly to more marginalised communities. But, these providers can also lack trust in new provision, particularly that which might not be available in the longer term. They can also see it as a threat. Therefore, similarly, time needs to be given to engaging them and building their trust and confidence. Flexible offers are required, tailored to parents and families so that trust can be built over time and so that provision can adapt to circumstance.
- As with employment, the barriers that prevent parents and families progressing to broader improved outcomes can be complex. Nonetheless, even where they are relatively straightforward parents and families can lack confidence in and awareness of

provision that can help them. Services therefore need to take a range of approaches to targeting and engaging parents, and need to think about outreach and mobile provision. The lived experience of poverty and life as a low-income family can present a day-to-day struggle with little time and space for reflection and a limiting effect on aspirations and self-esteem.

- There is a gap between universal services and more targeted provision that is often not addressed by mainstream services aiming to improve wellbeing and life chances. Targeted interventions can fail to look beyond the focus of their activity, meaning broader support needs are unmet. Universal provision fails to provide the additional support that some families need. Keyworkers or staff who are able to coordinate a range of provision and supported signposting can address this gap, improving outcomes for families. Providing support with one or two issues can bring significant benefits for the family as a unit and for the individuals within it. Small amounts of resources can bring important impacts; they also support engagement in progression pathways by demonstrating commitment and acknowledgement of need. Resources provided as part of a progression pathway are more likely to lead to sustained change.

### 5.2.3 The role of place and transforming lives

This theme concerns the services that are available to children and families and the communities that they live in. Central to this theme are the Government's commitments to localism and the Big Society, which promote locally appropriate activity and the involvement of a wide range of partners – including communities themselves. Effective local planning and delivery requires good data, and new ways of recognising and rewarding the achievements of local authorities and their partners (such as 'payment by results').

- There is evidence from the LAIP that community-based models of provision can be an effective way of engaging parents in delivering provision to others and bringing significant benefits to those involved in delivery. Parents recognise the benefits to them and their communities of volunteering, and whether in voluntary or paid roles many are motivated by a concern to help their communities or others with a similar background or experiencing similar events or problems as they have. But, supporting these community members takes time and resources. Not everyone wants to work in their local community and what emerges as of primary importance is a shared background and empathy rather than a necessarily shared geographical locale. It is also important to recognise that because these parents can be close in circumstance and experience to those that they are intended to support, they share the same barriers and these may not all have been resolved to the extent that they may appear or presented to be. Flexible, skilled and resourced support is required. For volunteers to hold responsibility and to work safely with families, rigorous policies and procedures must be in place.
- To support parents and families effectively, locally accessible provision must be in place. This might be provided through outreach and mobile models. Keyworkers can coordinate, broker and support access. Local provision should also be commissioned on the basis of detailed community needs assessments, to ensure that is appropriate to local contexts – across and within local authority areas. These take time and must be structured, resourced and involve a range of partners. Data should be used creatively, to gather intelligence of local communities and to inform targeting and the design of services. Data is also required to monitor performance, effectiveness and value for money and this must be invested in from the outset.
- Partnerships are required for effective provision – at both strategic and operational levels. Joint working brings improved outcomes for all partners, but can be difficult and time-consuming to develop. Despite being promoted across policy for at least ten years, true and sustainable partnership working for families is underdeveloped in local authorities. Children and family services and employment and employability provision need to come together for effective work policy and practice to address child poverty.
- Local authorities have a role to play in working with employers to promote family-friendly and flexible employment within their employment brokerage functions. However, local authorities have limited capacity to influence employers within more macro socio-

economic circumstances. The impact of a reduced or restrictive labour market must be recognised in strategies to address child poverty.

#### 5.2.4 Further learning

Away from the child poverty strategy, there is some broader learning from the evaluation that is relevant to the broader policy context, as well as for future pilot programmes.

- There is clearly learning from the evaluation about the challenges for new Work Programme provision. These services will target those furthest away from the labour market, with payment by results. The evidence from the LAIP evaluation suggests that where those targeted are parents, provision will need to have the flexible, resourced and barrier focused characteristics described above. The local labour market will be an important factor and there is evidence from the evaluations reported here that sustainable flexible employment can be difficult to find for parents exiting employability programmes and employment support.
- The complexity of the benefits system leads to errors in awards, confusion about entitlement and uncertainty about the impacts of a return to work. The introduction of the Universal Credit is intended to address these issues. How childcare is to be incorporated remains to be resolved and the importance of this cannot be underestimated. It will also be important that the roll-out of the new system is supported by training for professionals who provide information, support and guidance to ensure that they have the knowledge required to support parents effectively and to promote an informed return to work. It is also important to acknowledge that any errors made to a single benefit award have the potential to cause significant problems for those who rely upon it.
- The LAIP was a successful pilot programme, bringing benefits to parents and families who were engaged by new and innovative support but also for the participating local authorities who led their pilot and their internal and external partners. The stakeholders involved have been committed and the in-kind contributions demonstrate their determination to make LAIP a success. The success of the pilot programme is also due in part to a well-resourced, formative and intensive evaluation that has provided an evidence base to promote and support reflection and development. At a local level the evidence base that has been created has been central to the ability of the pilots to gain support for further development and sustainability. Nevertheless, whilst a burdensome and restrictive requirement for monitoring and performance management data could have had a negative impact upon delivery, the lack of comprehensive and comparable data has hindered the national evaluation and a comparative analysis of costs and value for money in particular. This is a tension for new localised delivery – local flexibility without an overarching structure risks local data that can be weak within a national framework.

# ANNEX

## Annex Notes on Cost Effectiveness Analysis

This Annex provides background information about the Cost Effectiveness Analysis (CEA) commissioned as part of the national evaluation of the Local Authority Child Poverty Innovation Pilot. CEA was intended to inform the evaluation of the initiative by assessing and as far as possible comparing the costs of the individual pilots in meeting their objectives.

The Annex sets out the objectives of the CEA, the issues that were involved in undertaking it and the caution that must be taken in interpreting the results presented. A set of notes relating to the costs analysis presented in Section 3 are then provided, setting out how in-kind and development costs were accounted for.

### Objectives

CEA involves compiling data on the costs of activities and on their effectiveness (measured in terms of outputs, outcomes and/or impacts) and calculating appropriate ratios to measure the unit costs of the results achieved.

Specifically, the CEA aimed to:

- Understand the full costs of implementing the pilot programmes;
- Examine the unit costs of delivering LAIP activities and outputs, and compare these as far as possible between pilot programmes;
- Analyse the costs of the outcomes delivered, comparing these between pilots as far as possible;
- Inform the potential roll-out of the piloted activities by assessing the unit costs of implementation; and,
- Inform the wider use of CEA by CPU and its partners, by highlighting the methodological issues and challenges, identifying strengths and weaknesses and identifying implications for future work.

In the evaluation design at the inception of the LAIP in March 2009, it was hoped that the CEA would enable a full analysis of the cost effectiveness of the different pilots to be undertaken. In practice, it became apparent that this ambition would need to be scaled back somewhat, because:

- A lack of systematic monitoring of outputs and outcomes from some of the pilots limits the scope for analysis; and,
- There is great variability in the pilots and their approaches, making comparisons of outputs and outcomes difficult, even where data are available.

Ultimately, the pilots were seeking to meet common objectives in tackling child poverty. Over time, and with adequate monitoring and evaluation, it would be possible to assess their cost effectiveness using common indicators (e.g. cost per child removed from poverty). However, at this stage, it is only possible to assess outputs and intermediate outcomes, which involves working with a variety of disparate indicators which vary between pilots according to the approaches they have taken.

The analysis that was possible presents an assessment of the overall costs of the pilots and their activities, and relates these costs as far as possible to the outputs and outcomes recorded.

### Method

The CEA followed a series of common steps for each pilot:

- Details of **financial expenditures** by each pilot, including contributions both from CPU and other partners, were been compiled and presented;

- Estimates were made of additional **in-kind costs** involved in the delivery of the pilot activities. Each of the pilots required resources additional to those costed in the core budget (and funded by CPU). These included time inputs from staff in partner organisations, for delivery of activities, programme management and attendance at programme board meetings; provision of venues and office space; time provided by attendees of training sessions; and time taken to make referrals from other services. In some cases these costs were estimated by the pilots, and in others GHK has made estimates in consultation with the partners, using standard costing approaches;
- The financial and in kind costs were summed to give the **total costs** of each pilot. Estimates were made of the costs of delivering each of the main activities of the pilot, in order to relate these costs to the outputs and outcomes delivered. Some pilots provided breakdowns of costs by activity, while in other cases GHK estimated these based on information provided by the pilots. Costs related to programme management were allocated proportionately between the different project activities;
- Data on **outputs and outcomes** for the main activities undertaken by the pilot were identified from the management information provided, and related to the activities delivered and their costs;
- The **unit costs of delivery of the main outputs** were estimated, by dividing the cost of each activity by the output delivered;
- The **unit costs of delivery of outcomes** were estimated by dividing the relevant costs by the outcomes recorded; and,
- **Comparisons between pilots** were made of the unit costs of outputs and outcomes, as far as possible.

The detailed assumptions employed in the analysis included in this final synthesis report are itemised in a sub-section below, 'Notes for the Costs Analysis included in Section 3, Local Authority Child Poverty Innovation Pilot Programmes'.

Not all of the analysis has been used, due to a number of methodological issues.

## Key Issues

The following methodological issues arose from the analysis:

- **Gaps in output and outcome data** for some pilots and some activities made it impossible to undertake a full analysis of the costs of outputs and outcomes delivered;
- **Variability in the intensity of activities** meant that caution is needed in interpreting and comparing the output and outcome data and the associated cost ratios. For example, variations in the intensity of training and in the degree of support provided to families affect the costs per output delivered, while the costs of reported outcomes such as increased wellbeing or enhanced skills can be expected to vary accordingly;
- **Development and delivery costs.** It is helpful to distinguish between the costs of development and the costs of delivery of piloted activities. While some pilots began to deliver their core activities at an early stage, others underwent a longer developmental stage before the delivery of outputs began. This can be expected to affect the unit costs of the outputs delivered, and hence the potential costs of rolling out these activities in future. For each pilot we have identified whether there was a significant developmental stage, and, where this is the case, examined the effect on the unit costs of outputs and outcomes delivered;
- **Additionality of the outcomes reported** is a significant issue. The MI reports the gross outcomes of the pilot activities and no assessment is available of the extent to which these can be attributed to the activities themselves. Deadweight is likely to be a significant issue for many of the pilot activities. For example, several pilots report the number of beneficiaries entering employment after receiving support. It is likely that some of these beneficiaries would have found a job even without the support provided. Therefore while the costs per gross job outcome can be estimated, it would be incorrect

to claim that the CPIP investment alone had led to the outcome recorded. For this reason caution is needed in interpreting the unit costs of outcomes<sup>1</sup>;

- **Gaps and discrepancies in financial data.** The analysis has been based on financial data provided by the pilots. In many cases these are provisional estimates. While all pilots are understood to have spent all of the funding provided by CPU, for some the figures provided fall short of the budgeted expenditures. Those for which there is a significant gap between budgeted and documented expenditures include Waltham Forest (£104,000), Islington (£93,000), Hammersmith and Fulham (£78,000) and Westminster (£48,000). It is possible that the full costs of the activities delivered are under-recorded in these cases;
- **Incomplete costs** are also an issue for many of the pilots. In many cases pilots have not acted in isolation and have drawn on other (existing) support services, such as training programmes, benefits and healthcare. In these cases the recorded costs reflect the costs of facilitating access to these services among targeted beneficiaries, rather than the full costs of service provision. It is beyond the scope of the evaluation to assess the full costs of these services. Therefore **care is needed in interpreting the results** – for example the recorded cost per person helped into work should not be regarded as the full cost of the employment outcome but merely the cost of facilitating that outcome among the targeted beneficiaries.

For these reasons **the analysis should be regarded as indicative only**. It helps to highlight key issues in examining the relationship between the resources expended and results achieved, and to facilitate some comparison of these relationships between the pilots. The **results should be treated with caution** and care is needed to avoid jumping to premature conclusions.

**The estimated costs of delivering the pilots underestimate the true costs** of the support provided to families targeted by the ten programmes. Most pilots utilised existing support services – such as those relating to training, employment, housing and benefits – in providing support to target families. The estimates include only the costs of activities delivered by the pilots, not those of operating the services to which targeted families were referred.

## Costs of the Ten Pilots

This report has estimated the overall costs of delivering the 10 pilot programmes. Each of the ten pilots has utilised additional resources to those funded by CPU:

- The budgets for five of the ten pilots included financial contributions from local partners;
- All ten pilot programmes benefited from uncosted, in kind contributions from partners. These typically included additional staff inputs, the time taken to attend board meetings, and provision of venues and office space.

Overall, the costs of delivering the ten pilots are estimated at £10.7m, compared to the CPU contribution of £9.2m (Table A.1). This suggests that the pilots involved additional expenditures of £0.16 by local partners per £1 allocated to the programmes by CPU.



Table A.1 Costs of the Pilot Programmes

Pilot	CPU Financial Contribution	Partner Financial Contribution	Partner In Kind Costs	Total Costs	Total Costs as % of CPU Contribution
Cornwall	£455,404	£45,000	£136,430	£636,834	140%
Hammersmith and Fulham	£997,420	-	£38,450	£1,035,870	104%
Islington	£1,253,012	-	£432,737	£1,685,749	135%
Kent	£1,375,065	£82,877	£225,407	£1,683,350	122%
Knowsley	£297,117	£20,000	£60,520	£377,637	127%
North Warwickshire	£299,565	-	£131,000	£430,564	144%
Sefton	£1,033,048	-	£15,540	£1,048,588	102%
Tyne Gateway	£1,647,500	-	£19,360	£1,666,860	101%
Waltham Forest	£861,750	£2,280	£16,884	£880,914	102%
Westminster	£974,861	£218,946	£66,050	£1,259,856	129%
<b>Total</b>	<b>£9,194,742</b>	<b>£369,103</b>	<b>£1,142,378</b>	<b>£10,706,223</b>	<b>116%</b>

The partner financial contributions and estimated in kind costs vary widely between pilots, with the estimated total costs ranging from 101% of the CPU financial contribution in Tyne Gateway to 144% in North Warwickshire. These variations reflect differences in the ways in which the funding bids to CPU were structured, with bids varying in terms of the range of costs included and the degree to which the partners offered to make their own financial contributions to the proposed activities. They also reflect variations in the types of activities delivered. In kind costs were high for those pilots involving significant levels of uncosted staff time (Islington, Kent, Cornwall, North Warwickshire), participation in workforce development (Cornwall, Islington, North Warwickshire), referrals from other services (Cornwall), and involvement of volunteers (Knowsley). The Sefton, Tyne Gateway and Waltham Forest pilots were relatively self-contained, with low in kind costs, and the CPU funding a large proportion of the recorded costs.

These estimated costs of delivering the pilots underestimate the true costs of the support provided to families targeted by the 10 pilot programmes. Most pilots utilised existing support services – such as those relating to training, employment, housing and benefits – in providing support to target families. The estimates include only the costs of activities delivered by the pilots, not those of operating the services to which targeted families were referred.

### Assessment of Cost Effectiveness

While it has been possible to estimate the costs of delivering each of the ten pilots, assessing their cost effectiveness has been more problematic, because of gaps and inconsistencies in data on outputs and outcomes, as well as the variability of activities and their intensity between pilots, limiting the scope to make comparisons between them.

Table A.2 summarises the extent to which the unit costs of outputs and outcomes can be assessed for each of the pilots.

Table A.2 Assessing unit costs of outputs and outcomes for the pilot programmes

Pilot	Output	Outcome
Cornwall	Costs per unit of output are estimated for the Enabling Fund and Workforce Development Strands; outputs are partially recorded for the Housing Care Pathway.	Monitoring of outcomes was partial and incomplete, so no meaningful assessment of the costs per unit of outcome can be made for any of the activities.
Hammersmith and Fulham	The average cost per family supported, and per output recorded for supported families, has been estimated for the Family Solutions strand.	The average cost of employment outcomes has been estimated for the Family Solutions strand.
Islington	Average costs have been estimated for beneficiaries supported through the Islington Working for Parents strand and for trainees supported through the Sustainability strand.	The average cost per employment outcome has been estimated for the Islington Working for Parents strand.
Kent	Outputs are estimated for a range of different project activities, and the average cost per output has been estimated. However, these outputs relate to disparate activities and the resultant unit cost estimates are difficult to interpret.	No systematic recording of outcomes took place.
Knowsley	The average cost per Volunteer Family Mentor and per family supported has been estimated.	The average cost per employment outcome has been estimated for Volunteer Family Mentors and beneficiary families.
North Warwickshire	The average cost of enquiries to the Branching out Bus can be assessed.	No monitoring of outcomes took place.
Sefton	Lack of comprehensive output data makes unit cost assessment impossible.	Lack of complete outcome data or disaggregated costs makes unit cost assessment impossible.
Tyne Gateway	Costs per Community Entrepreneur and per family benefiting from Project Development have been estimated.	Lack of complete outcome data makes unit cost assessment impossible.
Waltham Forest	The average costs of the support provided, per beneficiary family, have been estimated.	Lack of disaggregated costs makes unit cost assessment of outcomes impossible.
Westminster	The overall costs per supported family, as well as unit costs for three of the four workstreams, have been estimated.	The costs per employment outcome have been estimated.

A number of limitations are apparent which restrict the assessment of cost effectiveness. These include:

- Lack of monitoring of outputs for some activities;
- Lack of monitoring of outcomes for some pilots (Cornwall, Kent, North Warwickshire);
- Partial monitoring of outputs and outcomes (Sefton, Tyne Gateway, Waltham Forest);
- Variability of activities making interpretation of output data difficult (Kent); and,
- Uncertainty regarding the additionality of recorded outcomes (Hammersmith and Fulham, Islington, Knowsley, Westminster).

The wide variations in activities, outputs and outcomes makes comparison between the pilots difficult:

- The outputs of the ten pilots are highly variable, and cannot be compared for most pilots. However, several of the pilots provide intensive support to targeted families, and the

average costs of providing this support can be compared (with the proviso that variations in cost may reflect variations in the intensity of support); and,

- Inadequacies in outcome data limit the analysis of costs of outcomes. However, a cluster of pilots has focused to a large extent on achieving employment outcomes, enabling some comparison of recorded average cost of these outcomes between pilots.

## Comparisons Between the Pilots

### Outputs

Comparisons can be made between the costs incurred in delivering intensive support to families in the four London pilots. The unit costs per family supported range from £1,122 in Islington (and £728 excluding development costs) to almost £5,000 per beneficiary family – or £8,000 per family benefiting from interventions - in Westminster.

**Table A.3** Unit costs of outputs delivered by the four London Pilots

<b>Pilot</b>	<b>Cost ratio</b>	<b>Cost per Output</b>	<b>Cost per Output excluding development costs</b>
Hammersmith and Fulham	Cost per beneficiary family supported and receiving a Family Action Plan	£4,372	£4,372
Islington	Cost per beneficiary of the Islington Working for Parents strand	£1,122	£728
Waltham Forest	Overall cost per beneficiary	£3,733	£3,733
Westminster	Cost per beneficiary family	£4,999	£4,999
	Cost per family benefiting from interventions	£8,076	£8,076

These variations are likely to reflect differences in the intensity of support provided – the Hammersmith and Fulham, Waltham Forest and Westminster pilots each targeted between 227 and 252 beneficiary families, while the Islington pilot worked with 1,226 beneficiaries through its Islington Working for Parents strand.

By comparison, the average cost of providing crisis debt advice, as recorded by the Citizens Advice Bureau, is between £160-350 per case.<sup>74</sup> The higher unit costs of the support provided by the pilots may reflect the greater scope and duration of the support provided.

### Outcomes

The main comparisons in the costs of delivering outcomes relate to those for employment outcomes (Table A.4).

<sup>74</sup> Ecotec (2006), *Evaluation of the Citizens Advice National Financial Capability Project*,

Table A.4 Comparisons between unit costs of employment outcomes delivered by the pilots

<b>Pilot</b>	<b>Cost ratio</b>	<b>Cost per Outcome</b>	<b>Cost per Outcome excluding development costs</b>
Hammersmith and Fulham	Cost per employment outcome	£20,255	£20,255
	Cost per previously unemployed beneficiary finding work	£20,678	£20,678
	Cost per previously unemployed beneficiary finding sustained work	£25,449	£25,449
Islington	Cost per employment outcome	£19,224	£12,470
	Cost per previously unemployed beneficiary finding work	£29,904	£19,398
Knowsley	Cost per employment, volunteering or training outcome	£13,987	£12,202
	Cost per employment outcome	£37,764	£32,404
	Cost per previously unemployed beneficiary finding work	£47,205	£40,506
Westminster	Cost per job outcome	£15,554	£15,554
	Cost per previously unemployed beneficiary finding work	£18,804	£18,804
	Cost per sustained job outcome	£24,228	£24,228
	Cost per previously unemployed beneficiary finding sustained work	£27,997	£27,997
	Cost per employment or training outcome	£12,988	£12,988
	Cost per sustained employment or training outcome	£18,527	£18,527

The estimated cost ratios are comparable between pilots, particularly for the three London pilots. The figures indicate that the average cost per beneficiary helped into employment recorded by Knowsley and the three London pilots ranged between £16,000 and £38,000 (or between £12,000 and £32,000 excluding project development costs). Some of these job outcomes were secured by people already in employment, but it is also possible to calculate the cost of finding work for previously unemployed beneficiaries. The data shows that the cost per previously unemployed beneficiary finding work ranges from £19,000 to £47,000. The Hammersmith and Fulham and Westminster pilots also recorded the number of jobs that appeared to be sustained.

These estimated unit costs are relatively high compared to the average costs of £5,330 per person placed into work by the New Deal programme,<sup>75</sup> and £6,600 per drug user placed into work (£11,600 per drug user remaining in that job for 13 weeks or more) by the DWP 'Progress2work' scheme. However, comparisons of this type should be treated with caution because of uncertainty of what is included in the DWP cost estimates, the distance of beneficiaries from the labour market and the duration and intensity of the support provided.

The figures above need to be treated with some caution, for two main reasons:

1. They underestimate the true cost of helping people into employment, because they do not include the overall costs of the existing support services to which most of the pilots referred the targeted families (e.g. costs of training courses to which beneficiaries were recruited); and,

<sup>75</sup> National Audit Office (2010), *Tackling Problem Drug Use*

2. The costs are based on gross recorded outcomes, and do not necessarily reflect the additional net benefits delivered by the pilots. For example, it is likely that some beneficiaries would have found employment even without the support of the pilots. It is quite likely that the relationship between gross and net employment outcomes could vary between the pilots, especially if beneficiaries targeted by some pilots were closer to the labour market than for others.

Similar issues apply to the recorded costs of other programmes, such as the New Deal.

## Conclusions about the Role of CEA

For the reasons outlined in the sections above, only a partial assessment of the cost effectiveness of the pilots has been possible. Little can be said about the relative cost effectiveness of the different pilots in addressing child poverty issues.

Nevertheless, the analysis has enabled estimates to be provided of the full costs of the main activities delivered by each pilot, and these to be related to some of the outputs and outcomes delivered, as far as these are measured. By focusing attention on the relationship between inputs, activities, outputs and outcomes, and the different ways that pilots have used resources in pursuit of their stated objectives, the analysis provides insights for the evaluation as a whole.

The assessment highlights the inadequacies in the monitoring and reporting of outputs and outcomes by several of the pilots.

Cost effectiveness analysis is most applicable in situations where:

- The full costs of a series of activities can be estimated accurately and on a comparable basis;
- These costs can be clearly related to the outputs, outcomes and/or impacts of those activities;
- The activities give rise to similar outputs, outcomes and/or impacts, which can be measured using common indicators;
- The outputs, outcomes and/or impacts of the activities examined are measured in a robust and consistent way, enabling comparison between the activities; and,
- The measured outputs, outcomes and/or impacts can be attributed to the activities with certainty, such that the net benefits of the activities can be assessed.

In the case of the Local Authority Child Poverty Innovation Pilot, the first two of these five conditions have been satisfied – for most of the pilots a reasonably thorough and comparable assessment of the costs has been possible, and these costs have been related to the principal activities undertaken. However, the CEA is limited by the disparate nature of the activities undertaken by the pilots, the inadequate and inconsistent monitoring of outputs and outcomes by many of the pilots, and the uncertainties of attribution, making it difficult to ascertain the degree of additionality and the relationship between gross and net outcomes.

## Implications for Future Evaluations

Analyses such as this would be facilitated in future by designing and implementing monitoring and evaluation systems in a way that collects the data required. There are implications for both:

- CPU, as the funding body, in designing suitable monitoring and evaluation frameworks and specifying the data required; and,
- Local delivery partners, in designing and implementing local monitoring systems that meet these requirements.

Cost effectiveness analysis (and programme evaluation in general) would be enhanced by:

1. Improved definition, recording and reporting of programme outputs and (particularly) outcomes;

2. Better evidence about the additional benefits of interventions. This would be enhanced by an improved understanding of the counterfactual – the likely outcomes in the absence of support – and requires enhanced information about beneficiaries, the way they have benefited from support, and their likely circumstances and behaviour in the absence of support;
3. More consistent data on financial expenditures, and in particular a requirement to record the costs of activities (linked to outputs and outcomes) as well as types of costs (e.g. staffing, equipment, grant awards) and to reconcile these with budgets; and,
4. Evidence of partner and in kind costs.

The CEA for the national evaluation of the LAIP has been limited by available evidence of outputs, outcomes and additionality, while better data on costs would have reduced the effort and resources devoted to these aspects during the latter stages of the evaluation, and given greater confidence in the final cost estimates.

Finally, it is worth considering the alternatives to CEA and their potential role in situations such as this:

- Cost Benefit Analysis (CBA) requires all of the costs and benefits of an activity to be measured in money terms, so that the value of costs and benefits can be compared. It has the advantage over CEA that it is more suited to evaluating disparate activities that deliver different types of benefits. However, it presents additional methodological challenges, particularly because of the difficulty of valuing benefits. It could not be applied to the Child Poverty Innovation Pilot without much better data on outcomes, as well as a robust means of placing money values on those outcomes.
- Social Return on Investment (SROI) is a form of cost benefit analysis that places values on those benefits that give rise to social returns, such as financial savings in the cost of benefits or healthcare and/or reduced costs of crime, antisocial behaviour or other social problems. It overcomes some of the problems of CBA in not necessarily requiring a comprehensive valuation of benefits, but still requires robust assessment of outcomes as well as data that enables the value of each unit of outcome to be measured.
- Multi-Criteria Analysis (MCA) shares some of the characteristics of both CBA and CEA. It involves the application of weights and scores to measure the various benefits of activities, and then compares these with their costs to develop cost effectiveness ratios. It has the potential to be more versatile than CEA – instead of requiring common outcomes to be compared, it enables benefits to be assessed by combining a range of outcome data – but still requires outcomes to be measured consistently and on a robust and comparable basis.

These different methods each have strengths and weaknesses in assessing the relationship between the costs and benefits of different activities. However, the lack of outcome data for the child poverty pilots would significantly limit their application in this case, just as it has constrained the cost effectiveness analysis.

### Notes for the Costs Analysis included in Section 3, Local Authority Child Poverty Innovation Pilot Programmes

These notes relate to the costs analysis included in Section 3 and not to the full overall analysis. The detail relates primarily to the way in which full costs were calculated and how development costs were taken account of.

#### Cornwall

Referrals to the Enabling Fund have been included as an in-kind cost, based on an assumed average of 1.5 hours for each of the 881 referrals (1.5 hours x 881 referrals = 1,321.5 hours). The time of the individual is estimated to be £20 per hour (based on a £30,000 salary over 230 working days and 7 hours per day). The total in-kind cost is therefore estimated to be £26,430 (1321.5 hours x £20 per hour).

## Hammersmith and Fulham

In kind costs have been developed by GHK through discussions with the pilot. For Child Passport activities these are estimated to total £11,850 and comprise:

- Uncosted time inputs of 2 senior managers for 1 day per month during 2010/11, based on an assumed cost of £300 per day and totalling £7,200 (£300 x 12 months x 2 people = £7,200).
- Uncosted time inputs of the LBHF manager for 2 days per month for 6 months, also based on an assumed cost of £300 per day and totalling £3,600 (£300 x 6 months x 2 days = £3,600).
- Uncosted time of 5 managers engaging with the system at an average of half a day, based on an assumed cost of £300 per day and totalling £750 (£300 x 0.5 days x 5 people = £750).
- Uncosted time for staff to upload details onto the system. It is assumed that 10 children's details were uploaded to the system, taking an average of 2 hours at a cost of £15 per hour, totalling £300 (£15 x 10 sets of details x 2 hours = £300).

In kind costs for Family Solutions in 2008/09 are estimated to total £7,600 and comprise:

- Uncosted additional time inputs of a LBHF senior manager to help set up the project, which are assumed to have involved 2 days per month for 6 months, based on a cost of £300 per day and totalling £3,600 (£300 x 6 months x 2 days = £3,600).
- Uncosted time of 10 strategic managers attending 2 steering group meetings, based on an assumed cost of £75 per person per meeting and totalling £1,500 (£75 x 2 meetings x 10 people = £1,500).
- Venue hire for meetings with 50 beneficiaries (each beneficiary received 6 hours of contact) at an assumed venue cost of £50 per day, totalling £2,500 (£50 x 50 beneficiaries = £2,500).

In kind costs for Family Solutions in 2009/10 are estimated to total £9,500 and comprise:

- Uncosted time of 10 strategic managers attending 4 quarterly delivery group meetings, based on an assumed cost of £75 per person per meeting and totalling £3,000 (£75 x 4 meetings x 10 people = £3,000).
- In kind contributions from Advice & Employment SB and Fulham CAB providing 50 appointments for benefit maximisation and debt relief at an assumed cost of £30 per appointment and totalling £1,500 (£30 x 50 appointment = £1,500).
- Venue hire for meetings with 100 beneficiaries (each beneficiary received 6 hours of contact) at an assumed venue cost of £50 per day, totalling £5,000 (£50 x 100 beneficiaries = £5,000).

In kind costs for Family Solutions in 2010/11 are assumed to be the same as in 2009/10 (described above) and estimated to total £9,500.

## Islington

13 staff members' time inputs to the pilot as well as attendance at board meetings (for another 13 individuals). Based on 4 meetings per year, an average duration of 1.5 hours and using salary information provided by the pilot, in-kind costs for programme management are estimated to total £113,584 in 2009/10 and £214,707 in 2010/11.

Development costs include:

- 100% of the costs of the intelligence-led strand, which were all associated with the development of the database.

- All salary costs between April and November 2009, for programme management and the IWP strand, and all salary costs in the year 2009/10 for the Sustainability strand. This relates to CPU expenditures and in kind costs.
- 66.7% of all other programme management costs in 2009/10 based on the assumption that there were 8 months of project development and 4 months of project delivery in 2009/10.

## Kent

The Kent pilot provided information relating to the financial expenditures of partner organisations. These are reported to total £83,000 and are focused upon 'Family Learning' activities (78%), 'opportunities to access new programmes' (19%), and PSHE modules (3%).

The in-kind costs are estimated to have totalled an additional £225,000 and are focused on activities relating to 'opportunities to access new programmes' (85%), 'Family Learning' (12%) and PSHE modules (3%). These figures are based on estimates made by the pilot itself regarding in kind contributions to each of the individual activities.

The costs analysis provided includes the project management costs incurred but not the developmental costs.

## Knowsley

GHK has estimated the following in kind costs for the Volunteer Family Mentor strand of activity at £27,640, based upon information provided by the pilot. This comprises:

- Uncosted time of the Peer Support Volunteer (PSV) in supporting VFMs for an average of 3 hours per week at an assumed hourly cost of £20 (based on a £30,000 salary over 230 working days and 7 hours per day), totalling £3,120 in 2010/11 (£20 x 3 hours per week x 52 weeks = £3,120 per annum). The figure for 2009/10 is estimated to be 50% of the annual total (£1,560) to allow for the 6 month development period and the fact that delivery only commenced in the final 6 months of 2009/10.
- Time inputs from VFMs in attending Peer Support Group meetings for 2 hours per fortnight, assuming there are 20 VFMs at any one time at an hourly cost of £10, totalling £10,400 in 2010/11 (£10 x 20 VFMs x 2 hours x 26 fortnights = 10,400 per annum). As above, the 2009/10 figure is estimated at 50% of the annual total (£5,200) to allow for the 6 month delivery period.

Venue hire for core volunteer training provided in kind by the local authority for 4 cohorts at 15 hours per cohort and a cost of £10 per hour, totalling £600 (£10 x 15 hours x 4 cohorts = £600). Two cohorts were trained in 2009/10 and two in 2010/11.<sup>1</sup>

GHK has also estimated the in kind costs for time inputs from VFMs in providing support to families at £41,600 (£20,800 per annum), based upon information provided by the pilot. This is based on 2 hours of support per week provided by 20 VFMs at a cost of £10 per hour, totalling £20,800 in 2010/11 (£10 x 20 VFMs x 2 hours x 52 weeks = £20,800 per annum). As above, the 2009/10 figure is estimated at 50% of the annual total (£10,400) to allow for the 6 month delivery period.

Development costs are estimated to total 6 months of the estimated CPU funded programme management costs in 2009/10 (£141,500 CPU expenditure in 2009/10 x 68.4% for programme management costs x 50% for 6 months = £48,393) in addition to the in kind costs for attendance at project development meetings. The costs of development are therefore estimated to total £53,593. Subtracting this figure from the total costs provides an estimated cost excluding development costs of £324,044.

## North Warwickshire

Uncosted time inputs from 10 people attending 20 steering group meetings with an average duration of 2 hours, assuming an hourly cost of £30, totalling £12,000 (£30 x 20 meetings x 2 hours x 10 people = £12,000).



It is not possible to provide unit cost ratios for the schools activities as the establishment of school banks and the delivery of financial literacy workshops are the outputs of discrete activities. It would therefore be misleading to provide unit costs without first disaggregating the cost of delivering school activities and this information has not been provided.

## Sefton

Programme Management costs of £218,168 include £85,586 for the project board and other management and £115,563 miscellaneous running costs.

These in-kind costs were calculated on the following basis:

- Uncosted time inputs of an average of 6 board members attending 12 board meetings of 2 hour duration at a cost of £35 per hour, totalling £5,040 ( $£35 \times 12 \text{ meetings} \times 2 \text{ hours} \times 6 \text{ people} = £5,040$ ).
- Uncosted time inputs of an average of 5 staff members attending 12 operations group meetings of 2 hour duration at a cost of £25 per hour, totalling £3,000 ( $£25 \times 12 \text{ meetings} \times 2 \text{ hours} \times 5 \text{ people} = £3,000$ ).
- Uncosted time inputs of 45 people attending two stakeholder events of 4 hour duration at a cost of £25 per hour, totalling £4,500 ( $£25 \times 45 \text{ people} \times 4 \text{ hours} = £4,500$ ).
- Office space provided in kind by children's centres and CAB office for CAB worker to work on the pilot for 3 days per week for a total of 100 weeks, at a cost of £10 per day, totalling £3,000 ( $£10 \times 3 \text{ days} \times 100 \text{ weeks} = £3,000$ ).

It is not possible to include unit costs of the outcomes recorded by Sefton because of the absence of cost data disaggregated between the different activities that would be expected to give rise to each of the outcomes listed above. The calculation of unit costs would require costs to be disaggregated between the different activities aimed at improving health, facilitating childcare provision, helping individuals to find work, etc.

## Tyne Gateway

The in kind contributions for the project development strand include the in kind time of 20 senior mentors providing support to the CEs for 1 hour per month at a cost of £26 per hour. The total cost is assumed to be 50% of the total as mentors did not all work every month and some projects finished early. Therefore, in kind costs are estimated to total £3,120 ( $£26 \times 12 \text{ months} \times 1 \text{ hour} \times 20 \text{ mentors} \times 50\% = £3,120$ ).

The in kind contributions associated with programme management activities are estimated to total £16,240 and comprise:

- Uncosted time inputs from a part time project support officer working 1 day per week for 96 weeks at a cost of £141 per day, totalling £13,536 ( $£141 \times 96 \text{ weeks}$ ).
- Uncosted time inputs from an average of 13 board members (50% of the total) attending quarterly board meetings of 2 hour duration at a cost of £26 per hour, totalling £2,704 ( $£26 \times 4 \text{ meetings} \times 2 \text{ hours} \times 13 \text{ people} = £2,704$ ).

## Waltham Forest

GHK has estimated in-kind costs for programme management This comprises:

- Uncosted time inputs from board members attending 12 project board meetings of 2 hour duration (3 with an attendance of 11 and 9 with an attendance of 6) and an hourly cost of £30, totalling £5,220 ( $£30 \times 9 \text{ meetings} \times 2 \text{ hours} \times 11 \text{ people}$ ) + ( $£30 \times 3 \text{ meetings} \times 2 \text{ hours} \times 6 \text{ people}$ ) = £5,220.
- Uncosted time inputs of an average of 6 headteachers attending 7 headteachers meetings of 2 hour duration and an hourly cost of £30, totalling £2,520 ( $£30 \times 7 \text{ meetings} \times 2 \text{ hours} \times 6 \text{ people} = £2,520$ ).
- Venue hire for the above 19 meetings (38 hours total duration) provided in kind by the local authority at an hourly cost of £10, totalling £380 ( $£10 \times 38 \text{ hours} = £380$ ).

The Parent Advisory Group is estimated to have in-kind costs of £3,984 to cover attendance and venue hire at advisory group meetings, comprising:

- Uncosted time inputs of 8 parent volunteers attending 12 meetings of 2 hour duration and an hourly cost of £12, totalling £2,304 ( $£12 \times 12 \text{ meetings} \times 2 \text{ hours} \times 8 \text{ people} = £2,304$ ).
- Venue hire for the above 12 meetings (24 hours total duration) provided in kind by a children's centre at an hourly cost of £70, totalling £1,680 ( $£70 \times 24 \text{ hours} = £1,680$ ).

It is not possible to include unit costs of the outcomes recorded by Waltham Forest because of the absence of disaggregated cost data. The calculation of unit costs for outcomes would require the above costs to be disaggregated between the different activities that would be expected to give rise to each outcome. For example, it would require costs to be disaggregated between activities providing benefits advice, employment support and other housing, health and family support.

## Westminster

In kind costs have been developed by GHK through discussions with the pilot. In 2008/09 in kind contributions are estimated to total £1,500 to account for uncosted time inputs of 10 strategic managers attending 2 delivery group meetings of 2 hour duration at a cost of £75 per person per meeting, totalling £1,500 ( $£75 \times 2 \text{ meetings} \times 10 \text{ people} = £1,500$ ).

In kind costs for 2009/10 are estimated to total £32,150 and comprise:

- Uncosted time inputs of 10 strategic managers attending 4 delivery group meetings of 2 hour duration at a cost of £75 per person per meeting, totalling £3,000 ( $£75 \times 4 \text{ meetings} \times 10 \text{ people} = £3,000$ ).
- Uncosted time inputs of 20 external managers attending a 'development day' at an assumed cost of £150 per person per day, totalling £3,000 ( $£150 \times 20 \text{ people} = £3,000$ ).
- Uncosted time inputs for data management and for childcare brokerage for a day per week (half a day for each activity) at a cost of £75 per half day, totalling £7,500 ( $£75 \times 2 \text{ half days} \times 50 \text{ weeks} = £7,500$ ).
- Uncosted time inputs of Bayswater Family Centre advisers for 1 day per week at a cost of £150 per day, totalling £7,500 ( $£150 \times 50 \text{ weeks} = £7,500$ ).
- Uncosted time inputs of WCC strategic management, housing and economic development staff (3 individuals) for various issues for 0.5 days per person per month at an assumed cost of £150 per half day, totalling £5,400 ( $£150 \times 12 \text{ months} \times 3 \text{ people} = £5,400$ ).
- Venue hire for meetings with 100 beneficiaries (each beneficiary received 6 hours of contact) at an assumed venue cost of £50 per day, totalling £5,000 ( $£50 \times 100 \text{ beneficiaries} = £5,000$ ).
- Uncosted time for additional keyworker support for 50 beneficiaries at an average of 1 hour per beneficiary and an assumed cost of £15 per hour, totalling £750 ( $£15 \times 50 \text{ beneficiaries} \times 1 \text{ hour} = £750$ ).

In kind costs for 2010/11 are estimated to total £32,400 and comprise:

- Uncosted time inputs of 10 strategic managers attending 4 delivery group meetings of 2 hour duration at a cost of £75 per person per meeting, totalling £3,000 ( $£75 \times 4 \text{ meetings} \times 10 \text{ people} = £3,000$ ).
- Uncosted time inputs for data management and for childcare brokerage for a day per week (half a day for each activity) at a cost of £75 per half day, totalling £7,500 ( $£75 \times 2 \text{ half days} \times 50 \text{ weeks} = £7,500$ ).
- Uncosted time inputs of Bayswater Family Centre advisers for 1 day per week at a cost of £150 per day, totalling £7,500 ( $£150 \times 50 \text{ weeks} = £7,500$ ).

- Uncosted time inputs of an intern at Bayswater Family Centre working for the pilot full-time for 4 weeks at a cost of £50 per day, totalling £1,000 ( $£50 \times 5 \text{ days} \times 4 \text{ weeks} = £1,000$ ).
- Uncosted time inputs of WCC strategic management, housing and economic development staff (3 individuals) for various issues for 0.5 days per person per month at an assumed cost of £150 per half day, totalling £5,400 ( $£150 \times 12 \text{ months} \times 3 \text{ people} = £5,400$ ).
- Uncosted provision of debt relief and support from external partners, assumed to have seen 50 beneficiaries for 1 appointment each, costed at £30, totalling £1,500 ( $£30 \times 50 \text{ beneficiaries} = £1,500$ ).
- Venue hire for meetings with 100 beneficiaries (each beneficiary received 6 hours of contact) at an assumed venue cost of £50 per day, totalling £5,000 ( $£50 \times 100 \text{ beneficiaries} = £5,000$ ).
- Uncosted time for additional keyworker support for 100 beneficiaries at an average of 1 hour per beneficiary and an assumed cost of £15 per hour, totalling £1,500 ( $£15 \times 100 \text{ beneficiaries} \times 1 \text{ hour} = £1,500$ ).



**Ref: DFE-RR152**

**ISBN: 978-1-84775-991-7**

**© GHK**

**September 2011**

**Department for Work and Pensions**

**Research Report No 560**

# **Making decisions about work in one-earner couple households**

**Sharon Collard and Adele Atkinson**

A report of research carried out by the Personal Finance Research Centre,  
University of Bristol on behalf of the Department for Work and Pensions

© Crown Copyright 2009. Published for the Department for Work and Pensions under licence from the Controller of Her Majesty's Stationery Office.

Application for reproduction should be made in writing to The Copyright Unit, Her Majesty's Stationery Office, St Clements House, 2-16 Colegate, Norwich NR3 1BQ.

First Published 2009.

ISBN 978 1 84712 487 6

Views expressed in this report are not necessarily those of the Department for Work and Pensions or any other Government Department.

# Contents

Acknowledgements .....	vii
The Authors.....	viii
Summary .....	1
1 Introduction .....	9
1.1 Background .....	9
1.2 Aims and objectives of the research .....	10
1.3 Research methods .....	11
1.3.1 <i>Topic guide</i> .....	11
1.3.2 <i>Pilot</i> .....	11
1.3.3 <i>Fieldwork</i> .....	12
1.3.4 <i>Analysis</i> .....	12
1.4 Research design .....	12
1.5 Report structure.....	13
2 Family circumstances.....	15
2.1 Family characteristics .....	16
2.1.1 <i>Family types</i> .....	17
2.1.2 <i>Number and age of children</i> .....	17
2.1.3 <i>Family health and caring responsibilities</i> .....	18
2.1.4 <i>Time use</i> .....	19
2.1.5 <i>Social networks</i> .....	20



2.2	Partner's employment .....	21
2.2.1	<i>Type of work</i> .....	21
2.2.2	<i>Working hours</i> .....	22
2.2.3	<i>Qualifications and experience</i> .....	23
2.2.4	<i>Changes in employment</i> .....	23
2.2.5	<i>Satisfaction with work</i> .....	23
2.2.6	<i>Participants' views of their partners work</i> .....	24
3	Household income and finances.....	25
3.1	Household income.....	27
3.2	Tax credits.....	29
3.3	Other financial assistance.....	30
3.4	Savings.....	31
3.5	Money management .....	32
3.6	Attitudes to money.....	33
3.7	Household financial situation .....	34
3.7.1	<i>Keeping up without difficulty</i> .....	35
3.7.2	<i>Struggling occasionally</i> .....	35
3.7.3	<i>A constant struggle</i> .....	36
3.7.4	<i>Falling behind</i> .....	37
3.8	Standard of living .....	37
4	Employment decisions of non-working partnered parents .....	41
4.1	Work history.....	43
4.1.1	<i>Enjoyment of work</i> .....	44
4.1.2	<i>Training and qualifications</i> .....	45
4.2	Reasons for not working at the present time.....	46
4.2.1	<i>Age of child</i> .....	46
4.2.2	<i>Missing out on childhood moments</i> .....	47
4.2.3	<i>Job loss</i> .....	47
4.2.4	<i>Health limitations</i> .....	47
4.2.5	<i>Childcare</i> .....	48

4.3	Why do some participants not want to work? .....	49
4.3.1	<i>Regional variations</i> .....	49
4.3.2	<i>Child-related reasons</i> .....	49
4.3.3	<i>Influence of partner's views</i> .....	49
4.3.4	<i>Impact of respondent's own childhood</i> .....	50
4.3.5	<i>Changes to benefits, tax credits and household income</i> .....	50
4.4	Why do some participants want to work? .....	50
4.4.1	<i>Financial reasons</i> .....	51
4.4.2	<i>Personal benefit</i> .....	52
4.4.3	<i>The views of working partners</i> .....	53
5	Moving into work .....	55
5.1	Looking for work .....	56
5.1.1	<i>Group 1: Actively looking for work</i> .....	57
5.1.2	<i>Group 2: Not actively looking for work at present, but intending to do so in the future</i> .....	57
5.1.3	<i>Group 3: Not looking for work, and not intending to do so</i> .....	59
5.2	What types of work were parents looking for?.....	60
5.3	Working hours and other factors .....	61
5.3.1	<i>Working hours</i> .....	61
5.3.2	<i>Travel to work</i> .....	63
5.3.3	<i>Level of earnings</i> .....	64
5.4	Job search activities .....	64
5.5	Preparing to move into work .....	65
5.6	Financial implications of moving into work.....	67
6	Support for moving into work.....	69
6.1	Support needs of non-working partnered parents .....	70
6.1.1	<i>Support to help parents become 'job-ready'</i> .....	71
6.1.2	<i>Help to find work</i> .....	72
6.1.3	<i>Help to move into work</i> .....	73

6.2	Provision of support services .....	73
6.2.1	<i>Delivery method</i> .....	73
6.2.2	<i>Providers</i> .....	75
7	Conclusions and policy considerations.....	79
7.1	Participants lived in relatively stable households with a traditional division of labour .....	79
7.2	There was a strong desire among participants to stay at home to look after their children .....	80
7.3	Families were generally managing on a low income, often through careful budgeting.....	80
7.4	Some families had consciously adjusted patterns of spending to manage on one wage.....	81
7.5	Several families had made a deliberate decision not to claim tax credits.....	81
7.6	Moving into work was generally a longer-term plan.....	81
7.7	Any move into work had to fit around children and family.....	81
7.8	Most jobseekers were looking for part-time jobs in occupations that tended to be low-paid.....	82
7.9	As a result, participants mainly anticipated small financial gains from having a second earner .....	82
7.10	The idea of 'making work pay more' might be attractive to participants concerned about loss of tax credits and other benefits .....	82
7.11	There was a high level of interest in support to move into work .....	83
7.12	Employers may have a role to play in overcoming low confidence among women who have been out of the labour market for some time .....	83
7.13	Targeted support to move into work was needed, but there was no consensus about providers.....	84
Appendix A	Interview topic guide .....	85
Appendix B	Interview sample design.....	93
Appendix C	Interview screening questionnaire .....	95
References	.....	99

# Acknowledgements

This research was commissioned by the Department for Work and Pensions. We would like to thank Karen Elsmore, Clare Talbot, Rowan Foster at DWP and Michael Kelly at the Child Poverty Unit for their advice and guidance at various stages in the project.

We would like to thank all the people who agreed to take part in the depth interviews. Sara Davies, Philippa Morgan and Sally Taylor helped with the fieldwork and analysis. Pro-Tel Fieldwork Limited carried out the interview recruitment.

# The Authors

Sharon Collard is a Senior Research Fellow and Deputy Director of PFRC.

Adele Atkinson is a Research Fellow at PFRC.

# Summary

The Government has set ambitious targets for reducing the number of children growing up in poverty and has pledged to eradicate child poverty by 2020. Its latest plans for doing this are set out in the March 2008 publication *Ending child poverty: everybody's business* (HM Treasury, 2008a).

Taken together, there are 900,000 children in poverty from two-parent families where one adult works full- or part-time<sup>1</sup>, and the other does not work at all. This accounts for 33 per cent of children in poverty. The evidence suggests that these figures could be reduced by encouraging potential second earners into work; within couple families where one parent works full-time and the other does not work, 20 per cent of children are in poverty. Where the second parent works part-time the proportion drops to three per cent, and two per cent if both parents work full-time (DWP, 2008).

*Ending child poverty: everybody's business* acknowledges the importance of tackling in-work poverty, through encouraging potential second earners in couple families into work where appropriate, and by ensuring that all parents have the support they need to stay in work and progress to higher paid jobs through training and development. This research was designed to improve understanding about two-parent families with children living in poverty where only one parent works, and to focus particularly on the work decisions of the non-working parent.

## The research

In total, we conducted 50 in-depth interviews during May and June 2008 in three regions: North Somerset, West Yorkshire and London. Participants were all non-working parents with a partner who worked. They were recruited on the basis that their self-reported household income was below 60 per cent of median income before housing costs, taking into account the number of dependent children living with them. This is the Government's headline indicator of child poverty. In practice, this meant that a parent with two children would only be recruited to the sample if they reported a household income below £360 per week.

---

<sup>1</sup> Either as an employee or on a self-employed basis. Figures are for 2006/07.

## Background information

### **Participants and their families**

We interviewed some participants with pre-school children and others whose youngest child was in school. Some of the participants lived in a household where at least one family member had a health problem that limited their activities or required regular medical attention.

The participants described their typical day and their social networks. As well as carrying out domestic chores, they talked about dedicating a considerable amount of time to activities with their children – both structured activities like homework supervision, and unstructured play. Family was important to some participants for both social contact and for financial and practical support. However, a surprisingly large number of participants had no real social contact, no family support and no network of friends.

### **Partners' jobs and work patterns**

The sample design for the study meant that most working partners worked full-time. They typically had jobs in manual occupations, often in the building trade or as a driver.<sup>2</sup> Among female working partners, cleaning and care work was common.

The type of work undertaken by the partners included jobs with early starts and long hours as well as shift work. Most had to travel to work. Participants often reported that work patterns made it difficult for partners to share school runs, childcare responsibilities or domestic chores.

### **Household income**

The working partner's earnings often varied from month to month depending on the availability of work generally, and on overtime and bonus payments.

Some participants told us that they did not claim tax credits, either because they felt they did not deserve or need additional financial support from the Government, or because they did not like sharing personal information with HM Revenue and Customs (HMRC). A further group were apparently unaware that they were entitled to any form of financial support (above and beyond Child Benefit).

### **Making ends meet**

When asked to make a subjective assessment of their current financial situation, only a small number of participants said they managed without any difficulties at all. Most participants indicated that they managed to keep up with their household

---

<sup>2</sup> As defined in the National Statistics Socio-economic Classification (NS-SEC) method of occupational classifications. Please see <http://www.ons.gov.uk/about-statistics/classifications/current/ns-sec/index.html> for more information.

bills and credit commitments, but that it was either a struggle from time-to-time or a constant struggle. Very few participants reported falling into arrears with household bills and credit commitments, however.

There did not seem to be any clear patterns in terms of regional or other differences in the household financial situations reported by participants. Nor was there any strong pattern between household financial circumstances and the non-working partner's intentions to look for work.

### **Money management**

The responsibility for household money management was unrelated to the work status of the partners. In some households it was a shared responsibility. Where the responsibility lay with just one of them it was generally because both partners considered them to be the better money manager.

With a few exceptions, the general picture from the interview data was that these households tended to manage their money fairly carefully, which perhaps explains why few said they had fallen into arrears. Many participants said they (and their partners) had made conscious decisions to forgo certain purchases or expenses to make ends meet as best they could. In some cases, the changes were relatively minor, while in others families were postponing expenditure on large items until their financial situation improved.

There were participants with savings in all three fieldwork areas; some with significant amounts saved. Savings had sometimes been put aside when families had a higher household income; in other cases savings took the form of a redundancy payment or inheritance.

## Employment decisions of non-working partnered parents

### **Participants' work histories**

Almost all the non-working parents we interviewed had some history of work and most had worked since the birth of their eldest child. There was considerable variation in terms of when they had last worked, however, so while some had only stopped work very recently, others had not worked for ten years or more.

Women were more likely to have worked part-time since the birth of their eldest child, in jobs that fitted in with school times such as school meals supervisors and classroom assistants. In contrast, most of the male participants had worked in full-time positions since their eldest child was born. These included a wider variety of roles, including meter reading and IT.

### **Why were participants currently out of the workforce?**

There were a number of reasons why participants were not working at the time of the interview. Among them were redundancy and health issues, including the participants' own health problems and those of a family member which required



regular medical appointments or careful monitoring. Some participants reported that they did not want to work because they wanted to be at home for their children, and this was just as true for participants with older children (aged 11+) as it was for those with pre-school aged children.

Several participants reported a lack of suitable childcare as the reason for not currently working and some mentioned the prohibitive cost of childcare, particularly in school holidays or for more than one child. Other participants (and their partners) had negative views about the general notion of leaving children with other adults, and so for them childcare was not an option.

### **Why did some participants *not* want to work?**

A number of participants in West Yorkshire and North Somerset had no intention of taking paid work in the foreseeable future. This was not the case in London or among any of the male participants who were interviewed. Participants who were not looking for work and had no intention of doing so were all women, ranging in age from 20s to 50s. Most had not worked for at least four years. The main reason they gave for not working and not looking for work was the desire to look after their children.

Some of these participants had made an active choice to stay at home, because of the benefits for their children or because they enjoyed 'being a mum'. Their own experiences of growing up sometimes influenced their views about parenting. Several recognised that there were potential benefits from working, including additional income and independence, but these did not change their decision.

Few of these participants felt their partner's attitude to them working was a major influence on their decisions about work. Neither was the availability or loss of state benefits or tax credits a factor.

### **Why did some participants *want* to work?**

Most participants who were interviewed said they intended to return to work at some point, with financial reasons and personal benefits being the main drivers. Alongside the desire to work, however, was a concern to find the right balance between parenthood and employment.

The main financial reason for wanting to work was to improve the family's overall financial situation and their standard of living. Some female participants aspired to earn their own money, while others wanted to ease the pressure on their working partner by making some contribution, however small, to the family finances. Most participants who wanted to improve their financial situation had talked about finding it a constant struggle to make ends meet; some had fallen behind with bills.

The personal benefits of returning to work included independence and the relief from the boredom of being at home. The idea of being a positive role model for their children was also a consideration for some participants.

## When did participants anticipate moving into work?

Participants who were actively looking for work at the time of the interview were mainly in their 30s and in most cases their youngest child was at school. They included most of the men who were interviewed. None of them had been out of work for more than two years and they had generally stopped work because of job loss.

Other participants wanted to work at some point, but not right away. They were largely women under 40, most with at least one pre-school aged child. They had typically not worked for at least three years. Some were planning to look for work in the next few months, but a much larger number did not intend to look for work for at least a year, and this was often linked to their children's key educational milestones.

## What types of jobs were participants looking for?

The types of jobs that participants were considering included a number of manual/service occupations (e.g. cleaner, security guard) and clerical intermediate occupations (e.g. care worker, teaching assistant).

While the type of work mattered to some, working hours were the most important factor by far in looking for work. Most participants (mainly women) wanted to work part-time hours so they could do the school run and minimise the need to use paid childcare. The desire to work locally and so cut down on travel to work was the next most commonly mentioned factor. Level of earnings was certainly a consideration for participants, but not mentioned nearly as often as the other two factors.

## Looking for work

Participants typically looked for jobs in local papers and through internet-based job search facilities. Other job search activities included signing on with employment agencies and using Jobcentre Plus facilities. Most of the participants who were actively seeking work had either applied for jobs or been offered jobs through an employment agency. Some had been turned down for jobs and a few had turned down job offers.

## What support would participants welcome to move into work?

Support services, participants felt, had to be targeted at parents seeking work and tailored to their needs. Participants were uncertain about who should provide it, but most commonly mentioned Government, local councils or employment agencies. Cost was also an important issue in relation to training; several participants were aware of *learndirect* but had been put off by what they considered to be the high cost of courses.<sup>3</sup>

---

<sup>3</sup> *learndirect* was developed with a remit from Government to provide high-quality post-16 learning. Among other things, it offers free independent careers advice over the phone, online and by email and delivers courses to help adults improve their maths, English and IT skills.

There was a high level of awareness of Jobcentre Plus among participants, and some participants mentioned it as the obvious provider of support services for parents like them who were looking to move back into work. However, participants' views and experiences of Jobcentre Plus were mixed.

Participants identified several support needs:

- Increasing employability and confidence: There seemed to be high demand for support services among active and future jobseekers. Participants were interested in support to help them become job-ready, including help to write a CV or complete a job application form and with job interview skills. They were also keen to access training around basic computer skills, and some wanted help to choose the right course for them.
- Finding appropriate work: Help to find work was the second area where participants wanted support, in order to find family-friendly employers, and to access some form of careers advice, for example to help them find suitable jobs.
- Working out the financial implications: The main needs here were two-fold: first, help to work out whether or not their household would be better-off if they went back to work; and secondly, advice about the financial assistance that might be available to help with childcare costs.
- Arranging childcare: Parents wanted help to find good quality, appropriate and affordable childcare provision.

## Conclusions

For the participants (and their partners) in this study, the desire for one parent to be the primary carer for their children was the overriding consideration in making decisions about work. To achieve this, participants and their partners were prepared to accept a lower household income than if both partners worked. Most participants and their families managed to live on a low income through careful budgeting, and in some cases had consciously adjusted their spending patterns to cope on one wage.

While most participants planned to move into work at some time, this tended to be a longer-term plan that was several years off. Without an improvement in their partner's earnings, therefore, their financial situation would be unlikely to change significantly in the short term.

In addition, any move into work was largely contingent on finding a job that fitted around children and family. This typically translated into a part-time job that was local and participants mainly talked about moving into jobs that would be relatively low paid, such as cleaning, security work or care work. This meant that the financial gains of moving from a one-earner to a two-earner household were likely to be fairly small. For some participants, however, the perceived

non-financial benefits of work (such as the social aspects and improved self-esteem) outweighed the financial gains.

Tax credit recipients who planned to move into work were concerned that their overall financial situation would not improve much (if at all) if they got a job, because of the impact of any additional earnings on their tax credit entitlement. This was particularly the case among participants who receive larger amounts of tax credits. The idea of making work pay (or pay more), which is the aim of the In Work Credit (IWC)<sup>4</sup>, might be attractive to these participants.

Finally, there was a high level of interest among participants in targeted support for parents like them to move into work, although there was no consensus about who should provide it. Confidence was a particular issue for women who had been out of the labour market for a long time. Although not mentioned by participants, employers may have a role to play in helping these participants and others like them, for example by offering a phased return to work that incorporates training to update skills.

---

<sup>4</sup> IWC is a payment of £40 per week (increased to £60 in London from July 2007), which was extended nationally in April 2008 to all lone parents who have been on benefits for at least a year, during their first year back to work. IWC has also been piloted among couple parents since April 2005, in all but one Jobcentre Plus districts in London. In July 2008 IWC was extended to couple parents in all 11 New Deal Plus for Lone Parent pilot areas, which includes the whole of London.



# 1 Introduction

This report contains the findings from qualitative research undertaken by the Personal Finance Research Centre on behalf of the Department for Work and Pensions (DWP). This chapter outlines the background and policy context for the research, along with the research aims and objectives and the research methods used.

## 1.1 Background

The Government has set ambitious targets for reducing the number of children growing up in poverty and has pledged to eradicate child poverty by 2020. Its latest plans for doing this are set out in the March 2008 publication *Ending child poverty: everybody's business* (HM Treasury, 2008a).

Taken together, there are 900,000 children in poverty from two-parent families where one adult works full- or part-time<sup>5</sup>, and the other does not work at all. This accounts for 33 per cent of children in poverty. The evidence suggests that these figures could be reduced by encouraging potential second earners into work; within couple families where one parent works full-time and the other does not work, 20 per cent of children are in poverty. Where the second parent works part-time the proportion drops to three per cent, and two per cent if both parents work full-time (DWP, 2008).

Recent Government policy has, therefore, widened its focus to encourage both parents in couple families back to work. For example, *Ending child poverty: everybody's business* also acknowledges the importance of tackling in-work poverty, through encouraging potential second earners in couple families into work where appropriate, and by ensuring that all parents have the support they need to stay in work and progress to higher paid jobs through training and development. This includes a roll-out of the In Work Credit (IWC) pilots to provide financial incentives for both parents to move into work, as well as providing tailored

---

<sup>5</sup> Either as an employee or on a self-employed basis. Figures are for 2006/07.

work-related support.<sup>6</sup> A range of measures has also been announced to help parents in London to return to work, for example to help overcome the high childcare and transport costs in the capital (HM Treasury, 2008b).

To date, the main target group for Government policy (and the main focus of Government research) in this area has been benefit customers and, latterly, their partners. The DWP commissioned this qualitative research project in order to learn more about the labour market choices and constraints of non-working partnered parents living in low-income households that are not in receipt of any out-of-work benefits from DWP and therefore, not automatically offered support if they wish to enter employment.<sup>7</sup>

## 1.2 Aims and objectives of the research

Analysis of survey data from the Families and Children Study (FACS) has provided quantitative evidence about the characteristics of workless partners in low-income families and their labour market choices and constraints (see, for example, D'Souza *et al.*, 2008). Other research (both quantitative and qualitative) has looked at the reasons for worklessness among adults with children, including health problems (Dorsett and Kasparova, 2004; Evans, *et al.*, 2004; Casebourne and Britton, 2004) and personal preferences not to work (Atkinson, Finney and McKay, 2007) – although much of this work has focused predominantly on lone parents.

The overall aim of this qualitative research project was to understand the attitudes and behaviours of non-working partnered parents living in low-income households where neither partner is in receipt of out-of-work benefits from DWP, and to explore the factors that might influence decisions about work within their household. The project had three main objectives:

- To explore the labour market choices, constraints and aspirations of non-working partnered parents in low-income households, particularly in terms of any longer-term trade-offs between income through paid work and child caring responsibilities.
- To explore the type of support non-working partnered parents might require in order to make paid employment a realistic option.

---

<sup>6</sup> In Work Credit (IWC) is a payment of £40 per week (increased to £60 in London from July 2007), which was extended nationally in April 2008 to all lone parents who have been on benefits for at least a year, during their first year back to work. IWC has also been piloted among couple parents since April 2005, in all but one Jobcentre Plus districts in London. In July 2008 IWC was extended to couple parents in all 11 New Deal Plus for Lone Parent pilot areas, which includes the whole of London.

<sup>7</sup> Low-income households are defined as those with household income at or below 60 per cent of the median before housing costs. The Government defines children in these households as in poverty.

- To identify how best to reach this group with information, advice and support to move into work.

### 1.3 Research methods

Qualitative research, in the form of 50 in-depth interviews with non-working partnered parents living in low-income households, was used to meet the objectives of this research.

Quantitative analysis can tell us how many partnered parents are living in single earner households and their characteristics. Analysis of longitudinal data can also tell us how long the situation has lasted for, and what preceded it. The particular value of qualitative research is that, unlike quantitative analysis, it allows us to explore the reasons why something has happened or why individuals behave in certain ways or hold certain views. The strength of depth interviews lies in the ability to explore fully individuals' circumstances, views and experiences. By using a qualitative approach, therefore, this project can add to the existing evidence base by exploring the specific circumstances and experiences that are related to labour market decisions amongst non-working partnered parents living in low-income households.

#### 1.3.1 Topic guide

A topic guide was developed in conjunction with DWP to facilitate the depth interviews and ensure that key topics were covered. The topic guide covered the following broad areas:

- General information about the participant (including family composition, social networks and time use).
- Employment situation of working partner and household financial situation.
- Participant's views and experiences of work.
- Decision-making about work.
- Job search and moving into work.
- Support needs.

The topic guide is provided in Appendix A.

#### 1.3.2 Pilot

A pilot comprising five depth interviews was conducted in April 2008, to check that the topic guide was relevant and appropriate for the target group and that street recruitment was a suitable approach to identify non-working partnered parents for interview (sampling is discussed in Section 1.4).

A number of minor adjustments were made to the topic guide post-pilot, which mainly involved restructuring questions to improve the flow of the interview. Some extra prompts and probes were also added.



The pilot interviews counted towards the total number of interviews, and were analysed alongside the mainstage interviews.

### **1.3.3 Fieldwork**

The main fieldwork (comprising 45 depth interviews) was carried out in May and June 2008 in three locations: North Somerset, West Yorkshire and London. The interviews were held in central locations (rather than participants' homes) and lasted anywhere between 30 and 70 minutes; the average interview length was around 45 minutes. Researchers and research associates from the Personal Finance Research Centre (PFRC) who are trained and experienced in qualitative research methods conducted the interviews. Participants each received £30 as a thank you for taking part in the research.

### **1.3.4 Analysis**

The interviews were recorded, with the participants' permission, and fully transcribed to allow for detailed analysis. Information from the transcripts was transferred to thematic grids, forming the basis of the analysis. The thematic grids were informed by the topic guide and notes from the fieldwork debriefing sessions. This approach allows for the rigorous and systematic interpretation of qualitative data. Second tier analytical grids were then produced, to structure the key themes for reporting. This information was used to write the report. Where relevant, the report also draws on findings from previous research studies.

## **1.4 Research design**

The focus of the research was non-working partnered parents living in low-income households, whose partner worked as an employee or was self-employed. Participants were recruited on the basis that their self-reported household income fell below 60 per cent of median income before housing costs, taking into account the number of dependent children living with them. The 60 per cent of median income figure is calculated from the median income of couples without children, then adjusted to take into account the ages and number of children in the household.<sup>8</sup> For recruitment purposes we assumed that all children in the household were aged over 14 which could potentially lead us to include some households with incomes slightly higher than the generally accepted level. However, given that the data we used to calculate the median income was drawn from between April 2005 and March 2006, this potential overestimate will be reduced somewhat.

---

<sup>8</sup> The median figure of £362 per week that we used to calculate the income bands used in the recruitment process was taken from the 2005/06 Households Below Average Income data.

In order to explore a full range of views and opinions, quotas for the interviews were set on a number of key attributes: gender of the non-working partnered parent; whether the working partner worked full-time (30 or more hours per week) or part-time (less than 30 hours per week); and the age of their children. Full details of the sample design are provided in Appendix B.

Street recruitment (generally in busy shopping areas) was used in the three fieldwork locations to identify eligible participants for the research.<sup>9</sup> A structured questionnaire was used to recruit people to quota and to gain informed consent. A copy of the screening questionnaire is provided in Appendix C.

## 1.5 Report structure

The remainder of this report is structured as follows:

- Chapter 2 describes the family circumstances of participants and the type and nature of the working partner's employment.
- Chapter 3 examines the participants' household income and finances, including their subjective assessment of how well their household was managing financially.
- Chapter 4 explores non-working partners' views and experiences of work, and the factors around their decision whether or not to work at the present time.
- Chapter 5 begins by categorising participants according to whether or not they were looking for work. It goes on to consider the views and experiences of participants who were looking for work, or who intended to in the future.
- Chapter 6 focuses mainly on participants who were looking for work or who intended to in the future. It examines their views and experiences of the support needs of non-working partnered parents to look for and move into work, both generally and personally.
- Chapter 7 provides an overview of the key findings from the research, and the policy considerations that arise from them.

Verbatim quotations and case studies are used throughout the report to illustrate particular viewpoints and experiences. These views and experiences are not necessarily representative of all participants. Where quotations are used, attributes are given in the following order: gender, age, location. All participants' names have been changed in the case studies, as have some of their personal or family details.

---

<sup>9</sup> The recruitment was carried out on behalf of PFRC by Pro-Tel Fieldwork Limited.



## 2 Family circumstances

The first part of this chapter looks in detail at the characteristics of the participants and their families, while in the second part we describe their partners' employment. The information is not intended to describe the entire population of partnered parents, only those who took part in the research, and the participants were not purposively sampled to reflect any socio-economic characteristics other than income and work status. Most of the participants who were interviewed were in their 20s and 30s, although the sample also included some older participants in their 40s and 50s.

### Summary: Family circumstances

- The participants who were interviewed typically lived with a partner and one or two children. There were also some larger families, comprising three or more children. About half the participants had a youngest child under four years old, the remainder had a youngest child that was in full-time school.
- It was noticeable that participants were generally in longstanding relationships; the oldest couple had been together for 35 years.
- Although most participants and their families were in good health, a number of families included at least one member with a health problem that limited their activities or required regular medical attention. It was unusual for non-working parents to mention caring responsibilities outside the home, and none of the participants reported being a registered carer.
- Participants were typically responsible for all the household chores. They talked about four kinds of domestic responsibilities: cooking, cleaning, basic childcare responsibilities (e.g. school run, bath and bedtime routines), and taxiing children to activities, clubs or to see friends.
- Participants generally described spending considerable amounts of time with their children. This was divided into structured activities such as toddler groups or supervising homework and unstructured time as a family or with friends and relatives.

Continued

- The most important social network for many participants was their family (typically their own parents and siblings), for social contact and for financial and practical support. A surprisingly large number of participants had no real social contact, no family support and no network of friends.

#### Partner's employment

- The working partners of participants typically had jobs in manual occupations, often in the building trade or as a driver.<sup>10</sup> Among female working partners, cleaning and care work were common.
- The sample design for the study meant that most working partners worked full-time. Many participants reported that their partners had jobs that required early starts, and most had to travel to work. Some worked shifts or long hours. Such work patterns left little flexibility for sharing school runs, childcare or domestic chores if both parents worked.
- Participants generally felt that their partners enjoyed their jobs, although some were looking for alternative employment or planned to do so because they disliked their current job. On the whole, participants were supportive of their partners' work decisions, as long as they were able to provide for their family.

## 2.1 Family characteristics

We begin by describing the relationship between the participant and their partner; whether they were married or cohabiting, and whether the relationship was long lived or relatively new. We also consider whether they were both biological parents for the children in the house, and whether they had dependent children living elsewhere.

The number of children is also discussed in this section. Family size is known to be important in studies of child poverty, with larger families suffering increased risk of living in poverty (Department for Work and Pensions (DWP), 2008). Similarly, the health of parents and children are described, as these are also known to be related to parental employment and household income (Atkinson *et al.*, 2007).

The interviews included questions about the ways in which non-working parents used their time and the social networks that they were part of. These provided insights into the structure of each parent's day, the share of household chores and the amount of time that parents might have available to them to move into employment.

---

<sup>10</sup> As defined in the National Statistics Socio-economic Classification (NS-SEC) method of occupational classifications.

### 2.1.1 Family types

The participants were all either married or co-habiting and included one male, same-sex couple. The actual type of relationship does not seem to have impacted on the stability of any of the families and was unrelated to job search activities amongst non-working partners.

It should be remembered that the research focused exclusively on partnered parents, and so we would expect most participants to be in fairly stable relationships compared with all families with children.<sup>11</sup> However, it is still striking just how longstanding the relationships were, and how few participants or their partners had non-resident children. Even the youngest parent interviewed, aged 19, had been in a relationship with the father of her child since she was at school, and the oldest couple had been together for over 35 years.

Few of the participants or their partners were step-parents. Those who were generally also had children of their own living in the household. It was as unusual for a participant to be looking after step-children as for a working partner to be supporting step-children.

There were only a few families where one parent shared the care of at least one of their children with an ex-partner on an approximately equal basis. Given the small number of participants sharing care, their particular issues in relation to work decisions cannot be meaningfully analysed for this research. However, shared care should be considered when looking at policy responses to child poverty, since there may be specific issues relating to sharing the costs and benefits associated with childcare and working that are beyond the scope of this report. For example, the non-resident parent and the parent with care may have different childcare needs for the period of time that their children are with them, and those with financial child support obligations may be dissuaded from working if they have to pay a proportion of their earnings to the other parent.

### 2.1.2 Number and age of children

The families typically had one or two dependent children living with them. However, several families had three or more children, and the largest comprised five children. About half of participants had a youngest child under the age of four, and some included a baby under the age of one. The remaining participants had a youngest child who was at school. A few parents were expecting another child at the time of the fieldwork.

The age range of children within a household is particularly relevant when considering the help that parents might need to return to work. Parents with children at different schools or childcare providers may face a range of problems including

---

<sup>11</sup> Given that only a small number of participants were men, and that men are more likely than women to become non-resident parents, it is important to recognise that this observation is at the household level.

co-ordinating drop off and pick up times, and the additional cost of childcare because of being unable to utilise any family discount available for siblings.

Those families with two children generally had gaps of between two and four years between children. However, it is striking that some of the families (particularly those with three or more children) had large gaps between children. In a small number of cases this is because the participant had re-partnered, but as mentioned above, most of the parents we interviewed had been in long-term relationships. A number of participants had just one child, ranging in age from under one year to teenage. It was notable that almost all of the parents with only one child were actively looking for work. Interestingly, those with one child who were not active job-hunters typically also had no intention of looking for work in the future, and this was the case regardless of the age of their child.

In West Yorkshire, parents of older children (aged 11+) were less likely to be job hunters than those with younger children. The same did not appear to be true in London or North Somerset, although most families in those two areas had at least one child aged 11 or under, making comparisons difficult.

A small group of participants had older non-dependent children in addition to at least one dependent child. We have not included them in our discussion of family size above. However, the financial impact of having older children (whether officially dependent or not) should not be overlooked. Adult offspring who were living at home were typically contributing something to the family budget, as were some of the dependent teenagers. Dependent children in full-time education were in receipt of the full amount of Educational Maintenance Allowance (currently £30 per week) and some also had part-time jobs, which meant that they were no longer completely reliant on their parents for money to socialise or buy clothes.

### **2.1.3 Family health and caring responsibilities**

Most participants who were interviewed reported that they and their families were in good health. However, a number of the families included at least one member with a health problem that limited their activities or required regular medical attention. As we go on to discuss in Section 4.2.4, several participants cited their own poor health or that of a family member as a reason why they were not working at the time of the research interview, although they generally intended to return to work at some point in the future.

There were families where the non-working parent had recent or ongoing health problems and others where a working partner had such problems. However, there were important differences. Working partners were more likely to have suffered from serious illnesses in the recent past that had limited their activities (some had been hospitalised) rather than ongoing conditions or physical disabilities. Mental health problems were relatively common amongst non-working partners, but not those in work. Back problems had previously caused some non-working partners to stop work, while some working partners had switched jobs to prevent

further problems with bad backs. Participants also suffered from other medical conditions such as diabetes and arthritis, and this did not seem to be the case amongst their partners.

Some parents reported that one of their children had a health condition that limited them in some way or required regular monitoring. The children had a range of medical and behavioural problems, such as asthma, epilepsy and Attention Deficit Hyperactivity Disorder (ADHD). In some cases non-working parents felt that their child's condition would limit the extent to which they could be available for work, while others had children who seemed to be able to manage their conditions themselves.

In a few cases, more than one member of the family had a limiting health condition, although the difficulties themselves were unrelated. For example, one family included a partner with arthritis, and another with a serious heart complaint, while another household included a child with a disability and a parent with depression.

As noted above, some of the children and working parents with health conditions required careful monitoring or regular hospital visits. However, the non-working parents we spoke to were not registered as carers and did not tend to discuss themselves in those terms.

It was unusual for the non-working parents to have any caring responsibilities for anyone outside the home; for example just one mother was responsible for her mother-in-law's care.

#### **2.1.4 Time use**

Participants typically talked about four kinds of domestic responsibilities: cooking, cleaning, basic childcare responsibilities (including breakfast, school runs, bath and bedtime routines) and 'taxiing' (driving children to various activities, friends and clubs). Participants also commented on a number of interactive parenting activities they undertook, such as playing with children and supervising homework. Other regular commitments were rare; few of the non-working parents had hobbies or activities that they undertook on a regular basis. Exceptions included a mother who made regular use of a local gym and a small number who undertook voluntary work.

The non-working parents almost always took responsibility for all of the household chores; consequently, just one participant told us that his partner was responsible for the majority of the household tasks including cooking, and this was in addition to her full-time job. Participants explained their responsibility for household chores in three ways. Some couples had fallen into a habit of taking on the roles of the 'breadwinner' and the 'housewife' out of convenience. Some mothers felt that the main reason they had responsibility for the domestic chores was that their partner was 'old fashioned' or even a 'chauvinist' and expected this division of labour – this was particularly the case amongst the participants in West Yorkshire, much less so in North Somerset (there was no noticeable pattern in London, partly



because of the larger number of male participants). The third group noted that their partner worked long or unsociable hours and that it was not fair to expect them to also take responsibility for the housework.

*'So I accept that he's never around in the mornings, which is fine, I never put him into the equation, do you know what I mean.'*

(Woman, 30s, London)

Participants generally described spending considerable amounts of time with their children, and clearly distinguished this from time spent on their domestic responsibilities. Time spent with children, typically split into time undertaking structured activities such as attending toddler groups or supervising homework and unstructured time as a family or with friends and relatives playing games or visiting a local park. Whilst many of the working partners were out of the house for long periods, some participants commented on the positive relationship their partners had with their children.

*'If he's home on time when it's nice weather they both go outside while I prepare tea...they'll both play on the trampoline or skipping or various other things.'*

(Woman, 30s, West Yorkshire)

As mentioned above, a small number of parents undertook voluntary work, and a few others had done so in the recent past. Helping out at school was the most popular, but others worked for the Samaritans, charity shops or church voluntary services. Voluntary work generally consisted of a few hours a week and was a regular commitment.

Participants generally reported being busy throughout the day (just one admitted to allowing herself 'sofa time' in the middle of the day, and she was regularly awake before 5.30am to prepare breakfast). It was unusual for any to suggest that they had long periods with nothing to do, irrespective of the ages of children. Their days were also often long, starting early with breakfast and not finishing until the last child had been collected from evening activities and put to bed.

### **2.1.5 Social networks**

The participants had a range of informal networks that they socialised with and looked to for support. For a great many, family was the most important network. Some looked to their own parents for social contact (as well as help with both financial and practical issues). Others had siblings that they met regularly, while in a few cases the family network was much wider, and included great nieces, grandparents and in-laws.

Some of the older non-working parents had retained strong relationships with their grown-up children; indeed some even went away on holiday together. These parents could provide and request help with childcare from their older offspring.

Another group of participants turned primarily to friends for support. In most cases these were friends that had been made 'at the school gate', rather than friends from before the children were born, although a young care-leaver also had social contact through an agency that provided support for care-leavers and a few stayed in touch with old work colleagues. Some met friends during the day for coffee or shopping trips, while others just chatted on the walk to school. It appears that few met in the evenings or at weekends.

A few families had strong ties to particular groups or clubs (including antenatal groups and the Young Farmers) or (in the case of several recent migrants who were interviewed) held religious beliefs that brought them into contact with like-minded families.

A surprisingly large proportion of the parents interviewed had no real social contact, no family support and no network of friends. This was rarely because of moving house, or leaving work, but more typically seemed to reflect a certain amount of isolation from being at home during the day. It was a situation faced by parents in all three of the fieldwork areas and did not seem to reflect a particular geographical issue. There was also no obvious gender or age patterns.

## 2.2 Partner's employment

In this section we describe the employment of the working partner, as discussed by participants. We pay particular attention to the types of jobs, hours worked, job stability and whether the partner was working for themselves or employed. We also report the extent to which the participant felt their partner was happy in their work, and the ways in which their partner's work impacted on themselves and their children.

### 2.2.1 Type of work

The working partners typically worked in manual occupations.<sup>12</sup> Some of these positions required specific job training, but few required post-16 education. It was particularly common for male partners to work in the building trade (builder, plasterer, scaffolder, electrician, etc), or as a driver (including bus and coach drivers, HGV drivers, heavy plant and fork-lift truck drivers). Several partners worked in the catering industry, and some worked in security or as cleaners. It was relatively uncommon for working partners of either gender to be employed in offices or shops.

The working mothers fell into three main employment categories: those working either part-time or as trainees in reasonably well paid jobs (including a legal assistant and an IT specialist), those with low paid work including cleaning and catalogue delivery, and those employed in various aspects of healthcare. Their employment appeared quite gendered, with none of the female working partners working in traditionally male roles such as the building industry.

---

<sup>12</sup> As defined in the NS-SEC method of occupational classifications.

There were some apparent differences in the types of employment across the fieldwork locations. In particular the types of jobs held by working partners in London were more varied; in contrast with the other two regions, only a small number worked in the building industry.

Women working part-time were not necessarily seen as the main breadwinner for their family despite being the only earner. It seems that they had simply continued in a long-term position while their partner sought alternative employment. This is in contrast with the (small number of) men working part-time, who did appear to be seen as the main breadwinner despite their low earnings.

Some parents described how their partner's employment status had deteriorated in recent times, such as a chef who had been laid off, then rehired on a less favourable contract. Other participants talked about how their working partners were 'employed' through agencies and did not get paid if there was no work.

### 2.2.2 Working hours

The research was designed to ensure that most participants had partners who worked full-time.<sup>13</sup> However, when participants discussed the work patterns of their partners it was noticeable that the actual number of hours worked and the work patterns varied considerably.

Many of the partners had jobs that required early starts, and most had to travel to work. This meant that many of the couples were up very early in the morning (5.30 or 6am in some cases), with non-working partners being responsible for getting their partner and children ready for the day ahead. It is clear that such work patterns do not leave much flexibility for sharing school runs and childcare when both parents try to work.

*'The hours he works it's impossible to take the kids to school and pick up because it's too unreliable.'*

(Woman, 30s, London)

However, some of the partners could finish early and a few were able to be home in time to pick children up from school once or twice a week.

Non-working parents also faced long hours alone when their partners worked unsociable hours, which did not suit all of them. They tended to voice their frustration at being left at home alone while their partner worked shifts, but they generally accepted that it was out of their control, and some acknowledged that it was for the benefit of the household.

---

<sup>13</sup> In fact, around three-quarters of children living in poor one-earner couple households have one parent working full-time, and this is usually the male partner in the couple (DWP 2008).

*'You know, I don't like it when he works until two in the morning and stuff like that but I don't suppose a lot of people like things that happen sometimes, you just have to get on with it really.'*

(Woman, 40s, London)

### **2.2.3 Qualifications and experience**

As described in Section 2.2.1, most working partners had jobs in manual occupations. It was unusual (although not unheard of) for participants to report that their partner was working along a particular career path with a view to promotion.

Some of the working partners had qualifications or experience that could potentially have earned them far more money in another field. In one case, a young father was an experienced prosthetics engineer, but chose to work in a factory because he had found his previous job too distressing. Another parent spent four years undertaking a degree as a (young) mature student, only to return to work in the building industry (his partner commented that at the age of 25 he found it impossible to find work in the media, which had been his degree subject).

### **2.2.4 Changes in employment**

Working partners ranged from those who appeared to change jobs and careers regularly to those who had been with the same organisation for many years. There was also a noticeable movement between self-employment and employment, and vice versa, in both the building trades and driving. In some cases, working partners had tried to set up their own business, but had either failed to make enough money to support their families or the business had folded. Some had chosen self-employment because it appeared more financially rewarding. In others, the arrival of children had made breadwinners look for more secure employment. It does not seem that these changes were instigated or insisted upon by the non-working parent.

A few working partners also changed jobs because of limiting health conditions, in some cases after having been retired on health grounds. For example, one had worked for many years as a bus mechanic but felt unable to continue such physical work and had become a bus driver, while another had been forced to stop selling heavy machinery following heart surgery and had taken up a position in a DIY store.

### **2.2.5 Satisfaction with work**

The participants typically felt that their partner enjoyed working. However, some acknowledged that their partners did not like their current job, and were either job hunting or would look for something else in the near future. It was often mentioned that the working partner had a responsibility to provide for their family, and there appeared to be a sense of achievement from being able to find work relatively easily and being the main breadwinner.

Several parents mentioned that work left their partners very tired. This was particularly the case when they had physical jobs, but also reflected the unsociable hours of some jobs, and the need to work overtime to make ends meet.

*'I mean it's very hard and it's very physical and he's finding it, because he's 40 now and you know, I mean he's got more aches and pains than a lot of people who had been inside, but then he was never an office worker.'*

(Woman, 30s, London; husband works for a builder's merchant)

### **2.2.6 Participants' views of their partners work**

On the whole, non-working partners were supportive of their partners' work decisions and happy for them to do what they had to in order to provide for their family. Occasionally, participants noted that they would like their partner to get a job with more responsibility or security, but this was unusual. Other complaints made by a few related to the unpredictable nature of their household income (see Section 3.1), and it was noted that arguments sometimes occurred as a result of this lack of financial security.

It was interesting that some parents commented that the working environment of their partner was very 'male dominated' and that they could never do the job their partner does. In contrast, others had themselves previously worked in the same profession as their partner (including catering) and recognised the potential difficulties and rewards of such work.

### 3 Household income and finances

Participants discussed their household income and financial situation in the context of their working partner's earnings from employment, the receipt of benefits and tax credits and other financial support. They also talked about their housing tenure and made a subjective assessment of their financial situation using a showcard prompt. In the final part of this section, we also explored the ways in which families managed their household finances, which partner was mostly responsible for money management, and what sacrifices they may have made to make ends meet from their current household income.

All of the families had their own home, whether rented or bought; nobody was living with other family members or in temporary accommodation. A few of the older parents had finished paying off their mortgage, and so owned their home outright.<sup>14</sup> More commonly, participants were paying a mortgage or rent, although a few received Housing Benefit and Council Tax Benefit to help with housing costs.

It was uncommon for renters to be saving to buy a house, or for homeowners to discuss moving to larger properties. This reflects the trade-offs that parents were making to live on one income (we discuss the ways in which families managed their money below) and the general lack of short-term (financial) aspirations.

---

<sup>14</sup> Housing costs were not discussed in detail for this study and the inevitable variations would make a difference to the amount of disposable income available to each family. For example, some of the families would have relatively small mortgages given the amount of time they had lived in their home, and some had no mortgage, having used windfalls to pay off the balance. In contrast, those who were renting were presumably paying the market rate unless they received Government help.

**Summary: Household income and finances**

- Participants were recruited on the basis that their self-reported household income was below 60% median income before housing costs, taking into account the number of dependent children living with them. Children in these households are defined by the Government as living in poverty.
- In many households, income varied from month to month depending on the availability of work generally, and on overtime and bonus payments.

**Tax credits and other financial support**

- Despite reporting low household incomes, not all the participants told us that they claimed tax credits. Some felt they did not 'deserve' or need additional financial support from the Government. Others did not like sharing personal information with HM Revenue & Customs (HMRC). A further group were unaware that they were entitled to any form of financial support (above and beyond Child Benefit).
- Among tax credit recipients, only a few who received larger awards talked about the money making a noticeable difference to their household income.
- Several participants received financial help from their own parents or their parents-in-law. Such help ranged from relatively large sums of money to help buy a house or repay debts, to help with large child-related purchases such as cots and prams, and more modest day-to-day assistance such as help with an unexpected expense or buying school uniforms.

**Savings and money management**

- There were participants with savings in all three fieldwork areas, some with significant amounts saved. Savings had sometimes been put aside when families had a higher household income; in other cases savings took the form of a redundancy payment or inheritance. Some participants let money build up in bank accounts for emergencies or planned expenditure such as a holiday. It was rare for participants to talk about having long-term savings goals.
- With a few exceptions, the general picture from the interview data was one of families that tended to manage their money fairly carefully. Households varied according to whether the participant or their partner or both of them were mainly responsible for managing the family budget. Where the responsibility lay with one parent, this was generally because they were deemed to be the better money manager. It did not seem to matter who earned the money as to who took responsibility for the household budget.

Continued

### Household financial situation

- Only a small number of participants said they managed without any difficulties at all. Most participants indicated that they managed to keep up with their household bills and credit commitments, but that it was either a struggle from time-to-time or a constant struggle. Very few participants reported falling into arrears with household bills and credit commitments. It is important to bear in mind that these were the perceptions of the participants, which might not be shared by their partners.
- There did not seem to be any clear patterns in terms of regional or other differences in the household financial situations reported by participants. Nor was there any strong pattern between household financial circumstances and the non-working partner's intentions to look for work.
- With families to support, many participants had made conscious decisions to forgo certain purchases or expenses to make ends meet as best they could. In some cases, the changes were relatively minor, while in others families were postponing large items of expenditure until their financial situation improved.

## 3.1 Household income

As outlined in Section 1.4, participants were recruited on the basis that their self-reported household income at that time fell below 60 per cent of median income before housing costs, taking into account the number of dependent children living with them (see Appendix C). Children in these households are defined by the Government as living in poverty. For a couple with two children, this meant reporting a household income below £360 per week. By way of comparison, it is estimated that a couple with two children in receipt of Income Support would have an income of approximately £225 per week excluding housing costs.<sup>15</sup> There was considerable variation in the length of time that households had been reliant on a single-earner: at one end of the spectrum, some participants had only stopped working in the last few months, while at the other end there were participants who had not worked for ten years or more.<sup>16</sup>

During the course of the depth interview, participants were asked about the income, perks and bonuses received by their working partners. Most were able to provide some information, although some were uncertain about the details.

Participants typically told us that the working partner earned around £1,000 a month after tax.<sup>17</sup> The hourly rates varied considerably; some were on minimum wage, while the best paid appeared to be earning over £20 an hour part-time.

<sup>15</sup> Bradshaw *et al.*, 2008.

<sup>16</sup> Participants' employment history is discussed in detail in Chapter 4.

<sup>17</sup> This is earned income, before taking into account Child Benefit and other receipts.



Some households had faced a recent fall in income, either because of falling sales/orders or because of increased competition for jobs.

*'...he works incredibly hard for incredibly little money because as the credit crunch is biting people have less to spend.'*

(Woman, 40s, London, husband works as a chef)

In many households, earned income varied from month to month depending both on the availability of work in general, and on overtime and bonuses. Some households relied on additional overtime income (which in some cases could double their income), while others budgeted without it, seeing it as an extra that should not be anticipated but could be spent on treats.

*'I mean at the moment any overtime money he gets is going towards a holiday.'*

(Woman, 40s, London)

A small number of households received bonuses in the form of vouchers; this was not universally welcomed.

*'They can be like high street vouchers for various things but that's it, they're never anything great.'*

(Woman, 30s, West Yorkshire)

Given the nature of the work typically being undertaken by working parents in this study, it is not surprising that they received little in the way of 'perks'. Exceptions included shop discounts and Christmas bonuses, and some workers had access to a company vehicle to get to and from work, although this was rare. Bus and coach drivers also received free travel for their family, which was welcomed.

Participants did not necessarily feel that all work was financially beneficial. For example, a participant whose husband had returned to work after a period of studying felt considerably worse off with him in work than they had been on benefits.

*'We do find it a struggle with money because...I mean but again as soon as he started work it was sort of right, all of a sudden we were getting bills in... when you're on benefits you see it's subsidised, so you don't pay.'*

(Woman, 40s, London)

A handful of participants talked about the problems that bonuses or overtime payments had caused with their tax credits. This had resulted in the working partner being reluctant to take on any additional hours.

*'...he generally sticks to his hours because if he starts doing overtime and that then it starts mucking up with the [tax credits]...I mean last year I ended up having to pay like I know it's only like £110 or something, but I didn't even know I had this oversight and they didn't tell me, and then one week I went to the bank and they'd took my money, they just took it straight out.'*

(Woman, 20s, London)

### 3.2 Tax credits

HMRC estimates that in 2005/06 about 75 per cent of in-work couples with children who were eligible for tax credits claimed them.<sup>18</sup> The corresponding figure for lone parent families is 95 per cent. Over three million in-work couple families in the UK receive some kind of tax credit; around a quarter of them receive both Working Tax Credit and Child Tax Credit, around three-quarters Child Tax Credit only (HMRC, 2008).

All of the participants for this research had self-reported low household incomes and on this basis would have therefore been eligible for some kind of tax credit, yet a number of respondents told us that they had not claimed them.<sup>19</sup>

Non-claimants were spread across all three regions and seemed to have little in common: they were a mix of different ages, their youngest children ranged in age from babies to teenagers, and there was no particular pattern in terms of the length of time they had been one-earner households. There were a number of reasons for the lack of take-up amongst the participants we spoke to. In some cases parents believed that they did not 'deserve' or need additional support from the Government.

*'...they may say it's our entitlement but we believe whatever you work for is your entitlement...let them give it to those who cannot afford [to live]...'*

(Man, 30s, London)

Other parents did not like sharing personal information such as income and savings with HMRC. A further group were apparently unaware that they were entitled to any form of support, either because they did not know of its existence, or because they assumed that they would not have low enough incomes.<sup>20</sup> In at least one case, participants had been advised by staff on HMRC's tax credits helpline that the claim was based on the previous year's income and that they would not qualify for any help<sup>21</sup>.

<sup>18</sup> This information is taken from HMRC (2008) Child Tax Credit and Working Tax Credit Take-up Rates, 2005/06.

<sup>19</sup> All participants were offered up-to-date information about tax credits by interviewers.

<sup>20</sup> This group are interesting, in that they show the difficulty in getting parents to update their information – some of them were making assumptions based on information they had received several years back. Similarly, some parents had very outdated ideas about the support available for low income students entering higher education.

<sup>21</sup> Claimants whose income has fallen in the current year can complete a claim form based on their previous year's income and then inform HMRC about the reduction in income. Their claim will be re-assessed and payment would be made if their reduced income qualifies them for support.

A final small group had got as far as collecting the appropriate forms, but had not completed them.

It is also worth noting that some parents who were claiming tax credits at the time of the interview had only realised relatively recently that they were eligible for any kind of support:

*'I said "how can you work and earn money" and they give you money, you know, it never sort of sunk in. So that really did help when we applied for it [Working Tax Credit], yes.'*

(Woman, 40s, London)

There were also a number of parents who did not know whether the household received any types of tax credits, and others who knew they got something, but did not know which tax credit they received or how much it was. Of those that felt that they could remember the details, amounts varied from £480 per year to £150 per week.

Given the relatively low awareness and take-up of tax credits amongst this group of parents, it is perhaps not surprising that there was little reliance on them. Very few households commented that tax credits made a noticeable difference to their household income although some in receipt of the full amount did find them immensely helpful and relied heavily on them.

*'Oh I get Child Tax Credit, yes...Well I've had them a few years now, with my partner being self-employed, you know, yes I've been getting them a while now...About £150 a week...I do rely on it a lot because at the end of the day sometimes we haven't any more money coming in and we have to manage on that.'*

(Woman, 30s, London)

For some participants, typically those in receipt of larger tax credit awards, the money was seen as an important addition to the family finances. This was not the case for those in receipt of smaller amounts.

*'I think it's, it's not much, it's about, to be honest I've never even looked, I think it's about £50 [a month] or something like that.'*

(Woman, 20s, West Yorkshire)

### 3.3 Other financial assistance

Very few families told us that they got any financial assistance from the State other than tax credits and Child Benefit (and they were sampled on the basis that they did not receive Jobseeker's Allowance or Income Support). A few said they received help with prescription and dentist fees, claimed free school meals, had financial assistance to buy school uniforms or, as mentioned previously, received Housing Benefit and Council Tax Benefit.

Grandparents (by which we mean the parents or parents in-law of the participant), rather than the State, were an important source of financial help for several households. In some cases, families had received considerable help from grandparents to buy a house or to pay off debts (household and business). Some grandparents had helped families with relatively large purchases, such as weekends away or baby equipment. A few grandparents had provided loans to help participants through difficult times. In other families, more modest forms of assistance were provided as and when needed, such as help with an unexpected bill or replacing worn out school uniforms or shoes.

*'Her mum can be helpful at times if we've got a big bill...; she usually gives us some money.'*

(Man, 50s, North Somerset)

Some grandparents also provided financial support through employment opportunities. For example one non-working parent was certain that her family's business would employ her if she was ever in need, and a working parent was often passed work by his self-employed father.

Whilst family support was important to some, many parents either did not have family to turn to or had family with similar financial circumstances and children of their own to support. Friends were not mentioned in relation to receiving financial help, although some participants did mention that they had managed to save money by receiving second-hand clothes and equipment from friends with older children.

### 3.4 Savings

There were participants with savings in all three regions and, as we go on to discuss in Section 3.7, patterns of saving were correlated with participants' subjective assessment of their financial situation. Some participants had a significant amount in savings, making them rather different from typical low-income households. In some cases savings had been put aside when families had higher household incomes, but in others money had come as a result of particular events such as redundancy or through an inheritance. Strikingly, these families appeared to use such money slowly, to provide an additional income, rather than see it as a windfall that could be spent in one go.

Some of the male participants were supplementing their partner's income with money from their own savings. These participants had sufficient savings to last one or two more months at most, and then anticipated returning to work. Just one had money from investments that provided a small additional income.

Savings habits varied across participants. Some made a concerted effort to keep money to one side for emergencies such as a broken down car or planned expenditure such as a holiday or DIY. Such households generally saved by letting money build up in accounts (such as the Post Office Card Account used to receive

Child Benefit) or by paying for things like school trips in instalments. A small number saved into children's accounts or avoided saving, apparently in order to simplify Housing Benefit claims.

A small number of families had long-term goals that they were saving for, such as buying their own home but, as mentioned previously, this was rare. Some also paid into the working partner's pension, although again this was only mentioned infrequently. A few participants told us that they had spent all their savings trying to have children via IVF.<sup>22</sup>

### 3.5 Money management

The interview data presents an overall picture of families that tended to manage their money fairly carefully, with one or both partners ensuring that priority household bills such as mortgage or rent were paid. It did not seem to matter who earned the money as to who took responsibility for making sure that bills were paid. Neither was it the case that only women or only men took responsibility. In some households the non-working partner took responsibility for money management, in others the working partner was responsible. In the remainder the partners made joint decisions.

*'I never know what we've got to be honest, I've never looked, it's not that he keeps it secret, just it's never sort of bothered me.'*

(Woman, 50s, West Yorkshire)

Often the main reason given for one parent managing the household budget was that the other parent was not very good at money management.

*'I'm good at saving but come to like paying the bills I'm ridiculous because I'll forget to pay something, or I'll pay too much on something and it confuses me.'*

(Woman, 20s, West Yorkshire)

It was unusual for the working partner to provide the participant with 'housekeeping money' although in a small number of households partners kept some, or all, of their incomes separate. In some, child-related payments such as Child Tax Credit went into a separate account that was managed by the female partner. In others, debt from failed businesses or previous relationships was kept separate from household responsibilities.

Some participants discussed how the fluctuating earnings of their partner could make budgeting and money management more difficult at times. This

---

<sup>22</sup> IVF, or in vitro fertilisation, is a process offered to couples who have difficulty conceiving naturally, and typically costs £4,000 to £8,000 per treatment cycle, although some women can get free treatment on the NHS (source <http://www.nhsdirect.nhs.uk/articles/article.aspx?ArticleId=889#> accessed 24 July 2008).

was particularly the case where the working partner was self-employed or their employment was seasonal. Participants talked about putting money aside during 'good times' to tide them over the bad times or cutting back on food and everyday spending in order to manage.

There was an apparent lack of communication about money issues in some households. Some women who left their partners in charge of money management complained that they were not kept sufficiently informed about the state of the household finances. Conversely, a handful of female participants admitted to having debts that their partner was unaware of, or spending money and then hiding their purchases from their partner.

### 3.6 Attitudes to money

A number of the parents interviewed told us that at least one partner was an impulsive spender and that, in particular, they liked to spend money on their children. This was true of the female partners more often than the males, but did not appear to be related to how easy or difficult families found it to meet their commitments.

It was clear that some participants held attitudes that did not reflect their behaviour. For example, one participant had a considerable amount in savings despite describing himself as a spender who would rather have fun today than save. Clearly, some parents had been able to rein in their impulsive habits. A few were still spending even when they recognised that this made their financial situation worse than it needed to be.

Some couples had very similar attitudes to money, and tended to work together to manage their finances. Others reported tensions, or indicated that they had to be persuasive to get their own way. Sometimes one parent would find ways to make the other behave differently, for example by taking charge of the budget or taking away credit cards.

In some households, one or the other partner worried a great deal about their financial situation. This did not seem to be related to whether or not they were able to meet their financial commitments, and so can be considered a general attitude rather than a specific response to difficulties.

Some of the parents put great emphasis on saving, even if they found it impossible in their current circumstances. Several also made it clear that they did not use credit, and did not like the idea of borrowing to fund general consumption.

*'Trainers are no reason for debt.'*

(Woman, 30s, North Somerset)

### 3.7 Household financial situation

We might expect that single earner households would find it difficult to make ends meet on relatively low incomes and we have seen that most had little in the way of additional financial support. We therefore explored their overall financial situation in two ways. Open-ended questions were used to find out how the non-working parent felt about their financial situation and household income, and a 'showcard' approach was employed to enable straightforward comparisons across participants.<sup>23</sup> It is important to bear in mind that these were the perceptions of the participants, which might not be shared by their partners.

The showcard allowed us to put each family's financial situation into one of five categories as follows:

Subjective views about financial situation: Showcard used to aid discussion

- A. Keeping up with all bills and commitments without any difficulties.
- B. Keeping up with all bills and commitments, but it is a struggle from time-to-time.
- C. Keeping up with all bills and commitments, but it is a constant struggle.
- D. Falling behind with some bills or credit commitments.
- E. Having real financial problems and have fallen behind with many bills and credit commitments.

Several participants indicated that they straddled two categories (for example responding B/C). Occasionally, parents commented that their financial situation was different from that of their partner or that their circumstance varied depending on the season. However, the categorisation worked well enough for us to consider the variations in responses, as discussed below.

Overall, only a small number of participants reported that their households were managing financially without any difficulties at all. Most said that they struggled to manage, at least from time to time, and for some it was regarded as a constant struggle. There was no strong pattern between participants' subjective assessment of their household financial circumstances and the length of time the household had been reliant on one earner or the employment status of the working partner (whether a part-time or full-time worker, employed or self-employed). The non-working partner's decision to look for work also appeared to be largely unrelated to the household's financial situation. For example, some of the non-working partners in households that were keeping up without difficulty were nevertheless actively seeking work, while some of those facing a constant struggle had no intention of going back to work. However, none of the non-working partners who

---

<sup>23</sup> The question phrasing replicates the variable QBcommi from the Baseline Survey of Financial Capability. Financial Services Authority (2006) Financial Capability baseline survey: questionnaire.

reported falling behind with commitments were entirely opposed to looking for work in the near future.

### 3.7.1 Keeping up without difficulty

There was a relatively small group of participants (both men and women) who felt that their household was keeping up without difficulty (category A). They included young parents in their early 20s through to parents in their mid 40s. Some had very young babies, while others had teenagers. The number of children in such households varied, and the households were not limited to a particular region. However, in this group there was a notable lack of parents in the building profession; just one was employed as a scaffolder. Generally this group included those with more unusual employment, including a part-time legal assistant.

#### Case study: Keeping up without difficulty

Paula is 35 years old with four children aged between five and 15, one of whom has a health condition that requires frequent checks. She lives with her husband, who works in an administrative position in a nearby hospital. Paula was made redundant about six months ago. She has always enjoyed shopping for clothes for herself and her children, but stopped doing so since leaving her office job. She has also stopped buying take-aways. She and her husband had been saving to go on holiday, and they still intend to go abroad despite the cost of travelling with a large family and the fact that they will then have no savings left at all.

*'I'd say 'A' really because we're not, we do manage to pay things. It's not as if we've got loads at the end of it but we pay the actual main [things].'*

Most of the families who said that they paid their bills without difficulties also had savings. Some were actively saving, while others were relying on pre-existing savings to tide them over until both partners were working. Two of the households with no savings relied on regular bonus payments or overtime to pay for large expenses such as Christmas or a family holiday.

### 3.7.2 Struggling occasionally

More than 20 participants in this study indicated that they kept up with their commitments but that it was a struggle from time to time (category B).<sup>24</sup>

*'We're not flush at the moment but we're not skint.'*

(Man, 30s, London)

This group included the youngest and oldest parents interviewed and again reflected a range of families with differing numbers and ages of children. There was no typical pattern of employment amongst working partners in the families that faced an occasional struggle and these families lived in all regions.

<sup>24</sup> We include in this group three participants who suggested that they were in A/B.



Some of the families who faced an occasional struggle paying bills had some savings, although fewer were active savers and these savings were almost exclusively earmarked for holidays. By contrast, those with some existing savings who were no longer active savers were more likely to intend drawing on the money for household or work-related expenses (such as boilers or a training course). In one household, savings were being used to cover expensive orthodontic treatment for one of the children.

### 3.7.3 A constant struggle

It was more common for participants to face a constant financial struggle than to meet their commitments without difficulty. Families facing a constant struggle reflected the variations in the sample as a whole in terms of number and age of children, region and the nature of the working partner's employment. These parents talked about 'robbing Peter to pay Paul' and making sacrifices to make ends meet.

*'Sometimes you've got to go without a hell of a lot to pay the bills.'*

(Woman, 30s, North Somerset)

Savings were uncommon amongst those facing a constant struggle to meet their financial commitments. Only one family had existing savings to draw on, and these were rapidly decreasing. Active savers either saved 'coppers' or bought savings stamps to meet 'lumpy' expenses.

#### Case study: Constant struggle

Corrine has three children under the age of ten. One of her children is asthmatic, and another has behavioural problems. Her husband is a self-employed decorator, and finds it difficult to find enough work to keep going in the winter months. The family is going to have to move in the near future, as their rented home is no longer suitable for their needs. They would like to buy a house, but they cannot afford to at the moment.

Corrine's children take part in a wide range of activities, which can be expensive. The family also recently made the decision to take the children on a luxury holiday in term time and faced a large fine on their return. Corrine feels that keeping up with the financial commitments is a constant struggle, but also recognises that she is partly responsible for their stressful financial situation.

*'I mean I suppose when you've sort of paid all your bills you've kind of got that relief, but as soon as you've paid them you've got another one through and you just never seem to be able to sort of pay them and then have a free week of not having to pay anything else, it is a constant, I suppose constant struggle. But in a sense I'm one of these that I don't think we would struggle as much if I said "no" more to the children.'*

### 3.7.4 Falling behind

Just two participants indicated that category D best reflected their household's financial situation, and a similarly small group felt that they fell between C and D. Nobody reported falling into the final category (falling behind with many bills and commitments). The working partners in families who were in or approaching category D were self-employed or had been through periods of either self-employment or unemployment in the previous year or so. Some intended to solve the problems by becoming two-earner households in the near future, and one was depending on additional overtime. One family was looking to sell their home and move into rented accommodation to improve their circumstances.

#### Case study: Falling behind with bills and commitments

Danielle is married to a self-employed computer engineer. She has two children, and the youngest will start school in September. Both she and her partner are reasonably careful with their money. They both agree that you have to keep up with the bills but she identifies with category D on the showcard because they are currently in debt despite their best efforts. Danielle also comments that they are unable to afford a holiday and have stopped paying into pensions.

Danielle feels that they have lost their security because her partner is self-employed. They have decided to sell their home and rent a house in order to pay back the money they owe and reduce their outgoings.

Not surprisingly, families who were falling behind (category D) also found it impossible to save. One household was able to use existing rainy day savings to help with their current situation, although they seemed reluctant to do so.

## 3.8 Standard of living

There are two related aspects to consider when describing the standard of living of the participants: First, the extent to which some participants lacked certain items because they were living on a low income. Secondly, whether families had to cut back on expenditure because of their level of income.

Younger families and those who had been single earner households for many years were most likely to lack particular items while those where both partners had worked up until relatively recently were more likely to comment on the ways in which they had adjusted their spending to accommodate their reduced incomes.

The extent to which participants lacked larger material possessions depended on their previous circumstances. Some households had already acquired many of the material possessions that they wanted, such as cars and electrical goods and so they did not have to forgo such items despite their current financial situation. However, others, and particularly the younger families were postponing expenditure on large-ticket items until their financial situation improved.

A family holiday can also be a large expense, and many of the families had either gone without a holiday, or replaced relatively expensive holidays with cheaper options. Indeed, some families had never had a holiday together.

*'...especially now we're hearing about people going away on holiday, we can't do that, we just don't have money for holidays and probably the best we get would be a day out somewhere.'*

(Woman, 40s, London)

In some cases holidays were simply something that they could not consider for anyone in the household. Other families holidayed separately, sending their children on holiday with grandparents or going away by themselves while their children stayed with a non-resident parent.

Whilst some families postponed larger purchases and went without holidays, some also missed out on smaller things that others might take for granted because of their relatively low incomes. For example, one participant did not have spare cash to pay for her son to go to the cinema with his friend, and others could not socialise as a couple or enjoy family days together. Home computers were also out of reach for some, which meant children staying in school after hours to complete 'homework'. Several parents told us that they would like to improve their standard of living, and be able to enjoy a few 'luxuries', rather than living 'hand-to-mouth', although others were happy to cut back in order to enjoy the non-economic benefits.

*'...but it's worth it. I'm glad to be home even if it means sacrifices.'*

(Woman, 30s, North Somerset)

In a few cases where families had to cut back on expenditure, they were making cuts by reducing or postponing everyday transport costs – some parents were waiting to learn to drive or to buy a car, others had sold their second car when they dropped down to a single earner.

The small group of participants who reported that they were able to meet their financial commitments without difficulty were making only minor adjustments to their expenditure, or were making decisions about which of two expensive choices they would prefer (such as a holiday or a new kitchen). These parents tended to have become more sensible spenders in order to adjust to a single income – cutting back on impulse purchases for example – and felt a sense of achievement from their own more responsible attitude.

*'Don't...fritter money away like I used to.'*

(Woman, 30s, North Somerset)

*'I budget, but now I've got addicted to that, like doing my food shopping, I quite like it now. ...you know, the stuff I used to throw away...'*

(Woman, 30s, North Somerset)

The large number of participants who said they faced an occasional struggle to meet their commitments were most likely to discuss cutting back in terms of the compromises they had to make when booking holidays – either opting for less expensive options, or going less frequently than they were used to. However, some had found it necessary to cut back on more basic expenditure, including food and everyday shopping and social activities. In addition, one participant talked about switching to a prepayment meter to pay for electricity, so that the cost could be spread over time and a large quarterly bill avoided; they bought stamps to pay for their council tax for the same reason. None of this group appeared to be finding it difficult to buy the things their children needed, although some had received help from family.

Those families facing a constant struggle or falling behind with bills and commitments discussed three levels of adjustment to their money management: First, some families were struggling but did not seem to be adjusting their expenditure at all. Neither the children nor the adults appeared to be missing out on either 'needs' or 'wants'. It is possible that these would face less of a struggle if they tightened their belts. Secondly, a few families had cut back on less essential items, including holidays and social activities or home improvements. Finally, some families were cutting back on basics and were still struggling. Whilst all the parents tried to put their children first, some children in families who found it difficult to meet their financial commitments were facing deprivation. A few participants were unable to afford brand new, basic items of clothing and shoes for their children. They talked about buying clothes second-hand or receiving hand-downs or financial help from their wider family.

*'If we get stuck his mum or dad will say "oh well we've got some money here that we were going to give you".'*

(Woman, 30s, North Somerset)

Whilst participants told us various ways in which they had adjusted their standard of living to match their household income, a few participants told us that they had been on very expensive holidays (including a safari and a cruise) in the last 12 months, despite struggling occasionally, or constantly, to keep up with bills and commitments (category B or C above). Indeed, one household was subsequently cutting back on heating and food to improve their situation.

Finally, although families were reported to be making sacrifices to live on one income, it is also worth noting that some participants commented that they recognised how lucky they were. This was particularly the case when they compared themselves to single parents. They reflected the benefit of having a partner for emotional support and the advantage of being able to stay at home when the children were young as well as the financial security provided by the working partner.



## 4 Employment decisions of non-working partnered parents

In this chapter we start by exploring the non-working partner's experience of work, including their previous work experience and whether or not they had skills and qualifications. We move on to explore the reasons why these parents were not in employment at the time of the interview. We note that, in particular, parents were staying at home with their children because of firmly held beliefs about the age at which a child could be left, assumptions about access to appropriate childcare, and limiting health conditions of the participant or family members. The last section distinguishes two groups of participants: parents who did want to move into work, and those who did not. This feeds into Chapter 5, where we pay particular attention to those parents who wanted to move into work.

We might assume that one of the major influences on the decision to work is the flexibility of the working partner to help with childcare and domestic chores. Surprisingly then, there does not seem to be any relationship between the type of work done by a partner and the decision of the non-working parent to seek work. Amongst those parents discussed in the following sections who were not looking for work, partners had a variety of jobs including scaffolding and driving heavy plant. Some were self-employed while others had permanent, full-time employment contracts. Similarly, those who were actively seeking work included the partners of gardeners, gas engineers and cleaners, some of whom worked part-time or were self-employed, and others who had regular, full-time work.

### **Summary: Employment decisions of non-working partnered parents**

- Almost all the non-working parents who were interviewed had some history of work. There was considerable variation in terms of when they had last worked, however, so while some had only stopped work very recently, others had not worked for ten years or more.

Continued

- Some women participants had worked before starting a family and then stopped work entirely; most participants had, however, worked since the birth of their eldest child – with women tending to work part-time and men full-time.
- Participants had worked in a range of types of employment, mainly but not exclusively unskilled or low-skilled work. Most had some form of qualification, although a small number had no qualifications at all, including some with low levels of literacy and numeracy.
- Participants reported largely positive experiences of work. Some had, however, found work stressful, particularly those who had tried to juggle work with childcare responsibilities.

#### Reasons for not working at the present time

- Participants gave various reasons for not working at the present time. These included job loss and redundancy and participants' own health problems, or those of a family member which required regular medical appointments or careful monitoring.
- Some participants wanted to be with their children, and this was just as true for participants with older children (aged 11+) as it was for those with pre-school aged children. Others had made an active decision to give up work in order to look after their children, mainly driven by a desire to be there for important milestones in their child's early development.
- Participants also mentioned a perceived lack of suitable childcare and the prohibitive cost of childcare, particularly in school holidays or for more than one child. It was not uncommon for participants (and their partners) to have negative views about leaving children with other adults.

#### Why do some participants *not* want to work?

- A number of participants in West Yorkshire and North Somerset had no intention of taking paid work in the foreseeable future. This was not the case in London or among any of the male participants who were interviewed.
- Some of these participants had made an active choice to stay at home, because of the benefits for their children or because they enjoyed 'being a mum'. Their own experiences of growing up sometimes influenced their views about parenting.
- Few of these participants felt their partner's attitude to them working was a major influence on their decisions about work. The availability or loss of State benefits or tax credits was also not a factor.
- Even though they had no desire to work, several participants could list potential benefits from working, such as additional income and independence.

Continued

#### Why do some participants want to work?

- Financial reasons and personal benefits were the main drivers for participants wanting to return to work. Alongside the desire to work, however, was a concern to find the right balance between parenthood and employment.
- The most commonly cited financial reason for returning to work was the need to improve the household's financial situation by having two earners. Most participants who mentioned this talked about finding it a constant struggle to make ends meet; some had fallen behind with bills. Some female participants aspired to earn their own money, while others wanted to ease the pressure on their working partner by making some contribution, however small, to the family finances.
- The personal benefits of returning to work mentioned by participants were independence, relief from the boredom of being at home, and the opportunity to have a sense of identity away from home. The idea of being a positive role model for their children was also a consideration for some participants.

### 4.1 Work history

Almost all the non-working parents had some history of work. There was considerable variation in terms of when they had last worked, however. At one end of the spectrum, some participants had only stopped work very recently, while at the other end of the spectrum, others had not worked for ten years or more.

Some participants had worked before starting a family and then stopped work entirely; others had worked after having one or more children. Some of those who had worked after their first child was born had given up work for the second or a subsequent child. This decision was driven by either a desire to raise their children or practical childcare issues.

The London participants had the most recent work history; most had worked in the last two years. This was not the case in North Somerset or West Yorkshire. This can, in part, be explained by the number of men spoken to in each region, but may also reflect other differences amongst parents living in the Capital.

It was not uncommon for parents to have had held full-time positions before they started a family. They had experience of a range of employment types, including sales and health care. However, in some cases parents had not been in employment for ten or more years which had led to loss of confidence and recognition that some of their skills would be outdated.

Non-working parents had generally worked since the birth of their eldest child. Female participants had often had part-time jobs that fitted in with school times, such as school meals supervisors and classroom assistants. In contrast, most of the male participants had worked in full-time positions since their eldest child was born. These included a wider variety of roles, including meter reading and IT.



The non-working parents who had been out of employment since their first child was born were typically still looking after a child under the age of six when we interviewed them. Perhaps unsurprisingly, male participants with children under the age of six were more likely than female participants to have worked since their youngest was born.

It is striking how few of the non-working partners had ever been self-employed. Interestingly those who lived with a self-employed partner rarely discussed their contribution to the family business as 'work', although when probed some did reflect that they had responsibility for some aspect of the business, such as paperwork or accounts.

*'[I] do the housework, do everything that needs doing, do errands or whatever [my partner] needs doing for him.'*

(Woman, 30s, North Somerset)

Whilst some non-working parents had limited experience of work, others had worked in various roles. Some had made frequent job changes, moving from one type of unskilled work to another – such as cleaning and bar work. Others had made very decisive career changes such as switching from being an administrator to a prison officer. Whilst not everyone told us why they had switched jobs (mainly because it had happened a long time previously), the reasons mentioned included family or the company moving, resulting in a long commute and boredom or lack of enjoyment with the role.

Parents in London were most likely to have told us that they had switched jobs several times since starting work, but this may reflect that they were also more likely to have been working relatively recently.

#### **4.1.1 Enjoyment of work**

Respondents had largely positive memories of work. However, some had been in roles where they had been bullied or victimised. This had not put anyone off working completely, and the problem did not seem to be related to any particular type of work. Nevertheless, it is important to note that in each case participants responded to the stress by looking for alternative work in a different field.

Some previous jobs were described as boring or unrewarding, while other positions were seen as valuable, providing the participants with freedom and social contact outside the home. Independence and the ability to earn additional money were also seen as positive aspects amongst a number of those who had worked.

Some of the non-working parents commented that they had found work excessively stressful, even if they enjoyed certain elements. This appeared to be a particular problem amongst those who had tried to juggle work with childcare responsibilities. In some cases the stress had been caused by the responsibility and expectations of the role, while in others the dual roles of parent and employee were simply exhausting, leaving little time for eating or sleeping.

A few parents had experience of working shifts for a range of employers, including supermarkets and care homes. Shift work brought with it both benefits and disadvantages. For example, it was seen as an advantage to have free time during the day while still earning money. However, shift work (and working away from home) had caused friction in some couples and was subsequently seen as difficult to combine with family life.

Some of the female participants had enjoyed working with children either before or after having their own (we did not speak to any men who had worked with children). Some were keen to move back into this kind of work, but for others the experience of motherhood had left them eager to work in a more adult environment in the future.

#### **4.1.2 Training and qualifications**

Most participants had some type of qualification. The most common was an NVQ level 2 which is approximately equal to four GCSEs at grade C or above. Parents gained these vocational qualifications to be teaching assistants, nursery nurses and beauty therapists. Other vocation qualifications related to customer services and project management. Qualifications of a similar level were also held in catering and hairdressing.

A small number of the non-working parents that we spoke to were highly qualified. They had studied for degrees in a variety of subjects including psychology, engineering and youth work. Most had completed their education before having children; a few had dropped out of their degree course before the end. Graduates included a small group of participants who were fairly recent immigrants (including participants from Nigeria and Poland). These parents were not working in their chosen field either because of a lack of experience or the need to convert their qualifications in order to work in the UK.

It is less easy to classify the vocational qualifications and experiences gained by some of the non-working parents. A number were vocationally qualified (such as nurses) or highly experienced in their field (including credit control and call centre management). As with the graduates, they were safe in the knowledge that they had saleable skills, should they decide to return to work.

A small group of participants had no qualifications. This included some with low levels of literacy and numeracy. Some of the older parents had left school when they were 15 and others had dropped out of school or vocational training because of pregnancy. Those who had dropped out of courses midway through were (perhaps overly) optimistic that they would be able to pick up the course at a later date.

Some participants felt that they had underachieved at school (even if they had achieved some qualifications), and hoped to catch up on their education in the future.

However, the cost of courses made this difficult in the short-term.

## 4.2 Reasons for not working at the present time

Participants discussed their work history and the reasons that they were currently jobless. One of the women was pregnant, and another had a newborn baby, which clearly limited their current availability for work.<sup>25</sup> However, there were several other, often interrelated, reasons for the families to be single-earner households, and we explore these below. It is important to keep in mind that the reason for having stopped work may not be the main reason for having no current employment. For example, a mother may have stopped work because she wanted to be at home with her new baby, but then realised that she could not find suitable childcare to return to her previous job.

Interestingly, the non-working parents in West Yorkshire were more likely than those in London (and a little more likely than those in North Somerset) to say that they had made a conscious decision to become a stay-at-home parent. In London, while some parents valued their time with their children, they suggested that confounding factors such as childcare had played a part in their choice.

### 4.2.1 Age of child

We might assume that parents with pre-school aged children would be more likely to stay at home than those whose children were in school because they wanted to be with their children. However, this was not necessarily the case. It was certainly true that some parents with pre-schoolers were not working for this reason, but so too were parents of much older children (aged 11+). In fact two things were clear from the interview data: firstly, the age at which a parent is comfortable leaving a child varies widely, from a few months to teenage; secondly, once parents get used to being there for their children, some find it hard to imagine them coping alone at any age (they seem to encourage a higher level of dependency); this can lead to them staying home for many years. There is also a sense of inertia, with parents seeming to become accustomed to their role of homemaker, and doing little to change this.

*'...we sort of said "well I'd stay at home" and then as time's gone on I seem to have sort of, be[come] a permanent fixture in the house now.'*

(Woman, 40s, West Yorkshire)

As mentioned previously, a few parents had older children in addition to at least one dependent child. Most of these adult offspring had moved away from home, but still lived close to their parents, and appeared to provide both moral and financial support. This may further explain the lack of job hunting amongst some of the parents with older children.

---

<sup>25</sup> It was established by the interviewers that these mothers were economically inactive; they were not on maternity leave.

### 4.2.2 Missing out on childhood moments

Some parents had returned to work after the birth of one or more of their children, but felt that they had missed out. When they were expecting a subsequent child, they had therefore made an active decision to change their work habits so that they could enjoy the time with their youngest children as they grew up.

*'You just live according to your means, and if you can manage I think it's wonderful to be at home with them.'*

(Woman, 40s, West Yorkshire)

It was much more likely for women than men to have given up work voluntarily in order to bring up their children. In contrast, male participants were more likely to be at home following job loss. However, the reasons for losing their jobs varied and were similar to the reasons cited by the handful of mothers who had lost jobs. They included dismissal, voluntary redundancy and the end of a contract.

### 4.2.3 Job loss

Some of the parents had lost jobs relatively recently and were actively seeking work. Others were either retraining or waiting for the right contract to come up and some were taking their time to move back into work simply because they were appreciating the break.

*'I'm not [looking] right at the moment because I've been working, because I have worked for quite a long time.'*

(Woman, 30s, London)

### 4.2.4 Health limitations

The health of various family members impacted on several non-working parents' decisions to find work. As discussed in Section 2.1.3, some non-working parents were responsible for children with health or behavioural problems, while others had health issues of their own that limited their ability to work. Most of these participants, however, planned to return to work at some time in the future. One had taken time out of work to nurse her husband, although she looked unlikely to return even though he was back at work as her own health was also poor.

Despite finding it difficult to imagine themselves in paid work, some non-working partners with physically limiting health conditions nevertheless lived active lives, undertaking voluntary work or continuing with domestic chores such as gardening. Other non-workers suffered from mental health problems and had days when they felt well enough to work, but also recognised that they needed to be cautious of returning to work too soon.

It was uncommon for healthy non-working parents to state that they were too busy or too tired to work. Occasionally parents noted that their children still woke in the night, and that this would make things more difficult, but it did not appear to be a major factor in their decision to stay at home.

### 4.2.5 Childcare

Parents who suggested that the main reason that they had not returned to work was because of childcare mentioned a number of issues. Some did not believe that there was suitable childcare available to them, either because of the hours that they would need or the ages of their children. For example, one woman was trained as a nurse, and discussed the difficulty with booking regular childcare for changing shift patterns. Another had worked as a dinner lady, and while she did not want to return to work imminently, she did point out that she would need almost two hours childcare to cover an hour's low paid work, and that this was not economically viable. Children aged eight or over caused particular logistical problems because of the perceived lack of care available and the unwillingness of parents to let them go home alone after school.

There was a fairly widespread belief that the cost of childcare was prohibitive.

*'For us to send her to nursery full-time it would be the equivalent of what I could probably earn if I went to work, so it just wouldn't be worth it.'*

(Woman, 20s, West Yorkshire)

The higher cost of childcare in school holidays put some off working. Furthermore, some parents were under the impression that they could not receive help with childcare costs until their child reached three years of age or once their child reached 11. Three is the age at which parents receive help with playgroup or pre-school costs, but tax credits can provide support for younger children.

*'Yes, if I could get a job that paid enough and it would allow me to have someone to look after my younger two in the six weeks holidays and the holidays fair enough, but I can't get a job that pays enough to do that and you don't get help with childcare allowances once the children get to the age of 11 I think it is<sup>26</sup>, but I still don't think 11, that they're old enough to be left on their own for six weeks in the holidays, so.'*

(Woman, 40s, London)

Some parents had very negative views about leaving children with other adults. Some felt that children should be brought up exclusively by their parents, at least until they started school. Other family members (such as grandparents) were seen as an acceptable alternative in some cases, although a few parents commented that they did not feel it was fair to expect their own parents to care for their children. Some grandparents had in fact made it clear that they were not available for childcare and others had proved unreliable in the past.

---

<sup>26</sup> This is a misunderstanding. The childcare element can be claimed up to the age of 15 (or 16 for children who are disabled or registered blind).

### 4.3 Why do some participants not want to work?

In Section 4.2 we discussed the main reasons for parents being out of the job market, looking at the historical and current factors that led to them being non-working parents. In this and the next section (Section 4.4) we focus separately on those who are happy with the status quo and those who would like to move into work. Inevitably there are some overlaps between the reasons for not working and the reasons for not wanting to work, but it should be remembered that the discussion in this section refers to only a subset of the parents discussed in Section 4.2.

Of the parents who did not want to work, some had definite reasons for making an active choice to stay at home, while most of the rest either expressed disinterest in (returning to) work or were nervous of the prospect. A further small group of parents with older children were participating in voluntary work.

#### 4.3.1 Regional variations

We found that a number of the female participants living in North Somerset and West Yorkshire had no intention of taking paid work in the foreseeable future. This was not the case in London, or amongst any of the men we spoke to.

#### 4.3.2 Child-related reasons

The female participants who had made a choice to stay at home gave reasons related to their feelings about what a child needed. These parents were aged early 20s through to 40s and while some had pre-school aged children others were not looking after any children below the age of 14. A few parents with children at school (including one woman with a teenage daughter) did not like the idea of their children coming home to an empty house or having to go into after-school childcare.

*'If I wasn't there for him after school it would mean all the years I've been at home have been wasted.'*

(Woman, 30s, North Somerset)

Those parents who were disinterested in returning to work tended to talk about how they enjoyed 'being a mum' rather than how it benefited their children. They also talked about the convenience of having one parent at home to take the children to after-school activities and so on, and how they were the natural choice for this role, since their partner could earn more or had unpredictable hours.

#### 4.3.3 Influence of partner's views

Whether or not non-working parents were at home because they believed it was important, it was common for them to have a number of reasons to justify their decision. Some women who wanted to be at home told us that their partner also liked them to be home to look after the children. However, participants sometimes tempered such statements with indications that their partner was not entirely convinced of the merits.

*'I mean he's happy [with me staying at home] but as I say, I mean the money issues do crop up, I mean they crop up all the time you know.'*

(Woman, 30s, London)

Few of the participants felt that their partner's attitude to them working was a major influence. An older female participant discussed how her partner did not like her working, but this had not stopped her doing so in the past. He had very particular views about being the breadwinner, and would not allow her previous earnings to be used in the household budget, although they could be used for extras such as holidays.

#### **4.3.4 Impact of respondent's own childhood**

We asked participants whether their own parents had worked, and what impact or influence this had had on their own behaviour in terms of seeking work. Amongst those parents who were disinterested in returning to work, some had grown up in a family where both parents were out at work, or a single parent working long hours; in each case this had been a negative experience. Conversely, several of the participants who firmly believed that they needed to be home for their children had appreciated having their own mothers at home when they were children, while a female participant who was working in the voluntary sector had been brought up to have a strong work ethic by her working mother.

#### **4.3.5 Changes to benefits, tax credits and household income**

The availability or loss of State benefits and tax credits did not seem to influence non-working parents' decisions to stay at home. Participants had little idea whether or how any future work might impact on their entitlement and did not seem overly concerned.

Even amongst parents with no desire to work, several could list potential benefits from working, such as independence and additional income. Whilst these did not outweigh the benefits of remaining at home in the short term, some parents did recognise that the financial rewards might tempt them back to work in the future, although they had no concrete plans to do so. For example, one parent recognised that having an extra income would help once her child started at university, and another believed that the family could benefit from additional money for family outings.

### **4.4 Why do some participants want to work?**

In this section we consider the reasons why some of the non-working parents wanted to move into work. We discuss both those who had a plan to move into work over the next three or four years and those who were looking for work at the time of the interview. In Chapter 5 we look at those two groups separately and in more detail.

There were two main reasons for parents wanting to (return to) work: for financial reasons and personal benefit. Male participants also felt that they were expected to work to support their family. However, both men and women noted that alongside their desire to work were concerns about finding a balance between parenthood and employment. As we go on to discuss in the next chapter, this typically translated into trying to find work that fitted around children and minimised the need for childcare.

It is striking that in London, where nobody intended to stay away from the labour market for long, there were parents who wanted to return to work for their own benefit, and those who were prepared to work to improve the financial situation of the household. In other words, it was apparently not the case that all parents in London were feeling under pressure to increase their household income. This is in stark contrast to North Somerset where all the participants who planned to move into work had primarily financial reasons for doing so. In West Yorkshire, most parents wanted to work for personal reasons, although family finances also influenced some decisions. All of the non-working parents with larger families intended to return to work at some point. This was sometimes for financial reasons, but not always.

#### 4.4.1 Financial reasons

The most commonly cited financial reason for returning to work was the need to improve the household's financial situation by having two earners. Most of the participants who mentioned this had subjectively assessed their household financial situation as a constant struggle to make ends meet, and some were falling behind with household bills or credit commitments.

*'...we just couldn't afford it with just the one wage, I think it's going to be a real problem in a couple of years with everything going sort of sky high in prices and everything, I think that would be a crucial part of it as well... the money issues do crop up, I mean they crop up all the time you know, especially when the kids say "We haven't got a computer so we can't do our homework", and it's like maybe if I was working we could.'*

(Woman, 30s, London)

As noted in Section 3.7, some of those participants who reported facing a constant struggle to manage nonetheless had no intention of going back to work.

Other financial reasons were mentioned far less often. Some non-working parents (notably all women) aspired to earn their own money, while others were concerned to contribute financially to the household (even if only a small amount) in order to ease the pressure on their working partner.

*'I want to go back now because I think I don't want to keep leaving the burden on him to pay things...I want to have my own bit of money in my bank account every month so at least I can say to him, "I'll tell you what I'll pay this bill this month and then you haven't got to worry about it".'*

(Woman, 30s, London)



A few non-working parents expressed the desire to provide a good standard of living for children as they got older, particularly as clothes and shoes became more expensive. Working in order to be able to save was also mentioned.

*'I'll just have a little bit more [money]...I should be able to save some of it instead of being hand to mouth all the time just making ends meet if you know what I mean, sometimes they don't meet...it should be able to enable me to save up to be able to take the children on holiday and have some of the nice luxuries in life rather than just the necessities all the time.'*

(Woman, 40s, West Yorkshire)

#### 4.4.2 Personal benefit

Parents who felt the need to work for their own benefit told us how they felt bored or lazy at home. They wanted the feeling of independence and social aspects of work and felt they could be a better parent by having a break from childcare responsibilities. Some particularly disliked the daytime social activities available to them while they stayed at home.

*'And I'm not one of these people really to go to schools or go around each others houses and have a tea, that's not me, you know.'*

(Woman, 30s, London)

*'You get to a point where you just need to go and do something, rather than being a mum all the time.'*

(Woman, 20s, North Somerset)

Working was also seen as something that could provide a sense of identity that was separate from the role of parent, and that would still be there when their children had left home.

*'In nursing you're known as yourself whereas in a playground most people if they don't know you, know you as "so and so's mum". You completely lose your identity when you first become a mum.'*

(Woman, 30s, West Yorkshire)

For a few participants, working and earning a wage was important in terms of distinguishing themselves clearly from benefit recipients.

*'I think it's a sense of pride as well when you sort of, you know, you get your wages at the end of the month and you think "well I've worked all month for this..." when I go to the Post Office, I went there the other day to go and pay some bills and I saw them all queueing up and I think "you're all getting your Income Support..." and I look at them and think "I don't want to be like that, I want to be working..."'*

(Woman, 30s, London)

There were various ways in which parents felt that children would benefit from them working, beyond financial considerations. Parents of younger children felt that there was some benefit from attending a nursery because of the educational element and the opportunity to mix with other children. Some parents also liked the idea of being positive working role models for their children, and felt that they were setting a bad example by being at home (men and women made this comment). However, older children were often seen as the ones who would suffer most, as they would spend more time alone, and be less likely to have meals prepared for them.

#### **4.4.3 The views of working partners**

Female participants who wanted to work felt that their partners were largely supportive of their decision. However, there was some sense that this was on the basis that the household financial situation would improve, rather than for the personal development of the non-working partner. It was unusual for parents to comment that their partner liked them to have outside interests or independence; one mother commented that her partner would like her to return to work because he wanted her to be 'more of an equal'.

In a small number of cases, women noted that their partner would like to be in a position to support his family as the sole earner, but that their financial situation was not secure enough. Their partners wanted someone to be home for the children, but also appreciated the need for additional income.

The working partners of non-working male participants were split into those who were very keen to get the household finances back onto an even keel by having two incomes, and those who were supportive of their partner's break from employment (at least one of whom was enjoying the additional help with the housework).



## 5 Moving into work

The earlier chapters of the report looked in detail at the characteristics of non-working partnered parents, and explored their reasons for not working and whether or not they wanted to work. This chapter begins by classifying participants into those who were looking for work and those who were not. It then moves on to focus mainly on those who were looking for work at the time of the fieldwork in May-June 2008, to consider their views and experiences of looking for work, and the preparations they might need to make to move into work.

### Summary: Moving into work

- Most participants who were interviewed were either actively looking for work at the time of the research or planned to do so in the future. Some participants had no plans to move into work, however.
- Participants who were actively looking for work were mainly in their 30s and in most cases their youngest child was at school. They included most of the men who were interviewed. None of them had been out of work for more than two years and had generally stopped work because of job loss.
- The largest group of participants were not actively looking for work, but planned to do so in the future. They were largely women under 40, most with at least one pre-school aged child. They had typically not worked for at least three years. Some were planning to look for work in the next few months, but a much larger number did not intend to look for work for at least a year, and this was often linked to their children's key educational milestones.
- Participants who were not looking for work and not intending to do so were all women, ranging in age from 20s to 50s. All of them lived outside London and most had not worked for at least four years. The main reason they gave for not working and not looking for work was the desire to look after their children.

Continued

### What types of work were participants looking for?

- Some participants who were looking for work, or intended to do so in the future, had an idea of the type of job they were looking for and this tended to be in manual/service occupations (e.g. cleaner, security guard) or clerical intermediate occupations (e.g. care worker, teaching assistant). Others were primarily concerned about finding any job with working hours that fitted around their children.
- Working hours were the most important factor by far in looking for work and most participants (predominantly women) wanted to work part-time hours that fitted around the school day, so they could do the school run and minimise the need to use paid childcare. The desire to work locally and so cut down on travel to work was the next most commonly mentioned factor. Level of earnings was certainly a consideration for participants, but not mentioned nearly as often as the other two factors.

### Job search activities

- The most commonly cited job search activities were looking in local papers and searching the internet. Other activities included signing on with employment agencies and using Jobcentre Plus facilities.
- Most of the participants who were actively seeking work had either applied for jobs or been offered jobs through an employment agency. Some had been turned down for jobs and a few had turned down job offers.

### Preparing to move into work

- Active jobseekers did not generally envisage needing to make any particular preparations to move into work. A few participants with children under three talked about the need to arrange childcare and some other participants were considering undertaking training (typically basic computer skills) to increase their job prospects and improve their confidence.
- Tax credit recipients who planned to go back to work in the future were not always sure how this would impact on their tax credit entitlement. They identified this as something they would have to find out, in order to assess whether or not it was financially worthwhile moving back into work.

## 5.1 Looking for work

Most of the participants who were interviewed were either looking for work or planned to do so in the future. Some, however, did not have any plans to move into work. Participants divided into three groups in terms of looking for work:

- Those who were actively looking for work at the time of the interview.
- Those who were not actively looking for work at present, but intended to look for work in the future.
- Those who were not looking for work and did not intend to do so.

These groups are described in the following sections. It is important to note that, in almost all cases where participants were looking for work, or planned to do so in the future, the intention was to become a two-earner household. The one exception to this was a man who was interviewed, who had given up work to look after their first child, but planned to return to work imminently when his wife started maternity leave prior to the birth of their second child.

### **5.1.1 Group 1: Actively looking for work**

This group mainly comprised participants in their 30s. In most cases their youngest child was at school, although a few had pre-school aged children. Notably, it included most of the men who were interviewed.

#### **Case study: Actively looking for work**

Graham is a married man in his late 30s, with a son aged eight.<sup>27</sup> His wife works part-time as a cleaner. Graham previously worked as a security guard for eight years but gave up his job over a year ago due to health problems. He recently completed a course in CCTV monitoring which he paid for from his savings, and is now looking for this type of work. Initially at least, he wants to work part-time to ease himself back into work but also to minimise the disruption to his family life. He has signed up to a number of employment agencies and had several offers of potential jobs which he has turned down, mainly because they were full-time posts.

None of these participants had been out of work for more than two years. Some had only been out of work for a matter of months; rather more had been out of work for somewhere between a year and two years. These participants had stopped work for a variety of reasons, most commonly because of job loss due to a downturn in business, or the end of a contract. One man had taken voluntary redundancy; another had been sacked. Several participants had left their jobs out of choice; one or two women had stopped work following the birth of their youngest child.

### **5.1.2 Group 2: Not actively looking for work at present, but intending to do so in the future**

This was the largest group, which mainly comprised women in their 20s and 30s, with some in their 40s. Most had at least one pre-school aged child. The remaining participants generally had a youngest child at primary school.

Only a handful of these participants had worked in the last year. Most of them had not worked for at least three years; indeed, some in their 30s and 40s had not worked for over ten years. Overall, those who had not worked at all since having children slightly outnumbered those who had.

---

<sup>27</sup> All participants' names have been changed, as have some of their personal or family details.

Female participants who had been working mothers in the past had generally given up work because of the costs of childcare or because they felt it was having a detrimental impact on their family life (or a combination of both).

*'Two children, a house and a full-time job...Financially it wasn't worth me killing myself and missing out, somebody had to be there for the children. By the time I came home I was exhausted, the children were missing out, I had no energy left to do things with them. They needed help with homework, dinner, bath, bed. We were having no quality time as a family. So we weighed up all the pros and cons and we decided that I would stop work.'*

(Woman, 40s, London)

Of the two men in the group, one had made a deliberate decision to stop work to be the primary carer for his two young children; the other had come to the end of his employment contract.

In terms of returning to work, some participants were planning to look for work in the next few months. A much larger group did not intend to look for work for at least a year and in most cases for at least two or three years – while this was their expressed intention at the time of the research, it is impossible to know whether or not these rather distant plans would come to fruition.

Regardless of the timescales involved, participants' decisions about returning to work were largely linked to key educational milestones – most commonly they talked about looking for work when their youngest child started full-time schooling at the age of four or five, or when the youngest child started secondary school at the age of 11.

#### **Case study: Not actively looking for work at present, but intending to do so in the future**

A married woman aged 25, Abbie has two children aged three and four. Her husband has a full-time job in engineering. Since leaving school at 15, Abbie worked in telesales, latterly as a manager. She stopped working when she had her first child four years ago – a joint decision with her husband based on his greater earning power - and has not worked since. She plans to return to work in two years time or so, when her youngest child starts full-time education. When she starts looking for work, her main concern will be to find a job with working hours that fit round her children – which rules out her previous job.

A small number of participants whose youngest children had started secondary school fairly recently wanted to defer looking for work until they felt their children were settled at school or old enough to be left on their own (typically when they reached 13 or 14). Finally, two parents with very young children intended to look for work once they felt their children were old enough to go to nursery (which in one case was six months old and in the other case two or three years old). In

neither case was the cost of childcare cited as a reason for not going back to work before that time.

### **5.1.3 Group 3: Not looking for work, and not intending to do so**

This group solely comprised women, most in their 20s and 30s but including some in their 40s and 50s. Some had at least one pre-school aged child, others had older children. Notably, all of them lived outside London. Most participants in this group had not worked for at least four years and included one young mum who had never worked, along with some older women who had not worked for over ten years.

A small number of women in their 50s in this group had older children aged 16 or over, who were still in full-time education and living at home. These women had all returned to work at some point since having their children. They were not working at the present time either through choice or because they had health problems that severely limited their ability to work even though they would have liked to.

#### **Case study: Group 3: Not looking for work, and not intending to do so**

Shona is in her mid-30s, married with two children aged eight and ten. Her husband works full-time as a supervisor at a local factory. Before she married, Shona worked as a full-time nurse, a job that she found stressful and demanding. She has not worked for over ten years, since having her first child and has no intentions of returning to work. She enjoys being a full-time mum, and both she and her husband are against the idea of putting their children into childcare – the trade-off being a lower household income which they are happy to accept.

The remaining participants had generally given up work completely when they had children. A few had gone back to work since having their first child, but stopped working when they had a second child. The main reason these participants gave for not working, and not looking for work, was the desire to look after their children. Several expressed strong views about the importance of parental involvement in a child's upbringing, and not wanting to miss out on their child's development. As discussed in Chapter 4, parents' own upbringing was often an important influence on their attitude to the idea of combining childrearing with work. The prohibitive cost of childcare for two pre-school age children was also a consideration for one participant.

While these participants were not planning to look for work, they did not completely rule out considering a return to work, for example if their household financial situation necessitated it. This was not, however, something they anticipated happening in the near future. Even so, it was not unusual for these participants to say they looked through the job section of the local papers, to see what type of work was available.



## 5.2 What types of work were parents looking for?

The participants who were actively looking for work at the time of the research (Group 1 in Section 5.1.1) generally had some idea of the type of job they were looking for, and the same was true of those (in Group 2) who intended to look for work in the near future. The picture was more mixed among the remaining participants in Group 2 who planned to look for work, but not for a year or so: some had a clear idea of the type of job they would look for, while others were primarily concerned about finding a job with working hours that fitted around their children, whatever that might be.

Among those with some idea about the type of job they wanted, most were looking for work in either manual/service occupations (e.g. security guard, cleaner, dinner lady, receptionist) or clerical/intermediate occupations (e.g. care worker, administrative worker, teaching assistant).<sup>28</sup> A relatively small number of participants were looking for work in professional occupations (e.g. nurse, solicitor, police officer).

There seemed to be some distinct differences by geographical location in the types of jobs participants were looking for. Very few of the participants in London were looking for work in manual/service occupations; most were looking for work either in clerical/intermediate or professional occupations. In contrast, most of the jobseekers in West Yorkshire were looking for work in manual/service occupations. The picture was less clear-cut in North Somerset – several participants had no firm ideas about the type of work they were looking for, others were looking for work either in manual/service or clerical/intermediate occupations.

Perhaps not surprisingly, most participants were looking for the same or similar jobs as they had done in the past. Some, however, were seeking to change direction in their employment, which often involved an element of training and development. This included three of the men who were interviewed, who were seeking to develop a new career. One of them had previously worked in customer service, and was planning an imminent move into project management once he had taken a professional examination. Having taken voluntary redundancy from his managerial position, another had recently applied to join the police force. A third man was about to start training as a driving instructor, having lost his job as a bus driver some months before. In addition, one woman (a trained chef) intended to retrain in a new profession within the food industry, and was considering her options. All four of these participants lived in London.

---

<sup>28</sup> These occupational classifications are broadly based on the occupation question used in the National Statistics Socio-economic Classification (NS-SEC) self-coded method of classification. See [www.statistics.gov.uk](http://www.statistics.gov.uk) for further details.

In addition, several women participants were looking to move from manual or service work into clerical/intermediate occupations. One woman in her 40s, for example, who had worked as a cashier many years ago was keen to find administrative work that would utilise her newly-acquired IT skills. Another participant in her 20s who had previously worked behind a bar intended to train as a support worker in the future, and was already exploring possible training courses.

In contrast, one woman was looking for different, and less demanding work. She had provided book-keeping and administrative support for the family business which had recently gone into receivership. She was now looking for work either as a school meals supervisor or a shop assistant.

*'...it knocks your confidence, you just think "oh no, no, no" and I suppose it's easy, I think at the end of the day I don't care if it's just a dinner lady, I can go, sort it out, easy, no responsibility, I'm scared of the responsibility thing again now...'*

(Woman, 30s, North Somerset)

There was a small group of parents who, although not sure what they wanted to do in the future, did not want to return to the type of work they had been in before. Sometimes this was because they had not enjoyed it, while for others it was because they did not believe that the work would easily fit into family life. One woman was a trained dental nurse but had not worked in this occupation for over 20 years and did not want to go back to it. Similarly, another woman rejected a return to psychiatric nursing, which she had found very stressful. A male participant had given up an engineering job that involved considerable time away from home in order to look after his children, and had ruled out returning to this job in the future.

### 5.3 Working hours and other factors

Three criteria were most important to participants who were looking for work, or planning to do so in the future: working hours, travel to work and level of earnings. Of these, working hours seemed to be the most important by far. It was not uncommon for participants to talk about looking for any type of work as long as it offered the part-time hours they wanted and was convenient to get to. Very few participants were prepared to compromise on these issues.

#### 5.3.1 Working hours

A relatively small number of jobseekers expressed a preference for full-time employment, and most of these were men. For the remainder (predominantly women), the ability to fit work around children was often the most important

consideration in looking for a job.<sup>29</sup> Indeed, moving into work was generally contingent on them finding a job with suitable hours. A few non-working mothers said they would possibly consider full-time work if they found out that part-time work was not financially worthwhile or if it was a job they really wanted.

Participants generally wanted to work part-time hours that fitted around the school day. Some were no more specific than this, others had clear ideas about the sorts of hours they wanted to work, for example stipulating that they only wanted to work three or four days per week, or only for a few hours a day, or that any job they took had to start no earlier than 9.30am and finish no later than 3.30pm.

*'I wouldn't want to work everyday of the week, Monday to Friday because I don't think there's any point in having children, personally, I wanted to have children to be there for them. So I think it's finding a balance.'*

(Woman, 30s, London)

Working part-time meant that participants could do the school run in the morning and afternoon. As noted in Chapter 2, working partners were often unable to help out with dropping off and picking up children because of their working hours, even if they would have liked to.

*'...the hardest thing you find with part-time jobs is finding somewhere that fits in with the school hours and that type of thing. You know, a lot of these jobs are full 3 days or every, do you know what I mean, and I need somewhere that I can get home to pick the children up.'*

(Woman, 30s, London)

A major consideration for some non-working parents in seeking part-time work was to minimise the need to pay for childcare, which would otherwise make part-time work financially not worthwhile.

Several participants expressed a preference for term-time only work, again to preclude the need for childcare during school holidays. There was little appetite for working in the evening or at weekends, which were regarded as family times.

*'I don't want to work evenings because it is our time and our time's important and with the children, you know, I like being there to put them to bed.'*

(Woman, 30s, North Somerset)

That said, one or two participants were looking for weekend or evening work to avoid the costs of paying for childcare, which could be provided by their partner or family members.

---

<sup>29</sup> In Great Britain, 20 per cent of mothers with children under five work full-time, and 35 per cent part-time. This increases to 28 per cent full-time and 43 part-time among mothers whose youngest child is between five and ten years old. In contrast, 86 per cent of fathers with children under ten work full-time, and only four per cent part-time (Equal Opportunities Commission, 2006).

### 5.3.2 Travel to work

Travel to work was the next most commonly mentioned factor in looking for work, and was mentioned more often by participants living in London than elsewhere. In order to combine employment with the school run, participants were keen to minimise their travel to and from work by seeking employment locally. Some also mentioned that they wanted to be near at hand in case of emergencies, or they did not want to spend time and money commuting. A few participants were limited by their inability to drive.

There seemed to be some variations by geographical area in terms of views about travel to work. Among participants living in London, there was a general desire to work in their local vicinity.<sup>30</sup> Indeed, some were not prepared to consider a journey time of more than ten or 15 minutes each way, because they wanted to be very close at hand for their children, because they could not drive and were reliant on either walking or using public transport, or simply because they only had a limited number of hours to work between looking after their children. For this reason, any idea of commuting to central London for work was completely ruled out.

*'It would have to be local, I can't be commuting, I've got six hours [available between school runs], I can't commute for half an hour, I can't.'*

(Woman, 30s, London)

A few participants in London were, however, willing to consider commuting to work, either to central London or within the M25 area. All of these participants were men who, in all likelihood, would be the main breadwinners in their households once they returned to work.

Outside London, participants also expressed strong preferences for local employment that involved relatively short journeys. One or two participants outside London who had tried Jobcentre Plus as a means of job hunting talked about the difficulties of finding work locally, with many of the advertised positions being further away than they were prepared to travel.

In North Somerset, among participants living in the main town, this generally meant looking for work within the town. Those who lived in the villages around the main town tended to confine their job hunting to their own village and those around it. None of the participants in North Somerset mentioned looking for work further afield, for example in the town of Clevedon or the city of Bristol (which are around ten and 20 miles away from the main town respectively). This is hardly surprising, given their preferences for part-time work which would probably be fairly low paid.

There was a similar picture in West Yorkshire, with participants looking for work in and around the town where most of them tended to live. Several participants could not drive, and so talked about looking for work that could be reached by

---

<sup>30</sup> Fieldwork recruitment in London was conducted in three boroughs: Newham, Enfield and Sutton.

bus or, ideally, on foot. One or two participants lived in the villages around the town, which tended to mark the boundary of their job search activities.

### 5.3.3 Level of earnings

As we saw in Chapter 4, financial considerations were a factor in non-working parents' decisions around work – but by no means the only factor. And while level of earnings was the third criteria that participants considered when looking for work, it was not mentioned nearly as often as the other two factors outlined above.

Some participants (who had left the labour market fairly recently) were looking for jobs that paid a similar or better wage than their last job. Others said they would only consider jobs that were 'financially worthwhile', which could mean more than the minimum wage or wages that made a significant contribution to the household income – in excess of £10 or £20 per week extra were cited. In some cases it meant sufficient earnings to offset any loss of benefits and/or tax credits (see Section 5.6 for further discussion of tax credits). As mentioned above, some participants were looking for a career change, and this generally implied the potential for higher earnings over the longer term.

## 5.4 Job search activities

Participants who were actively job-seeking at the time of the research (Group 1) had generally been looking for work for five or six months at most; several of them had just started to look for work in the last month or so. Of the participants who were planning to move into work in the near future (Group 2), some had started to look tentatively for jobs, while others had done little beyond thinking about their possible options.

The most commonly cited job search activities were looking in local papers and looking on the internet (websites such as Jobserve and Monster were mentioned). Other activities included signing on with commercial employment agencies, visiting Jobcentre Plus offices to use the job search facilities there or speaking to advisers on the telephone about current vacancies. Participants' views and experiences of Jobcentre Plus are discussed in the next chapter. One or two people had circulated their CV to local employers. For a few of the male participants, word-of-mouth was another potential avenue for finding work – they talked about having friends or acquaintances who would almost certainly be able to offer them work if they could not find anything else, such as building or decorating work.

*'A friend of mine could get me a job tomorrow...the money is all right but the conditions are horrible. It's shift work, which I've said I don't mind some shift work, but it's in like a freezer place so you're cold permanently.'*

(Man, 50s, North Somerset)

Most of the participants who were actively seeking work at the time of the research (Group 1) had either applied for jobs or been offered jobs through an employment agency. Some participants had only applied for one job to date; others had applied for three or four. Those who had not applied for any jobs had generally only started looking for work very recently.

Among those who had applied for jobs, several were awaiting the outcomes of their applications. Three participants had each applied for one job to date but had been turned down without being offered an interview. A further two participants had been for job interviews: one woman had been unsuccessful at the interview stage because of her lack of experience for the care assistant post she had applied for. Another woman had been for two job interviews (also as a care assistant): in one case she was unsuccessful and she had turned the other job down because of the working hours, which would have meant giving up her voluntary work. She had a third job interview lined up.

Some active jobseekers had signed up with employment agencies. Two of them (both men) had turned down potential jobs through an agency – one man described how the security guard positions he had been offered by an agency were too low paid and were all full-time, whereas he wanted part-time work. The other (who worked in the IT sector) had also turned down positions mainly because of the level of pay.

## 5.5 Preparing to move into work

For the most part, participants who were actively looking for work did not envisage needing to make any particular preparations for the move into work. This is perhaps not surprising, given that they were generally looking for part-time work in the local vicinity that would fit around their children's needs. In addition, some participants had left the job market fairly recently, so things like buying work clothes were not a particular issue. Others were looking for low-skilled work which did not require any preparation of this sort. That said, a considerable number of participants felt that they would benefit from external support and help to look for and move into work, and this is discussed in detail in the following chapter.

Two issues were raised by small numbers of participants in terms of preparing to move into work: childcare arrangements and training to move into work. A few participants, all with children aged under three, talked about the need to arrange childcare. They had either already looked into this or planned to do so. This could involve sorting out nursery places and/or arranging for partners or other family members to care for children. It is worth noting that, among participants who planned to look for work that fitted around their children, there were still some concerns about how they would cope as a working parent with unexpected events, such as a child being taken ill.

*'Now I'd have to find childcare for [my daughter] and the other two I know I would probably be able to get them to school but we'd need somebody to pick them up, and also if they were ill at school, that's probably a main worry.'*

(Woman, 20s, North Somerset)

As discussed already, some participants were seeking a change of career, which typically involved an element of training or retraining. In all cases, this process was underway – participants had either applied for what they wanted to do (e.g. to join the police, to train as a driving instructor) or were considering their options. One man had been studying for a professional qualification for some time, and was about to sit his examination.

Other participants were considering the option of undertaking some form of training in order to increase their job prospects and often to improve their confidence as well (see the case study below). They included participants who were currently looking for work and some who planned to do so in the future. They were all women who had typically worked in low-skilled jobs in the past (e.g. cashier, bar work, delivering meals on wheels); some had been out of the labour market for several years.

The type of training most commonly mentioned was basic computing skills, and participants had often started to look at what courses were available at their local further education college or from *learnirect*.<sup>31</sup> None of them, however, had gone as far as booking a place on a course.

#### **Case study: Training to prepare to move into work**

Gina is a married woman in her early 40s, with two children aged nine and 14. She worked as a secretary in the past, but not since her children were born. She regularly looked through the local paper for jobs, but felt unqualified to apply for any. Her long period out of the labour market, combined with her low confidence meant that she felt daunted at the prospect of moving into work. She was therefore thinking about doing a short course in computer skills, possibly at her local further education college.

*...it's very scary when you haven't worked for a while, it's very scary. So I'll definitely look into courses I think first...I mean I know how to work a computer but I'm quite nervous, I'm not a very confident person I suppose, so I think I need that backup of maybe a course in computers...I think I'd be a little bit more confident if I've gone for a course or something for a few weeks and then I can go in and think okay I know exactly what to do, you know.*

Like any job she applied for, a course would have to fit in around her children's school hours.

<sup>31</sup> *learnirect* was developed with a remit from Government to provide high quality post-16 learning. Among other things, it offers free independent careers advice over the phone, online and by email and delivers courses to help adults improve their maths, English and IT skills.

In addition, some female participants mentioned that their partners or children would need to help out more around the home when they moved into work. None of these participants reported that this would involve any major changes in the division of responsibilities within their family, however.

## 5.6 Financial implications of moving into work

As we saw in Chapter 4, money was not always the primary motivator in participants' decisions about whether or not to move into work. And, as outlined above, most participants were looking for part-time employment.

In keeping with this, participants tended not to have particularly strong views about the financial implications of them returning to work. Where they expressed an opinion, participants generally felt their earnings would help improve the household's standard of living, so they would be able to afford things like holidays, going out for a meal or family days out. Some regarded their return to work as an opportunity to save for the future.

*'I'll just have a little bit more, I mean I should have like, my wage what I get should be on top of what we get now, so it's like £40 a week so obviously I should be able to save some of it instead of being hand-to-mouth all the time just making ends meet if you know what I mean, sometimes they don't meet...it should enable me to save up to be able to take the children on holiday and have some of the nice luxuries in life rather than just the necessities all the time.'*

(Woman, 30s, West Yorkshire)

The impact of going back to work on tax credit entitlement was raised by some participants. Several felt that their return to work would probably have a relatively small financial benefit for the household, as they expected that their tax credits would be reduced by the same amount.<sup>32</sup> Even so, they were still keen to return to work for other reasons.

Others (who were generally planning to look for work in the future) were not entirely sure what the impact of a return to work would be on their tax credit entitlement, although they generally seemed to feel that their overall financial situation would not improve much, if at all. This was identified as something they would need to find out in order to assess whether or not it was financially worthwhile moving back into work and into part-time work in particular. It was notable that these participants tended to have larger tax credit awards (around £100 per week or more), and in some cases they received financial help with their rent and council tax as well.

---

<sup>32</sup> The Tax Credit system allows an increase in income of up to £25,000 in any one year before there is a change to families' entitlement, meaning that second earners entering part-time or relatively low paid work are unlikely to see their entitlement change in the year they do so.





## 6 Support for moving into work

This chapter explores participants' views and experiences of the support needs of non-working partnered parents to look for and move into work. It draws predominantly on the interviews with participants who were actively seeking work at the time of the research, or who planned to do so in the future.

While some participants had used Jobcentre Plus to search for jobs, experience of other types of help and support was rare. Participants were asked whether they felt this type of support was needed generally, and whether or not they personally would be interested in accessing support. The second part of the chapter examines participants' views about what this support would ideally look like.

### Summary: Support for moving into work

- There seemed to be high demand for support services among active and future jobseekers. Participants were interested in support to help them become job-ready, including help to write a CV or complete a job application form and with job interview skills. They were also keen to access training around basic computer skills, and some wanted help to choose the right course for them.
- Help to find work was the second area where participants wanted support, in order to find family-friendly employers, and to access some form of careers advice, for example to help them find suitable jobs.
- The third area of support was help to move into work. The main needs here were two-fold: firstly, help to work out whether or not their household would be better-off if they went back to work; and secondly advice about childcare, typically the financial assistance that might be available to help with childcare costs and how to find and arrange good quality childcare provision.

Continued

### Provision of support services

- It was fairly common for active and future jobseekers to cite the internet as a source of information. A small number of female participants, however, expressly stated that they would not want to use the internet to access support. These and other participants stated a preference for face-to-face help and support, and some were equally happy to receive support over the telephone.
- Support services, participants felt, had to be targeted at working parents and tailored to their needs. Cost was also an important issue in relation to training.
- Compared with views about the delivery of help and support, participants had less idea about who should provide it. Most commonly mentioned were Government, local councils and employment agencies.
- There was a high level of awareness of Jobcentre Plus among participants, and some participants mentioned it as the obvious provider of support services for parents like them who were looking to move back into work.
- Participants' views and experiences of Jobcentre Plus were mixed, however. Where participants reported positive experiences, they were generally open to receiving help and support from Jobcentre Plus to move into work.
- Criticisms of Jobcentre Plus (based on experience) focused mainly on staff being unfriendly or unhelpful, or unwilling to help participants because they were not benefit claimants. Even so, some participants said they would still consider accessing support through Jobcentre Plus.
- Other participants ruled out using Jobcentre Plus because of their negative perceptions about it (not based on any particular experience of it), which generally revolved around the types of people it served. A few participants discounted using Jobcentre Plus because they felt it would not offer the types of jobs or the levels of pay they were looking for.
- Several participants were aware of *learndirect* as a source of adult learning. Some had made initial enquiries but been put off by what they considered to be the high cost of courses.

## 6.1 Support needs of non-working partnered parents

The interview data indicate that there was general backing among participants for the provision of services to help and support parents into work, even if they themselves felt they did not need or want this type of help.

In fact, there seemed to be high demand for support services among those looking for work or planning to do so in the future. Only some of them said they were not personally interested in accessing some form of help and support and these were mainly active jobseekers and included most of the men who were interviewed.

They had generally only been out of the job market for a year or two at most. As a result, they felt they did not need any help because they were confident they could find work themselves.

Most participants who were interested in finding work, however, generally expressed keen interest in accessing help and support. They included active jobseekers as well as those who were planning to look for work in the future. While some had been in work fairly recently, most had not worked for well over two years. They included several women who had been out of the job market for over ten years; for them, overcoming low confidence was often a key issue.

It was not uncommon for participants to express frustration about not knowing where to look or ask for information about the types of help and support that they wanted. Some talked about not knowing what questions to ask. This could delay their attempts to look for work.

*'...if you haven't got the confidence behind you...it just holds you back and then more and more time goes by, you know, and maybe if it was out there in your face you'd say "oh great let's go for it". But when you think, "I've got to find where to go" and "what if this" and "what if that", you know, the days and weeks just go, time just goes.'*

(Woman, 40s, London)

Participants identified a wide range of services that they felt would be useful to them and other parents, in terms of looking for work and preparing to move into work. These broadly divided into support to become 'job-ready'; help to find work; and help to move into work – although in reality these often overlapped. Of these, there was most interest in support to become job-ready and to move into work. Slightly fewer participants mentioned wanting help to find work. This might be explained by the fact that, as we saw in the previous chapter, participants were already using a range of sources to look for jobs, including local papers, the internet and Jobcentre Plus.

### **6.1.1 Support to help parents become 'job-ready'**

Participants identified three main areas where they would welcome support to become job-ready, namely curriculum vitae (CV) skills, job interview skills and information around training or retraining.

Participants were keen to get help around writing a CV or completing a job application form. In particular, women who had been out of the job market for three years or more wanted to know how to present themselves positively in a CV or on an application form.

*'Well I haven't got a clue how to do a CV to be honest, I'm very good at talking and saying what I think but I'm not good at putting it down on paper...so on an application form I find it hard...when it comes to a question, I don't know, "why do you think you'd be good at this job?" I could tell you but I'm not sure how to put it down...'*

(Woman, 30s, London)

*'...it's just trying to jazz up what isn't there and I don't know how, you know, I think that's going to take a miracle.'*

(Woman, 40s, London)

There was also some interest among participants in accessing help with job interview skills and general confidence building, again particularly among those who had not worked for some years.

*'I think about how am I ever going to go on an interview? What will I say, what can I say, when there's so much competition out there? Why would they want me when I haven't got that much experience? They might think, "Well she's got children, you know, she might be wanting time off"..."'*

(Woman, 40s, London)

As discussed in the previous chapter, participants identified training as one aspect of preparing to move into work, particularly training around basic computer skills. For the most part, they favoured short courses that, like the jobs they wanted, had to fit around their families. Participants were interested in accessing information about what types of courses are available; their duration; how much they cost and whether or not there is financial assistance available to pay for training. Some wanted guidance to find the right course for them. For at least one participant, the idea of undertaking a training course was just as daunting as moving into work.

*'I'm a bit scared [of going back to college] I think...I think to myself I want to do it and I think am I too old to do it? You know, will there be like young people doing it and I'll be the only [older] person there? I don't know I just feel scared. I think you just get stuck in a rut...'*

(Woman, 30s, London)

Bringing all these aspects of becoming job-ready together, one participant raised the idea of a 'back to work' course, which would include CV and interview skills, confidence-building and computer skills.

### **6.1.2 Help to find work**

As discussed in the previous chapter, participants who were job-hunting or planned to do so in the future generally had some idea where to look for jobs, and used a range of sources including local papers and internet sites. A few reported unsatisfactory experiences of trying to use Jobcentre Plus offices to find work, which are described in Section 6.2.2.

Participants identified two main types of support they felt would be useful for them and parents like them in finding work. The first type of support that participants identified was help to find family-friendly employers, for example, a directory of companies that offered jobs within school hours.

The second was some form of 'careers advice': this typically meant being able to talk through their options with someone, for example to help find suitable jobs or to identify the type of training and/or qualifications they might need to undertake to pursue a particular line of work.

*'I wouldn't mind someone to be there and answer the questions I have... someone to say, "This would be a good job, yes it's not much pay, but at least you get there"...it just gives you a boost.'*

(Woman, 30s, North Somerset)

One participant described this as a service that would lie somewhere between a college and Jobcentre Plus. Linked to this, another participant felt that it would be useful to have 'work experience' for adults to try out new jobs or new industries.

### **6.1.3 Help to move into work**

There were two main support needs mentioned by participants in relation to moving into work. The first was help to work out whether or not their household would be better off if they went back to work. This generally implied doing a better-off calculation to work out the impact of additional earnings on the amount of tax credits (and in a few cases Housing Benefit and Council Tax Benefit) they currently received. There was also clearly a latent need for this type of advice: several participants, while not explicitly identifying this as a support need, had given little thought to how their family's tax credit entitlement might be affected if they moved into work.

The second area was advice about childcare, typically the financial assistance that might be available to help with the costs of childcare; and how to find and arrange good quality childcare provision both in term time and the school holidays. This type of support was of particular interest to participants with pre-school aged children.

Finally, a few participants said they would welcome help and support around the practical issues of combining work and family, for example hearing from other working mums about how they managed to work and look after their family, advice about time management, and information about the legal aspects of flexible working.

## **6.2 Provision of support services**

Discussion around the provision of support services focused on two areas: delivery methods and providers.

### **6.2.1 Delivery method**

About half of the participants who were looking for work, or planned to do so, cited the internet as a source of information – mainly as a means of looking for jobs but also to access other information such as guides to CV writing and information about education and training courses.

A small number of participants (all women) expressly stated that they did not want to use the internet to access support, largely because they were uncomfortable with information technology; interestingly, none of them identified computer skills as a support need. These and several other participants stated a preference for face-to-face (and by extension one-to-one) help and support, particularly in relation to support to become job-ready (such as CV and interview skills) and around careers advice.

*'I think maybe a chat one-to-one, like when you go to a bank, you know, like when you go into a bank and you speak to an adviser I think that would probably be a lot more help [than a course], just to have maybe a one-to-one, half an hour meeting or an hour meeting where you could sit and they could say, "What type of thing do you want to do?".'*

(Woman, 30s, London)

A few were equally happy to receive support and help over the telephone. Previous research (about advice and support around child support issues) has highlighted the need to provide both telephone and face-to-face services to meet everyone's needs (Atkinson *et al.*, 2006).

Some participants came up with ideas around the provision of printed information for parents looking for, and moving into, work. One suggestion was to send out information along with tax credit leaflets (for example, around training opportunities); another was to include information in Bounty Packs which are available to new parents.<sup>33</sup>

*'If they sent you leaflets out or something [with Child Tax Credit information], just to make you aware of what choices there are available for you.'*

(Woman, 20s, West Yorkshire)

One woman raised the idea of a 'starter' information pack for parents who were interested in moving into work, which would contain things like guidance about looking for jobs and details about training courses.

Support services, participants felt, should be targeted at working parents and tailored to their needs, for example to accommodate parents who could only access support services within school hours. As mentioned already, to be accessible to parents training courses needed to offer part-time or flexible hours. Cost was also an important issue in relation to training as participants were rarely in a position to afford to pay much (if anything) for training courses.

---

<sup>33</sup> Free to new and expectant parents who are registered, Bounty Packs contain a range of free samples, money off vouchers and information (including claim packs and literature for Child Tax Credit and Child Benefit). They are distributed through ante-natal clinics, midwives and other healthcare professionals and certain retail outlets.

*'...if there was a free course then I think I would be tempted, but then they are like hundreds of pounds to do, you know. But if it was a course free, at the end of the day you could at least give it a go...it's always the same, it's always sort of money.'*

(Woman, 30s, North Somerset)

### 6.2.2 Providers

Compared with views about the delivery of help and support, participants had less idea about who should provide these types of help and support. Most commonly mentioned were Government, local councils and commercial employment agencies. A few participants felt strongly that it was the responsibility of Government to provide access to these types of services if they wanted people to move back into work.

*'...the ball's probably in the Government's court to have websites or something where they put information up there.'*

(Man, 30s, London)

*'They [the Government] preach don't they that they want people to work, they don't want people to be on benefits.'*

(Woman, 30s, West Yorkshire)

One woman talked about the possible provision of support through Children's Centres. Jobcentre Plus has been involved in working with some Children's Centres to deliver services, and although take-up has been low, feedback from service users has generally been positive (Dench *et al.*, 2008).

Interviewers prompted participants on their views of Jobcentre Plus as a provider of support services to non-claimants. There was a high level of awareness of Jobcentre Plus among participants as a whole: most were aware of it, and about half had some experience of Jobcentre Plus, either personally or because their partner or children had used it. Several participants mentioned it as the obvious provider of support service for parents looking to move into work.

Participants' views and experiences of Jobcentre Plus were mixed, however. Some negative views were based on participants' experience of Jobcentre Plus (either personal experience or that of partners or friends). Their criticisms focused mainly on Jobcentre Plus staff – they reported finding staff unhelpful or unfriendly, or unwilling to help them because they were not benefit claimants.

*'Well you know them touch screens I haven't got a clue how to work them... and they're always too busy in there for you to ask someone, all you've got are the security guards that are there...'*

(Woman, 30s, London)



While some of these participants dismissed accessing support through Jobcentre Plus, others did not completely rule it out, if, for example, Jobcentre Plus offered the type of help and support they wanted, or if the staff were more helpful.

Other participants had negative perceptions about Jobcentre Plus without having had any particular experience of it, which generally revolved around their views about the types of people it served.

*'I'm not posh by any means but I've never thought I'd get anything out of the jobcentre that was worthwhile really...I just think you get a lot of people in there just turn up once a month or whatever it is, collect their benefits and go back to bed, and I just think I don't want to be associated with that.'*

(Man, 30s, London)

*'I just sort of class jobcentres as more for the sort of younger types that don't have a job...it's more for sort of younger, single type people...or it's the sort of thing that guys would go in...I can't really see, well a woman like sort of in their 30s, 40s maybe with two or three kids trooping into the jobcentre...'*

(Woman, 40s, West Yorkshire)

These participants were generally unwilling to consider Jobcentre Plus as a potential source of help and support. Similarly, several participants discounted Jobcentre Plus because they felt it would not offer the types of jobs or levels of pay they were looking for.

*'...I always think of those places [Jobcentre Plus] as being a bit more industrial. Perhaps I'm totally wrong, but they always seem to have these builder type people in them...'*

(Woman, 40s, London)

Where participants reported more positive views about Jobcentre Plus, this was typically based on their own experience or that of family members. They had generally found Jobcentre Plus staff helpful, for example providing assistance with job hunting or helping with better-off calculations. Perhaps not surprisingly, these participants were generally open to receiving help and support through Jobcentre Plus. A few were currently using Jobcentre Plus computerised job search facilities to look for work; one or two were also in contact with Jobcentre Plus advisers.

*'I do sometimes pop in the jobcentre and just go on those machines and have a look, it's interesting to see what's around...I think you can pick area, your wage that you're looking for, the position and it kind of gives you all these options and you select it and you print off the slip with the contact details and you can phone them up yourself...it's all so modern now... because before it wasn't very inviting for you to go over and talk to anyone, whereas now they're friendly desks, it's all bright colours, they've made the jobcentres a bit more hip.'*

(Woman, 20s, London)

In relation to adult learning, several participants were aware of *learndirect* as a source of training provision, generally through television adverts or word of mouth from friends. Some participants had made enquiries about courses, but were put off by what they considered to be the high cost. This included one participant who was very keen to follow up her European Computer Driving Licence (completed with *learndirect*) with further courses, but for whom the cost was prohibitive at the current time.



## 7 Conclusions and policy considerations

The Government has set ambitious targets for reducing the number of children growing up in poverty and has pledged to eradicate child poverty by 2020. Its latest plans for doing this are set out in the March 2008 publication *Ending child poverty: everybody's business* (HM Treasury, 2008a). This includes a commitment to encourage both parents in couple families to work, where appropriate, as evidence suggests this could have a significant impact on reducing child poverty.

The overall aim of this qualitative project was to understand the attitudes and behaviours of non-working partnered parents living in low-income households where neither partner is in receipt of out-of-work benefits from the Department for Work and Pensions (DWP), and to explore the factors that might influence decisions about work within their household. Based on the evidence outlined in the previous chapters, this final chapter presents the overall conclusions and policy considerations from the research.

### 7.1 Participants lived in relatively stable households with a traditional division of labour

This was a study of one-earner couple households with children, whose self-reported household income was below 60 per cent of median before housing costs, taking into account the number of dependent children living with them. This is the Government's headline child poverty indicator. The relative stability of families was noticeable among the sample: the participants and their partners tended to be in longstanding relationships, and the incidence of step-children within a household was low. Most (but by no means all) participants and their families were in good health. The interview data provides evidence of a traditional division of labour in most of these families, with one partner in paid work and the other largely or wholly responsible for domestic chores and childcare.

## 7.2 There was a strong desire among participants to stay at home to look after their children

There was a general belief among participants and their partners that a parent should ideally be the primary carer for their children, at least until the children started full-time school and in some cases well beyond this. Participants talked about the desire to be involved fully in their children's lives: as their main influence, so as not to miss out on key developmental milestones of younger children, and to provide emotional support for older children. Some participants had discounted the use of paid childcare on the basis of cost. Others were not willing to leave their children with other adults for long periods of time.

Their children's wellbeing was therefore the primary consideration for these participants (and their partners) when making decisions around work. For some parents this was the main motivation for wanting to stay at home rather than look for work; the enjoyment that participants derived from being a full-time parent was another important factor. The trade-off for having one partner looking after the children full-time was a lower household income than if both partners worked. This means that it may be challenging to move some potential earners into work.

## 7.3 Families were generally managing on a low income, often through careful budgeting

There was considerable variation in the length of time that households had been reliant on a single earner: at one end of the spectrum, some participants had only stopped working in the last few months, while at the other end there were participants who had not worked for ten years or more. In many households, the working partners' earnings fluctuated from month to month because of the type of manual work they were engaged in or because they were self-employed.

While most participants reported that it was either a struggle from time to time or a constant struggle to manage financially, only a few said they were in arrears with household bills or credit commitments. This reflects the fact that most described themselves (and/or their partners) as careful money managers. It was notable that the non-working partner's decision to look for work appeared to be largely unrelated to the household's financial situation, so that some participants who said they faced a struggle to manage had no intention of going back to work. This suggests that their financial situation was unlikely to improve without an increase in their partner's earnings or a reduction in their household expenditure.

#### 7.4 Some families had consciously adjusted patterns of spending to manage on one wage

Participants and their partners had often adjusted their patterns of spending to make ends meet on one wage, and this was particularly the case where the reduction from two wage earners to one earner had been a conscious decision. Participants clearly felt this was a worthwhile trade-off if it meant their children could be looked after by one of their parents. In some cases, the loss of earned income was partially mitigated by financial support from family (typically participants' parents or parents-in-law).

#### 7.5 Several families had made a deliberate decision not to claim tax credits

Although they were likely to be eligible because of their self-reported low household incomes, a number of participants said they had not claimed tax credits. In some cases this seemed to be due to a lack of awareness. In other cases, however, participants reported a deliberate decision not to apply for tax credits and managed without.

#### 7.6 Moving into work was generally a longer-term plan

Most participants were actively looking for work at the time of the research or planned to do so in the future – often several years in the future, when a youngest child was in full-time education or alternatively when a youngest child had moved to secondary school. The main reasons for wanting to move into work were financial considerations and the personal benefits that participants thought they would gain from employment.

#### 7.7 Any move into work had to fit around children and family

Active and future jobseekers expressed a strong desire to retain as full a role as possible in their children's upbringing even once they moved into work. Participants felt it was imperative that their return to work must not be detrimental to their children's wellbeing, and in some cases this was based on previous unhappy experiences of trying to combine work and family.

Linked to this, female participants typically had sole (or the main) responsibility for looking after their children as well as all the household chores. This was unlikely to change if they moved into work, at least in part because their partners tended to work full-time and would be unable to contribute much more than they did at present. Some working partners had changing shift patterns, a long journey to and from work or worked long hours.

## 7.8 Most jobseekers were looking for part-time jobs in occupations that tended to be low-paid

The perceived need to fit paid work around children and family meant that working hours were the most important factor by far for those participants who were looking for work. This was particularly true for female participants, who wanted to work part-time hours that fitted around the school day, so they could look after their children and minimise the need to use paid childcare – either because they did not want to use childcare or because the cost would mean that part-time work was not financially viable. This was often coupled with a desire to work locally.

In addition, participants were often looking for jobs in manual/service occupations (e.g. cleaner, security) or intermediate/clerical occupations (care worker, teaching assistant), which would generally be fairly low paid. It was uncommon for participants to be looking for work in professional occupations, or to be interested in career development (at least in the short term).

## 7.9 As a result, participants mainly anticipated small financial gains from having a second earner

In almost all cases where participants planned to return to work, the aim was to become a two-earner household and so increase the overall household income and improve the family's standard of living. The combination of part-time hours and fairly low-paid work that most jobseekers envisaged, however, meant that the financial gains were likely to be relatively small. In addition, as most jobseekers did not plan to return to work for at least a year or more, any improvement in their household financial situation that resulted from their return to work was some way off.

## 7.10 The idea of 'making work pay more' might be attractive to participants concerned about loss of tax credits and other benefits

Several non-working parents whose households were in receipt of tax credits felt that their return to work would probably only have a small financial benefit for the family finances, as they expected their tax credits to be reduced by the same amount. Even so, they remained keen to return to work for non-financial reasons.<sup>34</sup> Others were more concerned that their overall financial situation would not improve much, if at all, if they returned to work, because of the impact of any

---

<sup>34</sup> In fact, the tax credit system allows an increase in income of up to £25,000 in any one year before there is a change to families' entitlement, meaning that second earners entering part-time or relatively low-paid work are unlikely to see their entitlement change in the year they do so.

additional earnings on their tax credit entitlement. These tended to be participants whose households received larger amounts of tax credits (around £100 per week or more), and in some cases received financial help with rent and council tax as well. They felt they would need to assess whether or not a return to work was financially worthwhile, particularly as they intended to only work part-time. The idea of 'making work pay' (or pay more), which is the basis of the In Work Credit (IWC), might well be attractive to these participants.<sup>35</sup>

### 7.11 There was a high level of interest in support to move into work

Apart from a small number of participants who felt they did not need any help, there seemed to be high demand for support services among active and future jobseekers. This fell into three categories: help to become job-ready (e.g. CV and interview skills), help to find work (e.g. family friendly employers, careers advice) and help to move into work (e.g. advice about childcare, help with better-off calculations).

### 7.12 Employers may have a role to play in overcoming low confidence among women who have been out of the labour market for some time

Women participants who had been out of the labour market for a long time often had very low confidence and low self-esteem, and were keen to access any support that would help overcome this. Although not mentioned by participants, employers may well have a role to play in helping these participants and others like them to return to work, for example by offering some kind of phased return to work that incorporates training opportunities to learn or update skills. This could help overcome the issue of the prohibitive costs of training identified by some participants.

---

<sup>35</sup> IWC is a payment of £40 per week (increased to £60 in London from July 2007), which was extended nationally in April 2008 to all lone parents who have been on benefits for at least a year, during their first year back to work. IWC has also been piloted among couple parents since April 2005, in all but one Jobcentre Plus Districts in London. In July 2008 IWC was extended to couple parents in all 11 New Deal Plus for Lone Parent pilot areas, which includes the whole of London.



### 7.13 Targeted support to move into work was needed, but there was no consensus about providers

Participants felt that support services had to be targeted at parents seeking work and tailored to their needs. While the internet was a common source of information and help, not everyone had access to a computer and some participants expressed a preference for face-to-face or telephone help, particularly around help to become job-ready. Participants had fewer ideas about who should provide this type of help and support. Some felt that Jobcentre Plus seemed an obvious choice, although action would be needed to counter the negative experiences and perceptions of Jobcentre Plus that many participants had.

# Appendix A

## Interview topic guide

### Making decisions about work within households

#### NOTE FOR INTERVIEWERS

This topic guide is for partnered parents who were sampled as not working and are still not working at the time of the interview.

The aims of these interviews are:

- To explore the labour market choices, constraints and aspirations of non-working partnered parents in low-income households.
- To explore the types of support that non-working partnered parents might need in order to find and move into work, and how this could best be delivered.

We are particularly interested to understand the thought processes, decision-making and behaviour of non-working parents in relation to job seeking and work, and the extent to which these are shaped by external factors such as the perceived attitudes of other people (such as partners, family and friends).

Where possible, the interviews will be held away at a central location (e.g. a hotel or community centre), away from the partner and child(ren). Where this is not possible, please make a note of anyone who was in the room at the time of the interview.

---

Thank you for agreeing to speak to me. I am a researcher from the Personal Finance Research Centre, based at the University of Bristol. We have done a lot of earlier research on decision-making and money management within households.

We have been asked to carry out this research by the Department for Work and Pensions, who want to know more about: the sorts of factors parents take into account when making decisions about work; the help and advice that parents who want to work might need in order to find and move into a job; and how this help and advice might be provided in the future.

The interview should last around an hour. Everything we discuss during the interview will be confidential. This means that the information cannot be traced back to you, and your name will not be revealed to anyone else. So please be assured that you can be honest and open in talking about your views and experiences. As a thank-you for giving up your time to be interviewed, you will receive £30 cash.

If it's OK with you I will record the interview, the recording will be destroyed once the project has been completed. Do you have any questions you'd like to ask before we start?

### 1. Current household composition

- Who lives in the household? Number and ages of children?
  - Any children living outside the household that they/their partner are supporting?
  - Any children in the household being supported by non-resident parents?
- Health and wellbeing of family members, any benefits e.g. Carer's Allowance, Disability Living Allowance?
- Any recent changes to composition e.g. stability of current composition?
  - Impact of changes on household?

### 2. Time use

- What are their main responsibilities in the household?
  - Extent and nature of caring responsibilities (if any), including care provided within and outside the home
- What responsibilities does their partner have? To what extent are responsibilities shared in the household e.g. child care? How flexible?
- How have these roles been shaped, e.g. joint decision, influence of family, social/religious/cultural expectations?
- Is their day structured or unpredictable? Do they feel over-worked/stressed/too busy? Do they ever get bored, restless? Do they see friends during the day?
  - Normal activities of children e.g. do they go to nursery, playgroup, school, after school clubs, or regularly spend time with a friend/relative?
- Do they have any paid work or jobs that they do from time to time, or jobs for family or friends? Voluntary work?

### 3. Social networks

- What sorts of social networks (if any) do they have locally, e.g. family/friends, community involvement, faith groups etc.
- What types of support do these networks provide e.g. family support (child care, babysitting), financial support, emotional support?

- Do they use any services like children or family centres, Job Centres, community centre? What for? How frequently? Views and experiences?

#### 4. Employment situation of working partner

- Type of work, e.g. employed or self-employed, job title, sector, levels of experience and/or responsibility
- Length of time in current job
  - If less than a year, previous employment situation?
  - How often do they typically change jobs?
- Type of contract, hours worked, levels of pay, job security
  - In receipt of any tax credits – Child Tax Credit, Working Tax Credit?
  - Any bonuses or overtime or non-financial perks e.g. company car?
- Any conscious changes to employment as a result of parenthood e.g. changed job, reduced hours, flexible working?
  - If yes, how decided? Impact on household, e.g. financial situation, responsibilities within household?
- Any recent changes to employment?
  - If yes, how came about (e.g. own decision or not)? Impact on household, e.g. financial situation, responsibilities within household?
- How do they feel about their partner working and the type of work they do?
- Does their partner enjoy working? Has their partner's experiences of work influenced their own views of work?

#### 5. Household financial situation

- How would they describe their attitude to money?
  - Partner's attitude to money? How similar/different to theirs?
- READ OUT SHOWCARD A How would they describe their current financial situation? (Ask respondents to read out the letter that best describes their situation)
  - How satisfied with standard of living for self/partner/family?
  - Do they/partner/family have to go without things or make trade-offs?
  - Use/impact of any overtime payments or bonuses or non-financial perks from partner's job?
  - Do they have savings – (if yes) are these increasing or decreasing?
- Has their financial situation changed over the last year, e.g. because of changes to employment, other changes in income, childcare, children starting school?

- Have they made any conscious decisions to try and change their current financial situation?
  - How? Why?
  - How were these decisions reached? Trade-offs?
  - Have these decisions been implemented yet? If so, impact on financial situation and on household members?
- Is their financial situation likely to change much in the next year or so? Why/why not?

## 6. Respondent's views and experiences of work

- Reasons why not currently working? Own choice or not?
  - Views of others about this e.g. partner, family, friends?
  - How important are these views in shaping their own attitudes and behaviour?
- Have they ever worked?
  - If yes, brief overview of employment history.
  - Probe for: periods of time working, type of work, views and experience of work, reasons for stopping/starting work, whether or not worked since being a parent
  - Do they keep in touch/up to date with work issues and people? Do they miss any aspects of work? Would they like to go back to work or not?
- Do they have any vocational training or qualifications?

## 7. Making decisions about work

- Which factors influence their decisions about whether or not to work? Probe for:
  - Impact on household financial situation?
  - Views about earnings potential e.g. more/less than partner?
  - Do they feel they would be any better off or not?
  - Eligibility for/access to benefits and tax credits?
  - Partner's employment situation (e.g. working hours, overtime, shifts)
  - Childcare e.g. cost, availability, ability to match to working hours, willingness/ability of partner to help with childcare
  - Caring responsibilities
  - Health or disability (self or others)
  - Age of children, want more children
  - Own skills levels, previous experience of work, mobility

- Local labour market conditions, number of hours they could work/would want to work
- Other factors?
- Which of these are the most/least important factors and why?
- Own views about advantages and disadvantages of working/not working (for self, partner, family)
  - Do they have any attitudes or beliefs that particularly underpin their views about work? E.g. expectations about fe/male roles, whether parents worked, cultural/social expectations
- Partner/family views about them working/not working
- To what extent do these views and attitudes influence their decisions about work?
  - Do they override other factors like childcare, financial impact of work or not?

## 8. Looking for work

- Are they looking for [formal] paid work at the moment?
  - IF YES, CONTINUE WITH THIS SECTION.
  - IF NO, SKIP TO SECTION 10
- How high a priority is it for them to find work? Why?
  - Likely consequences if they don't find work?
- How long have they been looking for work?
- What kinds of work are they looking for, and why?
  - Employment or self-employment?
  - Preferences around type of work, hours, location
  - Levels of pay? Minimum prepared to accept or not?
  - Fixed ideas about what they want, or flexible? Are they prepared to compromise, if so what sorts of compromise would they accept?
  - Any changes over time? Why?
- What sort of job-seeking activities have they undertaken?
  - How much time are they willing/able to commit to job hunting?
  - Any advice or help to move back into work e.g. from Jobcentre Plus, training and skills agencies, family/friends?
  - Views and experiences of advice/help received
  - Number of jobs applied for (if any) since started job hunting?
  - Overall views and experiences of job-seeking?

- Outcomes of job search?
  - Any interviews or job offers? If turned down offers, why?
  - Why do they think these have been the outcomes? How do they feel about them?
  - Looking ahead, how do they rate their chances of finding work? Plan to do anything different to find work e.g. look for different types of job, look further afield, consider self-employment?

## 9. Moving into work

- If they were offered a job, what preparation (if any) would they have to make to move into work? Probe for:
  - Change household routine (inc partner's role in household)
  - Make provision for childcare/caring responsibilities
  - Address skills or training needs (e.g. refresher courses)
  - Make arrangements to get to/from work (e.g. public transport times/costs)
  - Buy work clothes/shoes
  - Sort out tax credits/benefits
- How easy/difficult to make necessary preparations?
- What is the likely impact on the household if they find a job?
  - Impact on partner? Children?
  - Positive vs negative impacts?
- Do they know what impact their earnings will have? (taking into account increased income, decreased tax credits, cost of getting to work etc)
  - SKIP TO SECTION 11

## 10. Not looking for work

- Reasons why not currently looking for work? Own choice or not?
  - Are there jobs around that they could do if they chose to?
- Are they likely to look for work in the future?
  - If no, why not? Probe for details if not covered in earlier sections
  - If yes:
    - When might this be? Why?
    - How firm a decision is it? What factors influenced decision?
    - What type of work? Hours?
    - Any actions taken or planned around job search, skills training etc?

**11. Support to find and move into work**

- Do they think there should be advice or support available to help them (or people like them) find work?
  - If yes, what types of help/support? E.g. help with job search, making applications, writing CVs, interview skills, training/skills development
  - If no, why not?
- How do they think this advice/support should be delivered e.g. location and delivery (face-to-face, phone)?
- Who do they think should provide this type of help and advice? Why? Probe for:
  - Government (e.g. Job Centre Plus, DWP, Benefits Agency)
  - Someone other than government e.g. commercial company, not-for-profit such as CAB
- Would they be interested in accessing advice and support around finding work?
  - If no, why not?
  - If yes, what type of advice and support would be most useful to them? E.g. help with job search, making applications, writing CVs, interview skills, training/skills development or updating, confidence building
  - Personal preferences in terms of provider, location and delivery (e.g. face-to-face, phone), factors that would encourage/deter access
  - Aware of any help/support services like this? If yes, views and experiences. If no, would they know where to find out?
- What about advice and support to help people move into work?
  - If yes, what types of help/support and how should this be delivered? (provider, location, delivery). Aware of any services like this?
  - If no, why not?
- Any other comments?

**THANK AND CLOSE**

**SHOWCARD A**

A. Keeping up with all bills and commitments without any difficulties	<input type="checkbox"/>
B. Keeping up with all bills and commitments, but it is a struggle from time-to-time	<input type="checkbox"/>
C. Keeping up with all bills and commitments, but it is a constant struggle	<input type="checkbox"/>
D. Falling behind with some bills or credit commitments	<input type="checkbox"/>
E. Having real financial problems and have fallen behind with many bills and credit commitments	<input type="checkbox"/>





# Appendix B

## Interview sample design

The sample comprised 50 interviews with non-working parents who had working partners and whose household income was at or below 60 per cent of the median before housing costs<sup>36</sup>. Interviews were conducted in North Somerset, West Yorkshire and three London boroughs (Newham, Enfield and Sutton).

In addition to the nine participants who had partners who worked part-time, several other participants had self-employed partners who experienced peaks and troughs in their employment and earnings over the course of the year.

	<b>Number of participants</b>
<b>Location</b>	
West Yorkshire	15
London	21
North Somerset	14
<b>Sex of respondent</b>	
Male	10
Female	40
<b>Age of respondent</b>	
Under 30	13
30-39	24
40-49	7
50-59	3
Not stated	3
<b>Age of youngest child</b>	
Under 4 (pre-school)	23
Between 4 and 7 (infants school)	7
Between 7 and 11 (junior school)	11
Between 11 and 16 (secondary school)	5
Between 16 and 18 and still at school or college	3
<b>Employment status working partner</b>	
Full-time (30+ hours per week)	41
Part-time (less than 30 hours per week)	9

<sup>36</sup> The median value is calculated separately for each possible combination of age and number of children. The screening questionnaire (see Appendix C) therefore had to establish household composition before household income.



# Appendix C

## Interview screening questionnaire

### Making decisions about work within households

Good morning/afternoon/evening. I'm from Pro-tel Fieldwork Limited (show ID), an independent market research organisation working on behalf of the University of Bristol. We are inviting people to take part in a one-to-one interview to discuss how decisions about work are made within their household and the sorts of factors that influence those decisions. The University of Bristol has been asked by the Department for Work and Pensions to carry out this work to find out about the types of support that parents might need and how this support could best be delivered.

The interview will take place on [DATE] at [LOCATION] and will last between an hour and an hour and a half. To say thank you for your time, we would like to offer you £30 in cash, which you will receive at the interview. Everything you discuss during the interview will be confidential. This means that the information cannot be traced back to you, and your name will not be revealed to anyone else.

Before I go any further I would like to assure you that absolutely no selling is involved, this is purely a research exercise. Pro-tel Fieldwork Limited and the University of Bristol are totally independent from the Department for Work and Pensions. Whether or not you participate in the research will in no way affect any dealings you have with the Department. The findings from the research will be anonymised before being passed to them.

We need to interview a mix of different types of people, therefore I would like to ask you some questions about yourself. All information collected will be anonymised.

NOTE TO INTERVIEWER: Shaded area indicates that the respondent falls outside the scope of the research and therefore, that the recruitment can be wrapped up.

Q1. Would you be interested in taking part?

A	Yes	1	CONTINUE
B	No	2	CLOSE

Q2. Have you participated in a depth interview or focus group discussion in the last 6 months?

A	Yes	1	CLOSE
B	No	2	CONTINUE

Q3. SHOWCARD Can I check, do you currently receive any of the following benefits?

A	Income Support	1	CLOSE
B	Jobseeker's Allowance	2	
G	Incapacity Benefit	3	
	Severe Disablement Allowance	4	
	None of these	5	RECRUIT

Q4. SHOWCARD Which of these best describes your current situation?

A	Working full-time (30+ hours per week)	1	CLOSE
B	Working part-time (under 30 hours per week)	2	
C	Unemployed – seeking work	3	RECRUIT
D	Unemployed – not seeking work	4	
E	Stay at home to look after house/family	5	
F	In full-time education	6	CLOSE
G	Retired	7	
H	Don't know	8	

Q5. SHOWCARD And which of these best describes your husband/wife/partner's current situation?

A	Working full-time (30+ hours per week)	1	RECRUIT TO QUOTA
B	Working part-time (under 30 hours per week)	2	QUOTA
C	Unemployed – seeking work	3	CLOSE
D	Unemployed – not seeking work	4	
E	Stay at home to look after house/family	5	
F	In full-time education	6	
G	Retired	7	
H	Don't know	8	

Q6. SHOWCARD How would you describe the composition of your household?  
Please just read out the letter that applies (single code only)

A	Single, no children	1	CLOSE
B	Couple, no children	2	
C	One-parent family	4	
D	Two-parent family, at least one child under 16	5	RECRUIT TO QUOTA
E	Two-parent family, at least one child aged 16-18 who is still at school or college	6	QUOTA

Q7. And can I just check how many children you have living in your household....

		WRITE IN NUMBER
A	Aged under 16	1
B	Aged 16-18 and still at school or college	2
RECORD TOTAL		3

Q8.SHOWCARDS Can you please tell if your total household income is above or below the amount shown on this card? (Please include take home pay from paid work or self-employment, social security benefits including Child Benefit, tax credits or any other regular income.)

TOTAL AT Q7			
A	One child	£290 per week £1,250 per month	1 BELOW - RECRUIT ABOVE - CLOSE
B	Two children	£360 per week £1,565 per month	2 BELOW - RECRUIT ABOVE - CLOSE
C	Three children	£435 per week £1,875 per month	3 BELOW - RECRUIT ABOVE - CLOSE
D	Four children	£505 per week £2,185 per month	4 BELOW - RECRUIT ABOVE - CLOSE
E	Five children	£575 per week £2,495 per month	5 BELOW - RECRUIT ABOVE - CLOSE
F	Six children	£650 per week £2,805 per month	6 BELOW - RECRUIT ABOVE - CLOSE
G	Don't know/Refused		7 CLOSE

Q9.Can I just ask how old you are? WRITE IN

.....

Q10. What is the occupation of the Chief Income Earner in your household?  
WRITE IN AND CODE BELOW

.....

Q11. CODE SEX (DO NOT ASK)

A	Male	1	RECRUIT TO QUOTA
B	Female	2	RECRUIT TO QUOTA

**QUOTAS****West Yorkshire**

Q5: AIM TO RECRUIT 12 PEOPLE WITH PARTNERS WORKING FULL-TIME

AIM TO RECRUIT 5 PEOPLE WITH PARTNERS WORKING PART-TIME

Q6: RECRUIT NO MORE THAN 4 PEOPLE WHO ONLY HAVE CHILDREN

AGED 16-18 WHO ARE STILL AT SCHOOL OR COLLEGE

Q11: AIM TO RECRUIT AT LEAST 3 MEN

**London**

Q5: AIM TO RECRUIT 11 PEOPLE WITH PARTNERS WORKING FULL-TIME  
AND 5 PEOPLE WITH PARTNERS WORKING PART-TIME

Q6: RECRUIT NO MORE THAN 4 PEOPLE WHO ONLY HAVE CHILDREN

AGED 16-18 WHO ARE STILL AT SCHOOL OR COLLEGE

Q11: AIM TO RECRUIT AT LEAST 3 MEN

**North Somerset**

Q5: AIM TO RECRUIT 8 PEOPLE WITH PARTNERS WORKING FULL-TIME  
AND 4 PEOPLE WITH PARTNERS WORKING PART-TIME

Q6: RECRUIT NO MORE THAN 4 PEOPLE WHO ONLY HAVE CHILDREN

AGED 16-18 WHO ARE STILL AT SCHOOL OR COLLEGE

Q11: AIM TO RECRUIT AT LEAST 2 MEN.

# References

Atkinson A., Finney A. and McKay S. (2007). Health, disability, caring and employment: Longitudinal analysis, DWP Research Report 461. Leeds: Corporate Document Services.

Atkinson A., McKay S. and Dominy N. (2006). Future policy options for child support: The views of parents, DWP Research Report 380. Leeds: Corporate Document Services.

Bradshaw, J., Middleton S., Davis A., Oldfield, N., Smith, N., Cusworth, L. and Williams J. (2008). A minimum income standard for Britain: what people think. York: Joseph Rowntree Foundation.

Casebourne, J. and Britton, L. (2004). Lone parents, health and work, DWP Research Report 214. Leeds: Corporate Document Services.

D'Souza, J., Connolly, A. and Purdon S. (2008). Analysis of the choices and constraints questions on the Families and Children Study, DWP Research Report 481. Leeds: Corporate Document Services.

Dench, S., Aston, J. and James, L. with Foster, R. (2008). Jobcentre Plus and Children's Centres, DWP Research Report 485. Leeds: Corporate Document Services.

Dorsett, R. and Kasparova, D. (2004). FACSAP: Low-moderate income couples and the labour market, DWP Working Paper 15.

Department for Work and Pensions (2008). Households Below Average Income: An analysis of the income distribution 1994/95 – 2006/07.

Evans, M., Harkness, S. and Ortiz, R. (2004). Lone parents cycling between work and benefits, DWP Research Report 217. Leeds: Corporate Document Services.

Financial Services Authority (2006). Financial Capability baseline survey: questionnaire. London: FSA.

Harker, L. (2006). Delivering on child poverty: what would it take? A report for the Department for Work and Pensions (CM6951). The Stationery Office.



HM Revenue and Customs (2008). Child and Working Tax Credit Statistics: April 2008. National Statistics.

HM Treasury (2008a). Ending child poverty: everybody's business. London: HMSO.

HM Treasury (2008b). 'Government outlines new ways to lift children out of poverty and increase social mobility'. Press release dated 23 June 2008, [www.hm-treasury.gov.uk](http://www.hm-treasury.gov.uk)

**Evaluation of Family  
Pathfinders**

**Westminster Social  
Return on  
Investment (SROI)  
Assessment**

**March 2011**



## CONTENTS

	Page
1 INTRODUCTION.....	3
2 METHODOLOGY .....	5
3 THE THEORY OF CHANGE.....	7
4 COSTS OF THE PATHFINDER.....	14
5 MONETARY BENEFITS OF THE PATHFINDER .....	18
6 NON-MONETARY BENEFITS OF THE PATHFINDER.....	24

## 1 INTRODUCTION

### SROI SUMMARY

- York Consulting projected that the Westminster Pathfinder will have provided support to 140 families since inception to the end of March 2011.
- The cost per family since pathfinder inception (including additional support to the pathfinder from other services) was estimated to be between £18,754 and £20,810 with a 'best' estimate of £18,916.
- As the pathfinder has refocused to work with a smaller number of families with more complex problems, the ongoing cost per family, based upon working with 50 families per year, was higher than the cost since inception. York Consulting estimated the ongoing cost to be between £21,840 and £23,895 with a best estimate of £22,002.
- Total financial benefits per family from avoidance of poor family outcomes was conservatively estimated to be between £25,153 and £50,307. The 'best' estimate was £37,730. Of these benefits, 63% were estimated to be savings directly to the public purse in the first year after a family was exited.
- Looking at the Pathfinder since inception until March 2011, combining the costs and benefits per family suggests a SROI ratio of between 1.21 and 2.68. The 'best' estimate suggests an SROI of 1.99. This means that for every £1 spent on the pathfinder a financial benefit of £1.99 has been generated.
- Annual expenditure moving forwards suggests a SROI ratio of between 1.05 and 2.30. The 'best' estimate suggests a SROI of 1.71. This means that for every £1 spent on the pathfinder moving forwards a financial benefit of £1.71 will potentially be generated.

1.1 This report sets out the findings from the Social Return on Investment (SROI) analysis undertaken by York Consulting LLP with Westminster Think Family Pathfinder based upon the activities of the pathfinder from inception to the end of February 2010.

1.2 As an SROI analysis, the primary purpose of the report is to present findings on what the pathfinder has achieved in an objective way against the costs that have been incurred. In the absence of a counterfactual, this is presented against the background of the changes that the pathfinder believed were required to achieve the outcomes desired and the evidence – where available – of whether these changes occurred.

1.3 The report is not an evaluation of the strengths and weaknesses of the pathfinder and it does not contain recommendations on how the pathfinder could improve or should be taken forwards. It does not make a judgement on whether the pathfinder has been a success. It is designed to present evidence in a coherent manner to aid decision makers to make that judgement.

1.4 The report contains the following sections:

- Methodological background
- Evidence for the Theory of Change
- The costs of the pathfinder
- The benefits achieved:
  - that can be quantified monetarily (including SROI ratios);
  - that can be measured;
  - that can be described.

## 2 METHODOLOGY

2.1 As part of the overall evaluation of the Think Family Pathfinders, York Consulting LLP were asked to include an economic evaluation. The methodology chosen for the economic evaluation is based upon Social Return on Investment (SROI).

2.2 The SROI methodology takes several parts:

- A Theory of Change mapping
- Measurement of costs involved in the pathfinder
- Estimation and valuation of benefits
- Synthesis of findings with estimation of economic ratios

### Theory of Change

2.3 The Theory of Change is a process to understand the changes required for a project to achieve its objectives. It looks to challenge a project on whether the changes required for the project to meet its objectives are sufficient and likely to happen. It also specifies:

- assumptions underlying why the changes are required and what they are expected to achieve;
- 'Interventions' required to achieve a change and the resources required for interventions;
- indicators to show whether and to what level the changes have occurred.

2.4 The Theory of Change is a useful evaluation tool, allowing success criteria for a project to be identified and synthesising available evidence to understand why or why not a project has been successful. In the absence of a counterfactual, it is a useful means to build a testable logic model to underpin a narrative of why success seen can be attributed to a project.

2.5 For a Social Return on Investment analysis, the Theory of Change provides a basis to fully understand the resources deployed in a project as well as the project's direct and indirect benefits.

- 2.6 A Theory of Change exercise was undertaken with Pathfinder management in Westminster in the summer of 2009. The change map produced from this model and the evidence for whether the changes were achieved is presented in Section 3.

### **Measurement of Costs of the Pathfinder**

- 2.7 Following the Theory of Change exercise, a range of interventions were identified as being required to deliver the changes identified. It is from these interventions that the costs of the pathfinder are generated. The interventions, an estimate of their costs and an estimation of the cost per family supported are provided in Section 4.

### **Estimation and valuation of benefits with social return on investment (SROI) ratios**

- 2.8 Benefits of the pathfinder identified through the Theory of Change can be split into those that can be quantified monetarily, those that can be measured but have no monetary value and those that can only be described. Social return on investment (SROI) ratios are calculated for the monetary benefits identified and provided in Section 5. SROI ratios are a means of describing a project's potential financial return from every pound in resource spent on the project.
- 2.9 Non-monetary benefits are described in Section 6.

### **3 THE THEORY OF CHANGE**

3.1 This section presents:

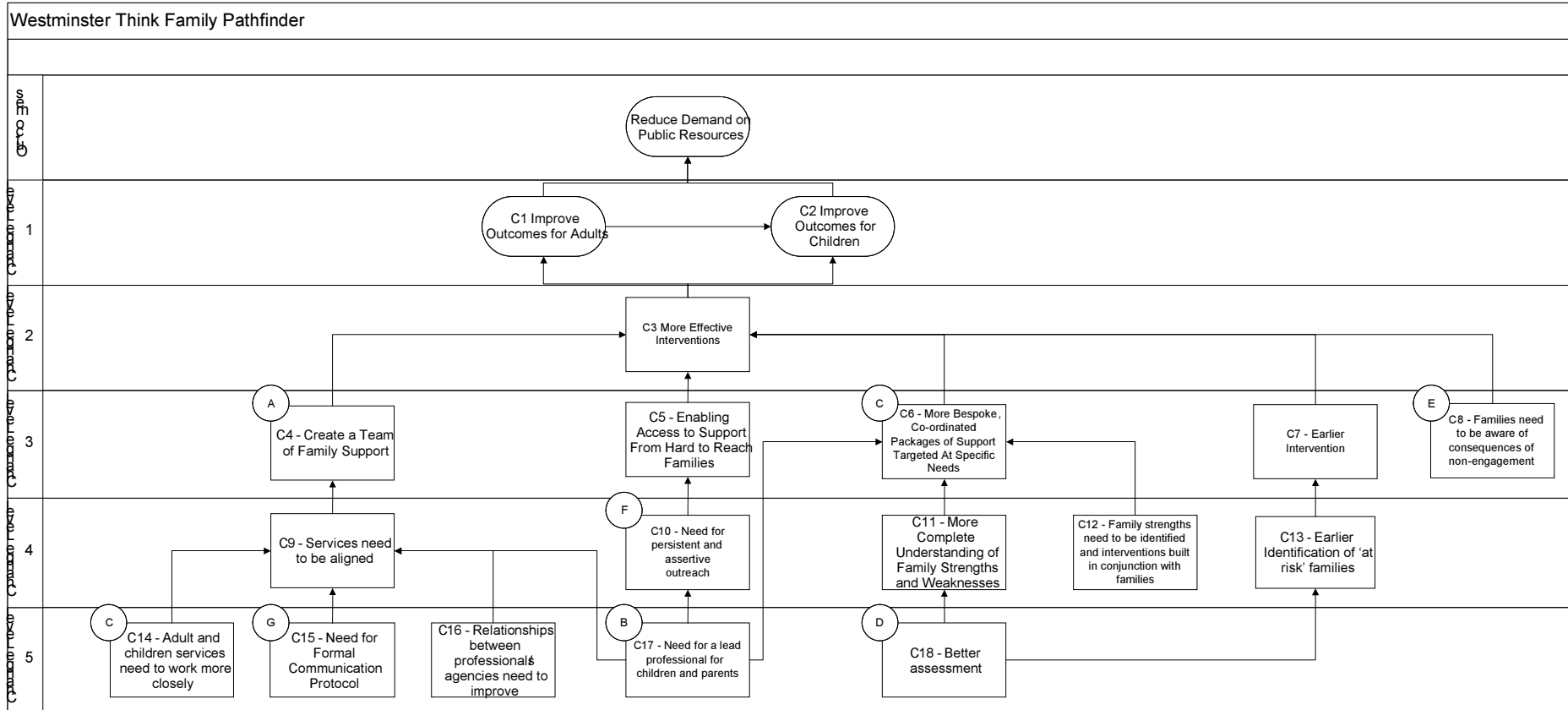
- the change map created with the Pathfinder;
- the narrative describing the changes and assumptions, and why they are required;
- the evidence on whether the expected changes have been achieved.

#### **The Change Map**

3.2 The change map is presented below. The individual changes are numbered and the interventions required to realise the changes are keyed with letters attached to each change. The interventions are described in the narrative that follows the map and are listed in Section Four of this report.



## Evaluation of Family Pathfinders Westminster Social Return on Investment (SROI) Assessment



## The Narrative

### Ultimate Outcome for the Project

- 3.3 To reduce the demand on public resources from families who face multiple problems.

### Underlying Assumptions

- 3.4 The Family Recovery Project has been established on the assumption that an intensive period of co-ordinated multi agency support (the 'Think Family' approach) to families with multiple problems will be more effective at modifying behaviours, raising family resilience and increasing capacity in families to manage the challenges they face. This will reduce the demand on statutory services post-intervention in three ways:
- The *ongoing* or *regular* level of support provided to families by statutory services will be lower after the Think Family approach than before.
  - The likelihood of *crisis points* with the need for intensive *one off* service involvement will be reduced.
  - *Changed behaviours and raised resilience* in the short term will result in the avoidance of costly outcomes in the long term.
- 3.5 It is the assumption of the project that the increase in costs of service delivery over the lifetime of the Think Family approach will be more than offset by the cost savings above.
- 3.6 Whilst there may be new parenting and family therapy interventions used, the Think Family approach itself is built upon the assumption that intensive, co-ordinated support from predominantly existing services over a short period is more effective at improving family outcomes, than relatively uncoordinated long-term support.
- 3.7 To establish the Think Family approach, Westminster assumed that several changes needed to be effected.

## A Team of Family Support

- 3.8 To provide a Think Family approach, Westminster assumed that a new team needed to be established focussed around providing and co-ordinating services to families (*"Intervention A"*). Beyond the political will to create the team, for it to be a success it was assumed that the level of alignment within and between services needed to be improved. The changes required for this to happen were assumed to be:
- setting up formal protocols (*"Intervention G"*),
  - improving the working relationships between professionals from different services and agencies;
  - the use of two lead professionals – one for the children and one for the adults, to co-ordinate support for individual families and to get them to engage with services (*"Intervention B"*). One of these two professionals will be the 'main' lead professional for the family.

## Earlier Intervention

- 3.9 A key change assumed to be required by the pathfinder is that intervention must be earlier which it is assumed will be achieved through better identification and assessment of families that are most likely to benefit from a Think Family approach. New assessment processes have been introduced (*"Intervention D"*) to help identify families that can benefit. It was assumed that new formal referral protocols were not required and would create a level of bureaucracy that may deter referrals.

## Families Need to be Aware of the Consequences of Non-Engagement

- 3.10 For a Think Family approach to be successful, it is self evident that families themselves have to engage with the services offered to them. It is also assumed that it is important that families engaging with services do so with *informed* consent. To help ensure this happens, Westminster have introduced Family Agreements (*"Intervention E"*) to make it clear to families what services and assistance they can expect to achieve but also what the consequences to the family will be should they not engage with the assistance or improve their behaviour or lifestyle choices.

## Packages of Support are Bespoke to Family Needs

- 3.11 Integrated support is not the only feature of the Think Family approach – to be effective it is also assumed that the support needs to be tailored for individual families rather than a homogenous offer and pull in a range of services that may be outside the Family Recovery Team (*“Intervention C”*). For this to happen, a robust assessment of family strengths and weaknesses is required and it is assumed that families need to be more involved with the package design. Again, improved assessment processes are needed to achieve this and the Family Agreement has been introduced in part to involve the family closely in the design of the support package.

## Need for Persistent and Assertive Outreach

- 3.12 It is assumed that some of the families involved in the project may have been resistant to offers of assistance from statutory services in the past. Therefore, the pathfinder has accepted that a change needs to be made in the level of encouragement families receive in accessing services and level of persistence from staff to ensure they are engaging with services. To achieve this, they have assumed that the Persistent and Assertive Outreach model of intervention (*“Intervention F”*) with a lead professional role around the family is required.

## Supporting Evidence for Changes

### Improve outcomes for parents and children

- 3.13 Evidence from the FPIS on improvement in outcomes is discussed in detail in Sections 5 and 6. In summary, this evidence shows that whilst practitioners did not record improvements against all areas of concern for all families, there were some significant reductions in the concerns around poor outcomes for families that were, in the opinion of practitioners, at least in part due to the pathfinder.
- 3.14 Below we look at the evidence against the high level change that was seen to achieve this improvement:

### High Level Change: More effective interventions

- *C4 – Create a team of family support*
- *C9 – Services need to be aligned*
- *C14 – Adult services and children services need to work more closely together*
- *C15 – Need for Formal Communication Protocol*
- *C16 – Relationships between professionals/agencies need to improve*

3.15 The Family Recovery Team has been established to provide family support as well as coordinate services around a family. Evidence from the evaluation is that this coordination has happened largely through engagement of skilled practitioners within the team as well as latterly with social workers not working in the team.

- *C5 – Enable access to support for hard to reach families*
- *C10 – Need for persistent and assertive outreach*
- *C17 – Use of two lead professionals with family for parents and children*

3.16 Evidence from the evaluation was that the pathfinder was successfully working with families that were previously failing to engage with support. The evaluation also found from speaking to families and practitioners that support from the Family Recovery Team could be described as both persistent and assertive and that separate practitioners lead support for parents and children.

- *C6 – More Bespoke, Co-ordinated Packages of Support Targeted At Specific Needs*
- *C11 – More complete understanding of family strengths and weaknesses*
- *C12 – Family strengths need to be identified and interventions built in conjunction with families*
- *C18 – Better assessment*

3.17 The evaluation confirmed that a new assessment had been put in place that was undertaken in conjunction with families and was focussed on strengths. Practitioners reported that this assessment did provide them with a better understanding of family strengths and weaknesses and this enabled the practitioners to design support that reflected this. Evidence from FPIS confirms the range of goals for family members based upon these strengths and weaknesses and the support offered to meet these goals.

- *C7 – Earlier intervention*
- *C13 – Earlier Identification of ‘at risk’ families*

3.18 As stated above, practitioners were engaging with families who were not engaging with support previously. The evaluation also found that the pathfinder was working with families with substantial need, often requiring statutory support. If we assume that such families may go on to require significant statutory support, the pathfinder can be seen to intervening earlier than would otherwise been the case. No evidence was found that at risk families were being identified earlier.

- *C8 - Families need to be aware of consequences of non-engagement*

3.19 The evaluation found that contracts with consequences were in place for families and families reported that they were aware of the consequences of non-engagement.

## 4 COSTS OF THE PATHFINDER

4.1 The Theory of Change identified interventions that the pathfinder was delivering to achieve the changes required with their associated direct and indirect costs. These are presented in Table 4.1 below.

Table 4.1: Interventions and associated costs		
Intervention	Direct Costs (borne by the project)	Indirect Costs
A – Think Family team	Salary of workers and managers and associated oncosts	Work of team members above contracted hours
B – Lead Professionals	Salary of lead professionals and associated oncosts	Work of lead professional above contracted hours
C – Think Family co-ordinated support outside of team	Intervention costs paid directly from the team budget	Time of staff external to the team and interventions provided by them
D – Family Support Panel	Time spent on panel from team members	Time spent on panel by others
E – Family Agreements	N/A	Time spent establishing family agreements
F – Persistent and Assertive Outreach Model	Salary of lead professionals and associated oncosts	Work of lead professional above contracted hours

4.2 The SROI analysis does not require these costs to be individually estimated, but the Theory of Change enabled the identification of all costs associated with the pathfinder. Table 4.1 shows that the costs of the project can be broken down into one of three areas:

- Costs covered by direct expenditure
- Costs borne by pathfinder staff working beyond contracted hours
- Costs borne by other agencies delivering services

### Direct expenditure

4.3 Total direct expenditure on the Pathfinder from inception to the end of March 2011 was estimated to be £2.55 million.

### **Additional Unpaid Work by the Pathfinder Team**

- 4.4 Staff in the Pathfinder were asked to complete a timesheet to record the hours they worked above contracted hours. This exercise showed that staff were only working contracted hours.

### **Costs Borne by Other Agencies Providing Support**

- 4.5 Westminster reported that the only additional support from external services being accessed by the Family Recovery Team was social work, at an average of 2 hours per month per family.
- 4.6 The total number of hours of support this equated to was calculated from the average length of time the pathfinder worked with families, 9 months, and the total number of equivalent 'entry to exit' complete families worked with, 140. This suggested that in total that families working with the pathfinder had received 2,520 hours of support from social workers that was not directly funded by the pathfinder.
- 4.7 To turn these hours into a cost, a cost per hour of social workers time is required. This was taken from the Unit Costs of Health and Social Care 2010 published by the PSSRU at the University of Kent. The PSSRU estimate that the cost per hour for a social worker can be:
- £30 an hour if all contracted hours are divided by the total cost of a social worker;
  - £39 an hour if only hours related to client contact are considered; or
  - £143 an hour if only hours that are direct face to face contact are considered.
- 4.8 As there is a disparity in the total cost of support that these unit costs generate, scenario analysis was employed to produce a range of cost estimates for the additional support and ultimately the cost of the pathfinder.
- 4.9 These costs provide an estimate of the costs of this additional support in an 'optimistic' scenario (using £30 an hour) of £75,600, a 'base case' of £98,280 (using £39 per hour) and a 'pessimistic' scenario £363,360 (using £143 an hour).



### Total Costs of the Pathfinder and the Cost per Family

- 4.10 Adding the indirect and the direct costs provides an estimate of the total costs of the Pathfinders. What is of interest for the SROI analysis is the cost per family, and for this, an estimate of the number of ‘completed’ families each Pathfinder supported was required. This was calculated based on the number of open families and the average length of time the Pathfinder supported families.
- 4.11 For example, assume an Area had finished supporting 50 families and had 12 open cases at the end of December 2010. The 12 open cases had been supported for an average of six months. If the Pathfinder supported families for an average of 12 months then 75% of the support for these families would be completed by the end of March 2011. The support provided to these families will be the equivalent to the support provided to nine families to completion. Thus, the number of complete ‘equivalent’ families the Pathfinder will have supported to the end of March 2011 would be estimated to be 59.
- 4.12 The number of complete ‘equivalent’ families the Pathfinder was estimated to have supported until the end of March 2011 was 140.
- 4.13 The total cost of the pathfinder over three years can be estimated by combining all the cost elements. The estimate against each of the three different scenarios discussed above is shown in Table 4.3 below. The table presents the total cost as well as the unit cost per family.

Table 4.3 Estimates of Total and Family Unit Cost of the Pathfinder		
Scenario	Total Cost	Unit cost/family
Optimistic	£2,625,600	£18,754
Base	£2,648,280	£18,916
Pessimistic	£2,913,360	£20,810

- 4.14 The unit cost presented above is based upon the total cost of establishing and running the pathfinder over three years. This includes the start up costs of setting up the pathfinder such as training costs. Such a unit cost is useful in understanding the total scale of investment within a family and therefore the social return on the total investment made. However, for decisions to be made about continuation funding a more useful unit cost to consider is the ongoing unit cost and treating the start up costs as sunk costs. In this case the unit cost can be calculated by dividing the total number of families seen in a year by annual costs incurred by the pathfinder.

Evaluation of Family Pathfinders  
Westminster Social Return on Investment (SROI) Assessment

---

4.15 The estimated ongoing unit cost for the Westminster pathfinder for the three cost scenarios is provided in table 4.4 below, based upon an average of 50 families working with the pathfinder against expenditure in 2010/11. Westminster has begun to focus on working with a smaller number of families than at the start of the pathfinder and as such the ongoing unit cost is actually greater than that for the pathfinder since inception.

Table 4.4 Estimates of Annual and Ongoing Unit Cost of the Pathfinder		
Scenario	Estimated ongoing annual cost	Ongoing unit cost/family
Optimistic	£1,092,000	£21,840
Base	£1,100,100	£22,002
Pessimistic	£1,194,771	£23,895

## 5 MONETARY BENEFITS OF THE PATHFINDER

- 5.1 Monetary benefits of the pathfinder identified in the theory of change focussed on the reduction in the likelihood of costly outcomes for individuals working with the pathfinder. Potential savings could also arise from the introduction of the new IT system introduced as part of the pathfinder but it is too early to say what these savings may be.

### Costs Savings from Aversion of Negative Outcomes

- 5.2 As part of the wider evaluation, data was collected on families when they started working with the Pathfinder ('entry'), whilst working with the family and when the Pathfinder stopped working with the family ('exit'). The 'entry' and 'exit' data included an assessment by Pathfinder practitioners on various family outcomes and behaviours and whether the practitioner had a concern that these were/were not being achieved or exhibited at entry and exit. For some of the outcomes the concern was recorded as low, medium or high against defined criteria, whilst for others practitioners were simply asked whether they had a concern or not. These questions allowed change and improvement in family outcome during the time the family worked with the Pathfinder to be observed and measured.
- 5.3 It is accepted that without a counterfactual there is limited evidence whether the changes observed would have occurred without Pathfinder support. However, some evidence on causality is available.
- 5.4 The SROI methodology provides a logical narrative of why the changes seen may be due to the Pathfinder. The assessment of the evidence of whether these changes were achieved is therefore a judgement in part on whether the improvement in outcomes for families is linked to Pathfinder activity.
- 5.5 Additionally, practitioners were asked whether they thought the change in outcome seen was wholly or partly due to Pathfinder activity, which also provides evidence of causality.

- 5.6 For twelve of the outcomes considered there were cost savings to the public purse that could be readily identified through published literature. These are addressed in the remainder of this section. There are other outcomes that cannot be valued monetarily and these are discussed with the other benefits of the Pathfinder in the next section.
- 5.7 To translate the change in concern (that practitioners recorded) into averted, costed negative outcomes a number of assumptions had to be employed. A major consideration in making these assumptions was that the analysis should produce results that are as cautious as is plausible. Where criticism is levelled at the analysis, it should be that we have underestimated the potential benefits rather than produced an over estimate. The assumptions made are:
- only those families that were considered by practitioners to be ‘high’ or ‘medium’ risk on entry of experiencing a specific outcome, and then considered low or no risk at exit were included in the analysis;
  - only changes in outcome where the practitioner reported it was wholly or partly due to the Pathfinder are included in the analysis;
  - we use only the avoided costs that are directly attributable to an averted outcome. For example, whilst avoiding becoming a teenage parent has associated cost savings associated with a decreased likelihood of being NEET, only those costs directly attributable to teen pregnancy are considered;
  - all cost estimates were taken from literature or derived from the DfE Negative Costing Tool. Only costs that have a direct impact on public finances are included;
  - families included on the FPIS system were randomly selected and representative of all families worked with;
  - children who were on a child protection plan at entry were considered to be at imminent risk of going into care and only these children are included in the analysis against that outcome. Those children who were not on a child protection plan at exit and had not gone into care were considered to have the imminent concern of entering the care system removed;
  - in the absence of any evidence to the contrary, any deterioration in outcome or concerns seen at exit and not at entry are considered to be independent of Pathfinder activity.

5.8 There are two broad types of avoided cost considered in the analysis. The first is the associated cost saving for avoiding outcomes that can be observed to have an immediate cost or a cost that could be expected to be realised within a year (“one year public purse savings”). These costs can be regarded as those most likely to generate a saving to a specific organisation that could potentially be cashable. If the negative outcome continues to be averted for more than a year than costs avoided would also increase, but to keep our analysis conservative we assume that only one year’s costs are avoided i.e. the Pathfinder intervention when successful has a persistence of only one year.

5.9 The second type of cost saving is that associated with the removal of a negative outcome for children when they reach adulthood that would not be seen potentially for some time, the saving would be over a lifetime and it is difficult to see how these savings could be realised (“lifetime savings”).

5.10 Estimates of total potential cost savings from the Pathfinder based on practitioner reported reduction in concern in the FPIS is presented in Table 5.1 below. Data was available on 78 of the 140 families the Pathfinder worked with. The estimated cost savings in this table should not be interpreted as the savings generated by the pathfinder and should not be quoted as such. Rather, the table is a step in the analysis required to generate the actual financial return per family and also points to where potential savings are being produced. The meanings of different risk levels for different outcomes and the sources of the different costs for each outcome is provided in Appendix A.

Table 5.1: Total potential monetary benefits for the 78 families in FPIS					
Adverse outcome	Number with high or medium concern at entry	Numbers with change to low or no concern at exit	Associated Cost Savings per Individual (£)	Associated cost savings assuming all concerns removed result in outcomes averted (£)	Primary Beneficiary
<b>Lifetime savings</b>					
Truancy (<18)	40	21	44,468	933,828	-
NEET (14-20)	10	5	104,000	520,000	-
<i>Total lifetime savings</i>	-	-	-	<i>1,453,828</i>	-
<b>One year public purse savings</b>					
Teenage	5	1	7,939	7,939	NHS/Benefits

Evaluation of Family Pathfinders  
Westminster Social Return on Investment (SROI) Assessment

Table 5.1: Total potential monetary benefits for the 78 families in FPIS					
Adverse outcome	Number with high or medium concern at entry	Numbers with change to low or no concern at exit	Associated Cost Savings per Individual (£)	Associated cost savings assuming all concerns removed result in outcomes averted (£)	Primary Beneficiary
pregnancy (<18)					agency
Youth offending (<21)	21	14	100,000	1,400,000	Prison service, criminal justice system
Adult offending (>20)	14	3	25,500	76,500	Prison service
Entry into care system (<18)	38	7	40,248	281,736	Children's services
Mental health (all ages)	30	15	6,562	98,430	NHS
Unemployment (>17)	99	6	5,934	35,604	DWP/Benefits Agency
Alcohol misuse (all ages)	11	5	2,196	10,980	NHS/Police
Drugs misuse (all ages)	19	7	13,626	95,382	NHS/Local authority/Police
Anti-social behaviour (all ages)	25	18	5,350	96,300	Local authority/Police
Domestic violence (families)	50	34	10,801	367,234	Criminal justice system/Police/NHS
<i>Total one year public purse savings</i>				<i>2,470,105</i>	
<b>Lifetime plus one year public purse savings</b>				<b>3,923,933</b>	

- 5.11 The table above shows that for the 78 families in FPIS the maximum financial benefit – assuming all high or medium concerns lowered or removed resulted in outcomes averted – was £3,403,933. Of this 36% of savings were generated from potentially stopping young people engaging in offending behaviour. 37% of the savings are generated from lifetime savings and 63% are annual public purse savings.
- 5.12 The findings above relate to the total benefits for families in FPIS assuming that all concern removed resulted in outcomes being averted for at least a year. Without tracking families through for the year following exit from the Pathfinder it is not possible to know whether the removal of concern resulted in the outcome not being experienced (“conversion of effect”). The family follow up interviews undertaken nationally as part of the national pathfinder evaluation provide some evidence in this area. The number of national interviews was 54 covering both full and extended pathfinders. Whilst being too small to provide a reliable estimate of conversion of effect, the interviews did suggest that not all families were maintaining change six months after exit.
- 5.13 The limited evidence on conversion of effect is mitigated to some degree by only looking at cost savings in the first instance for one year.
- 5.14 To further account for the uncertainty around conversion of effect, scenario analysis was used. Conversion rates for the optimistic, base and pessimistic scenarios were as follows:
- *Optimistic scenario: 100%*
  - *Base scenario: 75%*
  - *Pessimistic scenario: 50%*
- 5.15 To provide an example of what this means in practice, assume the pathfinder had 100 children where the concern for offending had moved from high or medium on entry to low or no concern at exit. In the optimistic scenario it is assumed that all 100 of these children would not offend. In the base scenario 75 of these children would not offend and in the pessimistic scenario only 50 of the 100 would not offend.

5.16 Tables 5.2 and 5.3 below present the unit cost per family, estimated costs avoided per family and estimated SROI ratios. Data is based on the FPIS data and the unit costs under the three cost scenarios discussed in Section 4. Table 5.2 provides analysis of total costs since inception and Table 5.3 an analysis of ongoing annual costs. SROI ratios greater than one indicates that the pathfinder generated a greater financial return than the costs it incurred.

Scenario	Cost per family	Costs avoided per family	SROI Ratio
Optimistic	£18,754	£50,307	2.68
Base	£18,916	£37,730	1.99
Pessimistic	£20,810	£25,153	1.21

5.17 The analysis in Table 5.2 shows that the best estimate of the cost savings per family is £37,730 against costs per family of £18,916. This generates an SROI ratio of 1.99 or for every £1 spent on the pathfinder it generates £1.99 in savings from averted negative outcomes. The analysis suggests that this ratio could be as low as 1.21 or as high as 2.68 depending on assumptions made on conversion of success into outcomes avoided for at least 12 months and also on the unit costs taken for the cost per hour of additional support provided to the pathfinder.

Scenario	Cost per family	Costs avoided per family	SROI Ratio
Optimistic	£21,840	£50,307	2.30
Base	£22,002	£37,730	1.71
Pessimistic	£23,895	£25,153	1.05

5.18 The analysis in Table 5.3 shows that looking at annual expenditure moving forwards, the best estimate for the SROI ratio that the pathfinder will produce is 1.71 or for every £1 spent on the pathfinder will generate £1.71 in savings from averted negative outcomes. The analysis suggests that this ratio could be as low as 1.05 or as high as 2.30.



## 6 NON-MONETARY BENEFITS OF THE PATHFINDER

6.1 In addition to the monetary benefits outlined in the previous section, there are also benefits of the Pathfinder that cannot be quantified monetarily but should be considered by decision makers in assessing the effectiveness of the resource dedicated to the Pathfinder. These benefits can be separated into improved outcomes for families and strategic, partnership and practice improvements seen within services.

6.2 The non-monetary benefits for the 78 families (197 children and 167 adults) picked up in the FPIS are presented in Table 6.1 below. Analysis looked at families that had an outcome with a high or medium concern at entry and low concern at exit where the change was considered by practitioners to at least in part to be due to the Pathfinder.

6.3 Notable benefits from this analysis include:

- of the 38 children where there high concerns about their caring responsibilities at entry, 45% had this concern removed at exit;
- of the 45 family members where there was concern at entry about their emotional mental health, 53% had this concern removed at exit.

Table 6.1: Non-monetary Family Benefits of the Pathfinder		
	Number with high/medium practitioner concern at entry	Number (percentage) with concern removed at exit
<b>Family Members</b>		
Bullying (perpetrator)	6	4 (66.7%)
Bullying (victim)	5	1 (20%)
Relationship with peers	24	16 (66.7%)
Cognitive goals	3	1 (33.3%)
Emotional goals	7	3 (42.9%)
Physical goals	4	3 (75%)
Communication milestones	7	5 (71.4%)
Children's educational attainment	30	15 (50%)
Children's engagement with learning	38	18 (47.4%)
Children's caring responsibilities	38	17 (44.7%)
Harrassment (other -	14	4 (28.6%)

Evaluation of Family Pathfinders  
Westminster Social Return on Investment (SROI) Assessment

Table 6.1: Non-monetary Family Benefits of the Pathfinder		
	Number with high/medium practitioner concern at entry	Number (percentage) with concern removed at exit
perpetrator)		
Harrassment (other-victim)	11	9 (81.8%)
Harrassment (racial-perpetrator)	2	2 (100%)
Harrassment (racial-victim)	4	0 (0%)
Daily tasks	55	21 (38.2%)
Engagement with health professionals	28	16 (57.1%)
Chronic health conditions	10	2 (20%)
Personal hygiene	13	9 (69.2%)
Emotional mental health	45	24 (53.3%)
<b>Families</b>		
Positive family relationships	27	16 (59.3%)
Boundary setting	35	22 (62.9%)
Family support network	27	11 (40.7%)
Supervision of children	24	10 (41.7%)
Parental engagement in children's education	24	13 (54.2%)

## Appendix A

### Outcome: Truancy

- Meaning of high/medium risk in FPIS: Attendance <75%
- Meaning of low/no risk in FPIS: Attendance >74%
- Source of outcome cost: New Philanthropy Capital report 'Mispent Youth' and DfE Negative Costing Tool

### Outcome: NEET

- Meaning of high/medium risk in FPIS at entry: YES to “Are there any young people in the family who are NEET?”
- Meaning of low/no risk in FPIS at exit: NO to “Are there any young people in the family who are NEET?”
- Source of outcome cost: Lifetime cost taken from study by York University at: [http://www.york.ac.uk/depts/spsw/research/neet/NEET\\_Executive\\_Summary\\_July\\_2010\\_York.pdf](http://www.york.ac.uk/depts/spsw/research/neet/NEET_Executive_Summary_July_2010_York.pdf)

### Outcome: Teenage Pregnancy

- Meaning of high/medium risk in FPIS at entry: YES to “Are there any young people in the family who are at risk of becoming a teenage parent?”
- Meaning of low/no risk in FPIS at exit: NO to “Are there any young people in the family who are at risk of becoming a teenage parent?”
- Source of outcome cost: Costs taken to be 12 months of benefits and delivery costs. Estimate of Benefits taken from DfES (2006) Teenage Pregnancy Next Steps: Guidance for Local Authorities and Primary Care Trusts on Effective Delivery of Local Strategies. This suggested the benefits cost is £19,000 to £25,000 over 3 years for teen mothers. Annual cost calculated from lower of these estimates. Costs of birth taken from NHS 2008–09 reference costs, average unit costs for all births is £1606. Approximately 50% of under 18s have an abortion with a cost which is circa £600. However, the cost of abortion does not take into account complications and the birth cost does not include ante and post discharge. As such £1606 is likely to be an underestimate of the average cost to the NHS related to teen pregnancy.

### Outcome: Youth Offending

- Meaning of high/medium risk in FPIS at entry: Young person (<21) had received final warnings/referral order or final caution or has received a sentence in the last year or is under probation services.

- Meaning of low/no risk in FPIS at exit: Is known to the police but none of the factors for high/medium risk are present.
- Source of outcome cost: From various sources. Eg. NEF – punishing costs (2010) which suggests £100,000 is likely to be an underestimate. Also can be calculated from NAO report "The youth justice system in England and Wales: Reducing offending by young people" (2010) which suggests total cost of £8.5 bn per year public purse and societal cost for 90,000 offenders.

#### Outcome: Adult Offending

- Meaning of high/medium risk in FPIS at entry: Adult (>20) had received final warnings/referral order or final caution or has received a sentence in the last year or is under probation services.
- Meaning of low/no risk in FPIS at exit: Is known to the police but none of the factors for high/medium risk are present.
- Source of outcome cost: Taken from report by Philanthropy Capital. <http://www.philanthropycapital.org/downloads/pdf/Investing%20in%20family%20ties.pdf>. Incarceration costs only so ignores other Criminal Justice Costs. Average length of incarceration from reoffending is 8 months at a costs of £25,500.

#### Outcome: Entry into Care System

- Meaning of high/medium risk in FPIS at entry: On a Child Protection Plan.
- Meaning of low/no risk in FPIS at exit: Not on a Child Protection Plan and not been taken into care.
- Source of outcome cost: National unit cost for all placements is £774 per week. See: <http://www.publications.parliament.uk/pa/cm200809/cmselect/cmchilsch/11/1111i.pdf>.

#### Outcome: Mental Health

- Meaning of high/medium risk in FPIS at entry: Escalating or severe forms of psychological mental health evident.
- Meaning of low/no risk in FPIS at exit: No evident problems or managed approach to psychological conditions.
- Source of outcome cost: Focus on acute care only. Average length of stay in acute care for a depressive episode is 31.1 days (HES online). The average cost per day of inpatient care is £211 from PSSRU. This gives an average cost per stay of £6562 per stay. Assume one stay per year.

#### Outcome: Unemployment

- Meaning of high/medium risk in FPIS at entry: Family member unemployed in household where main carer unemployed 6 months or more or no one in household in paid employment.
- Meaning of low/no risk in FPIS at exit: Family member employed.
- Source of outcome cost: Focus on benefits (JSA only) and loss in tax income. JSA for over 25s is £65.45 per week. Loss in tax revenue taken from assumption of a wage when person moves into employment at the bottom decile (£14,352 per year) with tax/NI on this wage of £2524 see: <http://www.statistics.gov.uk/cci/nugget.asp?id=285>

#### Outcome: Alcohol Misuse

- Meaning of high/medium risk in FPIS at entry: 'Harmful' or 'Dependent' drinker.
- Meaning of low/no risk in FPIS at exit: 'Hazardous' drinking or no practitioner concern.
- Source of outcome cost: From York university report on costs of alcohol misuse in Scotland for Scottish Govt. Estimated from £2.196 bn annual cost and approx 1 million problem drinkers

#### Outcome: Drugs Misuse

- Meaning of high/medium risk in FPIS at entry: 'Harmful' or 'Dependent' drug user.
- Meaning of low/no risk in FPIS at exit: 'Hazardous' drug user or no practitioner concern.
- Source of outcome cost: From home office report on drug users <http://rds.homeoffice.gov.uk/rds/pdfs2/hors249.pdf>. Estimates figure of reactive Government expenditure (health, social care, police) of £10402 increased by 31% with RPI to £13626.

#### Outcome: Anti Social Behaviour

- Meaning of high/medium risk in FPIS at entry: Engaged in ASB which has resulted in formal actions being taken or is at risk of formal actions being taken.
- Meaning of low/no risk in FPIS at exit: Not engaging in ASB or may be engaged in ASB but no formal actions are imminent.
- Source of outcome cost: The cost of an ASBO taken from the negative costing tool.

**Outcome: Domestic Violence**

- Meaning of high/medium risk in FPIS at entry: YES to “Are there concerns about family violence or abusive behaviour”
- Meaning of low/no risk in FPIS at exit: NO to “Are there concerns about family violence or abusive behaviour”
- Source of outcome cost: Cost of domestic violence estimated in 2008 to public services of £3.856bn from 'Cost of Domestic Violence – Update 2009, Walby S' at [http://webcache.googleusercontent.com/search?q=cache:zTMvqg4xccUJ:www.lancs.ac.uk/fass/doc\\_library/sociology/Cost\\_of\\_domestic\\_violence\\_update.doc+cost+of+domestic+violence&cd=5&hl=en&ct=clnk&gl=uk](http://webcache.googleusercontent.com/search?q=cache:zTMvqg4xccUJ:www.lancs.ac.uk/fass/doc_library/sociology/Cost_of_domestic_violence_update.doc+cost+of+domestic+violence&cd=5&hl=en&ct=clnk&gl=uk). Number of incidents 357,000 from British Crime Survey in 2005/06. Equates to £10,801 per incident. Assume one incident per year.

## 1 Tables referred to in text

In the following tables, percentages have usually been rounded to nearest percentage and no percentages are given for very small numbers.

**Table 1 Referrals and services provided (number of families full cohort).**

Referral year	Referred	Service accepted	Completed
2009	174	67	9
2010	104	57	65
Jan- April 2011	28	11	18
Total	306	135	92

**Table 2 ‘Main’ parent/s at time of referral (full cohort) and age of main parent (mother’s age if 2 parents)**

Main parent	Main parent	Age group of main parent	Percentage (Small sample)
Biological mother or mother and male partner	96	18-24	19%
Biological father	2	25-39	41%
Guardian/ relative/social father	2	40+	41%

**Table 3 Family composition at time of referral to FRP**

Child/ren living with:	Number of families (full cohort)	Number of families (small sample)	
Both biological parents	64	13	20%
Single mother	19	8	25%
Single father	1	1	
Birth parent plus parent of one but not all resident children	6	2	
Birth parent plus partner not a parent of any resident child	7	7	22%
Relative/ guardian/ friend	3	1	

**Table 4 Number of children of ‘main’ parent (full cohort)**

<b>Number of children</b>	<b>Number of families</b>
1	11
2	34
3	16
4	20
5	11
6	3
7	5

**Table 5 Age groups of children**

<b>Age grouping</b>	<b>Full cohort</b>	<b>Intensive sample</b>
All under 5	8	7 22%
All 5-12	6	2
All 13+	29	7 22%
5-12 and 13+	28	11 34%
Under 5 and 5-12	11	2
Under 5 and 13+	8	2
All age groups	8	1

**Table 6 Age of youngest child (percentages)**

<b>Age of youngest child</b>	<b>Full cohort</b>	<b>Intensive sample</b>
Under 5	32%	37%
5	39%	41%
13+	29%	22%

**Table 7 Age groups by early and later referral date (full cohort)**

<b>Earlier or later referral</b>	<b>Youngest child 0- 4</b>		<b>Youngest 5-12</b>		<b>Youngest child 13+</b>		<b>Total</b>
Earlier referral	13	27%	17	35%	18	38%	48 100%
Later referral	19	36%	22	42%	11	21%	52 100%
Total	32	38%	39	33%	29	29%	100 100%

**Table 8 Number of children by early and later referral date (full cohort)**

<b>Earlier or later referral</b>	<b>1-2 children</b>		<b>3+ children</b>		<b>Total</b>
Earlier referral	15	31%	33	69%	48 100%
Later referral	29	56%	23	44%	52 100%
Total	44	44%	56	56%	100 100%

Chi-square: 6.090, df: 1 p: <.05



**Table 9 Problems/ disabilities of parent/ carer in family (percentages where this problem recorded)**

<b>Problem/difficulty</b>	<b>Full cohort (female)</b>	<b>Full cohort (male)</b>	<b>Small sample (female)</b>	<b>Small sample (male)</b>
Acute/chronic health problem			9%	9%
Problems alcohol use	14%	9%	16%	22%
Problem drugs use	18%	22%	25%	22%
Mental health problems	58%	10%	71%	21%
Criminality/ anti-social/nuisance behaviour	19%	35%	*	*

- In the small sample there had at some time been police involvement in 75% of the families; action with respect to anti-social behaviour in 56% of the families and a criminal conviction with respect to a member of 53% of families. It was not always clear whether this was with respect to adults or young people. In addition, some criminal activities were of concern where evidence which would lead to a conviction was not apparent.

**Table 10 Problems/ disabilities of any child/ young person in family**

<b>Problem/difficulty</b>	<b>Full cohort of 100 (%)</b>	<b>Small sample % (N=32)</b>
Acute/chronic health problem(including obesity)		34%
Problems alcohol use	7%	3%
Problem drugs use	20%	22%
Mental health problems	20%	40%
Behaviour problems		53%
Criminality/ anti-social/nuisance behaviour	41%	28%
Problems around school attendance/conduct/attainment		62%

**Table 11 Cases where there were child protection concerns (small sample: more than one answer possible)**

<b>Concern</b>	<b>Number of families %</b>	
Parenting ability/ style	29	93%
Child at risk of statutory intervention	28	90%
Increase safeguarding an aim of intervention	21	67%
Concerns about neglect (current or previous)	21	67%
Reducing impact of domestic abuse is an aim of intervention	14	45%
Remain on or be placed on CP plan or application for care order made or used as a possible sanction	16	52%
Child on CP plan at referral to FRP (6) or during case	10	31%
Any child of 'main' parent ever on CP plan/ CP register but not at time of referral	8	25%
CP team social worker was lead professional for child or member of TAF	9	28%

**Table 12 Grouping of needs/ problems identified for children**

<b>Type of problems</b>	<b>Number of families (%)</b>	
Troubled child aged 13+	3	
Middle years child 'on edge of care'	12	37%
Child protection <5	9	28%
Child protection 5+ (where no imminent risk of care)	3	
Complex child and parent problems where no imminent risk of care or formal child protection	5	16%

**Table 13** Researcher rating of broad ‘family type’

Type of family	Number of families	Percentage of FRP families	Percentage of 105 ‘significant harm’ cases*
Short term problem	1		
1 single or 2 linked specific issues	14	44%	27%
3 linked specific issues	1		
Acute distress	1		25%
Families with long term and multiple problems	11	34%	40%
Complex but none of above	4	12%	8%

- Brandon et al, 1999

**Table 14 Source of referral**

<b>Referral Agency</b>	<b>100 Cases</b>	<b>Small sample</b>	<b>% of small sample</b>
ChnS loc	26	14	44
DAT	21	6	19
Housing	6	3	9
Anti Social Behaviour Action Group (ASBAG)	5	0	0
PCT	5	0	0
Family Centre	5	0	0
Child Protection	5	2	6
Not stated	4	0	0
SSD unspec	4	0	0
Education	4	2	6
Youth Inclusion and Support Panel (YISP)	3	1	3
YOT	2	1	3
MARAC	2		0
ChSerHosp	2	2	6
ch serRemod	2	0	0
CWD	1	0	0
YPP Panel	1	0	0
Children with Disabilities Team (CWD)	1	1	3
FDA Court	1	0	0

**Table 15 Lead workers**

<b>Professional</b>	<b>for adult/s</b>	<b>for one/all children</b>	<b>for adult/s and child</b>
FRP Intensive outreach worker	22	4	5
Locality team social worker		12	
Child protection team social worker		7	
FRP health visitor	1		
FRP adult mental health worker	2		
FRP domestic violence worker	2		1
FRP education worker		1	
YOT /YISP worker		2	
Teacher		1	
Health visitor/ early years worker		2	
Special education Unit worker		1	
Children with disabilities social worker		1	
Role unconfirmed at TAF		1	

**Table 16 FRP membership of teams around the family (including cases with a lead professional role)**

<b>Professional</b>	<b>Number of cases</b>	<b>% of small sample cases</b>
Intensive outreach / social worker	32	100
Benefits adviser	16	50
Addictions specialist	15	47
Adult mental health worker	15	47
Health visitor	13	41
Domestic violence worker	11	34
Domestic violence risk assessment worker	9	28
Education worker	6	19
Housing specialist	7	22
Attached police officer	4	13
ASB caseworker	3	9
Employability worker	3	9

**Table 17 Non- FRP membership of teams around the family (including cases with a lead worker role)**

<b>Professional</b>	<b>Number of cases</b>	<b>% of small sample cases</b>
Teacher/ special education unit worker	18	56
Special education unit professional	7	22
EWO or other education worker	5	16
School nurse	6	19
Children's services locality team social worker	14	44
Children's services child protection or looked after team social worker	11	34
Adult mental health social worker	10	31
YOT / YISP/ young people's service worker	17	53
Probation officer/ crime and disorder reduction service manager/ noise reduction officer	10	31
Housing officer	15	47
Psychiatrist/ psychiatrist	10	31
Family centre worker	15	47
Health visitor	4	13
Voluntary agency worker	3	9
Children's services disability or hospital social worker	3	9
Drugs and alcohol team worker	2	6
Employability worker	2	6
Connexions worker	1	3
IOW (WCC)	1	3

**Table 18 FRP contribution to teams around the family**

<b>TAF composition</b>	<b>Number of cases</b>	<b>%</b>
Mainly FRP: IOW plus co-ordinating network meetings	6	19%
Mainly FRP: IOW plus FRP specialists and co-ordinating network meetings	7	22%
Half FRP and half outside agencies	13	41%
Mainly non-FRP but with IOW and FRP case co-ordination	6	19%

**Table 19 Approaches to ‘care with consequences’**

<b>Approach used</b>	<b>Number of cases</b>	<b>% s</b>
Heavy emphasis on rewards	9	22%
Rewards, and light touch sanctions	14	44%
Heavy emphasis on sanctions	7	28%
No reference to ‘sanctions’ or ‘rewards’ in plan	2	

**Table 20 Sanctions referred to in contract or care plan**

<b>Sanctions referred to</b>	<b>Number of cases</b>	<b>%</b>
Child into/ remain in care	11	34%
Formal CP plan initiated/remain (but no likelihood of care)	5	16%
ASBO made/retained/ YP court	3	
ASBO/ court child and adult (criminal or truancy)	2	
Eviction/ not re-housed	5	16%
Eviction plus child into care/ CP	1	
No sanctions referred to	5	16%

**Table 21 Was a trusting relationship established between the ‘main’ parent/ carer and at least one member of the FRP team\*?**

	<b>Number of families</b>	<b>Percent</b>
No	6	19
Ambivalent	13	41
Trusting	13	41
<b>Total</b>	<b>32</b>	<b>100</b>

\*This was usually but not invariably the IOW and in some cases more than one family member formed a trusting relationship with more than one FRP team member.

**Table 22 Were specific methods or programmes used?**

	<b>Frequenc y</b>	<b>Percent</b>
None apparent	12	37
Specific parenting programme (manualised)- group or individual	6	19
Aspects of parenting programme adapted in home	8	25
Aspects of other adapted in home	6	19
<b>Total</b>	<b>32</b>	<b>100</b>

**Table 23 Was a specific casework approach used?**

	<b>Frequency</b>	<b>Percent</b>
None mentioned/apparent	3	
Broadly behavioural	2	
Broadly psycho-social	15	47
Problem-solving/solution-focused	12	38
<b>Total</b>	<b>32</b>	

**Table 24 FRP broad service approach**

	<b>Frequency</b>	<b>Percent</b>
Mainly practical- IOW parenting advice and networking	12	38
Mainly IOW emotional support and networking	6	19
Mainly FRP specialist advice	3	9
All or above	11	34
<b>Total</b>	<b>32</b>	<b>100</b>

**Table 25 Duration of cases (months)**

<b>Duration</b>	<b>Number (%)</b>	
3-4 months	3	
5-6 months	7	22%
7-11 months	11	34%
12-17 months	10	31%
18+ months	1	

2 long-running cases had been open for several months at the time the research ended. This cut-off date is used so this table slightly underestimates the number of the longest-running cases

**Table 26 Intensity and duration of cases**

<b>Intensity and duration (short: &lt;6 months (lower intensity = FRP contacts average 2 per week or less))</b>	<b>N.</b>	<b>%</b>
Short term/ high intensity	8	25
Short term: less intensive	5	16
Longer term intensive throughout case	6	19
Longer term intensive-moving to less intensive	11	34
Short term- no/little engagement	2	

**Table 27 Involvement of children's 'targeted' services teams**

<b>Extent of involvement</b>	<b>Number (%)</b>	
None	1	
Brief prior- not after	2	
Extensive prior-not after	3	
Brief prior-brief after	3	
Extensive prior and some after	23	72%



**Table 28 Case aims/goals and whether achieved: adults/ whole family (n= 32 for aim column and 29 closed cases for outcome columns) Outcome columns sometimes total more than aims columns as additional aims were added in later TAF meetings**

<b>Case goals</b>	<b>number of cases in which this was a goal</b>	<b>% cases in which fully achieved</b>	<b>% cases in which partially achieved</b>	<b>% cases not achieved</b>
Improve engagement with services	25	16	44	20
Improve relationships between adults*	7			
Improve parent/child or sibling relationships (*outcome for any family relationship improvement)	17	13*	41*	22*
Enhance parenting skills	25	20	38	22
Enhance safeguarding	23	13	41	19
Improve mental health of parent/parent figure	20	10	35	16
Improve physical health of a parent/parent figure	14	7	26	13
Reduce drug/alcohol use any adult in household	14	7	22	16
Reduce domestic abuse between adults in household	15	16	20	13
Reduce level of anti-social behaviour adults/ teenagers	13	20	13	10
Encourage engagement in positive activities	22	20	32	20
Review benefits/ reduce family debt	17	32	13	7
Prevent eviction	10			
Enhance quality of housing	19	26	16	20
Increase employment/employability	12	3	17	22

**Table 29 Case aims/goals and whether achieved: children (number of cases and percentage of 32 cases in which this aim achieved/ not achieved )**

<b>Aim/goal</b>	<b>Number of cases this aim in initial plan</b>	<b>% in which achieved</b>	<b>% in which aim partially achieved</b>	<b>% in which aim not achieved</b>
Improve mental health of child/ren	12	*		
Improve physical health of a child/reduce impact of a child's disability	8	*		
Improve behaviour of child/ren	18	10	32	16
Reduce impact of parental health problems on child/ren	2	6	6	3
Reduce impact of parental mental health problems on child/ren	11	*		
Reduce impact of domestic abuse on child/ren	13	*		
Reduce/prevent offending by a child/ young person	15	*		
Increase school attendance	17	10	44	0
Improve educational attainment	18	10	32	13
Improve further education/employment of young person	4	2	5	0
Arrange/improve nursery attendance	6	6	3	0

**\*Outcome not differentiated between adults and children in household in recording system or not routinely specified in records or at case closure**

**Table 30 Changes in children's overall wellbeing (researcher rating) ADD IN Case 99**

<b>Interim outcome</b>	<b>Number of families</b>
Deteriorated for one/no change for other/s	1
Deteriorated for 1 / improved other/s	4 13%
No change only child or all	6 19%
Some improvement all	11 35%
Marked improvement all	7 22%
No change but greater clarity has enabled coherent child welfare plans to be made	2

**Table 31 Interim outcome for ‘main’ parent: change in wellbeing (researcher rating) **ADD IN** Case 99**

<b>Change in parent wellbeing</b>		
Deteriorated	2	
No change	14	44%
Some improvement in some areas	6	19%
Much improvement	9	29%

**Table 32 Interim outcome change in parenting capacity (researcher rating) **ADD IN** 99**

<b>Change in parenting capacity</b>		
Deteriorated	1	
No change	11	35%
Some improvement in some areas	12	39%
Much improvement	7	22%

**Table 33 Interim outcome: changes in material circumstances of family (researcher rating) **ADD IN** 99**

<b>Material circumstances</b>		
No change	8	26%
Some improvement	15	48%
Substantial improvement	8	26%

**Table 34 Interim outcome: overall wellbeing of child/ren (researcher rating)**

<b>Overall wellbeing</b>		
All below average	12	37%
One/some below average- one/some average	10	31%
All average	10	31%

**Table 35 Overall interim outcome for family following FRP service . Researcher rating**

<b>Interim outcome for family</b>		
Unsuccessful: No change in wellbeing of adults or children	4	13%
Some aims achieved, still serious problems family not accessing help	4	13%
Some aims achieved still serious problems family accessing help	3	9%
Some aims achieved, still some problems and family accessing help	8	26%
Successful: most aims achieved- still some problems, family managing/accessing help/ will seek timely help in future	8	26%
Successful. Aims mainly achieved, family managing well. Children's wellbeing satisfactory	2	6%
Still serious problems but FRP helped to achieve a coherent case plan to improve wellbeing	3	9%

**Table 36 Variations in cost to FRP and to other agencies**

<b>Cost to FRP</b>	<b>Costs to other agencies</b>			<b>Total</b>
	<b>Low</b>	<b>Medium</b>	<b>High</b>	
Low	1	3	4	8
Medium	3	5	4	12
High	1	1	10	12
<b>Total</b>	<b>5</b>	<b>9</b>	<b>18</b>	<b>32</b>

**Table 37 Prediction (researcher rating) of future service needs (all family members) at case closure to FRP**

<b>Likely service needs</b>	<b>Number of families %</b>	
Short-term/ not intensive then remain closed	3	
Short term intensive/ then remain closed	1	
Long-term episodic	17	53%
Long term intensive	8	25%
One or more children in long-term care	2	
Child and/or parent in prolonged custody	1	

**Table 38 Likely future costs to adults, children health, social care and justice services**

---

	<b>Frequency</b>	<b>Percent</b>
Low	9	28
Medium	9	28
High	14	44
Total	32	100

---

**Table 39 Is there evidence that FRP involvement is likely to have reduced future costs?**

---

	<b>Frequency</b>	<b>Percent</b>
No	6	19
Some indications	12	37
Strong evidence	14	44
Total	31	100

---

## 2 References

### More to do

- Allen, G. and Duncan Smith, I. (2010) 'The cross-party challenge: early intervention for children and families', *Journal of Children's Services*, 5(1), pp. 4- 8.
- Barlow, J. and Scott, J. (2010) *Safeguarding in the 21<sup>st</sup> Century – where to now?* Totnes: Research in Practice.
- Barlow, J., and Schrader-Macmillan, A (2009) *Safeguarding children from emotional abuse – what works?* London: DCSF website DCSF-RBX-09-09
- Bell, M. (2002) Promoting children's rights through the use of relationship. *Child and Family Social Work*, 7, 1-11.
- Berry, M., Brandon, M., Chaskin, E., Fernandez, H., Grietens, A., Lightburn, P., McNamara, P., Mundford, R., Palacio-Quinton, J., Sanders, C. & Warren-Adamson, C. (2006) 'Identifying sensitive outcomes of interventions in community-based centres'. *International Journal of Child and Family Welfare*, 9, 2-10.
- Boddy, J., Statham, J. Mcquail, S, Petrie, S. and Owen, C. (2009a) *Working at the 'edges' of care? European models of support for young people and families*. London: Thomas Coram research Unit.
- Brandon, M. & Connolly, J. (2006) Are Intensive Family Preservation Services Useful: A UK Study. *Journal of Family Preservation*, 9, 56-69.
- Brandon, M. & Thoburn, J. (2008) Safeguarding children in the UK: a longitudinal study of services to children suffering or likely to suffer significant harm. *Child and Family Social Work*, 13, 365-377.
- Cabinet Office (2007) *Reaching Out: Think Family*. London: Cabinet Office.
- Daniel, B. and J. Taylor (1999) The rhetoric versus the reality: a critical perspective on practice with fathers in child care and protection work. *Child and Family Social Work* 4: 209-220.
- Department for Children, Schools and Families (2008) *Youth Task Force Action Plan- give respect, get respect- youth matters*. London: Department for Children, Schools and Families.
- Department for Children, Schools and Families (2009b) *Think Family toolkit: Guidance Note 4, Family Intervention Projects*. London: Department for Children, Schools and Families.
- Department for Children, Schools and Families (2010b) *Think Family Pathfinders: Research Update*. London: Department for Children, Schools and Families.
- Department for Children, Schools and Families (2010c) *Early Intervention: Securing good outcomes for all children and young people*. London: Department for Children, Schools and Families.
- Department for Children, Schools and Families. (2009) *Safeguarding children research initiative* <http://www.dcsf.gov.uk/research/programmeofresearch/index.cfm?type=0>
- Department of Health (1995 b) *Child Protection: Messages from Research*. London: TSO.
- Department of Health (2001) *The Children Act Now: Messages from Research*. London: TSO.

- Dixon, J., Schneider, V., Lloyd, C., Reeves, A., White, C., Tomaszewski, W., Green, R. and Ireland, E. (2010) *Monitoring and evaluation of family interventions (information on families supported to March 2010)*. London: Department for Education.
- Edwards, J. (1998) Screening out men: or 'Has mum changed her washing powder recently?' *In: Men, Gender Divisions and Welfare*. Eds J. Popay, J. Hearn and J. Edwards. London., Routledge.
- Featherstone, B. (2001) Putting fathers on the child welfare agenda: A Research review. *Journal of Child and Family Social Work* 6(2): 179-186.
- Flint, J., Batty, E., Parr, S., Platt-Fowler, D. And Nixon, J. (2011) *Evaluation of intensive Intervention Projects* London: DfE
- Garrett, P.M. (2007) 'Sinbin' solutions: the 'pioneer' projects for 'problem families' and the forgetfulness of social policy research', *Critical Social Policy*, 27, (2), pp. 203-230.
- Gregg, D. (2010) *Family intervention projects: a classic case of policy-based evidence*. London: centre for Crime and Justice Studies.
- Henggeler, S. W., Schoenwald, S. K., Rowland, M. D., & Cunningham, P. B. (2002). *Serious emotional disturbance in children and adolescents: Multisystemic Therapy*. New York: Guildford Press.
- Hosking, G., Walsh, I. and Pillai, B. (2010) *International experience of early intervention for children, young people and their families 2010*. Croydon: C4EO and Wave Trust.
- Hughes, N. (2010) 'Review Article: Models and Approaches in Family-Focused Policy and Practice', *Social Policy and Society*, 9(4), pp. 545-555.
- Kendall, S., Rodger, J. and Palmer, H. (2010) *Redesigning provision for families with multiple problems- an assessment of the early impact of different local approaches*. London: Department for Education.
- Leschied, A, and Cunningham, A. (2002) *Seeking effective interventions for young offenders: Interim results of a four year randomized study of multisystemic therapy in Ontario Canada*. London, Ontario: Centre for Children and Families in the Justice System.
- Lindsay, G, Davies, H., Band, S., Cullen, M A, Strand, S., Hasluck, C., Evans, R. and Stewart-Brown, S. (2008) *Parenting Early Intervention Pathfinder Evaluation: Research Brief*. DCSF website DCSF-RBW054
- Lindsay, G, Strand, S., Cullen, M A, Cullen, S.,, Band, D., Davies, H., Conlon, G., Barlow, J. And Evans, R. (2011) *Parenting early Intervention Programme Evaluation*. London: DfE Research Report DFE-RR121(a)
- Littell I, J. (2005) 'Lessons from a systematic review of effects of multisystemic therapy' *Children and Youth Services review*. 27 pp 445-463
- Littell, J. (2006) 'The case of multisystemic therapy: Evidence of orthodoxy?' *Children and Youth Services Review*. 28, pp458- 472
- Littell, J., Popa, M. and Forsythe, B. (2005) 'Multisystemic therapy for social, emotional and behaviour problems in youth aged 10 to 17' *Cochrane Library, Issue 3, 2005*. Chichester: Wiley
- Local Government Leadership and City of Westminster (2010) *Repairing broken families and rescuing fractured communities: Lessons from the front line*. London: Local Government Leadership and City of Westminster.

- MacMillan, H., Wathan, N., Barlow, J., Fergusson, D., Leventhal, J. & Taussig, H. (2008) 'Interventions to prevent maltreatment and associated impairment'. *The Lancet* Special edition on Maltreatment.
- Morris, K., Hughes, N., Clarke, H., Tew, J., Mason, P., Galvani, S., Lewis, A. & Loveless, F. (2008) *Families at risk: literature review*. , Birmingham, University of Birmingham.
- National Centre for Social Research (2009) *Antisocial Behaviour Family Intervention projects: Monitoring and Evaluation: Research Brief*. London: Department for Children, Schools and Families.
- Nixon, J., Parr, S., Hunter, C., Myers, S., Sanderson, D. and Whittle, S. (2006) *Anti-social Behaviour Intensive Family Support Projects: An evaluation of six pioneering projects*. London: Communities and Local Government.
- Nixon, J., Parr, S., Hunter, C., Myers, S., Sanderson, D. and Whittle, S. (2008) *The longer term outcomes for families who had worked with Intensive Family Support Projects*. London: Communities and Local Government.
- Pawson, H. Davidson, E., Sosenko, F., Flint, J., Nixon, J., Casey, R. and Sanderson, D. (2009) *Evaluation*
- Pawson, H., Flint, J., Scott, S., Atkinson, R., Bannister, J., McKenzie, C. and Mills, C. (2005) *The Use of Possession Actions and Evictions by Social Landlords*. London: Office of the Deputy Prime Minister.
- Quinton, D. (2004). *Supporting parents: Messages from research*. London: Jessica Kingsely
- Rose, W., Aldgate, J., McIntosh, M. & Hunter, H. (2009) 'High-risk children with challenging behaviour: changing directions for them and their families'. *Child and Family Social Work*, 14,2, pp178-188.
- Scott, S. (2006) Tackling anti-social behaviour: an evaluation of the Dundee Families Project, in J. Flint (ed.) *Housing, Urban Governance and Anti-social Behaviour: Perspectives, policy and practice*. Bristol: Policy Press, pp. 199- 217.
- Scott, S., Knapp, M., Henderson, J. and Maughan, B. (2001) 'Financial cost of social exclusion: follow up study of antisocial children into adulthood', *British Medical Journal*, 323; 191-4.
- Stein, M. (2009) *Quality Matters in Children's Services: Messages from research*. London: Jessica Kingsley Publishers.
- Sundell, K et al (2009) *Interventions and Costs: Multisystemic therapy (MST) and treatment as usual (TAU)* Stockholm The Institute for Evidence-based Social Work Practice Full text as yet only available in Swedish
- Thoburn, J. and Making Research Count consortium (2009) *Effective interventions for complex families where there are concerns about, or evidence of, a child suffering significant harm* www.C4EO.gov.uk
- Tunstill, J. Aldgate, J. & Allnock, D. (2007) *Understanding the Contribution of Sure Start Local Programmes to the Task of Safeguarding Children's Welfare*. London, DfES.
- Tunstill, J. & Blewett, J. (2009) *The Delivery of Targeted Family Support in a Universal Setting*. London, Action for Children.
- Tunstill, J., Aldgate, J. & Hughes, M. (2006) *Improving Children's Services Networks: Lessons from Family Centres*. London, Jessica Kingsley Publishers.



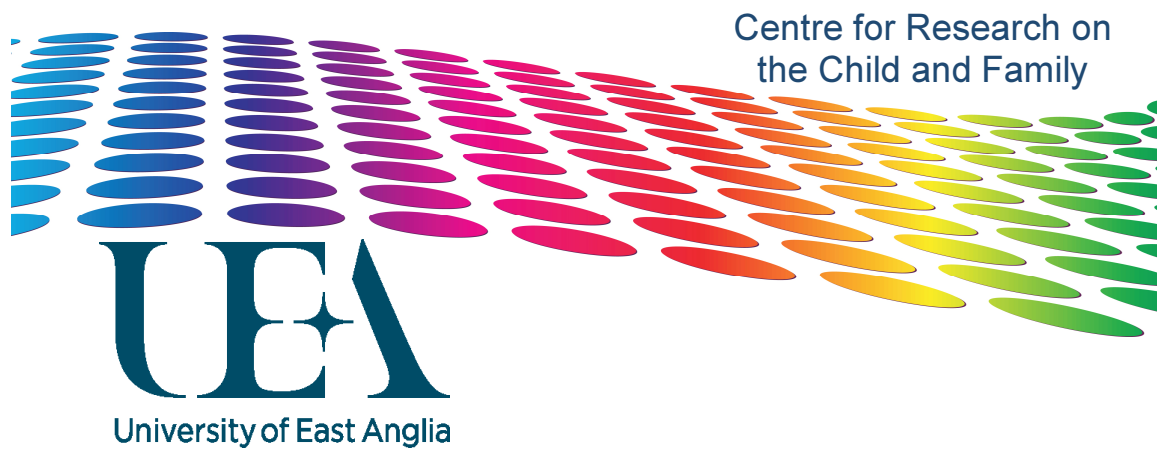
- Utting, D., Monteiro, H. & Ghatge, D. (2007) *Interventions for children at risk of developing antisocial personality disorder* Cabinet Office/ Policy Research Bureau.
- Utting, D., Monteiro, H. & Ghatge, D. (2007) *Interventions for children at risk of developing antisocial personality disorder* Cabinet Office/ Policy Research Bureau.
- Whittaker, J. (2009) 'Evidence-based intervention and services for high risk-youth: a North American perspective on the challenges of integration for policy, practice and research'. *Child and Family Social Work*. 14,2, pp 166-177.

# **Process and outcome research on the Westminster Family Recovery Pathfinder**

October 2011

**June Thoburn, Neil Cooper,  
Sara Connolly and Marian Brandon**

**University of East Anglia  
Centre for Research on the Child and Family**



## **Westminster Family Recovery Pathfinder and the Family Intervention Research Team**

### **Project Researchers**

Neil Cooper, University of East Anglia School of Social Work &  
June Thoburn, Marian Brandon Psychology

Sara Connolly University of East Anglia, School of Economics

The project team wishes to acknowledge and thank the Westminster FRP team and information desk for their access to offices and documentation and their generosity with their time in reflecting with us on their cases and approach to the work. We would like to especially thank Sagal Egal for administrative assistance, and the leadership team Natasha Bishop, Tanya Kemp, Catherine O'Rourke and Von McCleary for ongoing support throughout the project. We are also grateful to those families who allowed us to observe TAF meetings and shared their views with us about the service.

Centre for Research on the Child and Family, School of Social Work and Psychology, University of East Anglia, Norwich NR4 7TJ

Tel: +44 (0)1603 59 • Fax: +44 (0)1603 451412 • e-mail: @uea.ac.uk

## Contents

1	The policy and research context .....	1
1.1	The policy context.....	1
1.2	Earlier ‘ whole family’ approaches to working families with multiple problems 2	
1.3	Key characteristics of the Westminster Family Recovery Project.....	5
2	Research aims and methods .....	8
3	The FRP team .....	9
4	The Families.....	12
4.1	Demographic characteristics.....	12
4.2	Knowing the Men in FRP families. ....	18
4.3	Summary of family characteristics. ....	21
4.4	Issues and difficulties for the families .....	23
4.5	Summary of the characteristics and service needs of the families.....	29
5	The Services Provided .....	32
5.1	The referral stage .....	32
5.2	The Initial Team Around the Family (TAF) meeting .....	33
5.3	Agreeing the plan and signing the ‘care plan with consequences’ .....	43
5.4	The FRP approach to service provision and the characteristics of Phase 1 services.....	45
5.5	Case review, case closure and transitions .....	50
6	Evaluation of the services provided in small sample cases .....	53
6.1	Case aims and extent to which they were achieved .....	53
6.2	Conclusions about the impact of the FRP service on these families .....	55
6.3	Costs and benefits to FRP, Westminster Children’s services and longer term services across WCC and beyond .....	57
7	Summary and Conclusions: The place of FRP in service provision for vulnerable families in Westminster .....	64
7.1	Did FRP reach the families it intended to reach? .....	65
7.2	Did the provision of an FRP service succeed in alleviating identified difficulties? .....	65
7.3	Was the provision of an FRP service associated with improved well-being for adults and children in the families? .....	65
7.4	What are the characteristics of families with whom the FRP approach appears to be most successful?.....	66
7.5	What is it about the approach and practice of FRP professionals that is associated with more successful outcomes? .....	67
7.6	What aspects of FRP practice can be ‘mainstreamed’? .....	70
8	Reflections, hypotheses for discussion and recommendations.....	70

---

## References

Appendix 1 Researcher rating protocols

Appendix 2 methodology and detailed report on analysis of costs and benefits



# 1. The policy and research context

## 1.1 The policy context

The emphasis on ‘early intervention’ and ‘whole family’ approaches that was central to the child and family policy of the previous government have continued to be cornerstones of the coalition government approach to services for vulnerable children and families. Such policies include early intervention to support families with young children, and also the provision of comprehensive, multi-agency and intensive services to children of all ages and their families when serious and complex difficulties are recognised and pose a threat to the short and/or long term wellbeing of the children and their parents. This research focuses on the second of these. In 2008, in response to the recommendations of the inter-departmental report *Aiming High for Children: Supporting Families* (DCSF, 2007), £13m was made available for a pathfinder programme ‘to test ways of providing more effective support to families at risk’ Fifteen ‘pathfinder think family’ projects were identified following a competitive tendering process (DfE, 2010a). These received a substantial grant from DCSF supplemented by contributions (financial or through staff secondments) from across local agencies providing universal or ‘targeted’ services to vulnerable children and adults. A national evaluation of these 15 was commissioned (Kendall et al., 2010, York Consulting, 2011) but the Westminster City Council Children’s Services senior managers considered it important to commission a more detailed process and outcome study of the first 2 years of the work of their *Family Recovery Project (FRP)*.

The intention was that these ‘families with multiple problems’ pathfinders should build on the lessons from the earlier ‘family intervention projects’ (FIPs) (Nixon et al., 2006; Nixon et al., 2008, DfE, 2010b, National Center for Social research, 2011). Around the same time £13m was allocated between 2009 and 2011 as part of the *Youth Task Force Action Plan* (DCSF, 2008) to 20 Intensive Intervention Projects (IIPs) that further developed the work of the FIPs with the families of young people involved in delinquency or anti-social behaviour (Dixon et al., 2010; Flint et al., 2011). A *Think Family Toolkit*, comprising 8 ‘Guidance Notes’ was provided by DCSF (2009a) for the successful teams, which by this stage also included pathfinders focusing specifically on households where there were young carers (also included in the York Consultancies evaluation), and others where the focus was on families experiencing long-term poverty.

The FIPs and the IIPs focused in the main on families in which older children and/or their parents were involved in crime and/or anti-social behaviour or families were at risk of eviction, and were often led by housing and crime reduction agencies rather than Children’s Services departments. In that respect the Westminster FIP, as a project within Children’s Services, differed from some of the others, and this facilitated the integration of the FIP team with the developing Family Recovery Project which was targeted at families with multiple problems whose children were in all age groups.

This report therefore focuses on just one of the DCSF-funded *Think Family* projects aimed at families with children of all ages, referred because of the complexity of their difficulties and because there was a risk of legal intervention that might result in children being significantly harmed or needing to come into care. In most of the cases provided with a

service, the Children's Services Department was the lead agency, but central to each was inter-agency collaboration and funding.

## ***1.2 Earlier 'whole family' approaches to working with families with multiple problems***

The long tradition in the UK and USA of 'whole family' approaches to service provision for families with complex problems is documented in the policy, research and social work practice literature. The terminology has changed since Philp (1963) and Philp and Timms (1962) in *The problem of the problem family* described the philosophy and methods of *Family Service Units*, which in many respects provided an early model for this new generation of family intervention projects. The term families with multiple problems came into use as less stigmatising than 'problem family' when the 1963 Children and Young Persons Act (and later the 1989 Children Act) emphasised the importance of family support services, and the necessity of providing assistance to the family before seeking a Care Order. More recently the terminology of 'problem family' (alongside other stigmatising terms such as 'NEETs' – not in employment, education or training) has re-appeared in the media and policy discourse (Garrett, 2007).

The early discourse underpinning whole family approaches was of 'prevention' - they aimed to prevent something negative from happening: initially in 1963 to prevent children from needing to come into care; then via Intermediate Treatment teams, to prevent offending and anti-social behaviour (1969 Children and Young Persons Act) and around the same time, to prevent child abuse. The more positive term 'family support' in the 1989 Act sought to redirect social services managers away from a narrow focus on child maltreatment and encouraged 're-focusing' on family support services (Tunstall et al, 2010). The Public Law Outline protocols have a similar aim of attempting to ensure that appropriate services have been offered before a care order is sought (Judiciary for England and Wales, 2008).

Much of the early development of practice approaches and therapy methods to go along with these policy directions happened in the USA, and was more likely to be led by psychologists working in clinical settings than by community-based social workers. In the 1980s and 90s intensive family preservation service agencies set up demonstration projects, mostly based on the 'Home-makers' service approach which had many of the characteristics of the 'intensive outreach' model of practice adopted by the FIPs. The 'model' family preservation programmes were even more intensive and involved a single highly qualified social worker, with back-up from a highly experienced social work team leader, being available on a 24/7 basis to no more than 4 families, for preferably no longer than four weeks. The approach most frequently used was a combination of cognitive behavioural, problem solving and ecological approaches. Solution focused therapy often figured and found its way over to the UK at around this time. When independent evaluations started to appear they questioned the very positive early accounts of the originators, and identified key characteristic associated with better outcomes. In particular, the very short duration and lack of preparation and follow up was considered a weakness in terms of maintaining progress once the service ended. These lessons were taken on board



when family preservation models were piloted in the UK (see Brandon and Connolly's 2006 evaluation of the NCH Action for Children *Families First* project).

The move was then towards the development of more structured and less intensive 'model' programmes using a social learning approach. The best known of these, developed respectively by psychologists in the USA and Australia, are the *Incredible Years Parent Training Programme* (Webster Stratton and Herbert, 1999) and the *Positive Parenting (Triple P)* programmes (Sanders et al., 2003). Manuals were developed for these programmes, most of which aimed to modify the approach and improve the skills of parents of older children with challenging behaviour. These 'manualised' programmes were then 'licensed' for use by family and youth service agencies in the UK and other European countries, with the requirement that practitioners should undertake approved training and agency managers should ensure programme fidelity. These have now been adapted by the programme originators to the needs of a wider range of children and young people and their families. Whilst some of these are group-work programmes delivered in service centres, others (e.g. Triple P) can be delivered more flexibly in the family home.

In the early phases of the Cabinet Office's family programme, Utting and colleagues (2007) described four evaluated programmes, pointing to their strengths but also potential problem areas when applied to a wider range of families. Barlow and Schrader-Macmillan (2009) and Barlow and Scott (2010) have reported similarly. Lindsay et al. (2008 and 2011) report on their observational evaluation of three model parenting programmes being 'rolled out' in the UK. They found positive changes for the majority of participants but no significant differences in outcome between the three evaluated programmes (*Incredible years, Triple P and Strengthening Families, Strengthening Communities*). Given substantial differences between the form and content they conclude: 'it follows that other home-grown courses might be equally effective, and priority should be given to the search for and evaluation of alternatives' (Lindsay et al. 2008 p. 159).

The evidence for effectiveness of these programmes is strongest for families in the early stages of problem development (tier 1 or 2- universal or focused on vulnerable groups or communities service levels), but the evidence of effectiveness with families with complex problems where maltreatment has already occurred is weak (MacMillan et al., 2009). In awarding contracts for the *Think Family Pathfinders* the DCFF tender documents stated that priority would be given to local authorities proposing to draw from a list of evaluated programmes. This included those already referred to, and two which have been evaluated as 'promising' with families with complex problems - Multi-Systemic Therapy (MST) and Functional Family Therapy, both of which were in the process of being trialled and evaluated in the UK. The USA and Norwegian evaluations of MST (Henggeler et al., 2002) have found this short term intensive programme to be successful with children and young people with challenging behaviour. However, a systematic review of research (Littell, 2005, 2006; Littell et al., 2005) has questioned the robustness of the evidence and recent RCT evaluations in Ontario (Leschied and Cunningham, 2002) and Sweden (Sundell et al., 2008; Olsson et al., 2009) have found no significant difference between outcomes for the 'treatment' and the 'service as usual' groups, despite higher expenditure on MST services. These mixed results when model interventions developed in one jurisdiction are transferred across national boundaries, and sometimes with children and families with different or a wider range of problems, have prompted calls from their local evaluators for more research

and evaluations to learn about aspects of the ‘service as usual’ provisions that are associated with more effective outcomes. Whittaker (2009) and Garland et al. (2008) discuss approaches being adopted in the USA to identify the ‘common elements’ of these interventions so that they can be used in a wider range of community-based services.

The Family Intervention Pilots and the subsequent ‘roll-out’ programmes drew on the full range of these approaches, especially the intensive outreach work that characterised Home Builders and Intensive Family Preservation projects and the home-based Triple P programmes. A particular UK aspect, since a driver for the early FiPs was concern about ‘nuisance neighbours’ and anti-social behaviour and criminality by adults as well as children, was the centrality of combining positive approach to helping with clarity about the sanctions that would follow if behaviour did not improve (the ‘care with consequences’ approach). Garrett (2007) and Gregg (2010) provide critiques of these social policy trends and approaches to practice.

At the point that this evaluation of the Westminster FRP started, in addition to the extensive research and evaluation literature cited above, there was extensive evaluative research on UK social work and child protection practice (summarised in the 12 *Messages from Research* overviews - see especially DH, 1995; DH, 2001; Quinton, 2004; DCSF 2009b; Stein, 2009) and in Morris et al, 2008; Hughes, 2010, and Thoburn, 2010). The methodology and analysis of findings for this FRP evaluation were informed by these and also by the evaluations of the Family Intervention Projects (Nixon et al., 2006; Nixon et al., 2008; National Centre for Social Research, 2009, 2011; Dixon et al., 2010; Kendall et al., 2010) and of the Intensive Intervention Projects (Pawson et al, 2009) and the interim reports of the national evaluation of the 15 *Think Family* pathfinders (Kendall et al., 2010, York Consulting, 2011). A recent literature review of evaluations of these programmes, together with a process and cost-benefit evaluation of the 20 Intensive Intervention projects working with teenagers with troublesome and challenging behaviour, is provided by Flint et al. (2011),

The early national evaluations of FiPs, which were cited in support of government plans to move beyond the ‘pilot’ phase, focused on a limited range of problems and outcomes. Although it is clear that some of the families had complex problems of the sort that the FRP and the other *Think Family* pathfinders aim to work with, it appears that the range of family difficulties has been wide. Findings are not specific about the sorts of families the FiPs accept into the projects and those they succeed with, but it seems likely that those who did not engage or dropped out will be families with the most complex problems. Much of the national and international research on which the initiatives are based has focused specifically on work with families in which the major problem is the challenging behaviour of young people in their middle and teenage years. There is therefore still much to learn about how the approaches, and specific interventions and programmes recommended by DCSF, can be used to best effect with families with complex problems, including those where there are child protection concerns or children are ‘on the edge of care’.

### ***1.3 Key characteristics of the Westminster Family Recovery Pathfinder<sup>1</sup>***

As required by the tendering process (DCSF, 2008-2009), the Westminster FRP took on board some of the lessons from the evaluations of the Family Intervention projects, but also made important changes to better meet the needs of the target group of families with complex and multiple problems (Local Government Leadership and City of Westminster, 2010). Key characteristics for the *Think Family* pathfinders, mostly carried over from the pilot FIPs (one of which was a Westminster City Council service) were:

- The teams should be multidisciplinary (including members from adult health and social services, housing providers, and crime prevention teams as well as children's services education and social care professionals and neighbourhood and voluntary sectors organisations).
- Within the overarching principle of the welfare of the children being paramount, services are provided to any family members according to the identified needs and problems.
- The major roles in day-to-day work with the family are held by one and sometimes two 'intensive outreach workers' (IOW), FRP team members who usually hold the 'lead professional' role for parents. This work is modelled on the intensive outreach role developed by the FIP teams but with characteristics reported to be effective in earlier work in the USA and the UK (see 1.2 above).
- Families are offered a 'think family' service following a whole family assessment broadly based on the Common Assessment Framework (CAF) guidance.
- The service is mainly provided in the family home or within the local community rather than in a 'clinical' or 'group-work' settings, based on a phased approach to priorities jointly agreed between the lead professionals and the parents, whose consent to the sharing of information and to an outline case plan has to be obtained before work can start.
- Central to the approach followed by the pilot FIPs and the FRP pathfinder is agreement with the family about changes needed within agreed time scales. Case plans agreed at the start of the work spell out the 'rewards' (better housing; the removal of an ASBO for example) and the consequences if these aims are not achieved (eviction, prosecution for non-school attendance or an application for a care order for example) (the 'carrot and stick' or 'care with consequences' approach) (Pawson et al, 2005).
- A 'solution focussed' approach to service provision was recommended 'identifying the family's strengths and agreeing actions through a 'contract' between the key worker and the family' ('The Common Assessment Framework and Think Family Pathfinders' (DCSF, 2009c).

---

<sup>1</sup> Where percentages are used in the text they are usually rounded to the nearest whole percentage point. Any names used in case examples are not the actual names and some details have been changed to protect confidentiality.

The tender document also listed specific model programmes that should be part of the packages of services made available to families. The FRP team took on board most of these principles (already established through their FIP pilot), adapted them to the particular needs of families with multiple and complex problems, and settled into ways of working which evolved during the first year, key characteristics of which were:

- Building up and maintaining a cohesive core multidisciplinary team. Throughout the evaluation period the head of service, service manager and the two deputy service manager have been registered social workers, each of whom had worked in a range of statutory social work and management roles with vulnerable children and families. The professional ethos of the team is a social work one, but with a strong commitment to and respect for the other professional disciplines whose contribution is recognised as essential to the provision of a whole family service. These professionals (some directly employed, others seconded) bring to the team their expertise, and agency links from, adult mental health, domestic abuse services, drugs and alcohol services, youth services, youth and adult criminal justice services, health visiting, education support, employment support, housing and welfare rights.
- Also essential to the service model developed are the seconded members of the police service and the information analysts who collect and collate detailed information on each family agreeing to accept a FRP service and the sharing of confidential information on a 'need to know basis' to the members of the team around their family and their case supervisors.
- For the majority of families a relationship-based casework service is led by one of the IOW, of whom there are around eight at any one time, who bring to the role a range of professional and practice backgrounds and relevant life experience. Depending on the circumstances of each family, the specialist team members either provide advice and specialist knowledge to the IOWs or work directly with family members on a particular aspect of the care plan. They also have a key role in helping family members to access services provided by their non FRP colleagues, or linking the IOWs to the relevant colleague in their 'home' agency.
- The core FRP team members work with changing networks or 'teams around the family' (TAFs), whose composition varies according to the needs of each family. In some cases the team comprises mainly FRP workers, in others the FRP team members are in a minority but case co-ordination is always provided by a FRP service manager.
- Once a referral has been screened for appropriateness and prioritisation, the IOW who will be the lead professional if the parents decide to accept the offer of a service meets parents in their home to answer their questions and, if they are interested in accepting the service, gain their agreement to the sharing of relevant confidential information about all family members.

- Regular (usually six-weekly) team around the family (TAF) meetings are chaired by an FRP service manager. For the early part of the evaluation, the supervision of the FRP workers for a specific family was not always provided by the manager chairing the TAF meetings for that family. Towards the end of the period this changed, and casework supervision to the IOW and other FRP staff working with a particular family is provided by the service manager chairing the TAF meetings. Initial TAF meetings differ from Initial Child Protection Conferences in that family members are only invited to meet agreed TAF members at the end of the meeting. In fact very few attend these initial meetings and the usual practice is for the IOW to visit shortly afterwards to discuss the suggested care plan. Parents and older children are encouraged to attend TAF review meetings and this happened in just over half of the cases (and most of those with the more successful outcomes).
- A characteristic of FRP work (shared with only a minority of the other *Think Family* pathfinders), is that the initial TAF identifies two lead professionals. The lead professional for the parent/s/ (or for the family as a whole) is an FRP team member. The lead professional for the child(ren) is usually a Children's Services child protection or locality team member. When the problems mainly revolve around an older child, the lead professional for the child may be a specialist education or youth justice worker. Given the nature of the problems on which FRP focuses, it is anticipated that in most cases continuing support and/or monitoring will be needed from locality services or 'targeted' support or protection services after FRP case closure. Having community-based professionals within the team around the family is a positive way of ensuring continuity, especially as in many cases these professionals have been involved at the referral stage and have helped family members to decide whether the FRP service is one with which they are willing to engage.
- Another key aspect is that the case plan is in phases, with the issues causing immediate concern to family members and referrers tackled first. These are often (for family members) practical issues around health, benefits, immigration, school or housing problems or (for the referrer) child or adult protection issues or imminent risk of a formal child protection referral, or an application for a care order. At the initial TAF, the aim is to reduce the number of professionals actually visiting the family, although others may remain as members of the TAF or arrangements are made to ensure they are kept informed of progress. These may take up a more active role during later phases of the work, when immediate problems have been alleviated.

Further information about the approach and financing from the perspective of the programme originators is contained in a joint report by Local Government Leadership and City of Westminster (2010). This report provides outcome data with respect to the first 50 closed cases.

## 2. Research aims and methods

This is both an *evaluative* study (is the work of the team effective? is it more effective with some sorts of families and in some circumstances than others? does it make good use of scarce resources?); and a *process* (descriptive) study (what are the components of the work that may be contributing to more or less successful outcomes?). This dual approach was necessary in order to better understand the key components of the processes and practice of the team and to assist with service planning at the end of the ‘pathfinder’ stage of the work.

In the initial phase, a review of DCSF and Westminster CC documentation on Family Intervention Projects (FIPs) and the 15 *Think Family* pathfinders (FRPs) was undertaken alongside earlier external and in house evaluation reports. These have been contextualised by reviewing the process and outcome research on work with families with complex problems, and on the specific interventions recommended by DCSF. There were initial discussions with Westminster senior managers and the FRP team leader about the objectives and practice models being developed. Documentation on training was available and assistance was provided on the use of the case recording system specific to FRP and getting to grips with data being routinely collected for practice purposes or for the national evaluations of FIPs and the *Think Family Pathfinders*. Ethical aspects of the research were agreed by the UEA social sciences research ethics committee.

In order to achieve the first of these objectives whilst keeping to a minimum the demands or evaluators on the time of FRP team members, the UEA researchers re-analysed the data collected for the national evaluation of the *Think Family* pathfinders commissioned by DfE (Kendall et al., 2010, York Consulting, 2011). A file data collection instrument was developed to assist the researchers in collecting additional information on the Westminster families. (For example, the national data set sought data on any mental health difficulties but did not specify whether this was with respect to the mental health of children or the adults in the family or both). This information, and well-being and change over time data available from the national evaluation was analysed with respect to the first 100 families accepted onto the projects. The research team also had access to Westminster children’s services data on the families recorded on the ICS system, regular internal analyses of monitoring data prepared by the data intelligence team, a report on costs and reports on child protection cases and ‘children on the edge of care’ prepared by the Deputy Service Manager (Kemp, 2010, 2011). Basic data were also available on families referred but not accepted or who declined the offer of an FRP service.

These data on the full cohort of the first 100 families accepted for a service (between February 2009 and July 2010) were complemented by a detailed process analysis of the work with a purposive sample of 33 families (a one third sample), involving a detailed analysis of the records (including Children’s Services records of services provided before and after FRP intervention) and (for 12 families) observation of a proportion of team around the family (TAF) meetings, and interviews with IOWs and FRP specialists. Opportunistic interviews were undertaken with one parent attending a TAF meeting and one parent after the FRP service ended. The focus for this part of the study was on exploring with team members the nature of the work and the strengths and pressures of working in this way.

An SPSS database for statistical input was constructed to allow us to expand the analytical potential from the existing data sources. This quantitative element also forms a link into the economic analysis which built upon work undertaken within the FRP team. 'Researcher rating' protocols were developed for analysis (e.g. grouping types of families, levels of seriousness of problems; and patterns of service delivery; approaches to helping; and outcomes for parents and children. (See Appendix 1 for 'researcher rating' protocols.)

### 3. The FRP team

A 'snapshot' survey of the FRP team composition, skills and experience was undertaken in April 2010 via a short on-line survey. This yielded 21 responses.

The survey demonstrated that team members collectively bring to the work many years of experience, with a wide range of professional backgrounds and personal proficiencies being indicated. The respondents' mean age was 37 years (range, 24 to 56). Of the 21 survey respondents, 18 (86%) were female and 3 (14%) were male. Two thirds of the team self identified as white British or white European, with the remaining third formed of minority ethnic groups. As anticipated the FRP team have a range of initial professional qualifications, with the most common professional background (N=6, 28%) being social work. Fifteen (70%) hold degrees. One person had started their first job in social care with FRP, but overall the average practice experience was 11.7 years (Standard Deviation 8.44).

Over 75% of the team indicated that they worked fulltime for the FRP, but almost 40% of respondents indicated they were agency or temporary employees. The FRP formed the primary agency for 11 (52%) respondents, with 8 (38%) indicating a joint identification with FIP and FRP: one indicated a primary agency of the Housing department and one the LA Children's Services department. Seven of the 21 respondents described themselves as 'seconded', one indicated they were 'informally loaned' and one described themselves as 'attached'.

Sixteen (76%) indicated they were line managed within FRP, with 4 (19%) indicating management through their primary agency. Professional supervision was provided fully by the FRP for 12 respondents (57%) with 3 (14%) indicating supervision through their primary agency and 6 (29%) stating that professional supervision was shared.

Within the survey, two free response questions asked about personal and professional skills with replies generating a large number of communication, relationship and supportive skills being identified, and an indication that these had developed through work or volunteering experience in many different service environments. It was not clear to us how much the team members were aware of and therefore able to benefit from the breadth of skills within the team and how this knowledge and know how was utilized in everyday work. The survey assisted the researchers in positioning the different professional members of the team which allowed us to make greater sense of the process of intervention, especially in the detailed case analysis. The survey data were complemented by individual interviews with IOWs and specialist workers.

During the process of the research, there was a move away from employing qualified social workers in the IOW role. There was considerable turnover - but also some continuity amongst IOWs and specialist staff. Team coherence appeared to be enhanced by continuity in the senior management team and the business support and intelligence analyst team members. Three of the four senior members of the team were in post for much of the time, but one of the deputy service manager posts was occupied by four different workers, There



was some evidence that progress for some families was impeded when there was both a change of service manager and of IOW, and this was especially the case if there were changes in the outside agency TAF members.

## 4. The Families

### 4.1 Demographic characteristics

Between October 2008 and the end of April 2011 306 families were referred to the project. Of these 135 (44 %) were offered and accepted a service, 167 (56%) were rejected or did not take up the service (with 4 cases still being screened) (Table 1).

**Table 1 Referrals and services provided (number of families: full cohort).**

Referral year	Referred	Service accepted	Completed
2009	174	67	9
2010	104	57	65
Jan- April 2011	28	11	18
Total	306	135	92

Of the 167 referred families who did not become involved with the FRP, 92 (55%) were not offered a service as they did not meet the threshold; 31 (19%) were offered a service but due to changes in circumstances did not take up or were unsuitable for intervention (e.g. moving out of borough); 23 (14%) were considered to be engaging well with existing services; 14 (8%) of families decided not to accept the service, and 3 (2%) families were referred but resided outside of council boundaries. Four families (2%) could not be offered services immediately due to team capacity despite reaching thresholds and were placed on 'waiting lists'.

As of 1 May 2011 the service to 92 families had ended, with 43 still open. Nine families had moved out of the borough. 20 families ended either because the family withdrew; the FRP team decided that it was inappropriate to continue with the service, or because an event occurred requiring statutory action incompatible with the continuation of the FRP work. For 54 families whose cases were closed by April 2011 the final TAF meeting concluded that the intervention was 'successful' in that family and workers agreed that sufficient progress had been made for the family to manage without intensive FRP support (11 families) or with the support of other statutory or voluntary sector services (43 families). In three families this 'transition' intervention was specifically time limited. With respect to a small minority of the families in which a case had been closed, it was decided, with the agreement of family members, that FRP service was again appropriate, and also for a small minority of cases, a service was provided 'in their own right' to a son or daughter having problems after becoming parents and setting up their own households.

As noted above, the Family Recovery Project built on an earlier Family Intervention pilot project and for a short period the two 'projects' ran concurrently. It was decided that the model of practice developed for the FRP pilot would be used with FiP as well as FRP referrals but cases were 'tagged' as either FiP or FRP.

The first 100 cases coming through the FRP were identified as the research sample, 64 were FRP cases with 34 recorded as FiP cases. This was mainly because of different DfE reporting and evaluation requirements. Eight of the 33 intensive sample cases were 'FiP' cases; a further 2 started as FiP cases and were re-categorised as FRP cases, and 23 started

as FRP cases. Although the aims and approach to intervention were not distinguishable once the FRP team ‘got into its stride’, there were differences in the target group and the characteristics of the families accepted for a ‘FiP’ service and those accepted for an ‘FRP’ service. The emphasis for the earlier FiP project was on providing a service in response to issues such as anti-social behaviour of parents or children, youth crime, inter-generational disadvantage and worklessness’ (Dixon et al., 2010). The target group for the *Think Family* pathfinders was families with multiple and complex difficulties ‘caught in a cycle of low achievement including those who are not being effectively engaged and supported by existing services’ (DfE, 2010 Think Family Toolkit 5). As the project developed the FRP began to prioritise families where, complexity of difficulties was also linked with a high risk of statutory intervention by children’s social care services because a child was in need of a protective service or ‘on the edge of care’.

Tables 2 to 4 and figures 1-3 give details of the family composition, for the full sample where data were provided and otherwise for the intensive sample. Somewhat contrary to what was anticipated by those framing the policy, very young parents did not figure highly (table 2). The average age of mothers in the full cohort was 40 years, (SD. 8.85) with a range from 20 to 59 years. In the small sample, only 19% were aged under 25 (none under 18) and 41% were aged 40 or older (range 18 to 52). The DfE policy briefings anticipated that there would be more large families than in the general population and this proved to be the case. Looking only at the children of the ‘main’ parent/s 45% had had only 1 or 2 children, but 39% had had 4 or more children, although not all were still living in the household when the referral to FRP was made (table 3). Some adult ‘children’ had set up their own households; some were living with a separated parent or relative and a small number were in long term care, custody or adopted.

**Table 2 ‘Main’ parent/s at time of referral (full cohort) and age of main parent (mother’s age if 2 parents)**

Main parent	Main parent	Age group of main parent	Percentage (Small sample)
Biological mother or mother and male partner	96	18-24	19%
Biological father	2	25-39	41%
Guardian/ relative/social father	2	40+	41%

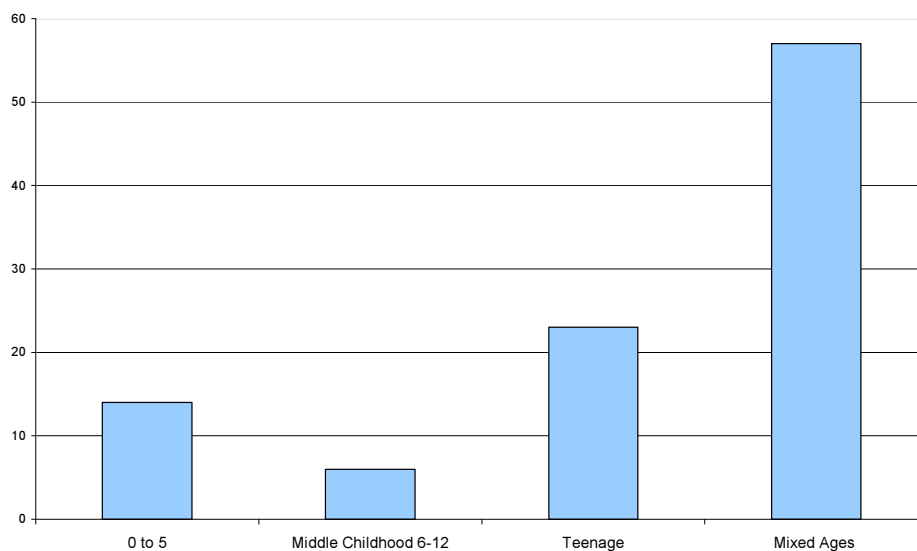
**Table 3 Family composition at time of referral to FRP**

Child/ren living with:	Number of families (full cohort)	Number of families (small sample)	
Both biological parents	64	13	20%
Single mother	19	8	25%
Single father	1	1	
Birth parent plus parent of one but not all resident children	6	2	
Birth parent plus partner not a parent of any resident child	7	7	22%
Relative/ guardian/ friend	3	1	

**Table 4 Number of children of ‘main’ parent (full cohort)**

Number of children	Number of families
1	11
2	34
3	16
4	20
5	11
6	3
7	5

Given that one of the reasons for acceptance of a referral was complexity, unsurprisingly family composition was varied (table 3), although 94 mothers were resident, with one usually resident but in hospital at the start of FRP intervention, four non resident but living locally, and one deceased. Therefore in over 90% of the families one or all of the children were living with their biological mother (as a single parent in 19% of the households). The complexity of family composition and the way in which the data are recorded for the national evaluation makes it difficult to be clear about the relationship to the children of a male member of the household for the full cohort. The data indicate that one or all of the children in 65% of families were living with their mother and the biological father. However, the more detailed analysis for the 33 small sample cases shows that this was the case for only 50% of these families. The biological mother lived in 30 of the households (as a single parent in 8); there was one single father household and one male guardian household and there were 9 families in which a male resident was not the biological father of all the children. In the full cohort, only one family was a single father family.



**Figure 1 Number of families with age ranges of children (full cohort)**

As Figure 1 shows the majority of families had children of different developmental stages, and relatively few families had young children only. Of all families 43 had 1-2 children, while 57 had three or more. Table 5 gives the ages of the children and shows that in several families there was an age gap, usually with the younger child having a different father to the older ones. In some of these families difficulties were experienced by just the older or just the younger children but in others all the children were experiencing difficulties, or severe problems with one was impacting on the parenting and wellbeing of the others. Table 6 gives the age of the youngest child and indicates that families with younger children were over-represented in the intensive sample and those with only teenagers were under-represented. This difference is explained by our wish to describe and analyse the work of FRP when the model of practice was well established, and therefore the intensive sample was weighted towards referrals in the later part of 2009 and 2010. It was hypothesised by the researchers that the characteristics of the families referred earlier and later might be different because of this change in aims. Table 7 shows that there were some differences in the ages of the earlier and later accepted cases. If divided into youngest child under or over 13, 18% of early referrals had no child under 13 compared with only 11% of later referrals: a difference which almost reaches statistical significance (chi-square: 3.239, df:1, p: .072). This difference reflects the increasing number of referrals of children with formal child protection plans, or as an alternative to a child protection plan. Table 8 shows a significant difference between earlier and later referrals in terms of the number of children, with more of the earlier referred families having 3 or more children. There was a similar (non significant) difference in terms of the age of the main parent with more of the parents in the earlier referred families being in the older age groups (clearly linked with having more children). These differences are congruent with the slight shift of emphasis of the FRP work from the earlier FiP aims.

**Table 5 Age groups of children**

<b>Age grouping</b>	<b>Full cohort</b>	<b>Intensive sample</b>	
All under 5	8	7	22%
All 5-12	6	2	
All 13+	29	7	22%
5-12 and 13+	28	11	34%
Under 5 and 5-12	11	2	
Under 5 and 13+	8	2	
All age groups	8	1	

**Table 6 Age of youngest child (percentages)**

<b>Age of youngest child</b>	<b>Full cohort</b>	<b>Intensive sample</b>
Under 5	32%	37%
5	39%	41%
13+	29%	22%

**Table 7 Age groups by early and later referral date (full cohort)**

Earlier or later referral	Youngest child 0- 4		Youngest 5-12		Youngest child 13+		Total	
Earlier referral	13	27%	17	35%	18	38%	48	100%
Later referral	19	36%	22	42%	11	21%	52	100%
Total	32	38%	39	33%	29	29%	100	100%

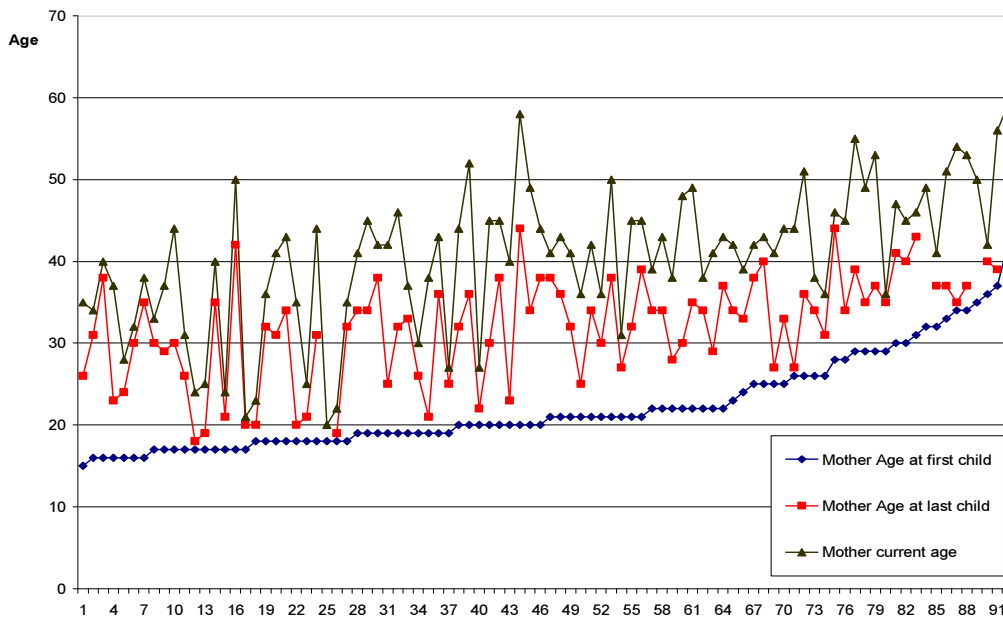
**Table 8 Number of children by early and later referral date (full cohort)**

Earlier or later referral	1-2 children		3+ children		Total	
Earlier referral	15	31%	33	69%	48	100%
Later referral	29	56%	23	44%	52	100%
Total	44	44%	56	56%	100	100%

Chi-square: 6.090, df: 1 p: <,05

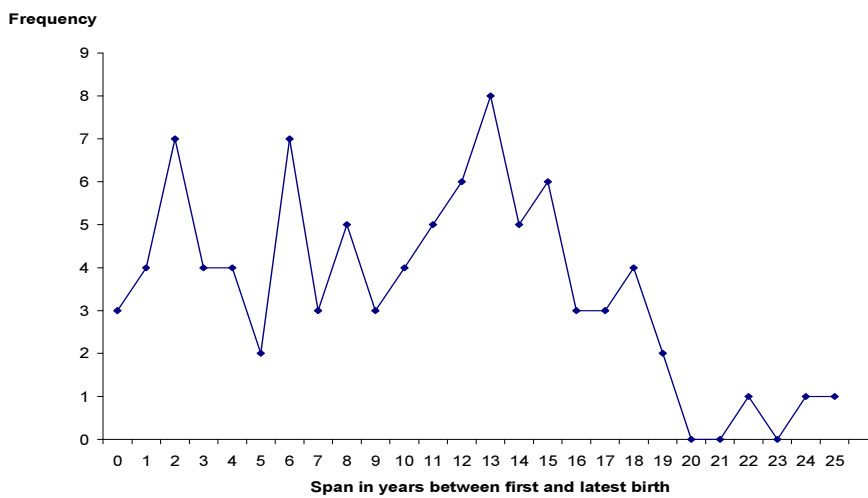
In order to illustrate the number of families who are relatively large and with a mix of children's ages, the age of mothers at first birth was calculated. The average age of mothers at birth of their first child was 22.2 (S.D 5.58, with a range from 15 to 42 years). This is low compared with national figures, for example the average age at first birth for mothers was 24.8 in 1981, 26.7 in 2002 and 27.6 in 2009 (ONS Social Trends 34; ONS 2010). So the Mothers in the FRP are having children earlier than average, however when the ethnic diversity of these families is considered this sample may be considered to be conforming to minority ethnic group norms (Robson and Berthoud 2006) especially when it is recognised that there is also a number of intact parental relationships with large families, which may also be linked to ethnicity.

The average age of mothers at their most recent delivery was 32 (S.D. 6.35) with a range of 18-44years. The average number of children in the family network was 3.4, with an average of 2.74 children in the household at the time of referral. On average families in this sample were larger than community norms.



**Figure 2 Age of mother at first birth, most recent birth and current age.**

The average birth span for the sample (years between first and last birth) was 9.3 years (S.D. 6.1). Some young families will only have one child, and as shown in figure 3, a group of 49 women had a childbearing span of 10 years or more.



**Figure 3 Birth span in years between first and latest child.**

Ethnicity data were analysed only with respect to mothers as this was used as a 'proxy' for potential communication issues since she was the main focus of the work in the majority of cases. Of the 99 families with mothers, 26 mothers did not have ethnicity stated but, from

names and other records there were no indications of language issues and it has been assumed that most of these are white British, 22 were stated as white British and there were 25 self defined ethnicities in the remaining 51 families. Some descriptions indicated broad ethnic group (e.g. 'Arab'), others indicated nationality (eg Iranian, Somali) while others indicated a specific ethnic grouping (eg Iraqi Kurd). Of the mothers 20 were identified as having some difficulty in communicating in English, either by indicating the need for an interpreter or by indicating a limited range of English ability. With respect to the small sample, 15 families were of white UK heritage but there were cultural issues with respect to three of these. One mother was of European heritage and members of 15 families were of minority ethnicity, including 6 where culture differences from the local community were considered to be significant. In 6 cases an interpreter was needed for work with at least one parent.

#### **4.2 *Knowing about the men in FRP families.***

For some time the position of men in families receiving 'targeted' child and family services has been recognised as problematic. In unpicking the complexities of parenting, gender and service provision Daniel and Taylor (1999) differentiated between the rhetoric in literature and the reality of working with men in practice. They considered that while the rhetoric encouraged work with fathers this enthusiasm was not shared in practice:

*For decades the practice literature has espoused the importance of working with both men and women in a way as to actively encourage men to be more involved in the care of their children. The rhetoric therefore might suggest that there is a spirit of readiness for the place of fathers in society in general and in child care practice in particular. However, in both these realms there is evidence that the reality does not match such rhetoric. (Daniel and Taylor, 1999: 210)*

Daniel and Taylor call for greater engagement with men in practice and attempt to delineate ways in which the aims of engagement may be specified. Along with others (e.g. Featherstone, 2001) they recognised that working with men created significant problematic issues especially in cases which included domestic violence and child protection concerns.

The first step to engaging and working with men is knowing about the position of men in families. Of the 100 families 75% were recorded as having a significant male figure within the family network. Of all the families, 24% had a resident biological father, with a further 20% of biological fathers living locally, 10 biological fathers were stated as address unknown, a further 12 fathers were known to reside at some distance, abroad, in prison or in hospital. In three cases the resident male had a 'social parent' role, and in 2 families the resident male was a biological father to at least one child in the household but not others. The level of knowledge about resident men was considerable, especially at initial TAF meetings and in intelligence reports prepared prior to these meetings. This level of knowledge was coded to establish the number of men who were relatively unknown to services. Criteria for the coding: 'good knowledge' about the men was linked to information on any man's name (and aliases) current whereabouts, address, recent



convictions/police contact, and an indication of attitudes to family/parenting. The category 'knowledge of men' included some missing material for example, known contact with police but unknown address.

Overall 11 families had no significant men identified in their network or from background intelligence. 59 families were coded as having 'good knowledge of men', 16 families were coded as having knowledge of all main men. Two families had male relatives abroad who were unknown, four families were recorded as having some peripheral unknown men, and 7 families had men who were unknown.

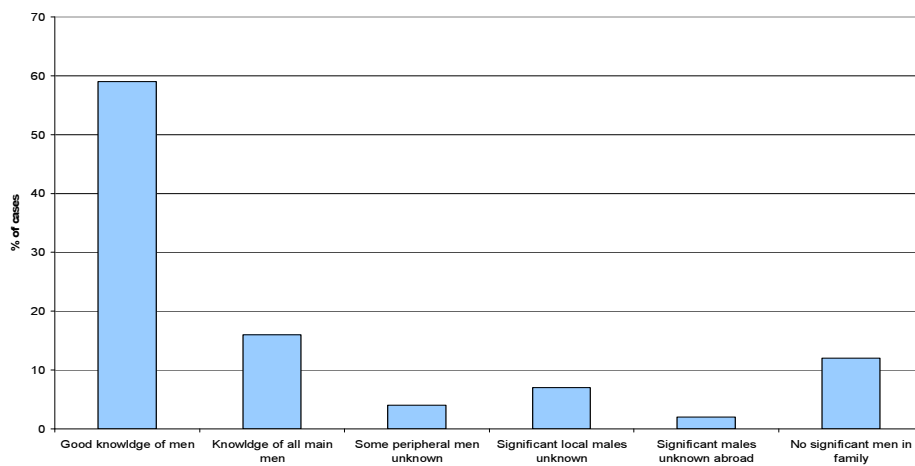


Figure 4 Knowledge of the men who may be relevant to family functioning

**Case Example 1. Knowledge of men and engaging men in FRP work.**

*Eleanor is a mother in her 30s with two children; one older and one younger adolescent. The biological father of both children is known to the FRP but his current address is not. The biological father was a perpetrator of domestic violence and this was a central cause of the relationship breakdown. This separation was followed by a partnership with Steve. Steve was also a domestic violence perpetrator and was involved in violent incidents outside of the home which led to imprisonment. He is now out of prison and living in the local area. There is information about Steve from the police records (such as convictions, attitudes he is said to hold, and also current address).*

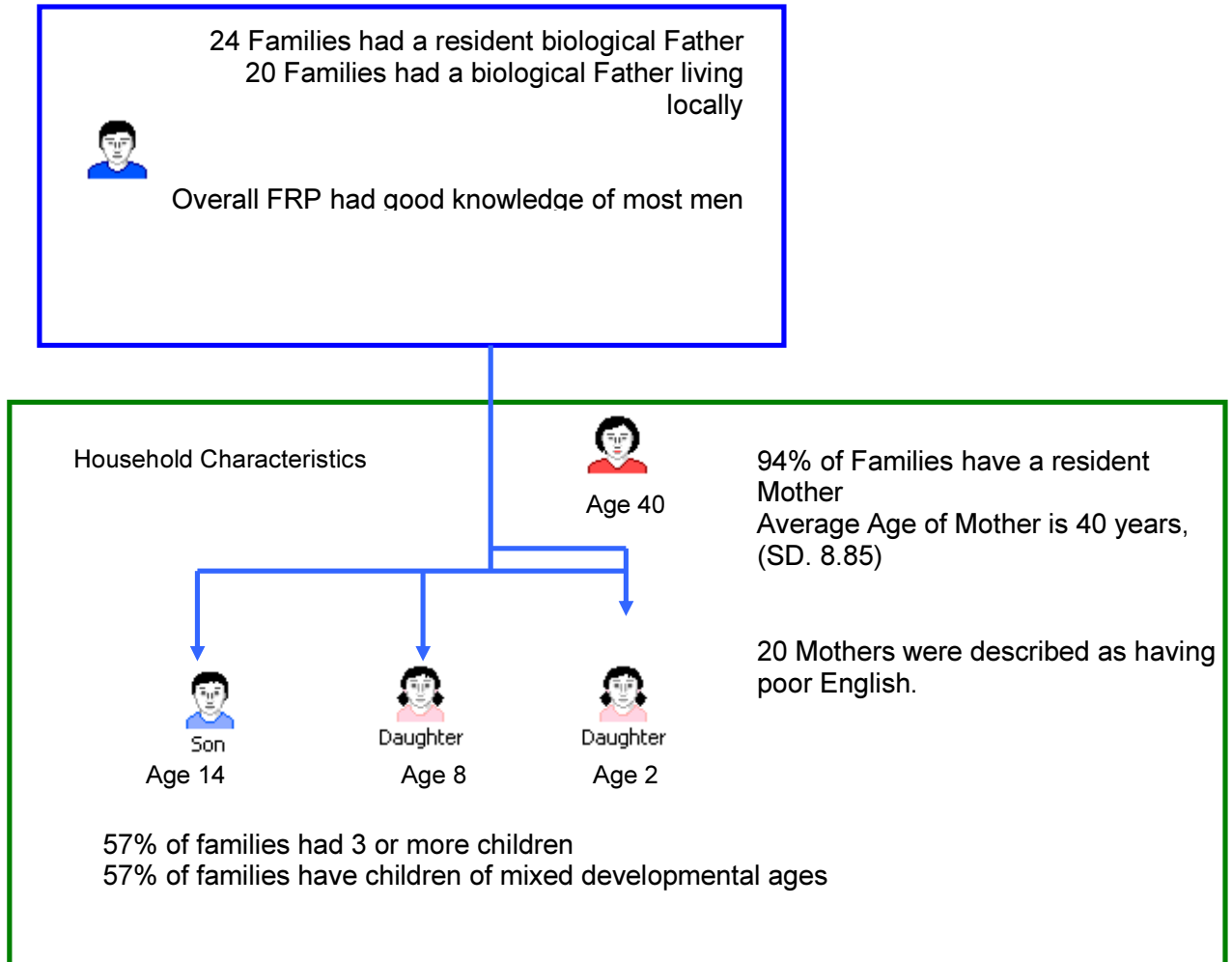
*Eleanor has a current partner, address unknown, but possibly spending some time living in the household at the time of the TAF meeting. Eleanor has mental health issues relating to anxiety and the youngest child is showing signs of anxiety within the home, where he is described as 'feeling unsafe' and also at school where his behaviour and academic performance are causes for concern. The name of the current partner is known, but there is little further detail, including his address. FRP work focused on the mother and children. Case notes occasionally mention the new partner, for example in relation to medical appointments and availability for meetings at the home. However his relationship with services, specifically FRP professionals is not noted or described. His relationship with the mother is also not explored in terms of potential support or possible risks. In the care plan the family strengths mention the mother's insight and desire to protect her children, but no mention of the current partner, or any links between family members and previous partners is made.*

*This case example is suggestive of the risks and resource dilemma men pose.*

While there was good knowledge of the majority of the men whose behaviour and wellbeing may be relevant to family functioning and children's wellbeing, the tension remained as to how to provide an appropriate service to them. Edwards (1998) notes, absent fathers are regarded as irresponsible, but when present they may be seen as frustrating the needs of women. This is echoed by Featherstone (2001) who comments that the perception of fathers as 'resource' is balanced by the view of fathers as 'risks'. In dealing with this tension some cases had good knowledge of men but the research team could not ascertain how they were viewed, (see case example 1).

### 4.3 Summary of family characteristics.

Figure 5 illustrates the most usual characteristics of the FRP families



**Figure 5 Representation of family demographic characteristics**

Data from *Social Trends* (National Statistics, 2011) show that 25% of households with children were single parent households, a slightly higher proportion than the 23% for the full cohort of FRP families, indicating that single parent families are not over-represented amongst those receiving a service. The national report does not provide data on whether the two parent households comprised both biological parents and data do not provide information on the proportions living with two biological parents or in ‘reconstituted’ families. Large families are however, more likely to be amongst those receiving an FRP service than would be expected if referrals were representative of the total population (56% in the FRP cohort had three or more children compared with 28% of all families with dependent children).

Another relevant question is whether the families receiving an FRP service differ from those receiving a service from Westminster Children's Social Care as children assessed as vulnerable and having additional social care needs (Section 17, Children Act 1989), or referred because of child protection concerns. The *Children in Need* census (DfE, 2010c) does not collect this information at a national or local authority level, other than on the age, ethnicity and gender of the child receiving a service (i.e. at child level rather than household level) and aggregated data on families (as opposed to children) receiving an 'in need' or child protection service are not available from Westminster Children's Social Care. Ghate and Hazel (2003) found in their study of parenting in poor environments, that 39% of the over 14,000 households in their sample were single parent households (a higher proportion than for this study, and that a quarter of the households had three or more children (a lower proportion than in the FRP sample). This would indicate that, within disadvantaged populations, the FRP service is targeting families with more children, who are no more likely than the average to be single parent households. Turning to research studies that have reported on children referred for a family support or child protection service, Brandon et al. (1999) found that a broadly similar proportion of households in which the children were assessed as in need of a formal child protection service (26%) as in the smaller FRP sample (23%) had a 'main' parent under the age of 25, but that there was a higher proportion of single parent households in their child protection sample than in this FRP sample. A higher proportion in the child protection sample was living in reconstituted family households (16%) than was the case in the FRP sample (12%).

Turning to research samples of children referred for a family support or child protection service (the group most appropriately compared with the FRP sample which contained 'family support and child protection cases) a study of referrals to Children's services in a London borough (Thoburn et al. 2008) did not ask about household composition. However, the age of the child referred for a service (40% were aged 10+) was higher than for those receiving a child protection service in the Brandon et al. sample (only 25% were aged 12 or over), and closer to that for the 'youngest child' in the FRP sample (youngest child in 37% households was aged 10+).

In summary, in many respects the profile of families receiving a FRP service is similar to that of families living in poor environments, except that there were fewer single parent households. The service is weighted more towards families with slightly older parents and older children and larger family size than is the case for children receiving a formal child protection service, but families receiving the service appear to have broadly similar characteristics to a combined sample of those receiving a children's social care service either as families in need of support or in need of a formal child protection service.

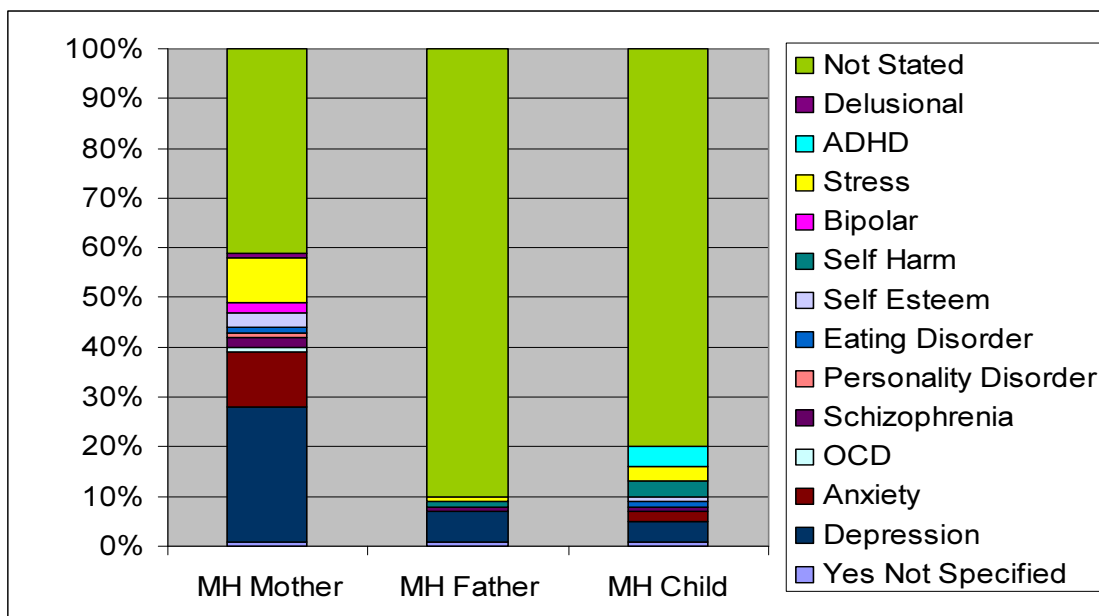
#### 4.4 Issues and difficulties for the families

The information available and recoded within the intelligence report and the initial TAF meeting formed the basis for coding the specific problems being experienced by individuals within the family. Coding for figures 4-8 and associated tables is based on the intelligence data and records on the full cohort of 100 cases. They do not include information obtained on the incidence of these problems as the case progressed.

While mental health, substance use and domestic violence were identified for many families, specific statements of ‘no problems in this area’ were rare. There were some cases where it was specifically stated that, for example a teenager had no record or evidence of drug use, but since such negative statements were rare, this report insofar as the full cohort is concerned (and the national evaluation, Kendall et al, 2010; York Consulting, 2011) may underestimate the incidence of these difficulties.

##### 4.4.1 Mental Health

There was a high incidence of mental health problems, especially amongst the mothers. From the data provided to the national evaluators, there was a mental health issue for a child, parent or other member of the household in 47% of the 100 cohort cases. From analysis of the 100 cases in the full cohort even this high percentage may be an underestimate. Figure 6 and table 9 show that almost 60% of mothers were reported to be experiencing some mental health difficulties, however in only 10 cases was there a confirmed medical diagnosis and associated medical intervention.



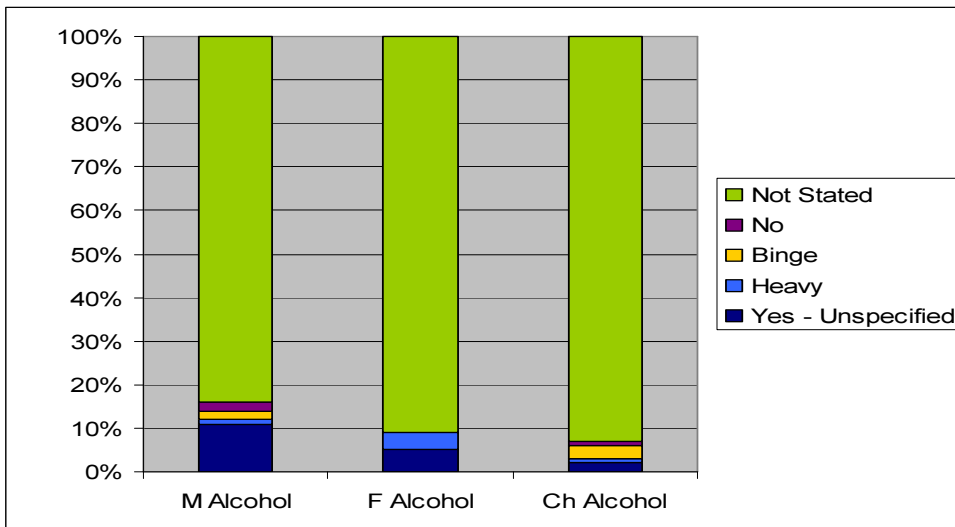
**Figure 6 Mental health problems of mother, father and any child identified within the Intelligence Report or TAF minutes.**

In the small sample, with respect to the mothers, table 9 and figure 6 indicate that 39% of the mothers had a mental health problem, although the more detailed analysis for these 33

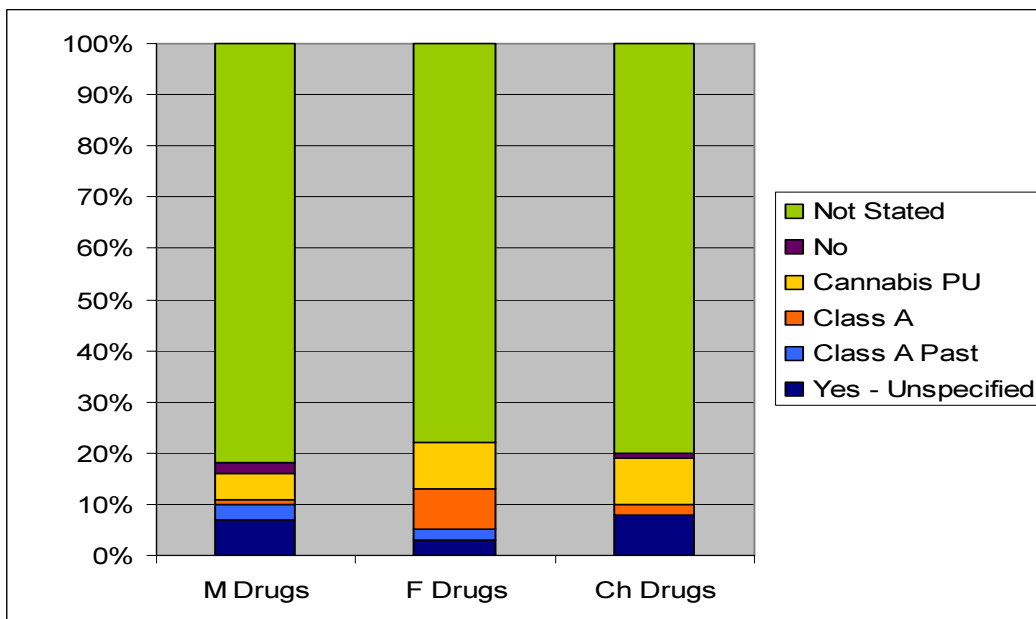
small sample cases indicates that this was the case for 67%. For 5, the disturbance was of a psychotic nature, for 7 the problem was depression and for 8 it was stress-related. However, as will be seen in later sections, only in 3 of these cases was there a current psychiatric diagnosis and formal psychiatric supervision of treatment.

#### 4.4.2 Substance Misuse

Figures 7 and 8 and tables 9 and 10 show the proportion of mothers, fathers and any children described as using alcohol or drugs. While alcohol use was recorded for more mothers than for fathers, this may be because the mothers were better known to workers and more often present in the household.



**Figure 7 Alcohol use as reported in within the Intelligence Report of TAF minutes.**

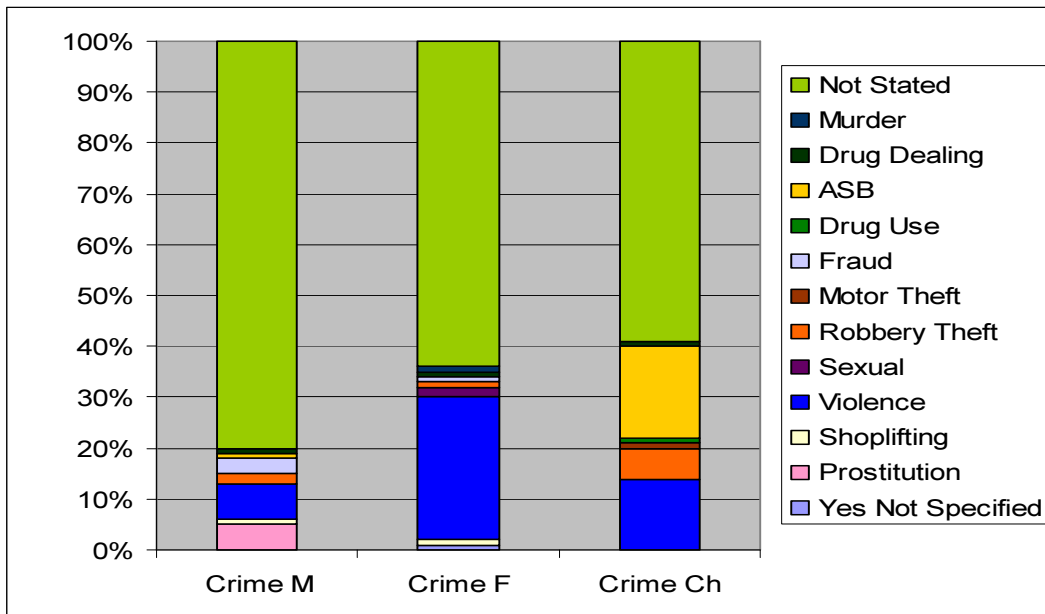


**Figure 8 Drug use as reported in within the Intelligence Report or TAF minutes.**

## Crime and Disorder

As shown in figure 9 and tables 9 and 10, there was a high level of past or current criminal activity within the families.

Initially it was considered that only criminal convictions should be recorded, as in the national evaluation, However case notes indicated specific issues within families which had not led to criminal convictions (e.g. ‘ Father known to be violent and a risk to workers’) and also some evidence indicated criminal activity such as dealing drugs without evidence being confirmed. The proportions in figure 9 are therefore created from recorded criminal record (e.g. convictions for prostitution or assault) but also current concerns about criminal activities or behaviour.



**Figure 9 Criminal activity within the Intelligence Report or initial TAF minutes**

As illustrated in figure 9 a large proportion of fathers (almost 30%) were known to be violent, either within or outside the family.

**Table 9 Problems/ disabilities of parent/ carer in family (percentages where this problem recorded)**

<b>Problem/difficulty</b>	<b>Full cohort (female)</b>	<b>Full cohort (male)</b>	<b>Small sample (female)</b>	<b>Small sample (male)</b>
Acute/chronic health problem			10%	9%
Problems alcohol use	14%	9%	16%	22%
Problem drugs use	18%	22%	25%	22%
Mental health problems	58%	10%	71%	21%
Criminality/ anti-social/nuisance behaviour	19%	35%	*	*

In the small sample there had at some time been police involvement in 75% of the families; action with respect to anti-social behaviour in 56% of the families and a criminal conviction with respect to a member of 53% of families. It was not always clear whether this was with respect to adults or young people. In addition, some criminal activities were of concern where evidence which would lead to a conviction was not apparent.

**Table 10 Problems/ disabilities of any child/ young person in family**

<b>Problem/difficulty</b>	<b>Full cohort of 100 (%)</b>	<b>Small sample % (N=33)</b>
Acute/chronic health problem(including obesity)		35%
Problems alcohol use	7%	3%
Problem drugs use	20%	22%
Mental health problems	20%	40%
Behaviour problems		54%
Criminality/ anti-social/nuisance behaviour	41%	28%
Problems around school attendance/conduct/attainment		63%



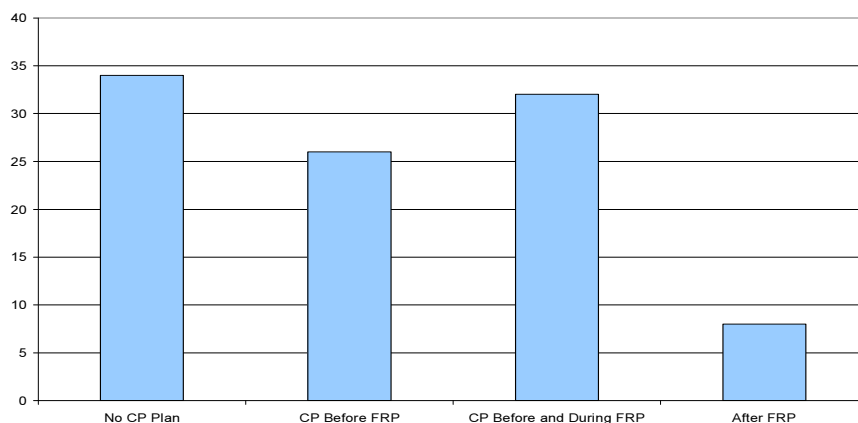
## ***4.5 Issues with relationships, parenting and concerns about maltreatment***

### **4.5.1 Domestic Violence**

Of the 100 cases 31 were reported as having a current domestic violence issues, or a history of domestic violence which the family were still dealing with (17 in FRP with 14 in FIP cases). Although there was a number of mental health issues of the mother linked with DV circumstances, this association was not significant. The proportion for the small sample, where more detailed information was available was considerably higher at 66% (22 cases – 16 where there were concerns during FRP involvement and 6 where there had been earlier domestic abuse which may still be impacting on family relationships and functioning).

### **4.5.2 Parenting deficits and maltreatment**

In the full data set on the first 100 cases, issues around parenting and parenting style were identified in 38% of cases and there were concerns about neglect in 35% of cases (usually overlapping with concerns about parenting deficits). Figure 10 shows that for the full cohort a child of one of the parents or parent figures had been on a Child Protection Register or the subject of a Child Protection Plan at some stage in a third of cases, and that in just under a third of cases at least one child in the family was subject to a CP plan at the time of referral or whilst the case was open to FRP. This can be compared to 13% of children with a child protection plan in all the Think Family pathfinders (York Consultancies, 2011), emphasising, that Westminster was amongst the small number of pathfinder authorities concentrating on the targeted group of families with complex and multiple problems where children were at risk of suffering harm or impairment to their development. However, these data were less complete than for the small sample cases so parenting and relationship issues and child protection concerns are reported more fully with respect to the 33 small sample cases. Table 11 shows that, although there were concerns that parenting deficits or intimate partner violence were having a serious impact on the wellbeing of at least one child in all except one family, the formal child protection system was used in only 11 of the small sample cases (33%) at the time of the referral or whilst the case was open to FRP. A child had been on the CP register or subject to a CP plan in the past in a further 8 cases- i.e. there had at some stage been formal child protection action with respect to a child of at least one parent in 18- 54% of the small sample cases). As will be noted in the section on services, in 22 of the 33 cases a Children's Services social worker was either the lead worker for the child (19 cases) or was a member of the team around the family (3 cases). However, in only 8 of these cases was a Westminster child protection team member involved as a key worker or member of the TAF.

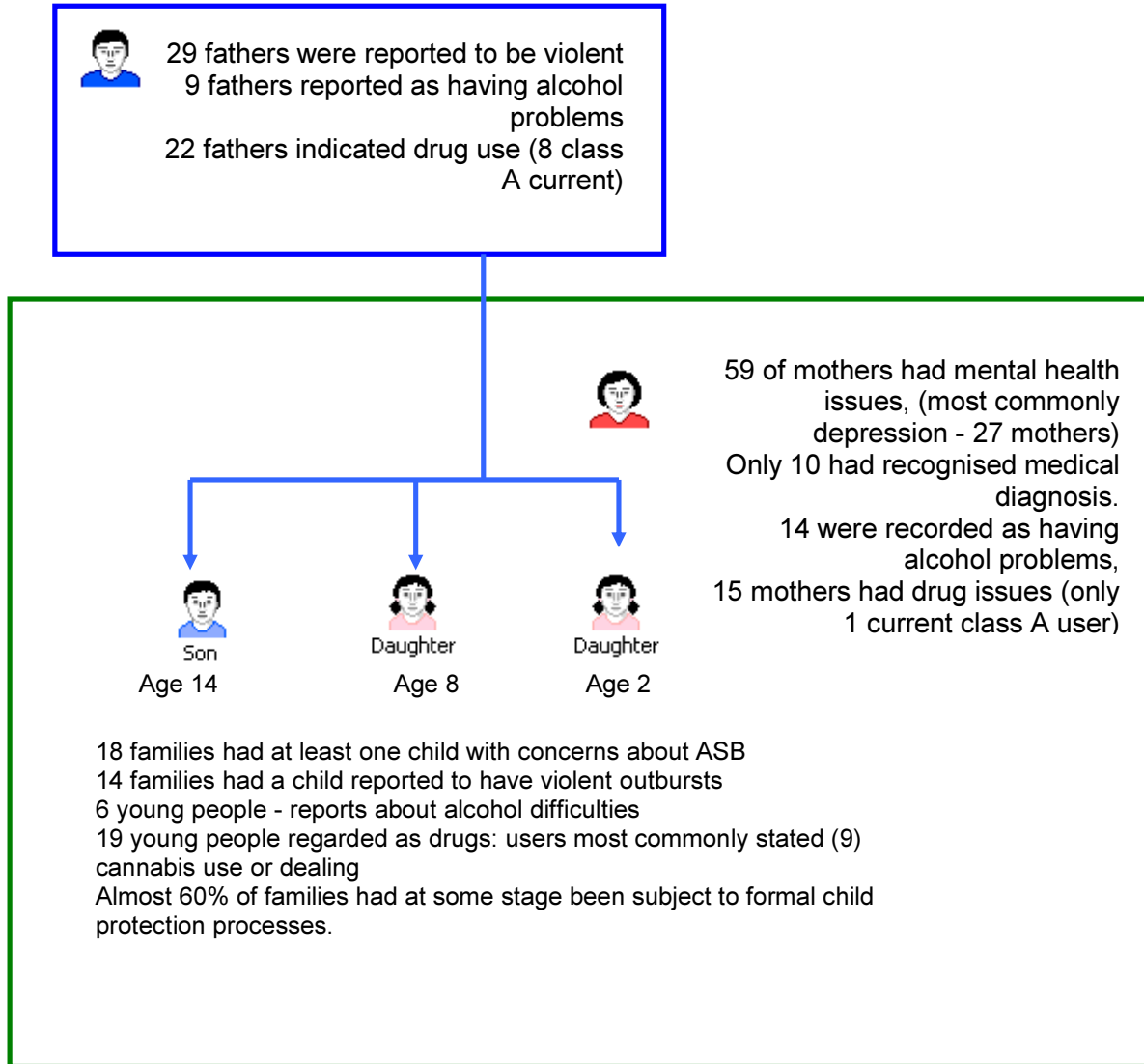


**Figure 10 CP Plans within whole sample (number of families).**

**Table 11 Cases where there were child protection concerns (small sample: more than one answer possible)**

Concern	Number of families %	
Parenting ability/ style	30	91%
Child at risk of statutory intervention	29	88%
Increase safeguarding an aim of intervention	22	67%
Concerns about neglect (current or previous)	22	67%
Reducing impact of domestic abuse is an aim of intervention	14	42%
Remain on or be placed on CP plan or application for care order made or used as a possible sanction	16	50%
Child on CP plan at referral to FRP (6) or during case	11	33%
Any child of 'main' parent ever on CP plan/ CP register but not at time of referral	8	24%
CP team social worker was lead professional for child or member of TAF	9	27%

#### 4.6 Summary of the characteristics and service needs of the families



In addition to identifying the problems which led to referral and informed the FRP service aims, it is important to consider the family as a whole, in the context of their own history and the history of prior involvement with services. Answers to the question ‘what sort of family is this?’ should inform decisions about whether the family is likely to benefit from the service provided by FRP, and whether it should be prioritised for receipt of this sort of intensive service. It should also inform decisions about the type of service provided, the composition of the ‘team around the family’. Given that the aim of the service is to meet the needs of families with complex and multiple problems who are unlikely to make progress without the provision of an intensive multi-agency service, it should also inform the planning about preparation work before referral and the nature of the service that is

likely to be necessary for the majority of families once the case closes to FRP. In the longer term, this sort of analysis should inform the discussion about the place of an intensive FRP, and the number of families at any one time to be provided with such a service, within the universal and targeted, statutory and voluntary sector services for vulnerable children and adults within the borough.

The research team devised research protocols (see appendix 1) for grouping the families according to past history, current problems, and likelihood of these problems either continuing or recurring for the different family members. Data on the full cohort provided for the national evaluation were not adequate for this process and this analysis was conducted for only the 33 intensive sample cases. The ratings were based on detailed scrutiny of FRP case notes, using a data collection instrument, minutes of meetings, summaries and, for most, the Children’s Service ICS records.

Table 12 groups the broad needs and difficulties identified for the children at the start of the case. From this it can be seen that, once the pattern of acceptance of referrals was well established (given that the intensive sample was weighted towards referrals accepted after the first six months) the majority of cases accepted for a service (73%) concerned children where there were concerns about child protection or a child who may need to be in care or accommodated. There were two cases involving older teenagers at risk of custody or serious mental health problems or whose behaviour posed a risk that the family would be evicted. However, in 7 cases (21% of the small sample cases) the referral did not clearly concern either of these, and the service was provided to troubled families where immediate distress for at least one child was already apparent or a poor outcome was predicted if an intensive service could not achieve necessary change. It is possible (and indeed likely) that, given high thresholds for receipt of a targeted adult or child service, based largely on the likely need for a formal protection or care service, some of these families coping with a range of complex and serious difficulties would not have received a clearly much needed service.

**Table 12 Grouping of needs/ problems identified for children**

Type of problems	Number of families (%)	
Troubled child aged 13+	3	9%
Middle years child ‘on edge of care’	12	36%
Child protection <5	9	27%
Child protection 5+ (where no imminent risk of care)	3	9%
Complex child and parent problems where no imminent risk of care or formal child protection	6	18%

Table 13 uses groupings first devised by researchers whose studies were reported in the *Child Protection: Messages from Research* overview (DHSS, 1995) and since used by other researchers and adapted to categorise reasons for children entering care (DfE, 2010). Although these broad ‘family types’ provided a useful way of thinking about family needs, and could be helpful in predicting the type of short and long term service approach needed, it was interesting to note that, when compared to earlier studies of children’s services cases there were more families that did not fit into these categories. The Brandon et al. (1999) cohort of 105 evidenced ‘significant harm’ cases concluded that all except 8% fitted into

these categories. The proportion of families in this sample with long term and multiple difficulties (33%) was slightly less than the 40% in the ‘significant harm’ cohort. However there were fewer ‘acute distress’ families in the FRP sample and more ‘specific issues’ families. There were very few indeed with one ‘single issue’ and four that did not fit into the usual pattern of families accepted for a service by children’s services teams, demonstrating the complexity of these families accepted for an FRP service, even when compared to a ‘confirmed’ significant harm cohort. There is no reason to conclude that the proportions in these groups are not likely to be generalisable to the full cohort of 100 families.

**Table 13 Researcher rating of broad ‘family type’**

Type of family	Number of families	Percentage of FRP families	Percentage of 105 ‘significant harm’ cases*
Short term problem	1		
1 single or 2 linked specific issues	14	42%	27%
3 linked specific issues	1		
Acute distress	1		25%
Families with long term and multiple problems	11	33%	40%
Complex but none of above	5	15%	8%

\*Brandon et al, 1999

In summary, the above data show that Westminster FRP provided service to a group of families that fitted the aims of the originators of the Think Family Pathfinder initiative. Using the definitions of ‘statutory’, and ‘specialist’ levels of need of the national pathfinder evaluators, around 90% were in need of a ‘statutory’ service and fewer than 5% came into the ‘universal’ or ‘targeted’ levels of need as compared with around 37% and 30% of the 15 Think Family pathfinders (York Consultancies, 2011).

## 5. The Services Provided

### 5.1 The referral stage

All referrals for a FRP service are discussed by service managers and a decision taken as to whether, on the information provided by the referrer, the case appears to fit with the team's criteria. Table 14 shows that about a half of cases were referred from either a children's social services team or a Drug and Alcohol Team (DAT). In the small sample, almost half of the cases were referred by a children's social care team. This however conceals the fact that in the majority of cases several agencies were expressing concerns to children's services which contributed to the decision to refer for an FRP service. The number of referrals in which there had not been active involvement of more than one agency for some time was negligible.

**Table 14 Source of referral**

Referral Agency	100 Cases	Small sample	% of small sample
ChnS loc	26	14	44
DAT	21	6	19
Housing	6	3	9
Anti Social Behaviour Action Group (ASBAG)	5	0	0
PCT	5	0	0
Family Centre	5	0	0
Child Protection	5	2	6
Not stated	4	0	0
SSD unspec	4	0	0
Education	4	2	6
Youth Inclusion and Support Panel (YISP)	3	2	6
YOT	2	1	3
MARAC	2		0
ChSerHosp	2	2	6
ch serRemod	2	0	0
CWD	1	0	0
YPP Panel	1	0	0
Children with Disabilities Team (CWD)	1	1	3
FDA Court	1	0	0

It is interesting to note that, although, as noted earlier, there were serious child protection issues in well over 50% of cases, more referrals were made by Children's services locality or duty teams than by child protection teams.

This appears to point to a policy for Westminster Children's Services locality and duty teams of seeking to work with families outside the formal child protection system if this could be achieved. On the other hand, it would be interesting to know whether child protection team workers were less likely to refer cases to FRP, or the cases being channelled down the formal child protection route were either more serious or clearer cut

than those referred to FRP. A report by the Deputy Manager (Kemp, 2011) explores this point further, comparing FRP child protection case outcomes with matched child protection team case outcomes. It is beyond the scope of this evaluation to pursue the point further, but it did appear that some locality, duty and child protection team social workers figured frequently amongst referrers, and interviews with some of them in their role as TAF members supported the hypothesis that some have a better understanding and appreciation of where the service provided by FRP fits with the work of their own teams.

Depending on pressures of referrals and the degree of urgency, referrals were allocated immediately to a service manager and IOW or placed on a waiting list. At the end of the research period there were four families who could not be offered services due to team capacity and were placed on a 'waiting lists'.

The IOW then made an appointment to visit, sometimes alone, sometimes introduced by the referrer. Although this was seen as a practical and purposive meeting to provide more information to the parent/s or parent figures and older children if appropriate, and to gain their agreement to the sharing of information, it was clear from the research interviews with the IOWs that they planned these interviews carefully in order to encourage families to engage. In the section on costs we note that this work tends not to be included in the workloads and costs allocated to each family. Observation of the IOWs' contributions to initial TAF meetings made it clear that they had already, in most cases, started to establish a relationship with at least one family member and consider the likely components of the first stage of the work.

Of the families referred to FRP who met service thresholds, 13 refused consent to work with the project team. When considering the costs of the service, these visits that did not lead to engagement have also to be considered as a part of the workload with a not negligible impact on the energy and stress levels of workers.

## ***5.2 The Initial 'team around the family' (TAF) meeting***

Team around the family meetings were held within varying lengths of time from this first meeting with a parent, allowing time for the intelligence analysts to prepare a chart of all family members (whether or not still living in the household), and collate details of their prior and current involvement with agencies, including any prior child protection concerns or family support services provided, rent arrears or tenancy problems, involvement with the police, education sanctions, mental or physical health concerns. The aim was to move as quickly as possible to avoid losing momentum. In some cases urgent action had to be taken to avert adverse consequences, such as a permanent exclusion from school or eviction. Invitations were usually issued to all professionals known to be working with the child (information provided by the information analysts to the team administrator) but on occasions it was decided that not all professionals would be invited (the rationale for such a decision by the team manager was not entirely clear).

### **Attendance, missing people and missing information at the initial TAF meeting.**

For 19 of the 100 cases the number of professionals attending the initial TAF meeting could not be accurately ascertained from records. Over the remaining 81 cases the modal number of people attending the initial TAF was 8, (range: minimum 4 – maximum 18, including the

intelligence analyst and the deputy service manager chairing the meeting). In most cases there were apologies from around three invitees and the range of apologies was between none and twelve. For 20 cases no apologies were mentioned, for 17 cases no apologies or non-attendance could be identified. However in a minority of cases a relatively high number of professionals (10, 11 or even 12) sent apologies. When taken at an individual case level it may be considered that the intelligence report covers a great deal of ground and that in complex cases getting all relevant professional together on one date would be very difficult. However having such a large number of professionals missing from a meeting risks the loss of vital information which individual professionals may not have considered important unless they are aware of how the overall picture of the family is emerging through a TAF meeting.

A further issue here is that a relatively small number of professional roles accounted for the majority of participants, and due to the small FRP team, participants were frequently the same individuals from the FRP. These frequent individual attendees may be thought of as a core group and there is a risk that the FRP team members become used to routine meetings dealing with detailed family matters. If FRP team members pre-dominate in meetings and attendance by 'outside professionals' is less frequent, 'cues' within the meeting may be missed and this may inhibit dissenting or alternate views from emerging.

The group processes within initial TAF meetings through which information is shared and decisions about intervention and support are made, are intimately related to authority relations and role definitions within the group. Other professionals who may be important information providers cannot be separated from the interactional styles that the professionals adopt. The chairing of meetings is therefore vital to ensure adequate consideration of information and that each professional involved with the family can contribute information and observations about the family and their circumstances.

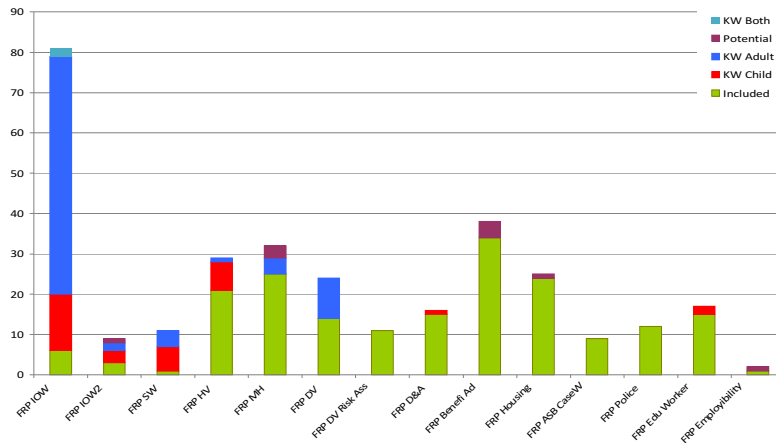
The agenda for these meetings was for the intelligence analyst to point up the key characteristics and known issues for the family, with other professionals providing additional details from their perspective. The Chairperson then summarised the main concerns of the agencies. The IOW who had visited the family then described the response of the parents and older children if they had met them, and highlighted the areas on which the parents would like to move forward and the particular areas with which they would like help or advocacy. A draft case plan to be put to the parent/s, including any 'rewards' and 'sanctions' and time scales for the first phase of the work were provisionally agreed. A key outcome of the TAF meeting was to determine which professionals were appropriate to include in the team around the family, including a key worker for the adults in the family and a key worker for the children.

### **5.2.1 TAF membership**

The lead professional for the parents or the family as a whole (as figure 11 and table 16 indicate) was invariably a FRP worker and usually an IOW. Figure 12 and table 15 show that the key worker for the child was usually a children's services social worker. In some more complex cases there could be more than one lead worker for different adults or children in the family. In a small number of cases one professional took on both roles, but this was an interim measure until the nature of the role and the appropriate agency could be



identified. Occasionally a specific professional was identified as having a potential role rather than being an active member of the TAF immediately post the initial meeting.



**Figure 11 Distribution of roles for FRP workers who were TAF members**

**Table 15 Lead workers (small sample)**

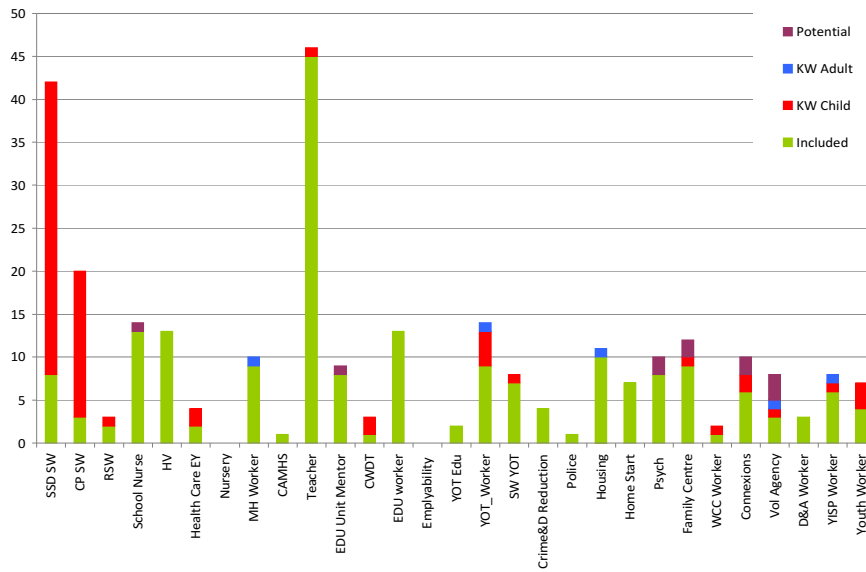
Professional	for adult/s	for one/all children	for adult/s and child
FRP Intensive outreach worker	23	4	5
Locality team social worker		12	
Child protection team social worker		7	
FRP health visitor	1	1	
FRP adult mental health worker	2		
FRP domestic violence worker	2		1
FRP education worker		1	
YOT /YISP worker		2	
Teacher		1	
Health visitor/ early years worker		2	
Special education Unit worker		1	
Children with disabilities social worker		1	
Role unconfirmed at TAF		1	

Table 15 shows that, for the 33 small sample cases, a FRP IOW was the lead professional for the adults in 28 families. In five of the small sample cases the adult lead professional role was held by the FRP team domestic violence worker, the adult mental health worker or the health visitor. The lead professional role for at least one child in a third of these 33 families was held by a FRP team member (the IOW in 9 cases and the education worker and health visitor in two). In 20 cases the lead professional role for one or all the children was held by a children’s services social worker (including one specialist disability worker); in one case by a YOT worker and in 2 cases by a non-FRP specialist education worker. This role complexity is explained by the different needs of different adult and child members in the larger households.

Table 16 and figure 12 show the extent to which the specialist FRP team workers were members of the teams around the families, in which case they would be likely to meet family members to provide advice or undertake a specific piece of work using their specialist expertise. There was a considerable amount of joint interviewing, sometimes for a lead professional for the child or family to introduce a specialist worker, and sometimes to undertake an agreed piece of joint work. This also applied to the two lead professionals, usually from different agencies. It can be seen from tables 15 and 16 that the FRG specialist professionals most likely to work directly with family members were the adult mental health social worker and the drugs and alcohol, domestic violence and the welfare rights specialists. Other team members were more likely to support the work of TAF members by providing specialist advice, or arranging a consultation for a TAF member or an appointment for a family member with one of their colleagues working in a primary health care, education, housing or other community service. The most usual number of FRP team members in each team around the family was four (range 1 to 8). Tables 16 and 17 and figures 9-14 give the composition of the teams around the family.

**Table 16 FRP membership of teams around the family (including cases with a lead professional role)**

<b>Professional</b>	<b>Number of cases</b>	<b>% of small sample cases</b>
Intensive outreach / social worker	33	100
Benefits adviser	17	51
Addictions specialist	15	45
Adult mental health worker	15	45
Health visitor	14	42
Domestic violence worker	11	33
Domestic violence risk assessment worker	9	27
Education worker	7	21
Housing specialist	7	21
Attached police officer	5	15
ASB caseworker	3	9
Employability worker	3	9



**Figure 12 Distribution of roles for non-FRP professionals who were TAF members**

A striking feature of figure 12 is the number of teachers included in the TAFs. This is an interesting issue given the key monitoring role of teachers but also the potential practical difficulties of them actually managing to attend TAF meetings.

**Table 17 Non- FRP membership of teams around the family (including cases with a lead worker role)**

<b>Professional</b>	<b>Number of cases</b>	<b>% of small sample cases</b>
Teacher/ special education unit worker	18	54
Special education unit professional	7	21
EWO or other education worker	5	15
School nurse	6	18
Children's services locality team social worker	14	42
Children's services child protection or looked after team social worker	11	33
Adult mental health social worker	10	30
YOT / YISP/ young people's service worker	17	51
Probation officer/ crime and disorder reduction/noise reduction officer	10	30
Housing officer	15	45
Psychiatrist/ psychiatrist	10	30
Family centre worker	15	45
Health visitor	4	12
Voluntary agency worker	3	9
Children's services disability or hospital social worker	3	9
Drugs and alcohol team worker	2	6
Employability worker	2	6
Connexions worker	1	3
IOW (WCC)	1	3

It was an explicit aim of these initial TAF meetings to keep the number of professionals with direct contact with the family to a minimum, with the others discharging any statutory roles through being kept informed, sometimes by attending TAF review meetings, or possibly a joint visit with one of the lead professionals. Where there was a formal child protection plan, the meeting had to reach agreement about how FRP TAF and professionals' meetings would fit with child protection processes such as core group and child protection review meetings. Where care proceedings or any other court proceedings (eviction or truancy for example) had been initiated, careful co-ordination was also planned to give the FRP approach time to have an impact.

Observation of TAF meetings revealed tensions around the aim of reducing the number of professionals in some cases. This was unsurprising since characteristics which many of the families shared (alongside complexity, which meant that several agencies and professionals were involved both consecutively and concurrently) was 'reluctance to engage' ('hard to reach' families) or 'false compliance' ('hard to change' families).

Some families who had been 'hard to reach' in the past were at a stage when they were showing signs of accepting the need for help to make necessary changes. This was sometimes due to the effort of those around the TAF table, but more often because of a crisis (the possibility of eviction or a court attendance) or a more positive event (the birth of another child). In other cases some around the table had worked hard to engage the family as a whole or individual members, thought that they were getting somewhere, but had recently come to the conclusion that there was a problem of 'false compliance'. This was particularly the case when addictions, domestic abuse, or teenage gang membership were features of the case. Although these professionals might accept that it was worth trying something else, they might

also be reluctant to ‘hand the case over’. In some cases the phase one plan was for them to keep a watching brief by attending TAF meetings, and come back in with more specialist input at phase two or when the case closed to the FRP team.

*There is a process of elimination to sort out what the problem is... Professionals were doing their own thing and not working with the family. The [specialist professional] was repeatedly unable to make it to meetings, so we moved the review to her office we took the meeting to the person. (IOW interview)*

*There was an initial battle with the family centre - it was slow moving - the mother was resistant at first - she didn't want therapy. Now after we've developed the relationship we've reintroduced the idea of therapy and the mother wants things to improve. (IOW interview)*

In order to better understand the range of ways in which these networks operated, and their costs to the different agencies contributing to the teams around the families, we categorised the cases in terms of the respective contributions of FRP staff and the outside agencies. Table 18 shows that, whilst in 14 cases (42%) the bulk of the work was undertaken by FRP staff, in 13 cases FRP staff and outside agencies made approximately equal contributions to the helping network and in 6 cases, although a FRP service manager co-ordinated the work and an IOW was one of the lead professionals, other agency professionals took on most of the care plan tasks. Figures 13- 16 illustrate the main patterns of service delivery.

**Table 18 FRP contribution to teams around the family**

TAF composition	Number of cases	%
Mainly FRP: IOW plus co-ordinating network meetings	7	21%
Mainly FRP: IOW plus FRP specialists and co-ordinating network meetings	7	21%
Half FRP and half outside agencies	13	39%
Mainly non-FRP but with IOW and FRP case co-ordination	6	18%

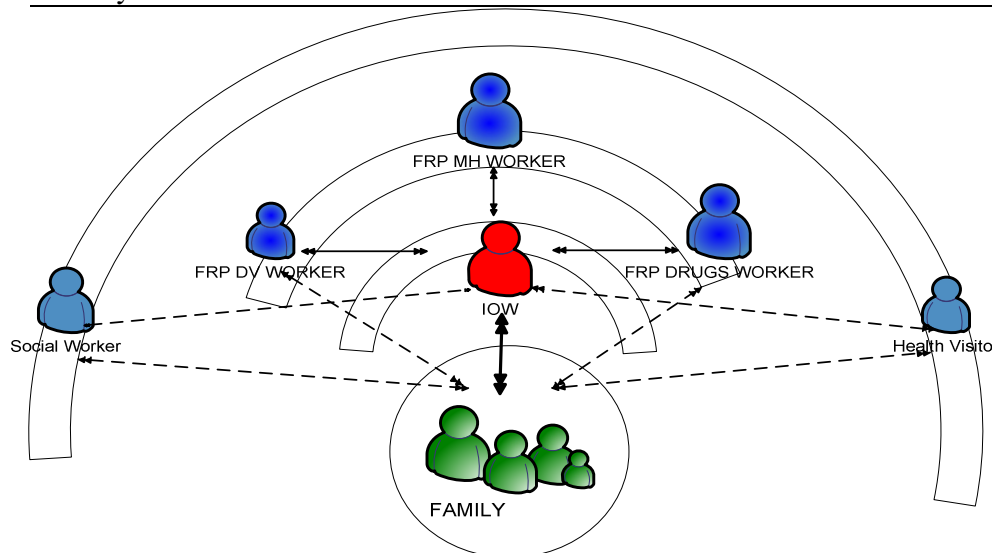


Fig. 13 Service type 1 Mainly FRP with IOW with FRP specialists as advisory

In this model the IOW provides emotional and practical support and will communicate with FRP specialists to gain specific advice, intervention or liaison with external specialist services such as substance use or mental health services. Though a number of FRP specialists

may eventually have some input into the family support this is based upon the IOW developing a trusting working relationship with the family.

**Case Example 2. Mainly FRP IOW with support from FRP specialists**

*At referral the mother had left a physically abusive partner but was still living in a chaotic home with two young children. The work was oriented around enabling the mother to understand her children's developmental needs and the provision of a stable and supportive home environment. The IOW focused her work on creating routines and a more ordered home environment. She liaised with the FRP Domestic Violence worker about managing risk and addressing the impact of past abuse.*

*Supported by the social worker (lead professional for the children) she worked on the mother's parenting skills. The FRP substance use worker became involved to assess and refer the mother for appropriate services once the IOW has established a working relationship with the mother. The FRP Health Visitor assessed and advice the mother on the children's health needs. The FRP Education worker liaised with Schools regarding the assessment of educational performance of children.*

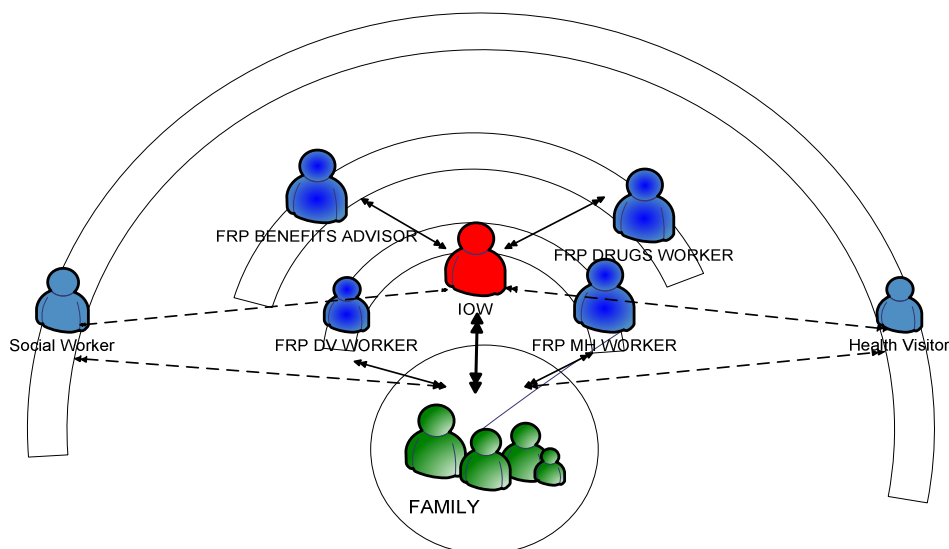


Fig. 14 Service type 2 Mainly FRP with IOW co working with specialists

**Case Example 3. Mainly FRP: FRP IOWs co-working with specialists**

*The case involved domestic violence, where although the children were generally well cared for the father had assaulted the mother in front of the children. The father was also using drugs regularly which increased the likelihood of violent behaviour in the home.*

*The DV worker was the lead professional for the mother and the IOW worked mainly with the father. The social worker was the professional for the children.. There was also involvement from outside agency drugs team. Both parents were considered to be warm parents but their partnership was difficult.*

*The IOW and DV worker worked together to involve the parents. This was greatly helped by the FRP benefits advisor intervening to find ways of improving the financial position of the family. The DV worker met with the Mother to explore her needs while the IOW met with the father. The IOW built a relationship with the father then involved a drugs support agency. Later as the drugs intervention started to be productive the father started to work with domestic violence support provided by Westminster council.*

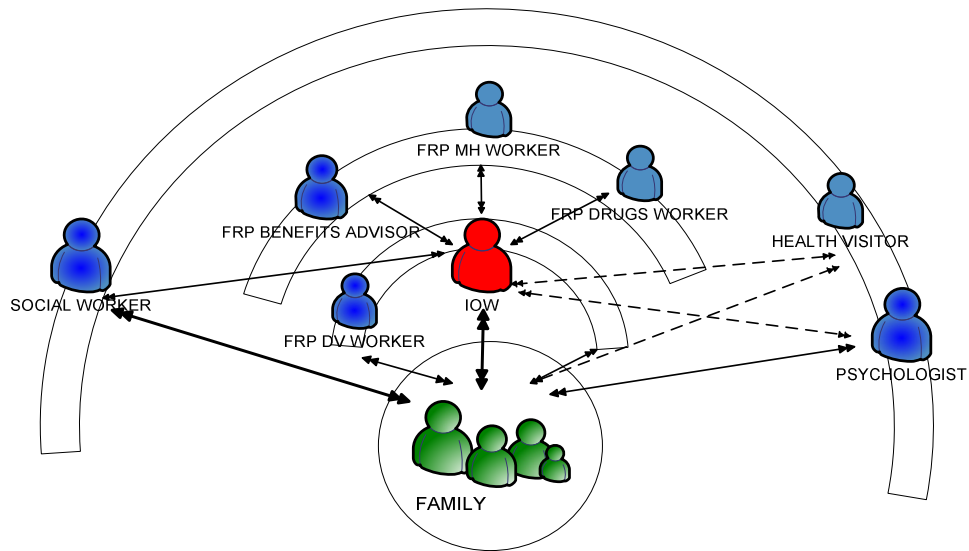


Fig. 15 Service type 3: Approximately half FRP and half outside agencies

**Case Example 4.**

*Both the father and mother have mental health difficulties, and for the father this is exacerbated by cannabis usage. The children range in age from under 5 to teenagers. They are considered to be un-stimulated, and the household trends to be chaotic.*

*The IOW took the lead role for the adults with a child protection social worker being the lead professional for the children.*

*The team around the family included FRP drugs worker, FRP mental health worker, and FRP health visitor. But also included a psychologist from a specialist mental health service.*

*The IOW worked with the mother and liaised with the psychologists to encourage her to engage with a therapist to address longstanding issues relating to anxiety.*

*The FRP mental health worker met with the family and co-ordinated further work with the community mental health team.*

*The FRP drugs worker completed an initial assessment with the father, and successfully referred him to an appropriate service provided by the local drugs support agency.*

*The IOW and the CP social worker both liaised with the school about support and monitoring.*

*The FRP health visitor met with family and assessed the children before referring one child for further medical assessment.*

*The IOW and the FRP benefits adviser worked with the mother to reduce the family debts.*

*Once the drugs issues, debt and mental health aspects were beginning to be controlled the FRP DV worker met with the father and referred him on to work with a local agency about coming to terms with his violent behaviour and on the negative impact he has had on the family.*

*At case closure the risks of DV reoccurring were regarded as being substantially reduced with the father engaging with mental health and substance misuse support. The domestic routine was considered to be settled, school attendance was good and the children's overall wellbeing had improved. The mother was to continue with therapy, the family continued to receive support from the family centre (where a TAF member also worked part time as well as at FRP0 and the child protection team social worker remained the lead professional.*



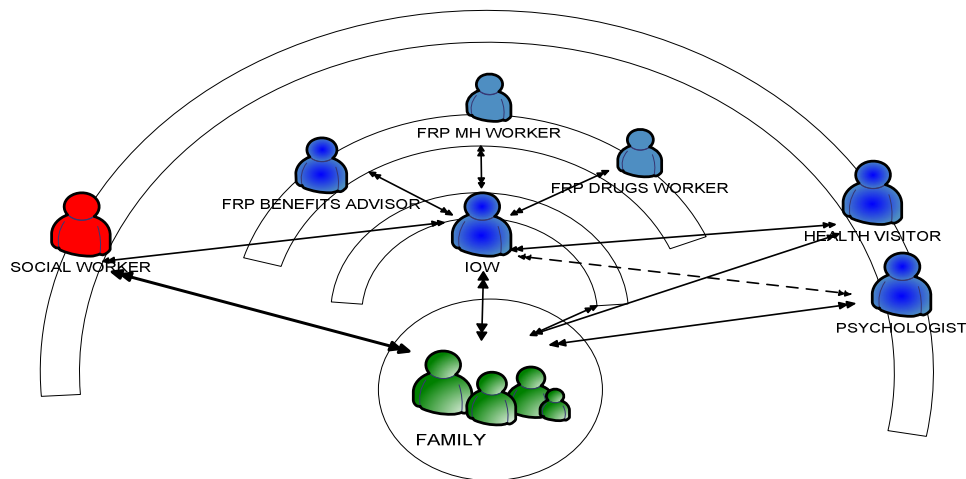


Fig. 16 Service type 4: FRP provided IOW input and case-coordination but mainly outside input.

**Case Example 5. FRP IOW and case-co-ordination with worker specialists**  
 This case concerned an older teenager in a reconstituted family who had been accommodated by the local authority as a younger teenager. Since returning to the family home she would go missing for days at a time. She was becoming drawn into criminal and antisocial activities and was not engaging with school. The home environment was unsettled and neglectful with the parental relationship being acrimonious, the mother drank heavily and the household routine was described as chaotic.  
 The CP social worker was the lead professional for the young person and the IOW for the parents. The IOW made planned visits to the mother in the family home to discuss routines and strategies for keeping her daughter safe.  
 The FRP Education case worker worked with the family, young person and the school. The father was not prepared to work with the IOW but was engaged with the education worker.  
 The CP social work team had ongoing contact which continued after the FRP case was closed. A voluntary mentoring and support worker for teenagers was included in the TAF and continued to work with the young person. The FRP education worker also continued to be involved after the case was formally closed to FRP.

### 5.3 Agreeing the plan and signing the ‘care plan with consequences’

In the early stages of the work, parents tended to be invited to the office to learn about the proposed plan from the team around the family members. However, uncertainty about timing and not wishing to have anxious (and usually very busy and preoccupied) parents waiting around, and not wishing to rush this important part of the work, led to a change in this practice. The usual practice was for the lead professional for the parents or family as a whole (sometimes together with the lead professional for the child) to go to the family home immediately after the meeting or within the next two days.

This negotiation between ‘what was in it for the family’ and what was required by the agencies had started at the initial introductory meeting and had formed the basis of the draft plan worked out at the TAF meeting. Consequently the draft plan and contract contained no surprises and was usually agreed and signed, possibly with minor changes of detail, for example, about timing of regular visits. Talking about the first meeting with the family after an initial TAF a worker commented:

*I will say, before asking them to agree it, if you don't like our plan, let's look at what in it we need to change.*

Phase 1 plans tended to be weighted towards issues prioritised by parents, which tended to be of a practical nature. Advice and sometimes practical assistance towards clearing rent arrears, getting an excluded child back into school, moving house to get away from gang involvement or to be near a relative who could provide support with young children, help with essential household items or to clean up an un-hygienic home, all figured highly. Help to get a much needed physical or mental health specialist appointment also figured amongst these phase one plans, which concentrated on a small number of achievable goals that were important to family members as well as contributing to child wellbeing and safety.

### **Sanctions and rewards.**

The emphasis at this stage was on the ‘rewards’ – the improvements in the quality of the environment and family relations that family members and professionals would work purposively to achieve. The ‘flip side’ of the practical help and advocacy provided directly by or co-ordinated by the IOW or other lead professionals was the sanctions that were set out in the contract as likely to follow if parents and older children did not engage with these processes and improvements in the children’s safety and well-being were not achieved. In just under a quarter of cases there was a heavy emphasis on the consequences that would follow from non-engagement and in five cases neither explicit ‘rewards’ nor sanctions appear to have been needed in order to engage family members in working towards the aim of improved family wellbeing.

**Table 19 Approaches to ‘care with consequences’**

<b>Approach used</b>	<b>Number of cases</b>	<b>% s</b>
Heavy emphasis on rewards	9	27%
Rewards, and light touch sanctions	14	42%
Heavy emphasis on sanctions	8	24%
No reference to ‘sanctions’ or ‘rewards’ in plan	2	

Tables 19 and 20 shows that entry to or remaining in care and/or formal child protection plans were the most frequently used sanctions, with the corollary being the removal of these possibilities. In 19 cases (57%) the retention or removal of a protection plan, or a move into care, was one of the consequences (or rewards) spelled out in the case plan. In 8 cases (and a further two in the course of the work) the plan was for the FRP work to be provided as part of a protection plan, and in two cases a ‘letter before proceedings’ had been issued (or was issued in the course of the FRP work) indicating that a Care Order would be applied for if protection concerns continued. In three small sample cases involving children in middle or teenage years a parent (or teenager) was asking for a child to be looked after so in some cases a planned placement in care was viewed (at least for one family member) as a positive rather than a sanction. At the end of the research period interim or full care orders had been obtained on at least one child in three of the small sample families (although one of these was never actually separated from her mother), two young people were accommodated under section 20 provisions, and the exit plan for another was for him to be formally accommodated. In other cases a child had moved between parents or to the care of relatives. Older children in at least two families were in custody. Thus, in around a quarter of these 33

families, out of home care or custody for a child or young person was part of the service response.

**Table 20 Sanctions referred to in contract or care plan (cases do not total 33 as more than 1 sanction used in some cases)**

<b>Sanctions referred to</b>	<b>Number of cases</b>	<b>%</b>
Child into/ remain in care	11	33%
Formal CP plan initiated/remain (but no likelihood of care)	5	15%
ASBO made/retained/ YP court	3	9%
ASBO/ court child and adult (criminal or truancy)	5	15%
Eviction/ not re-housed	5	15%
Eviction plus child into care/ CP	3	9%
No sanctions referred to	5	15%

#### ***5.4 The FRP approach to service provision and the characteristics of Phase 1 services***

##### **5.4.1 Relationship-based helping: the role of the Intensive Outreach Workers**

It has been noted in the literature review that an essential component of effective services to parents with complex problems is a consistent and dependable relationship with a professional who can be relied upon to be there when he/she says she will be; who actively engages with the issues that are important to family members, provides emotional support as well as practical assistance and skilled advice, guidance and advocacy. Where therapy for physical or mental health problems is necessary the skilled helper must be able to provide it or support the parent in accessing it. Where there are concerns about child welfare or safety, this relationship has to be provided in the context of clarity about the likely consequences if children's needs are not met within agreed timescales and their wellbeing and safety not promoted.

The IOWs and specialists with a lead professional role sought to provide such a relationship-based service, usually, in the first phase, visiting two or three times a week, sometimes spending lengthy periods of time accompanying parents on visits to benefits offices, doctors' appointments, or to buy essential household goods, or to model 'having fun' on outings with the children. They were better able to provide this emotional support and be seen as worthy of trust because, although they had always to have the safety and well-being of the children in mind, the main focus of their work was the parent/s. They made it clear to parents and children that they were in regular contact with the lead worker for the child and other team around the family members, and made joint visits when appropriate. Despite the close and empathic relationships that were established in the early weeks of the work we saw no sign of this 'two worker' approach resulting in parents playing one worker off against another (an avoidance strategy that some had used in the past). Clarity about the limits of confidentiality from the start of the FRP work was essential in this respect.

The IOWs could call on specialists and in several cases worked towards supporting parents to take up more specialist services such as parent training groups or family therapy, but their particular strength in the eyes of parents was flexibility - their willingness to put their mind to solving whatever problem was uppermost at the moment, and having done so, to move on to the next.

*You get to know the family really well and can decide whether a family will be confused by someone else, or it would be better to introduce the specialist worker.*

In the small number of cases that the lead professional for the parents was a specialist worker rather than an IOW, there was a risk that, in focusing in on a specific problem which required their specialist knowledge and expertise, these workers lost the advantage of flexibility. If they failed to pick up on what was at the top of a parent's agenda, they risked appearing less empathic.

Given the history of 'non-engagement' or 'false compliance' of most of these families, it is not surprising that a trusting relationship with the 'main' parent was established in fewer than half the cases (15). In a further 12 cases parents recognised and valued the concern of the workers, which they saw demonstrated by their reliability, persistence, and attention to practical problems. However, their trust in the worker was no more than ambivalent. These were either parents with personality or mental health difficulties, or those who were unable to give up addictions or move away from abusive relationships. Despite their best efforts the lead professional for the parents was not able to move the parents beyond very superficial or false compliance in 6 cases (just under 20%).

It was also clear that in some cases the IOWs became important people in the lives of children. Some of the younger ones became fond of them almost in the role of 'caring and friendly neighbours'. With some middle years children and adolescents they established a counselling relationship, provided advice or advocacy, or joined with them in positive leisure activities or sports (table 21).

**Table 21 Was a trusting relationship established between the 'main' parent/ carer and at least one member of the FRP team\*?**

	Number of families	Percent
No	6	18
Ambivalent	12	36
Trusting	15	45
Total	33	100

\*This was usually but not invariably the IOW and in some cases more than one family member formed a trusting relationship with more than one FRP team member.

#### **5.4.2 The approaches, skills and methods of the IOWs**

The approach of the IOWs, can be broadly described as 'psycho-social casework'. It combined practical help with social and environmental problems with the emotional support which gave some, though not all, the parents the confidence to face up to some deeper psychological or relationship problems. In that sense it attempted to be 'therapeutic' even though it was unusual for any specific therapy method to be used. The focus on improving parenting, an aim with which most though not all parents agreed, resulted in the appropriate use of educative and modelling skills. Most of the IOWs had undertaken training in one of the main parent training model programmes (mainly *Incredible Years*, *Mellow Parenting*, and *Triple P* - see section on context). Since most of the work was undertaken in the family home rather than in a day care or clinical setting, the Triple P programme could in theory be adapted best as a whole programme by the IOWs. However, the importance of flexibly responding to the complex and varied needs of parents and children, and to the differing parenting styles, strengths and deficits of the parents, meant that workers incorporated aspects of these programmes rather than using any one model as a whole. As a service manager put it:

*That is one of the strengths of this project - the flexibility of response - recognising that all families are different. And all the needs are different. We have to fit around them. Rather than them fit into a pre-set service.*

There were 6 cases in which a model parenting programme was followed with something approaching programme fidelity, but in 15 other cases aspects of model programmes were used. In 12 cases (just over a third) there was no indication of the use of a model programme with the family. In 5 cases parents attended a parenting group provided by a different service, either once the FRP work was underway, or at the case closure stage. Several parents had attended one or more of these parent training programmes before FRP became involved. From reports of parents' views on file, there were mixed responses, some parents valuing them but others dropping out, in at least one case because it was 'too middle class'. In two cases a TAF member provided a family therapy service in parallel with the IOW work, and in 3 other cases the phase 2 plan was for the parents to start or resume family therapy, although this was not in evidence in the time frame of the research (table 22).

**Table 22 Were specific methods or programmes used?**

	Frequency	Percent
None apparent	12	36
Specific parenting programme (manualised) - group or individual	6	18
Aspects of parenting programme adapted in home	9	27
Aspects of other adapted in home	6	18
Total	33	100

When interviewing the FRP lead professionals and case supervisors, scrutinising the records and in the small number of conversations we had with parents we sought to identify any specific casework methods or approaches with a theoretical underpinning. Generally a particular worker used a preferred approach with all the families they worked with, but always within the context of seeking to build up a trusting relationship. A mental health specialist referring to the composition of the team commented:

*That is the joy. So many different individuals with different background into the melting pot. It is all about the ethos. Facilitating the family's journey. So all those different approaches come together very well. Sometimes a specific programme or intervention is right for the family but that is part of a bigger mix. When I'm working with families, my different- whole gamut of skills, are used as needed - whether it is CBT or reflective.*

We concluded that, whilst all workers had a 'toolbox' including a range of skills and techniques they could adapt to particular families and circumstances, there was little evidence of 'pure model' specific casework, therapy or educative methods being used in the majority of cases. However, it was possible to recognise in the work one of two broad styles or approaches (table 23). In 14 cases (just under half) the approach was broadly 'psycho-social' with an emphasis on using a supportive relationship and practical help to enhance motivation so that the parent and/or older children would take up opportunities for change. In 15 cases the approach could be described as broadly 'problem-solving' or 'solution-focused', sometimes incorporating recognisable cognitive-behavioural or social learning methods.

**Table 23 Was a specific casework approach used?**

	Frequency	Percent
None mentioned/apparent	4	12
Broadly behavioural	2	
Broadly psycho-social	14	42
Problem-solving/solution-focused	13	39
Total	33	

Looking at the service as a whole, the most usual pattern was the provision of practical help to different family members, including guidance about parenting, advocacy and networking (12 cases). There were 7 cases in which emotional support and assistance in making and attending appointments characterised the service, and 3 cases where the IOW supported a parent or other family members in making use of the expertise and connections of one or more of the specialist FRP professionals. In 11 cases the service included all these approaches. Thus, in 18 cases (just over half) the highly intensive and flexible service provided involved the provision of emotional support alongside parenting advice, advocacy, networking and linking with specialists (table 24). Whatever the approach, a role FRP workers had in common was that of ‘interpreting’ the particular issues for each parent and child to the other services and thus helping to build bridges. This sometimes involves acting as advocate or going along with a family member to help them explain their position or make their case for a particular service. This is particularly important with family members who have been known to services for some period of time and are seen as ‘un-cooperative’, ‘oppositional’ or even ‘a nuisance’.

*Their dad felt as if he had been abandoned by services over the years. I went to meet him there. This is one of the key differences, working with FRP, I went to meet him 2 or 3 times a week in his home - made a relationship with him. (specialist worker).*

*We had done something that hadn't been done before. There has been a **redefinition of the family**' (IOW at team meeting, confirmed by the referring professional also present).*

**Table 24 FRP broad service approach**

	Frequency	Percent
Mainly practical- IOW parenting advice and networking	12	36
Mainly IOW emotional support and networking	7	21
Mainly FRP specialist advice	3	9
All or above	11	33
Total	33	100

### **5.4.3 Some similarities and differences when compared with ‘service as usual’ with similar families**

Many of the above also characterise ‘service as usual’ case-work practice in the different agencies. A key difference is the provision of services to parents ‘in their own right’ who are usually the ‘prime clients’ for one and possibly two FRP workers. Regular supervision and professionals’ and TAF meetings, and the fact that there is usually a children’s service social worker as lead professional for the child, ensure that the needs and safety of the children are always ‘kept in mind’ and prioritised if there is a conflict between the wishes and needs of the children and those of the parent/s.

*The FRP helps the adults to sort out their needs to then help meet the needs of the children. If we cannot help the adults we cannot meet the children’s needs. (IOW)*

Another difference is in the intensity of contact, and the sharing out of tasks between usually 2 lead professionals and other members of the team around the family and able to ‘plug into’ the services needed from their ‘primary’ agency/ profession. The immediate provision of practical help in areas prioritised jointly by family members and lead professionals encourages the development of purposive relationships. This was expressed by a referring professional commenting on why he had referred an already well-known family with respect to whom there had been two court appearances (for truancy):

*‘a single worker, had been tackling housing etc etc etc- trying to do everything. And kept being told - they didn’t meet the threshold.’*

An interesting difference from children’s services family support and child protection work is that there is more emphasis on professionals’ meetings and less use of meetings attended by parents (e.g. formal child protection initial and review meetings and core group meetings). This is also a very different approach from Family Group Conferences. Attendance of parents and some older children at TAF review meetings increased as the project developed and towards the end of the evaluation period in around three quarters of the cases a parent was a regular attender at TAF review meetings. From the minutes and observations, these focused on reviewing agreed aims spelled out in the care plan, progress towards achieving them or whether a change in plan was needed. When they attended, family member participation was usually high, especially in discussions about the timing of case closure and transition plans.

However, in some cases parents considered that too much attention was paid to their continuing problems rather than achievements. If they felt ‘ganged up on’ by the professionals this could set back the work of the IOWs.

As the project developed, and with the inclusion of more children with respect to whom there was a formal child protection plan, agreements were reached at the first TAF meeting about how FRP processes and formal child protection processes would be arranged so as not to be unnecessarily demanding on the time of parents and professionals.

### **5.4.4 Intensity and duration of service**

The generally agreed pattern of service was for the intensive outreach worker to visit the family home or undertake activities with the parent approximately three times a week in the first phase of the work with phone calls to check on details, make appointments or follow up queries with family members or TAF members. Following the first few visits the pattern was often varied to fit in with the circumstances and other commitments of parents. Also, in some cases, especially in ‘child on the edge of care’ or ‘troublesome older child’ cases the family

IOW, working collaboratively with the lead worker for the child, engaged in activities with the child alone, or jointly with a parent. These shorter visits of between half and one and a half hours were interspersed with longer contacts, sometimes to accompany a parent or child to a clinic or school appointment, sometimes to share a leisure or sports activity as a way of cementing a relationship, getting a better understanding of an underlying problem or pursuing the aim of helping parents or children to become involved in more positive activities.

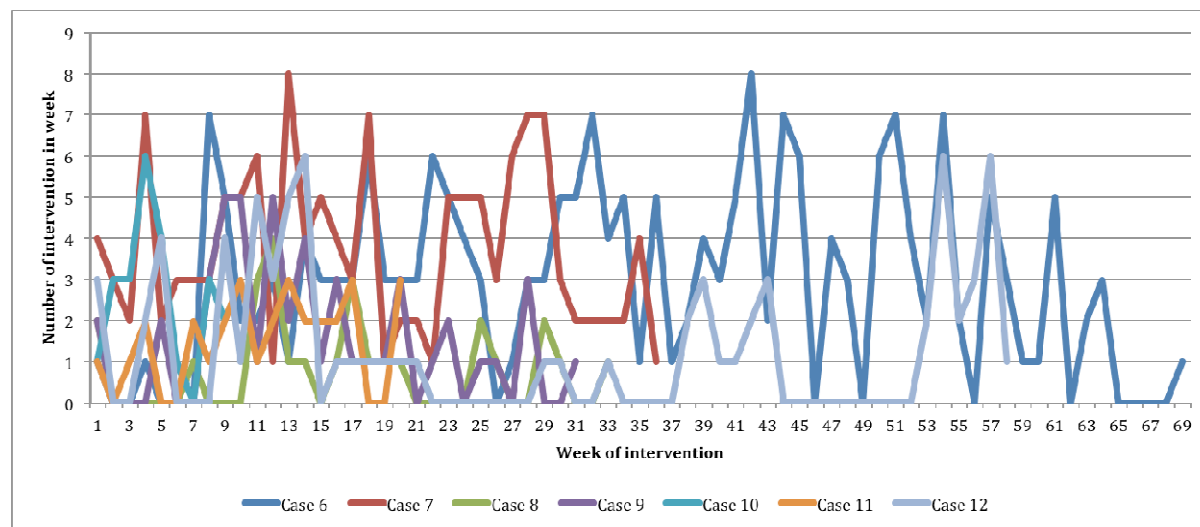


Figure 17 shows the pattern of service intensity and duration for the 7 cases used in the cost analysis (see Appendix 2).

### 5.5 Case review, case closure and transitions

The usual method of case review was a combination of professional supervision of the work of FRP team members, professionals’ meetings held, for most cases, at monthly intervals, and more formal TAF meetings held approximately six weekly. A FRP service manager was the accountable senior professional with respect to the case and chaired the professionals’, and TAF meetings, at which each part of the case plan was considered and progress reviewed.

An important contributor to effective case management and review was the highly functional recording system, starting with the case profile provided by the intelligence analysts and regularly updated. (This team also continued to provide data on reported incidences of anti-social behaviour and court appearances and criminal convictions after the case was closed to FRP and this has fed into the evaluation of outcomes for family members.) Although the intelligence analysts, service managers and FRP lead professionals had access to the Children’s Services integrated children’s system (ICS) records, the FRP used its own case management and recording system (a version of Share Point). As evaluators, we concur with team members in concluding that this is a functional system that met case recording, co-ordination and accountability purposes and kept time spent at the desktop to the minimum necessary for sound practice.

Table 25 gives the duration of the cases and table 26 looks at the cases in terms of a combination of intensity and duration of the work. They show that over a third of the small sample cases were open for 12 months or more (a longer period than envisaged in most ‘model’ intensive intervention programmes) and only 10 (less than a third, for 6 months or less). However, for around half of the families, the service provided was less intensive than in most ‘model programmes’ (see for example Brandon and Connolly, 2006). Just over half of the families (18) received an intensive service that continued with a high level of



engagement for over six months and 8 were receiving a high intensity service up to the point of case closure to FRP - in all these cases with active involvement of another ‘targeted’ or ‘statutory’ service continuing. The most usual length of time for the case to be open with FRP was 9 months, but the range was between 3 and 18 months. All except two of the cases had been closed by the end of the research period (mid May, 2011) following discussions at a TAF meeting, although in some cases the family had already disengaged and was not involved in the case closure or transition discussions. Families who were reluctant to engage usually withdrew in the first few weeks, although efforts usually continued to re-engage them before formal case closure. However, one case in which there was a low level of activity had been open for 8 months, and there was some (tentative) engagement in the work by a parent who then ceased her engagement before leaving the borough. Arrangements were made by the Children’s Services lead professional to transfer the case because of continuing child welfare concerns. In another, the closing summary five months after the first TAF stated ‘much work has been done but the family has gradually withdrawn’.

**Table 25 Duration of cases (months)**

<b>Duration</b>	<b>Number (%)</b>	
3-4 months	3	
5-6 months	7	21%
7-11 months	11	33%
12-17 months	11	33%
18+ months	1	

Note. 2 long-running cases had been open for several months at the time the research ended. This cut-off date is used so this table slightly underestimates the number of the longest-running cases.

**Table 26 Intensity and duration of cases**

<b>Intensity and duration (short: &lt;6 months) (lower intensity = FRP contacts average 2 per week or less)</b>	<b>N.</b>	<b>%</b>
Short term/ high intensity	8	24
Short term: less intensive	5	15
Longer term intensive throughout case	8	24
Longer term intensive-moving to less intensive	10	30
Short term- no/little engagement	2	

In five of the cases, despite some progress, greater clarity about the risks to which the children continued to be exposed led to the case being closed to FRP and fully taken over by a Children’s services team. In four of these care proceedings had been started at case closure and in another, care proceedings were being considered. In all except one of these cases the work undertaken by FRP made it possible to plan entry to care and have a care plan and appropriate placement arranged, thus reducing trauma for the child/young person. In all other cases younger children were still in the household but in some cases older children had moved out into their own homes or, in at least two cases, were in custody.

FRP information analysts reported that, for 22 families where crime and disorder was a concern, there was a 69% reduction in ‘accused offences’ during the 12 months following the start of the service compared with the previous 12 months (Local Government Leadership and City of Westminster, 2010). FRP internal reports (Kemp, 2010, 2011) on the first 79 closed cases found that care proceedings had been initiated in 5 cases and that of 10 cases

with respect to which there was a formal child protection plan at referral, there was no longer a need for formal child protection intervention 6-12 months after the case opened to FRP, but that in four cases there was still a formal CP plan and continuing serious concerns.

As noted earlier, a strength of the Westminster FRP approach to working with families with multiple and complex problems is that membership of the team around the family by community-based or specialist agency professionals allows for continuity or relationships when the case closes to FRP. The professionals who took over accountability for the case benefited from the (in most cases) goodwill engendered by the comprehensive nature of the service and empathic approach experienced by the family members. In some cases, if there had been a lack of continuity of TAF members, a case was 'held' by the IOW with a lower intensity of service until the community team professional (usually a local authority social worker) who was to take on case responsibility could be introduced to family members by the IOW and a 'hand-over' TAF or joint visit could be held.

*The case wasn't with the social services when it was referred [by the duty team] then it was reallocated, then the social worker changed. There was a lack of consistency  
The FRP offers consistency until the family are secure with a social services team.*

Although in a few cases family members had disengaged or moved out of the borough at case closure, in most cases FRP staff took care about how they ended their relationships with family members. In the small number of cases where a new worker taking over case accountability had not been a TAF member, the IOW introduced him or her to family members, using the visit to summarise the progress made and point to areas on which parents or children still wanted to make progress. With respect to around a fifth of these 33 families, although the case was formally closed by the IOW, a specialist member of the FRP continued to have some contact, a possibility made realistic by the fact that some of these had a part time role in FRP and in a community agency. The drugs and alcohol specialist, the education worker, the welfare benefits worker and the employability worker (both of whom also had part time posts in a family centre) were particularly likely to have ongoing contact.

At the time of case closure, only one of the 33 small sample cases was closed to all professionals (other than the generally available services such as health care and schools). There were 9 cases where three or four agencies were named in the transition plan, and 8 cases where five or more professionals from different combinations of adult's and children's social care or education services, community safety or the voluntary sector made up the ongoing 'team around the family'. Looking specifically at the involvement of Children's social care before, during and after the case being open to FRP, there were only two of these 33 cases with which Children's social care 'assessment' 'in need' or 'child protection' services were not involved before the case was referred to FRP and two where there was only very brief involvement by a duty officer. In three cases there was extensive or episodic involvement before referral but the case was not open to a children's social care team when closed by FRP. There were 23 cases (70%) where there had been extensive or episodic children's social care contact before referral to FRP and the case remained open to a social work team when it closed to FRP (table 27).

**Table 27 Involvement of children's services teams**

<b>Extent of involvement</b>	<b>Number (%)</b>	
None	2	
Brief prior- not after	2	
Extensive prior-not after	3	
Brief prior-brief after	3	
Extensive prior and some after	23	70%

Except where a case closed because a family totally disengaged, it was normal practice for the IOW or another FRP team member to contact the parents around three months after case closure to show an interest in how the family was doing and offer any advice that might be needed. Notes of these conversations were placed on the family's file. The team was receptive to the need for a case to be re-opened, as happened with one family during the research period. In another case the domestic violence worker and the police service team member responded to an urgent request for help when a violent partner came out of prison. There were at least two cases out of the hundred when young adult family members set up their own households and FRP awareness of their vulnerability and the good relationships built up led to the 'new' family becoming a 'FRP case'. In these cases, the usual referral processes were by-passed so that appropriate help could be provided quickly by a known and respected professional.

## 6. Evaluation of the services provided in small sample cases

### 6.1 Case aims and extent to which they were achieved

The closing TAF meetings and summaries recorded and reviewed the aims set out in the contract and case plans and considered whether they had been achieved (tables 28 and 29). Because each case plan was put together around the needs and goals of the family the aims do not easily fit into the categories for which the national evaluators collected data.

**Table 28 Case aims/goals and % of the 33 cases where this aim was achieved- including some where it was added as an aim in the course of work (percentages do not total to 100% as some aims did not apply to some families)**

Case goals	number of cases in which this was a goal	% cases in which fully achieved	% cases in which partially achieved	% cases not achieved
Improve engagement with services	26	16	44	20
Improve relationships between adults*	7			
Improve parent/child or sibling relationships (*outcome for any family relationship improvement)	18	13*	41*	22*
Enhance parenting skills	26	20	38	22
Enhance safeguarding	23	13	42	19
Improve mental health of parent/parent figure	21	10	36	16
Improve physical health of a parent/parent figure	15	7	27	13
Reduce drug/alcohol use any adult in household	14	7	22	16
Reduce domestic abuse between adults in household	15	16	20	13
Reduce level of anti-social behaviour adults/ teenagers	14	20	13	11
Encourage engagement in positive activities	22	20	32	20
Review benefits/ reduce family debt	18	35	12	7
Prevent eviction and/or	11			
Enhance quality of housing	20	28	15	20
Increase employment/employability	12	3	17	22

These tables do however give an idea about the particular aims which were most likely to be fully achieved. These tended to be those prioritised by the parents themselves, with reduction of debt, engagement in positive activities, and anti-social behaviour of children being more likely to be achieved than, for example, the full achievement of the aim to reduce drug or alcohol intake or domestic abuse.

**Table 29 Case aims/goals for children and whether achieved (number of cases and percentage of 33 cases in which this aim achieved/ not achieved )**

<b>Aim/goal</b>	<b>Number of cases this aim in initial plan</b>	<b>% in which achieved</b>	<b>% in which aim partially achieved</b>	<b>% in which aim not achieved</b>
Improve mental health of child/ren	12	*		
Improve physical health of a child/reduce impact of a child's disability	9	*		
Improve behaviour of child/ren	19	10	33	16
Reduce impact of parental health problems on child/ren	3	6	7	3
Reduce impact of parental mental health problems on child/ren	12	*		
Reduce impact of domestic abuse on child/ren	13	*		
Reduce/prevent offending by a child/ young person	15	*		
Increase school attendance	18	11	45	0
Improve educational attainment	18	10	32	14
Improve further education/employment of young person	4	2	5	0
Arrange/improve nursery attendance	6	6	3	0

*\*Outcome not differentiated between adults and children in household in recording system or not routinely specified in records or at case closure*

High priority aims for IOWs, shared by most parents but conceptualised differently, was the improvement of parenting skills and engagement by themselves and their children in positive activities and these goals were likely to be at least partially achieved. It is encouraging to note that there was only one family in which the goal of improved school attendance was not achieved at all. Where little or no progress was made in improving school attainment, this was largely attributable to the short time scale for the work and the evaluation. When goals were not achieved at all, the records indicate that this was not for want of effort by workers, and that in most cases the family members themselves made some attempt to achieve agreed goals. Where an aim was not even partially achieved, this was usually attributed to lack of engagement (with respect to 24 of the agreed aims) compared to the 18 agreed aims where parents and workers were unsuccessful despite making some attempt to achieve them. Lack of engagement was most likely with respect to the aims of reducing domestic abuse, substance abuse and improved parenting. Only with respect to the aim of improvements in housing conditions was there no success in some cases despite the engagement of parents.

## 6.2 Conclusions about the impact of the FRP service on these families

In the light of all the available evidence on these 33 cases (a one third sample which was broadly representative of the first 100 cases) we were able to reach conclusions about the interim outcomes for the children; about changes over the period of FRP service in the overall wellbeing of the children and parents; and about changes in parenting capacity.

In 57% of the small sample cases (table 30) there was discernable improvement in the wellbeing of all the children in the family, and in only one case could no improvement be identified in the wellbeing of any child in the family, or there was a deterioration. In the four cases where there was deterioration in wellbeing for one child and improvement for one or more, the deterioration was usually with respect to teenagers and improvement with respect to younger children, which could be attributed to improved parenting. In the 9 cases where there was no change, or the position of the children had been clarified to facilitate better long term planning, we would argue that, given the extent of difficulties at referral, and the extent of non-engagement or ‘false compliance’ at the time of referral, even halting a deteriorating situation, and the families continued engagement with services, is a positive outcome.

**Table 30 Changes in children’s overall wellbeing (researcher rating)**

<b>Interim outcome</b>	<b>Number of families</b>	
Deteriorated for one/no change for other/s	1	
Deteriorated for 1 / improved other/s	4	12%
No change only child or all	7	21%
Some improvement all	12	36%
Marked improvement all	7	21%
No change but greater clarity has enabled coherent child welfare plans to be made	2	

There was an improvement in the wellbeing of the ‘main’ parent/s in just over half of the small sample families (although not necessarily in the same families as for the children) but there was no discernable improvement with respect to 42% and deterioration in 2 cases (table 31). However, in 63% of cases there was evidence of improvements in parenting competence with deterioration in only one case (table 32).

**Table 31 Interim outcome for ‘main’ parent: change in wellbeing (researcher rating)**

<b>Change in parent wellbeing</b>		
Deteriorated	2	
No change	14	42%
Some improvement in some areas	8	24%
Much improvement	9	27%

**Table 32 Interim outcome change in parenting competence (researcher rating)**

<b>Change in parenting capacity</b>		
Deteriorated	1	
No change	11	33%
Some improvement in some areas	14	42%
Much improvement	7	21%

Positive results were most likely to be found with respect to improvements in material circumstances, where there was improvement for three quarters of the small sample families (table 33). As well as contributing to the quality of life of parents and children, it can be hypothesised that these changes will have resulted in a reduction of anxiety and stress in the

families, which is likely, in future months, to have an impact on wellbeing. Practical assistance was also seen by parents as evidence of a commitment to address issues that mattered to them, and therefore contributed to families' willingness to engage, not only with the FRP team but also with community TAF members. There was evidence that this willingness to engage with services continued for many of the families after case closure.

**Table 33 Interim outcome: changes in material circumstances of family (researcher rating)**

<b>Material circumstances</b>		
No change	8	24%
Some improvement	15	45%
Substantial improvement	10	30%

Given the serious problems of a large proportion of the children at the start of the service, even substantial improvement may still not bring the level of wellbeing of some adults and children up to the average. Table 34 shows that in less than a third of the families was the wellbeing of all the children rated as at least average (when compared to a child with a similar disability living in similar neighbourhoods and economic circumstances). This makes it even more important for satisfactory transition arrangements to be in place at case closure. For families to be engaging positively with universal and targeted service at case closure should be included as a positive outcome measure in the ongoing monitoring and evaluation of the FRP service.

**Table 34 Interim outcome: overall wellbeing of child/ren (researcher rating)**

<b>Overall wellbeing</b>		
All below average	13	39%
One/some below average- one/some average	10	30%
All average	10	30%

**Table 35 Overall interim outcome for family following FRP service (researcher rating)**

<b>Interim outcome for family</b>		
Unsuccessful: No change in wellbeing of adults or children	4	12%
Some aims achieved, still serious problems, family not accessing help	4	12%
Some aims achieved still serious problems, family accessing help	4	12%
Some aims achieved, still some problems, family accessing help	7	21%
Successful: most aims achieved- still some problems, family managing/accessing help/ likely to seek timely help in future	8	24%
Successful. Aims mainly achieved, family managing well. Children's wellbeing satisfactory	2	6%
Still serious problems but FRP service helped to achieve a coherent case plan to improve wellbeing	4	12%

Table 35 gives a composite researcher rating of the overall success of the FRP work with these 33 families. Eight cases (just under a quarter) were rated as 'unsuccessful' in that either

no family member engaged with the service, no discernable change was achieved, or, despite the achievement of some aims there were still serious problems and family members were not engaging with services at case closure. Ten cases were rated as successful and in 15 cases some aims had been achieved or the position was clarified to allow for a clear way forward in improving the children's (and in some cases also a parent's) wellbeing (i.e. at least a partially successful outcome in just over three quarters of the small sample cases (76%)).

### ***6.3 Costs and benefits to FRP, Westminster Children's services and longer term services across WCC and beyond***

#### **6.3.1 Costing the Family Pathfinder Interventions**

It has been estimated by the FRP team and the national evaluators that the average cost per family is in the region of £19,000 (York Consulting, 2011). These figures are obtained using a 'top down' approach taking the aggregate direct (staff employed within the Pathfinder team) and indirect (professionals brought in that were external to the team) costs and averaging this over the number of 'completed' families.

These costs are inevitably an over-estimate of the costs of on-going work once the team is established and funding secured. They include significant set-up costs: the Pathfinder teams had to be established, publicise the service aims and methods within WCC so as to ensure appropriate referrals and information for families who might benefit from the service: key workers and specialist team members had to be recruited and trained and a pattern of individual and teamwork established. Also, the project funding was time-limited and FRP managers had to invest a significant proportion of expensive professional time to ensure the continuity of the programme beyond the pilot period. A further reason to believe that these are over-estimates is that the costs were averaged over 'completed' cases and so do not capture the time spent on discussing cases or visiting families which were not suitable or eligible for pathfinder support (as Table 1 shows, only 44% of the 306 referrals were offered and accepted a service).

As mentioned in the York Consulting (2011) report, an alternative approach to costing the intervention would be to take a 'bottom up' approach and to estimate costs according to the time allocated to each family by the professionals involved. This methodology would perhaps provide a more accurate indication of the ongoing costs of working intensively with families with complex and multiple problems: it would also allow an insight into the diversity across the 15 Think Family Pathfinders and associated costs.

Seven case studies are taken to illustrate the 'bottom up' costing methodology (including only FRP costs and not the time of the TAF members from community or 'outside' specialist agencies – see Table 36. (See Appendix 2 for details of methodology and sources.) The FRP work-logs indicate which FRP professionals were involved in interventions with the family on a weekly basis and the length of time allocated to each intervention. In addition the method of intervention - face to face in the family home, face to face in a professional setting, telephone or email – was recorded, these data are used to estimate the costs of travel associated with meetings in the family home. The administrative support given to the team is excellent and, alongside a social work manager, an intelligence analyst or administrative worker would usually be involved with general case management. Although this is not reported in the work-logs, the cost of this is estimated by including the salary costs of an administrative officer for each General Case Management intervention recorded in the work

log. There is a well-established method for estimating the overall costs associated with providing social care set out in the annual - Unit Costs in Health and Social Care. These unit costs incorporate estimates for infrastructure – office space, administrative and HR support – plus the costs of initial and ongoing training. We match the professionals involved with the FRP interventions with an equivalent worker – based on salary and role.

**Table 36 Bottom-up cost of seven cases illustrating the range**

		<i>Salary only</i>	<i>Plus estimated travel</i>	<i>Costs Plus administrative support</i>	<i>Unit costs</i>	<i>Unit costs plus training</i>
Case 6	68.75	£1,043	£1,986	£2,299	£4,487	£5,066
Case 7	45	£684	£1,409	£1,651	£3,693	£4,677
Case 8	11.5	£157	£311	£358	£849	£938
Case 9	14.75	£214	£291	£406	£922	£1,235
Case 10	14.75	£223	£348	£437	£940	£1,164
Case 11	12.5	£179	£251	£354	£653	£744
Case 12	42	£582	£904	£1,054	£2,339	£2,649

Four of the seven case studies record between 10 and 15 hours of staff time directly involved with the family, two between 40 and 45 hours and one involves just under 70 hours. The estimated costs calculated on salary alone are low, ranging between £157 and £1,043. The estimates rise as travel, administrative support, infrastructure and training costs are included. The upper range is £744 to £5,066, which is considerably lower than the ‘top down’ estimates. Even interventions with identical inputs in terms of hours can result in different estimates of costs given the different composition of staff or location of intervention.

Just as the ‘top-down’ costings were over-estimates, these ‘bottom-up’ costings are likely to significantly under-estimate the per-family costs. The accuracy of the work-logs is clearly key to the reliability of these estimates. One test of the robustness of these data is to cross refer them with other measurements of the same intervention where they are available. For example, in case 6, where full case notes as well as the work-logs are available, the total hours of intervention recorded in the work-log is 68.75, whereas 99 hours are recorded in the case notes. A second issue is that where the work-logs record the direct involvement of a less experienced professional, say an intensive outreach worker, whose work is monitored or supervised by someone more senior within the office the time associated with supervision may not be recorded as it does not relate directly to the case. Finally, the Family Pathfinders hold six weekly Team Around the Family (TAF) and other Case Management meetings but the details (duration and composition of attendees at these meetings) are not always fully recorded.

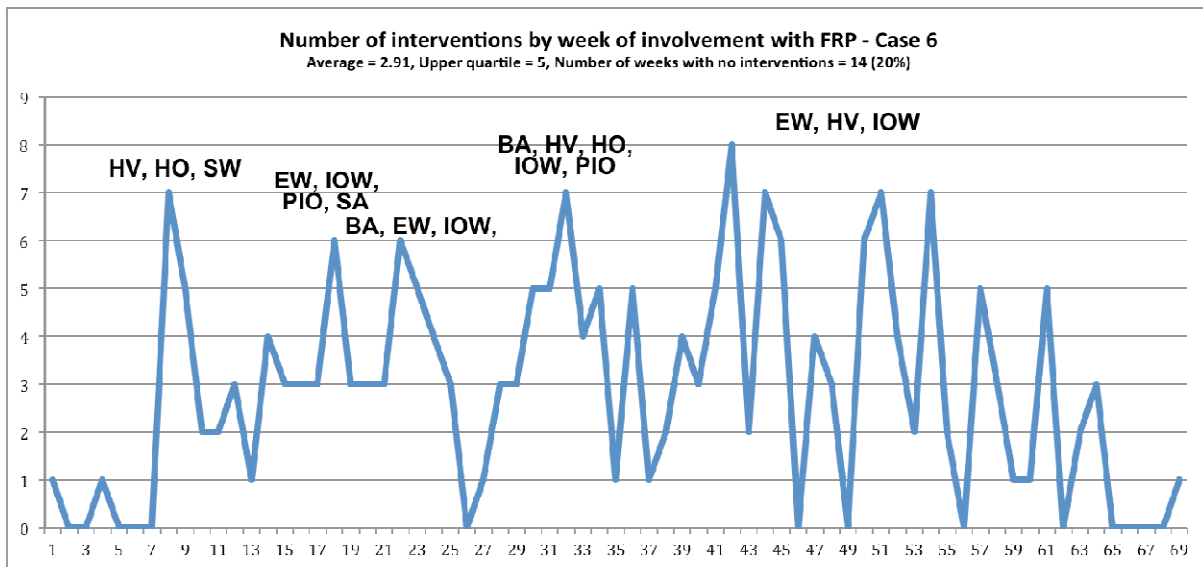
Three cases are selected to illustrate ‘high’ ‘medium’ and ‘low’ cost FRP cases.

***Case 6. A high cost, high intensity and long duration case: several aims achieved but statutory service needed at FRP case closure***

*This lone parent family was referred by an Education worker due to persistent and long standing concerns about the educational attendance and attainment of the two children. One child was also considered to be disruptive when attending school and education welfare were in the process of taking proceedings (for the second time) against the mother because of high levels of truancy. The FRP IOW’s initial work involved establishing a relationship with the mother who was very reluctant to engage and felt that professionals ‘were against her’. The IOW also went through*



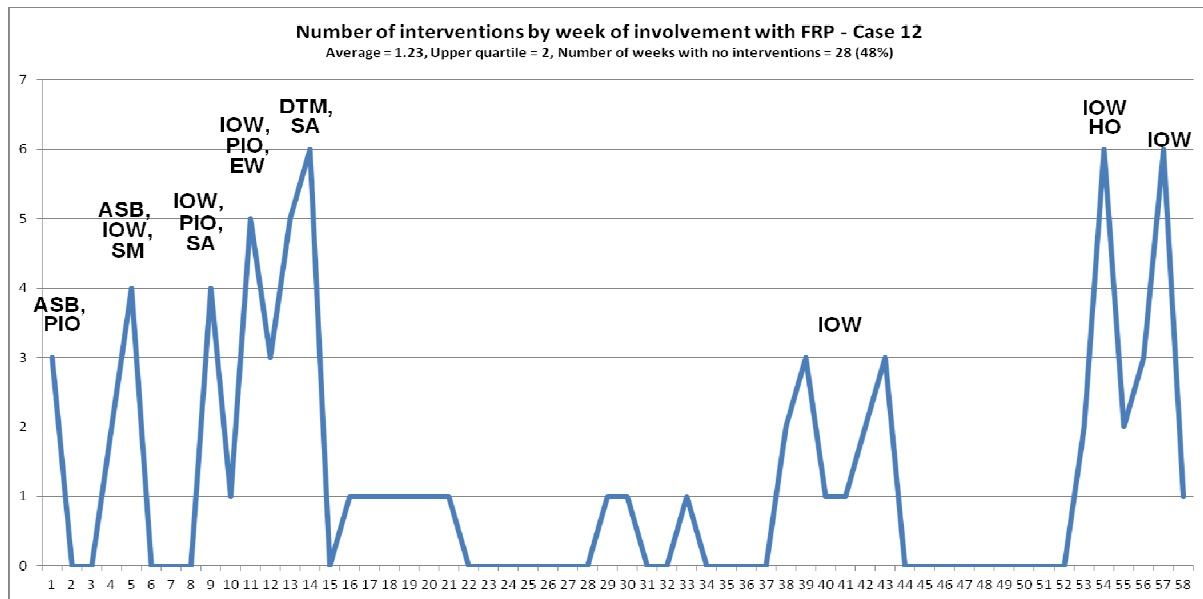
children's services and other agencies' records and constructed a family history and case chronology to help her understand why previous attempts to help the family had been unsuccessful. The benefits worker provided advice and support in relation to the legal process which initially created some tensions with other agencies. The mother persisted with the claim that health difficulties underpinned her children's non-attendance. One child was diagnosed with a chronic health condition. FRP IOW spend much time working with routines and reinforcing health routines. Housing difficulties were identified and FRP benefits and housing specialists were involved in getting the family re-housed and ensuring benefits were being claimed. The family appeared to be more stable after 12 months of engagement with FRP workers. However, relationships with the mother started to breakdown. One child remained at risk of permanent exclusion and with poor attendance increasing again, legal proceedings were being considered just after the case was closed to FRP. This family is likely to need a lower intensity, longer duration service, with periods of more intensive intervention, until all the children reach adulthood.



Estimated Unit Cost plus training £5,066

Staff roles – Benefits adviser (1.5 hours), Education worker (18 hours), Health Visitor (11.75 hours), Housing Officer (2.25 hours), Intensive Outreach Worker (25.75 hours), Police Intelligence Officer (0.5 hours), Senior Analyst (0.25 hours) Social Worker (8.75 hours).

**Case 12. A medium cost case- long duration with varying intensity of service provision: some aims achieved but statutory services still needed post-FRP**  
This family was referred to the FRP as the teenage children were involved in anti-social behaviour, especially related to binge drinking. The mother also had mental health and alcohol difficulties. The mother was supported with building family routines and clearing up the house so the family could manage everyday activities more easily. FRP also worked with the family on financial issues, including an application for ESA. NOSP was also involved during the FRP intervention as was a YISP worker. At the end of the intervention the young people were considered to be doing well in education. A referral to mental health services was made and the mothers drinking was less problematic as the intervention concluded. The mother was also referred to a family centre where she had been receiving counselling. Professional opinion was that the parental partnership was harmful to the children's wellbeing and detrimental to the mother's mental health, however the mother refused to acknowledge this and no work was undertaken on this aspect.



Estimated Unit Cost plus training £2,649

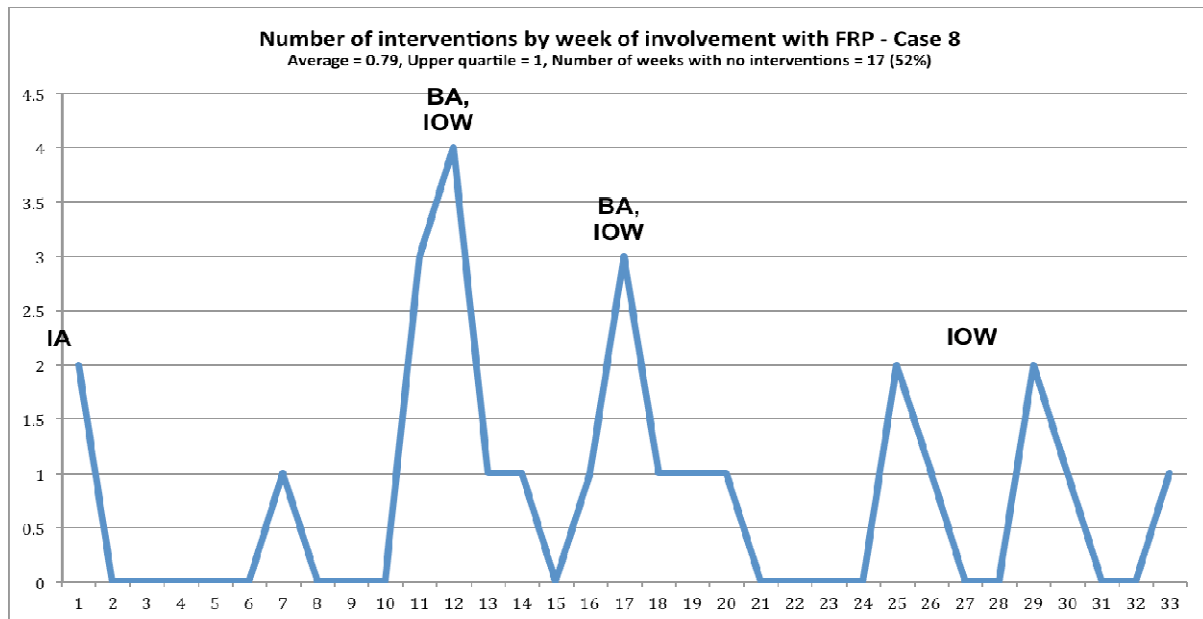
Staff roles – ASB Case worker (0.75 hours), Benefits Advisor (6 hours), Deputy Team Manager (4 hours), Education Worker (0.25 hours), Housing Officer (0.25 hours), Intensive Outreach Worker (28.75 hours), Police Intelligence Officer (1.25 hours), Senior Analyst (0.5 hours), Service Manager (0.25 hours).

**Case 8 A low cost, medium duration case with a successful outcome**

*Refereed by a local social work team this family were living in overcrowded accommodation in poor repair. The family had significant financial difficulties. The mother and father were separated, although they were on good terms and the father still saw the children. The core problem was that the children were at risk of entering care as they exhibited challenging behaviour and the mother was unable to control this, with little family routine, behavioural boundaries or appropriate parenting. The behaviour of the children was better when staying with other family members.*

*The family was receiving support from a family centre and the FRP work centred around developing parenting skills. A financial plan was put in place by the benefit adviser to manage the debt. The father was in work but unwilling to assist the mother with money.*

*One child was referred to a speech therapist to assist with language development. Older children were linked into reading recovery programmes and learning support. The family was re-housed during the FRP intervention and this helped them to settle into a routine which was supported by the IOW. The mother aims to return to work and the employability worker was involved towards the end of the FRP intervention.*



Estimated Unit Cost plus training £938

Staff roles – Benefits Adviser (3.25 hours), Intelligence Analyst (3.5 hours), Intensive Outreach Officer (4.75 hours).

Table 37 gives a broad estimate of the proportion of the 33 small sample cases that were high, medium and low cost to FRP and to the other agencies over this period of FRP service provision.

**Table 37 Variations in cost to FRP and to other agencies**  
**Costs to other agencies**

Cost to FRP	Low	Medium	High	Total
Low	1	3	4	8
Medium	3	5	4	12
High	1	2	10	13
Total	5	10	18	33

Table 38 predicts the likely need for specialist and statutory services over the short and longer term.

**Table 38 Prediction (researcher rating) of future service needs (all family members) at case closure to FRP**

Likely service needs	Number of families	%
Short-term/ not intensive then remain closed	3	
Short term intensive/ then remain closed	1	
Long-term episodic	16	48%
Long term intensive	8	24%
One or more children in long-term care	3	
Young person in prolonged custody	2	

Given the complexity of the difficulties experienced by the majority of these families at the time of referral, the reluctance of many of the parents and older children to engage with services, and the chronic nature particularly of some of the physical and mental health problems and addictions of some of the parents and children, it would be surprising if a relatively short intervention, however intensive, were to completely mitigate the likely future cost. We estimated that just under half would need longer term episodic but less intensive children's and/or adult social care services, and that over a third (39%) would need longer term intensive adult, criminal justice and/or children's social care services. When putting together the long term needs and problems of parents and children, we estimated that in 14 of these families (over a third) parents and/or children would require high cost services from one or more agencies as the children grew up: that 10 would require moderate expenditure and only 9 would not consume more resources than the average family living in a similar area, coping reasonably well with a similar health problem or disability (table 39).

**Table 39 Likely future costs to adults, children health, social care and justice services**

	<b>Frequency</b>	<b>Percent</b>
Low	9	27
Medium	10	33
High	14	42
Total	33	100

However, on the evidence available, a case can be made that intensive multi-agency intervention at this stage will have had a positive impact on likely future costs. There was evidence that, as a result of the FRP intervention:

- some children on the edge of care will remain safely in the care of their families;
- some families had not been evicted who would have been without intervention
- at least half of the parents had stabilised their lives and were thinking positively about future employment ;
- some young people on the verge of criminal careers had pulled back from gang membership and criminality;
- some mothers had decided to end their relationship with violent men;
- some addicts had reduced their alcohol or drug intake, with consequent benefit to their own mental and physical health and their children's wellbeing;
- the majority of the parents had given serious thought to how they could reduce the impact that their own problems were having on their children's life chances and taken some steps to make necessary changes.

On the basis of our scrutiny of the work with these parents and children, a strong case can be made that the intervention of FRP will have reduced long term costs in almost half of these cases, that a case could be made for this in another 11, but that the work will have had little impact on long term costs in 6 cases (Table 40). Data on outcomes with respect to these

variables for the first 52 closed cases are available in the Local Government Leadership and City of Westminster Report (2010).

**Table 40 Is there evidence that FRP involvement is likely to have reduced future costs?**

	<b>Frequency</b>	<b>Percent</b>
No	6	18
Some indications	11	33
Strong evidence	16	48
Total	33	100

## 7. Summary and Conclusions: The place of FRP in service provision for vulnerable families in Westminster

Overall, we conclude that FRP has provided an effective service for the majority of these vulnerable ‘hard to engage’ or ‘hard to change’ families. With careful monitoring of referrals, and especially with care taken to avoid a prolonged waiting period before the first visit to the family and initial TAF meeting, and care about the timing of case closure and transition arrangements, the service should continue broadly as now. Decisions about the characteristics of families to be accepted by FRP in the future may lead to the conclusion that additional specialists either as team members, or with a formal link to the FRP, would be appropriate. However the central characteristics of the service should remain:

- a flexibly delivered intensive outreach service, with objectives phased and intensity and duration set according to parents’ and professionals’ agreed priorities
- a lead professional for the child (usually from Children’s services if there are child protection or ‘edge of care’ concerns) and a FRP lead professional for the parent/s or family as a whole
- provided from a multi-disciplinary team base
- with a strong social work professional ethos, consultation and case management,
- together with robust links with the community based professionals who are members of the teams around the families.

The fact that most families continue to need a specialist or statutory service at case closure is to be expected. Effectiveness will be enhanced by continuing attention to securing a co-ordinated approach with the longer term services provided by locality teams, including the Locality Young People’s Service (LYPS), neighbourhood family centres and specialist services for parents and young people with mental health, addictions and chronic relationship difficulties and criminality. Whilst close liaison with the specialist child protection and looked after children’s teams is necessary for only a minority of cases, good links at service manager level are essential and there may, in a small number of cases, be scope for co-working with a support/therapeutic foster care service during FRP intervention.

FRP is one amongst the small number of pioneering specialist teams that are contributing to the growing knowledge-base on how to engage and then make a difference to families with complex problems. We concur with the evaluators of the IIP projects who conclude:

*‘Rather than attempting to identify one project or model of delivery that is most effective there is a need to recognise that a range of initiatives and approaches are required to achieve positive outcomes with a diverse range of young people and families. However, holistic whole family approaches, multi-agency partnerships, a key worker, intensity and longevity of engagement and access to specialist and statutory support services will be common elements of successful approaches (Flint et al., 2011, p 131).*

### ***7.1 Did FRP reach the families it intended to reach?***

The quantitative and qualitative data support our conclusion that all except a small minority of the families (somewhere between 5 and 10 of the first hundred) who were offered, and at least initially took up the offer of a FRP service, were families with multiple and complex needs in which at least one child was suffering or likely to suffer significant harm or significant impairment to their development if difficulties were not appreciably alleviated. When comparing these families to those reported on in the national evaluation of the 15 *Think Family* pathfinders, our analysis indicates that a larger proportion of the FRP families was at the more vulnerable end of the continuum served by these projects. (69% of those accepted for a service by the 15 *Think Family* pathfinders were at the ‘specialist’ or ‘statutory’ level of the continuum (York Consultancies, 2011) compared with our estimate (on the not unreasonable assumption that the one third sample on which we had additional information is broadly representative) that at least 90% fitted into these service needs levels.

### ***7.2 Did the provision of an FRP service succeed in alleviating identified difficulties?***

We concluded that in around 63% of the small sample families sustainable improvements in wellbeing had been achieved for at least some family members, and that in a further four cases, the work of the FRP resulted in clarification of a complex situation allowing a clear plan to be made for safeguarding and promoting the welfare of some very vulnerable children. Only four of the small sample cases (an estimate of around 12% of the total accepted for a service) were rated as unsuccessful in that no positive change was achieved or there was deterioration in the general functioning of the family, with a further four at risk of slipping back because they were not accessing appropriate services at case closure.

### ***7.3 Was the provision of an FRP service associated with improved well-being for adults and children in the families?***

Achievement of aims does not in itself lead to improved well-being. For example, two frequently cited aims were for a risk assessment to be made of a parent or for a parent to attend a parenting or therapy group. These are ‘output’ measures and may or may not be linked with (or ‘proxies’ for) better ‘outcomes’ in terms of parents or children’s improved wellbeing.

From the rich data available and interviews with FRP workers it was possible to follow an agreed rating protocol and rate the well-being of adults and children in the families at the start and end of the service. From this we were able to reach conclusions about changes in wellbeing. Additionally, irrespective of any change achieved, we considered, whether there was evidence that the children were of at least average wellbeing at FRP case closure. Since there was no control or even comparison group, it is not possible to say that the service ‘caused’ any improvement; only that any improvement or deterioration that occurred did so over the period when the service was being provided. Baseline data were available that showed that most cases were referred because prior to referral the wellbeing of children in the family was causing concern and that earlier services provided appeared not to be having an impact on child or parental functioning or wellbeing.

Given the high level of vulnerability and the comparatively short duration of the FRP service, it is no surprise that, even though in most cases some aims were achieved, only around a third could be rated as 'successful' overall. Even in the 'successful' cases the wellbeing of an adult or a child in a large majority of the families was rated as 'below average'. Despite improvements in the wellbeing of at least one child in around 57% of families, in only 39% of the families could the wellbeing of all the children be described as at least 'average' (when compared with a child of a similar ability level or with a similar disability in a similar economic group). This was recognised in the arrangements for case closure in that only around a quarter of the families were no longer receiving a 'specialist' or 'statutory' service either from Children's services teams or the Youth Justice services when the case closed to FRP. Our prediction (table 38) was that around half of the families would need a long term lower intensity or episodic service from a specialist service catering for the needs of vulnerable families (a Children's service locality or adolescents team or a neighbourhood family centre); that around a quarter would need a more intensive service for at least a period and that in around 15% of cases children would need an out of home care service or a child or young adult would spend considerable periods in custody.

We concluded, that, in just under half of these cases the long term costs of the provision of services to these families would be high; and it would only be low in around a quarter of the cases. This is, of course, the predictable result of FRP being successful in its aim of providing a service to the most troubled families with complex needs. There was strong evidence to support our conclusion that the work undertaken by FRP will have made a contribution to reducing long term costs in around half of the cases, and to some extent in a further third, with no discernable impact in around a fifth of cases. The FRP contribution could be identified by evidence of reduced difficulties of parents or children; improved capacity of parents or children to cope with chronic difficulties or disabilities; or clarifying the situation so that these subsequently needed services would be more effective because based on a clearer understanding of child/s or adult's needs and the sorts of services they were most likely to benefit from. A manager said:

*Sorting out the mess - we can do well for some - some of them can easily be closed. Eg complex immigration or welfare benefits/debt/housing cases. But very few will be off the books [of Children's Services] when we close them.*

#### **7.4 What are the characteristics of families with whom the FRP approach appears to be most successful?**

From a detailed consideration of the families and interviews with workers we conclude that FRP is most successful, and a most appropriate and cost-effective resource, for families with multiple and complex problems, most of whom have histories of involvement with family support or child protection services but where there is evidence that they are either 'hard to engage' or 'hard to change' (see Thoburn, 2009) for definition). 'False compliance', or parental and older child inability to maintain momentum once a crisis is over, has been compounded in the past, for many of these families, by specialist adult and child mental health services, support workers within schools or children's social care teams 'giving up on them' or by duty and assessment or child protection teams concentrating on 'assessment' at the expense of 'helping'. There is a history for several of a revolving door of repeated assessments and short term crisis-based interventions, when for at least half, a planned lower intensity/ longer duration or episodic service provided by the same team or setting would be more likely to be effective, and, given the cost of repeated assessments, probably cost no more. One of the positive results of FRP involvement is clarity about the shape of the longer



term service that is most likely to be needed (and cost effective) for the families the team has worked with.

Another group of families for whom the FRP services appear to be associated with positive outcomes is those where there is evidence of parental warmth and competence but where a period of 'acute distress' or linked problems of the parents spill over onto their care of the children. These include parents with mental health difficulties or addictions who are receiving an inconsistent service from adult mental health teams or whose diagnosis does not result in them crossing the threshold for a planned service. Past or current domestic abuse (including abusive behaviour from teenagers to parents) is sometimes part of the profile of these families.

Both groups have in common that complexity is increased by material problems including debt, unclaimed welfare benefits, inadequate housing or the threat of eviction, or by legal or immigration issues.

In most cases one or more of the children has an emotional, behavioural or physical difficulty, or is reacting negatively to parental stress, which in turn impacts on school attendance or attainment. In some cases challenging behaviour at home or in school, conflict between siblings, or with peers or neighbours, or criminality in teenagers are the result of long term and often unrecognised emotional neglect (Stein et al, 2009).

Perhaps most important in signalling that a referral is appropriate, is that a professional has recognised a 'turning point' which may indicate that an intensive service at this point in time may result in engaging the family in working towards change. This can be linked with the 'care with consequences' / 'rewards as a consequence of engagement' approach of FRP.

In summary, the FRP approach appears to work best with families where there is complexity and 'muddle' which has to be sorted and cut through before more deep-seated issues can be worked on. This complexity may be long term or may have resulted from a fairly recent set of 'shocks' to the family system. In addition there has to be an indication that a turning point has been reached or a crisis recognized, and some evidence that parent-child relationships are 'good enough' to make their preservation worth working for.

In contrast it was possible to tentatively identify the characteristics of families for whom the high intensity (and comparatively high short term cost) of the FRP service and the commitment of other TAF members was either less successful or not a good use of resources. These tended to be families where there was already a degree of clarity about the surface and underlying problems, who were already being provided with a service by specialist and/or statutory agencies, but where the existing 'team around the child' had become 'stuck'. These might be described as 'last chance' referrals – try another specialist service just in case. In these cases, it might be a better strategy to incorporate some of the positive aspects of the FRP service into the services already being provided instead of referral to another, essentially short term service (see paragraph 7.6)

### ***7.5 What is it about the approach and practice of FRP professionals that is associated with more successful outcomes?***

As with most innovative 'pushing out the boundaries' projects, it is difficult to capture in an evaluation report the 'chemistry' that was forged between team members, and to quantify the contribution to success of the high morale, team work and energy of this small group of workers from disparate professional backgrounds bringing in different prior experience. At a time when there are reports of staff vacancies and low morale in many social care

departments (as for example reported in the Munro Report, DfE, 2011) it is important to note that all those interviewed reported high satisfaction with the way they were enabled to work with families, and this was also clear in our observations of the team at work. These comments from an experienced health professional and a voluntary sector worker reflected those from others who joined the team, or were seconded on a part-time basis, having previously held a less than wholly positive view of children's social care practice.

*I loved it. It was an extraordinary experience. It was a real blessing to come and work here - away from silos- having the resource within FRP to work in a multi-disciplinary way. It set me up for the direction services are going in: working in a multi-disciplinary team.*

*We've always had that link which has got stronger since I've been here. I've got to value working with social workers.*

*It overwhelmed me when I came here. All in one big room - just being able to walk over there and say 'I've just seen Bill- how are things with the family?'. As a practitioner, it is much easier to know where things are going. And for the family too.- how to guide the client through their journey.*

The two essential ingredients of the FRP approach that can be discerned when families become engaged and some improvement in wellbeing is achieved are flexibility and the provision of a dependable relationship with at least one energetic, committed and caring professional who refuses to be put off if a parent or child goes through a spell of being confrontational or less than fully engaged. Family members want to be convinced that they 'matter' to the members of the FRP team who provide them with a service. During the work, and at case closure, this can result in what one FRP worker described as a 'redefinition of the family' so that progress made during this short term intensive intervention can be maintained, and the goodwill engendered 'rubs off onto' other members of the team around the family previously seen as unhelpful or hostile. A mother caring for two children whose earlier born children were in care or adopted said:

*Since I've been with you people - its not like social services - they pounce and take your children away. All that going to court - it all costs money.*

An IOW commented that she thought that because FRP modelled the approach of 'hanging on in there' with families, other members of the team around the family (in this case she was referring to teachers, but it could equally apply to social landlords) were more likely to revise their approach and reassess how they could provide more positive help.

Going back to flexibility, the approach is the 'classic' psycho-social casework approach of 'start where the client is', which in most cases means an initial emphasis on practical assistance to deal with a crisis, an immediate threat to family cohesion, or a deteriorating financial or housing situation. Because a 'potential for change' moment has been recognised at the referral stage, the phase 1 care plan combines the priorities of family members with the agenda of the professionals: it takes on board the necessity of improving the situation for the children, usually by also improving the wellbeing of the parents, and intra and extra-family relationships.

*With some families suspicion is so deeply entrenched. They need to be at a point in their lives when they realise they need intensive support.*

Flexibility was also noted in terms of the duration and intensity of the service, both being negotiated with family members and TAF members. This flexibility is illustrated by the involvement charts in paragraph 6.3.1. These charts illustrate how the FRP approach differs from some of the ‘model’ intensive intervention programmes.

In order to maintain momentum, and convince parents and children that change for the better can be achieved, energetic, caring and professionally supported IOWs turn their attention and skills to whatever they and the family members agree needs doing. The strong emphasis on improving parenting is appropriate given the identified problems with parenting in the majority of cases, and IOWs used their parent training skills and aspects of model programmes to good effect. However a too narrow focus on parenting skills at the expense of tackling other problems parents wish to be helped with, could be counter-productive and result in disengagement. The readily available back-up of the specialist team members, who provide a specific service to a family member or use their expertise to provide the IOW with specialist consultation and links to community resources, convinces family members that they do matter and their own aims will be worked on. We saw evidence of this in the way that the draft care plan agreed at the initial TAF meeting was sometimes changed if it did not sufficiently address the issues identified as priorities by family members. The IOW and the FRP team ‘keep the child in mind’ but, because they work jointly with a lead professional for the child, they can focus fully on improving the situation for the parents or older siblings.

A centrally important aspect of the FRP service is that this is a small ‘compact’ team – in terms of office base and team identity. There is clarity that the over-arching professional identity is that of child and family social work, and this is essential if the team is to confidently and safely accept cases where children are at risk of significant harm. However, respect for the roles of the business support and intelligence analyst teams as well as the management and specialist practitioner team members was much in evidence and was regularly re-enforced by training events and team meetings.

It is unlikely to be affordable for services to all vulnerably children and families to be delivered in this way, nor do most families, even those with complex needs, want or need this intensity of service other than for a comparatively brief period. However, for those that do, this model of team organization appears to be an important aspect of its more successful work. The morale of team members appears high, and from our limited conversations with family members and client feedback on the records, families appear to relate to the FRP team as a whole. (As an example, we noted that any member of the team will pick up the phone and respond to a family member in a considerate and concerned manner if ‘their’ worker is not at their desk.)

Provided that the essential characteristics of the service (as described above) were present, the range of skills and approaches brought to their work by the IOWs appeared to matter less than the values that informed their work. We noted that it was the exception rather than the rule for ‘phase 1’ care plans to be quickly achieved and for a move to ‘phase 2 objectives and service provision. For a range of reasons, but most often because the family members were ready to move on, or a valued IOW left and the family felt they had moved on sufficiently not to need or wish to make a new ‘intensive’ relationship, in very few cases were phase 2 plans even started on. However, they were often part of the lower intensity or more focused ‘transition’ plans. Some families for example who had had ‘tasters’ of parenting programmes provided by their IOW engaged with a parent education group, or with family therapy at a family centre.

In the small number of cases where either the IOW or a specialist worker taking on the lead professional role pursued a more focused agenda- on specific parenting problems, domestic abuse or anti-social behaviour for example, and did not address the wider range of issues that family members raised, there were indications that the family members were more likely to not engage, or disengage.

Other cases that worked out less well were those that had changes of key worker (especially of IOW and service manager but also of key worker for the child). Some families refused to engage with a new worker and either the family withdrew or a decision was taken, especially if some progress had been made, that it would be better to close the case to FRP and seek a careful transition, with continuity provided by a continuing service by other members of the team around the family.

### ***7.6 What aspects of FRP practice can be ‘mainstreamed’?***

Whilst the team structure and composition is specific to the intensive service provided, some aspects could well be incorporated into the locality and other teams.

Most obviously, even in less intensive cases, if a family can benefit from two lead professionals, this is likely to be more cost effective than one worker providing a less effective service to all family members.

The Intensive Outreach Worker role is a specialist role in its own right, that can be successfully filled by a social worker or other professional or para-professional, selected for personal qualities (including evidence of analytic ability and lateral thinking), motivation and provided with appropriate training. It is different from a ‘family support worker’ role as usually available in social work teams providing a more narrowly-defined or less intensive service. However, it may be appropriate for locality teams to employ intensive outreach workers to work with families who do not need all the aspects of the FRP service. Such workers are already employed by some family centres and Sure Start children’s centres and some family support workers have the necessary qualities.

The ‘team around the family’ approach is increasingly replacing ‘team around the child’ thinking. The care taken over transitions by the FRP team should equally characterise transitions between children’s services teams and voluntary and statutory adult services, voluntary and local authority sector children’s services such as family centres and CAMH services and child health services.

Some aspects of the combination of flexible family casework and the availability of specialists could be achieved possibly through ‘out-posting’ or attachments of specialists based elsewhere into children’s services or LYPS teams, together with reciprocal ‘linked worker’ arrangements of child and family social workers to other teams and community resources such as family centres or child development centres.

The intelligence analyst role has already been rolled out across Children’s services teams, and there are aspects of the business support model that could be adopted more widely.

## **8. Reflections, hypotheses for discussion and recommendations**

- The Westminster FRP model differs from some (possibly most) of the other 15 Intensive Family Pathfinder Pilot Projects. It is more firmly embedded within children’s social care services for families with complex problems, including those

with formal protection plans. It is our impression that the combining of the FiP work with the FRP team is also fairly unusual, and that it has been successfully achieved. However, over time, fewer cases have been taken on that fit the more usual FiP profile (mainly families with teenage children engaging, sometimes along with parents, in anti-social, neighbourhood nuisance or criminal behaviour). Such young people are still being referred, but mainly in families where there is more complexity; where there are also younger children, and there is a higher likelihood of children coming into care, or of the need for formal child protection plans.

- Some evaluations of intensive ‘whole family’ projects conclude that successful outcomes are more likely if they are provided from a non-statutory agency base, since families with a history of statutory intervention are considered to be more likely to engage. There was no evidence of this being the case with FRP, even though the service was based in the same building as statutory children’s services teams. There were clear advantages to the children’s service base, in that it facilitated a good understanding of the nature of the service by potential referrers.
- We had the impression that some social work members or children’s services teams were more likely to make appropriate, timely, and well-prepared referrals than others. We would recommend that the role and working methods of FRP be introduced to new social workers during their induction into the department.
- The roles of the intelligence analysts and the business support staff within the team are of central importance and should continue. There are questions around how to make sure that the detailed learning about family functioning, and especially about the characteristics of the service provided that have worked well, or not worked well whilst the case was open to FRP, are transferred to the Children’s services case records and those of other mainstream agencies. If, following the Munro review, the ICS can be sufficiently improved, it would be desirable to use a single case management and recording system. This will ensure that essential information on children’s records informs FRP practice and vice versa. But until the ICS case recording system is simplified, the more ‘fit for purpose’ Share Point system will be needed. At the very least (as is the case now) the TAF minutes, the care plan and the closing summary should be transferred onto the main children’s services record at FRP case closure.
- We would recommend that, at case closure, information is recorded, and discussed by the members of the TAF, not only on which aims were achieved, but also on changes over the period of the service for adults and children, and on well-being at case closure. We found the ‘McMaster data’ (provided to the national evaluators) was unreliable - possibly because it was not consistently obtained. We would recommend completion with respect to each child of the Goodman strengths and difficulties schedule at the start and end of service, and also an appropriate similar schedule relevant to parent wellbeing and family functioning.
- We were interested to note that, although some parents were sad to lose their IOW and their links with the team as a whole, there did not appear to be a problem in closing cases. Some cases were open for longer than others, but that seemed appropriate. For example, the TAF members, and especially the IOW and Service manager for the case, wanted to ensure that appropriate transition arrangements were in place so that progress was not lost.
- With respect to cases where there are child protection and core group meetings or LAC reviews, it is important to ensure that the different processes fit together. There

was in a small number of cases confusion between a 'phase one' TAF plan (involving cutting down the number of workers and interventions) and a formal child protection plan allocating specific roles to a larger number of agencies/ workers. Different models of involving family members in the two systems (attendance at conferences and core group meetings in the CP system and heavier reliance on the IOW to engage the family in the FRP system) need to be carefully managed if family members are not to be overwhelmed by the need to attend meetings or be briefed before and after meetings.

- FRP workers did not use the more usual language of 'contracts with consequences' but rather 'care plans' and 'family agreements' in which consequences (positive and negative) were clearly spelled out. The balance appeared to be appropriately chosen in each case between rewarding positive activities (the preferred way forward) and the appropriate and timely reference to or use of sanctions.
- We tentatively suggest that FRP managers should consider carefully whether to take on cases where specialist agencies are already involved and impediments to progress are already clear. Yet one more attempt by referral to another specialist agency may just delay the making of decisive decisions in a timely fashion, e.g. for a child to be accommodated or a court application made. In such cases it would be preferable for other specialist agencies to employ intensive outreach workers, or the 'two lead professionals' model of case allocation. On the other hand, there were cases where good results were achieved by taking on a case for allocation of an IOW but in which most of the TAF members were from outside agencies.
- From our review of cases, we would suggest that an IOW, focusing flexibly on a range of issues, should always be allocated to a case, even though it appears that there is a single issue such as domestic abuse or addictions. In such cases it is preferable to have the specialist worker working with the IOW rather than taking on the key worker role.
- Given the well-evidenced fact that some of the worst outcomes are for those children who have suffered abuse or neglect and return to a birth family member after spending some time in care, it was surprising that more referrals to FRP were not in this category. The 'turning point' factor would apply and in some cases there is a high degree of complexity. Families with these characteristics benefit from two key workers and an intensive service provided by a small and well-coordinated team rather than 'surveillance' and 'monitoring' by uncoordinated workers.
- Similarly, the 'turning point' and 'clearly spelled out consequences' aspects of FRP practice would also suggest that there could be more referrals to FRP at the 'pre-proceedings' stage when care proceedings are being considered.

*Last word:*

Some aspects of the FRP approach should be, and are being, incorporated into the 'service as usual' work of children's social care locality and child protection teams. However, we conclude that there will continue to be a role for a well managed and well-co-ordinated multi-disciplinary team, closely linked with Children's social care services and with a social work/social care approach to helping, to work intensively but flexibly with families with complex and multiple difficulties whose children are otherwise likely to suffer significant harm.

## References

- Barlow, J., and Schrader-Macmillan, A (2009) *Safeguarding children from emotional abuse – what works?* London: DCSF website DCSF-RBX-09-09
- Barlow, J. and Scott, J. (2010) *Safeguarding in the 21<sup>st</sup> century- where to now.* Dartington: Research in Practice.
- Brandon, M. & Connolly, J. (2006) Are Intensive Family Preservation Services Useful: A UK Study. *Journal of Family Preservation*, 9, 56-69.
- Brandon, M. & Thoburn, J. (2008) Safeguarding children in the UK: a longitudinal study of services to children suffering or likely to suffer significant harm. *Child and Family Social Work*, 13, 365-377.
- Cabinet Office (2007) *Reaching Out: Think Family.* London: Cabinet Office.
- Daniel, B. and J. Taylor (1999) The rhetoric versus the reality: a critical perspective on practice with fathers in child care and protection work. *Child and Family Social Work* 4: 209-220.
- Department for Children Schools and Families (2007) *Aiming high for children: supporting families.* London: DCSF
- Department for Children, Schools and Families (2008) *Youth Task Force Action Plan- give respect, get respect- youth matters.* London: Department for Children, Schools and Families.
- Department for Children, Schools and Families (2009a) *Think Family toolkit: Guidance Note 4, Family Intervention Projects.* London: Department for Children, Schools and Families.
- Department for Children, Schools and Families. (2009b) *Safeguarding children research initiative* <http://www.dcsf.gov.uk/research/programmeofresearch/index.cfm?type=0>
- Department for Children Schools and Families (2009c) *The Common Assessment Framework and Family Pathfinders.* London: DCSF.
- Department for Education (2010a) *Think Family Pathfinders: Research Update.* London: Department for Children, Schools and Families.
- Department for Children, Schools and Families (2010b) *Early Intervention: Securing good outcomes for all children and young people.* London: DCSF.
- Department for Education (2010c) *Referrals, assessments and children who were subject to a child protection plan 2009-2010 Children in need census.* London: DfE.
- Department of Health (1995) *Child Protection: Messages from Research.* London: TSO.
- Department of Health (2001) *The Children Act Now: Messages from Research.* London: TSO.
- Dixon, J., Schneider, V., Lloyd, C., Reeves, A., White, C., Tomaszewski, W., Green, R. and Ireland, E. (2010) *Monitoring and evaluation of family interventions (information on families supported to March 2010).* London: Department for Education.
- Edwards, J. (1998) Screening out men: or ‘Has mum changed her washing powder recently?’ In: *Men, Gender Divisions and Welfare.* Eds J. Popay, J. Hearn and J. Edwards. London., Routledge.
- Featherstone, B. (2001) Putting fathers on the child welfare agenda: A Research review. *Journal of Child and Family Social Work* 6(2): 179-186.

- Flint, J., Batty, E., Parr, S., Platt-Fowler, D. And Nixon, J. (2011) *Evaluation of intensive Intervention Projects* London: DfE
- Garland, A., Hawley, K., Brook, A.M., Frazee, L. and Horlburt, M. (2008) 'Identifying common elements of evidence-based psychosocial treatments for children's disruptive behaviour problems' *American Academy of Child and Adolescent Psychiatry*. 47.5 pp505-514
- Garrett, P.M. (2007) "Sinbin' solutions: the 'pioneer' projects for 'problem families' and the forgetfulness of social policy research', *Critical Social Policy*, 27, (2), pp. 203-230.
- Gregg, D. (2010) *Family intervention projects: a classic case of policy-based evidence*. London: centre for Crime and Justice Studies.
- Henggeler, S. W., Schoenwald, S. K., Rowland, M. D., & Cunningham, P. B. (2002). *Serious emotional disturbance in children and adolescents: Multisystemic Therapy*. New York: Guildford Press.
- Hughes, N. (2010) 'Review Article: Models and Approaches in Family-Focused Policy and Practice', *Social Policy and Society*, 9(4), pp. 545-555.
- Judiciary for England and Wales (2008) *Public Law Outline. Guide to Case Management for Public Law Proceedings*. London: Ministry of Justice.
- Kemp, T. (2009, 2010) Unpublished reports prepared for Westminster City Council
- Kendall, S., Rodger, J. and Palmer, H. (2010) *Redesigning provision for families with multiple problems- an assessment of the early impact of different local approaches*. London: Department for Education.
- Leschied, A, and Cunningham, A. (2002) *Seeking effective interventions for young offenders: Interim results of a four year randomized study of multisystemic therapy in Ontario Canada*. London, Ontario: Centre for Children and Families in the Justice System.
- Lindsay, G, Davies, H., Band, S., Cullen, M A, Strand, S., Hasluck, C., Evans, R. and Stewart-Brown, S. (2008) *Parenting Early Intervention Pathfinder Evaluation: Research Brief*. DCSF website DCSF-RBW054
- Lindsay, G, Strand, S., Cullen, M A, Cullen, S.,, Band, D., Davies, H., Conlon, G., Barlow, J. And Evans, R. (2011) *Parenting early Intervention Programme Evaluation*. London: DfE Research Report DFE-RR121(a)
- Littell I, J. (2005) 'Lessons from a systematic review of effects of multisystemic therapy' *Children and Youth Services review*. 27 pp 445-463
- Littell, J. (2006) 'The case of multisystemic therapy: Evidence of orthodoxy?' *Children and Youth Services Review*. 28, pp458- 472
- Littell, J., Popa, M. and Forsythe, B. (2005) 'Multisystemic therapy for social, emotional and behaviour problems in youth aged 10 to 17' *Cochrane Library, Issue 3, 2005*. Chichester: Wiley
- Local Government Leadership and City of Westminster (2010) *Repairing broken families and rescuing fractured communities: Lessons from the front line*. London: Local Government Leadership and City of Westminster.
- MacMillan, H., Wathan, N., Barlow, J., Fergusson, D., Leventhal, J.& Taussig, H. (2009) 'Interventions to prevent maltreatment and associated impairment'. *The Lancet* Special edition on Maltreatment.



- Morris, K., Hughes, N., Clarke, H., Tew, J., Mason, P., Galvani, S., Lewis, A. & Loveless, F. (2008) *Families at risk: literature review.* , Birmingham, University of Birmingham.
- Munro, E. (2011) *The Munro Review of Child Protection: Final Report.* London: DfE.
- National Centre for Social Research (2009) *Antisocial Behaviour Family Intervention projects: Monitoring and Evaluation: Research Brief.* London: Department for Children, Schools and Families.
- National Centre for Social Research (2011) *Monitoring and evaluation of family intervention projects and services to March 2011.* London: DfE Statistical Release OSR14/2011
- Nixon, J., Parr, S., Hunter, C., Myers, S., Sanderson, D. and Whittle, S. (2006) *Anti-social Behaviour Intensive Family Support Projects: An evaluation of six pioneering projects.* London: Communities and Local Government.
- Nixon, J., Parr, S., Hunter, C., Myers, S., Sanderson, D. and Whittle, S. (2008) *The longer term outcomes for families who had worked with Intensive Family Support Projects.* London: Communities and Local Government.
- Olsson, T. M. (2009) 'MST with Conduct Disordered Youth in Sweden: Costs and benefits after 2 years' *Research on Social Work Practice* Online First published June 26 2009.
- Pawson, H. Davidson, E., Sosenko, F., Flint, J., Nixon, J., Casey, R. and Sanderson, D. (2009) *Evaluation of intensive family support projects in Scotland.* Edinburgh: Government of Scotland.
- Pawson, H., Flint, J., Scott, S., Atkinson, R., Bannister, J., McKenzie, C. and Mills, C. (2005) *The Use of Possession Actions and Evictions by Social Landlords.* London: Office of the Deputy Prime Minister.
- Philp, A. F. (1963) *Family Failure.* London: Faber.
- Philp A. F. And Timms, N. (1962) *The problem of the problem family.* London: Family Service Units.
- Quinton, D. (2004). *Supporting parents: Messages from research.* London: Jessica Kingsely
- Sanders, M. Cann, W. and Markie-Dadds, C. (2003) 'The prevention of child abuse and positive parenting'. *Child Abuse Review* 12.3 pp 145-154.
- Scott, S., Knapp, M., Henderson, J. and Maughan, B. (2001) 'Financial cost of social exclusion: follow up study of antisocial children into adulthood', *British Medical Journal*, 323; 191-4.
- Stein, M. (2009) *Quality Matters in Children's Services: Messages from research.* London: Jessica Kingsley Publishers.
- Stein, M., Rees, G., Hicks, L. & Gorin, S. (2009) *Neglected adolescents: literature review. Research brief; DCSF-RBX-09-04* London, Department of Children, Schools and Families.
- Sundell, K et al (2009) *Interventions and Costs: Multisystemic therapy (MST) and treatment as usual (TAU)* Stockholm The Institute for Evidence-based Social Work Practice Full text as yet only available in Swedish
- Thoburn, J. and Making Research Count consortium (2009) *Effective interventions for complex families where there are concerns about, or evidence of, a child suffering significant harm* [www.C4EO.gov.uk](http://www.C4EO.gov.uk)
- Thoburn, J. (2010) 'Towards knowledge-based practice in complex child protection cases: a research-based expert briefing.' *Journal of Children's Services* Vol 5, 1 pp. 9-24.

- Tunstill, J. Aldgate, J. & Allnock, D. (2007) *Understanding the Contribution of Sure Start Local Programmes to the Task of Safeguarding Children's Welfare*. London, DfES.
- Tunstill, J., Thoburn, J. and Aldgate J. (2010) 'Promoting and Safeguarding the welfare of children- a bridge too far?' *Journal of Children's Services*. Vol. 5: 3 pp 14-24
- Utting, D., Monteiro, H. & Ghate, D. (2007) *Interventions for children at risk of developing antisocial personality disorder* Cabinet Office/ Policy Research Bureau.
- Webster Stratton, C. and Herbert, M. (1999) 'Researching the impact of parent-training programmes on child conduct problems.' In E. Lloyd, (ed.) *Parenting matters: what works in parenting education?* Barking: Barnardos
- Whittaker, J. (2009) 'Evidence-based intervention and services for high risk-youth: a North American perspective on the challenges of integration for policy, practice and research'. *Child and Family Social Work*. 14,2, pp 166-177.
- York Consulting (2011) *Turning around the lives of families with multiple problems- an evaluation of the Family and Young Carer Pathfinder Programmes*. RR154 London: DfE

## Appendix 1

### RESEARCHER RATING PROTOCOLS

**Researcher rating of broad ‘family type’ (adapted from groupings first identified by Cleaver and Freeman, used in other research, e.g. the Brandon et al ‘Significant Harm’ study, and adapted by DH/DfE as categories for referral in the CiN and Children Looked after data sets**

#### *1. Short term problem*

Families where there is a clearly identifiable problem or linked problems which are likely to be remediable within a short period and once their impact is removed or substantially diminished, the family is likely to function adequately. Examples might be a single parent using unsafe child care arrangements in order to maintain himself in work, or an asylum seeking family with debts due to lack of understanding of benefits entitlements leading to stress around inadequate housing and mounting debts. There will be evidence of ‘good enough’ standards of parenting in these families which have slipped due to this short term problem. These would not be appropriate referrals to FRP.

#### *2. 1 single or 2 linked specific issues*

Families are included in this group if there is evidence of commitment to children’s wellbeing and parenting skills in the past of at least one parent, but a serious problem, which may be recent or intermittent over a longer period, results in family stress and parenting deficits or risk of significant impairment to the wellbeing of parents/s and children. An example might be a teenage boy becoming involved in criminal behaviour or with gangs which is resulting in family conflict and the threat of eviction because of neighbour complaints about anti-social behaviour. Other examples might be a single parent who has good parenting skills but who starts a relationship with an abusive partner; or a two parent families with several children in which the father’s redundancy has accentuated long term mental health problems. A parent or child with a chronic or acute illness or disabling condition which destabilises a family that has managed ‘well enough’ may come into this group.

#### *3. 3 or more linked specific issues*

Similar to 3 but where, for example, domestic abuse may be combined with mental health or addiction problems, and teenagers becoming involved in anti-social behaviour in part due to stress and conflict between the parents. Parents in this group tend to be older, have three or more children across the age groups, sometimes with different fathers. The situation may be complicated by unresolved issues (possibly earlier domestic abuse or continuing conflict and difficult contact arrangement with the father of one of the children. Since the aim of FRP is to work with families with complex problems, it is unsurprising that there are several families in this group. Although the issues are complex, and some may be long-standing, there are likely to have been periods when the family has been on an even keel, and there will be parenting strengths as well as weaknesses. One or more children in the family may be doing well.

#### **4. Acute distress**

In this group are families who, at the point of referral, are in a very precarious state, often close to complete disintegration. On the surface they present at the time of referral very similarly to families with complex, multiple problems of long duration. However, as with groups 1 to 3, there is evidence, once the picture clears, of family strengths. Intensive work consecutively across the range of problems, in the context of a supportive ‘team around the family’ can ‘get the family back on their feet. Asylum seeking families, whose situation becomes precarious because of eviction, a death in the family or other shock to the family system come into this group, as do families coping with one or more deaths of key supportive family members.

#### **5. Families with long term and multiple problems**

Included in this grouping are families who have caused concern to agencies over a substantial period of time, (possibly across generations) and who present with a range of problems, usually including deficits in parenting. There may be previous children in care, and a pattern of repeat referrals for services. Families in this group can benefit from the provision of intensive services at a time when there are signs of motivation for change linked with the availability of sanctions that have meaning for the parents. They may be ‘hard to engage’, some may appear to engage but have exhibited ‘false compliance’ in the past; and others may seek and benefit from assistance but find it hard to maintain progress. They are likely to need a long term or episodic ‘targeted’ service after the intensive service withdraws. Continuity with at least one member of the ‘team around the family’ for the FRP service can be particularly helpful and they can be supported appropriately by services with ‘permeable boundaries’ such as Family Centres that encourage self-referral

#### **6. Complex but none of above**

In most studies of children’s services caseloads, almost all families fit into groups 1, 2 4 or 5. It is interesting that there were more families in the FRP cohort that did not fit into these categories.

#### **Table 21 Was a trusting relationship established between the ‘main’ parent/ carer and at least one member of the FRP team\*?**

Rating based on evidence from records, including in some cases comments made by family members and recorded in TAF meeting minutes, and in some cases interviews with IOWs and specialist workers. The rating is usually with respect to the IOW but may refer to one or more other FRP professionals.

#### **Table 30 Changes in children’s overall wellbeing (researcher rating)**

Rating based on evidence from interviews with professionals and records including any statements of parents or children recorded in minutes of meetings: comparing minutes of initial TAF with the closing summary: also evidence about changes in school attendance and attainment, any re-referrals because of offending or anti-social behaviour, and any reports of continuing problems in physical or mental health or challenging behaviour. With respect to health issues, was there evidence that these were being appropriately responded to by parents and child.

**Table 31 Interim outcome for ‘main’ parent: change in wellbeing (researcher rating)**

Rating based on evidence from interviews with professionals and records including any statements of parents recorded in minutes of meetings: comparing minutes of initial TAF with the closing summary: also evidence about any reports during and post-intervention of offending or anti-social behaviour, and any reports of continuing problems in physical or mental health or challenging behaviour. With respect to health issues, was there evidence that these were being appropriately responded to and treatment advice followed?

**Table 32 Interim outcome change in parenting capacity (researcher rating)**

Rating based on evidence from interviews with professionals and records including any statements of parents recorded in minutes of meetings: comparing minutes of initial TAF with the closing summary.

**Table 33 Interim outcome: changes in material circumstances of family (researcher rating)**

Rating based on evidence from interviews with professionals and records including any statements of parents recorded in minutes of meetings: comparing minutes of initial TAF with the closing summary. Evidence in the records of improved income through employment, reduced debts, improved housing, threat of eviction removed. Higher material standards reported.

**Table 34 Interim outcome: overall wellbeing of child/ren (researcher rating)**

In considering the wellbeing of the child at service closure the researchers had in mind a child living in a similar area who would be considered to have a ‘reasonable standard of health or development’. For children with a chronic illness or disability the notional comparator is a child with a similar disability or condition with averagely competent parents.

**Table 35 Overall interim outcome for family following FRP service. Researcher rating**

Composite based on all data available from records and interviews

## ***Appendix 2 Costs and benefits to FRP, Westminster Children's services and longer term services across WCC and beyond***

### *Hourly wages*

Across the 7 case studies, 14 groups of professionals were involved and the following average hourly wages were applied in costing their time.

<b>Role</b>	<b>Average hourly wage - London</b>
ASB case worker	£16.70
Benefits advisor	£10.22
Deputy team manager	£19.54
Domestic Violence Worker	£13.13
Drug and alcohol worker	£13.13
Education worker	£14.74
Health visitor	£18.70
Housing officer	£14.53
Intelligence analyst	£17.43
Intensive Outreach Worker	£13.13
Police intelligence	£20.69
Senior analyst	£27.47
Service manager	£22.66
Social worker	£17.69

The hourly wages were derived from three sources: Local Government Employee Survey; Unit Costs in Health and Social Care; and the Annual Survey of Hours and Earnings.

### 1 - Local Government Employee Survey

This data set provided detail on salary and hours for virtually all of the FRP team with the exception of those employed by the local health or police authority and the senior analysts.

<b>FRP</b>	<b>Local Government Employee Survey</b>	<b>Average annual salary – London</b>
ASB case worker	Youth Offending Support Worker	£33,008
Benefits advisor	Welfare Rights Officer	£20,186
Deputy team manager	Social work team leader/senior practitioner	£38,608
Domestic Violence Worker	Community, Support and Outreach Worker	£25,949
Drug and alcohol worker		
Intensive Outreach Worker		
Education worker	Education Welfare Officer	£29,211
Housing officer	Housing officer	£28,719
Social worker	Social worker	£34,964

Source: Local Government Employee Survey, 2010

Annual hours = 38 per week = 1976 per year

### 2 – Unit Costs in Health and Social Care

This data source includes detailed information on salary and hours for those employed in the health sector.

<i>FRP</i>	<i>Unit Costs in Health and Social Care</i>	<i>Average salary</i>
Health visitor	Health visitor – London weighting 1.2	£30,800
Deputy team manager	Social work team leader/senior practitioner – London weighting 1.16	£38,608
Service manager		

Source: Unit Costs in Health and Social Care, 2009/10

Annual hours = 38 per week = 1976 per year

### 3 – Annual Survey of Hours and Earnings

This data source provides hourly wages for police officers and intelligence analysts.

<i>FRP</i>	<i>Standard Occupational Classification</i>	<i>Hourly pay</i>
Police intelligence	Police Officer (sergeant and below)	£18.10
Senior analyst	Public Service Administrative Professionals	£23.86
Intelligence analyst	Health and social welfare associate professionals	£15.42

Source: Annual Survey of Hours and Earnings, 2010

London weighting of 1.16 applied

#### *Time associated with travel*

##### 1) Method of Intervention - given

Face to face – home = 1 hour

Face to face – professional setting = 0 hours

Telephone = 0 hours

##### 2) Method of Intervention – missing

Where the method of intervention is not recorded we estimate the likely method based on the observed location of of each type of intervention. For example, amongst the nine Benefits/Debts/Finance interventions where the method is recorded, 4 were in a professional setting and 5 in the family home, there a weight of 0.5 is applied.

	<i>Home:Office observed</i>	<i>Weight (hours)</i>
Benefits/Debts/Finance	4:5	0.5
Domestic Violence Victim Support	16:25	0.4
Education support	10:8	0.5
Health Support	26:3	0.87
Housing advice	4:6	0.5
Parenting	51:22	0.66
General Case Management	Only in office	0

#### *Administrative support*

The administrative support given to the team is excellent and an intelligence analyst or administrative worker would usually be involved with general case management. Although this is not reported, we estimate the value of this by including the salary costs of an

administrative office for each General Case Management intervention recorded in the work log. According to the Local Government Employee Survey, the average salary of an administrative officer/assistant in London is £23,315, giving an hourly rate of £11.80.

*Unit costs – with and without training*

There is a well-established method for estimating the overall costs associated with providing social care set out in the annual - Unit Costs in Health and Social Care. We match the professionals involved with the FRP interventions with an equivalent worker – based on salary and role. The unit costs incorporate estimate for infrastructure – office space, administrative and HR support – plus the costs of initial and ongoing training.

<b>Role</b>	<b>Salary (£)</b>	<b>Unit costs 2009/10 category</b>	<b>Salary (£)</b>	<b>Unit costs (£000s)</b>	<b>Including training costs (£000s)</b>
ASB case worker	33,008	Social Worker	30,633	38	52
Benefits advisor	20,186	Social work assistant	22,220	28	
Deputy team manager	38,608	Social work team leader	38,608	49	63
Domestic Violence Worker	25,949	Social worker	30,633	38	52
Drug and alcohol worker	25,949	Social worker	30,633	38	52
Education worker	29,211	Family support worker	22,950	27	29
Health visitor	30,800	Health visitor	30,800	31	35
Housing officer	28,719	Family support worker	22,950	27	29
Intelligence analyst	30,469	Social work team leader	38,608	49	63
Intensive Outreach Worker	25,949	Family support worker	22,950	27	29
Police intelligence	35,765	Social work team leader	38,608	49	63
Senior analyst	47,147	Social work team leader	38,608	49	63
Service manager	38,608	leader	38,608	49	63
Social worker	34,964	Social worker	30,633	38	52

Source: Unit Costs in Health and Social Care, 2009/10

London weighting 1.16 for all categories except Health Visitor where a London weighting of 1.20 is applied.



**Case 6**

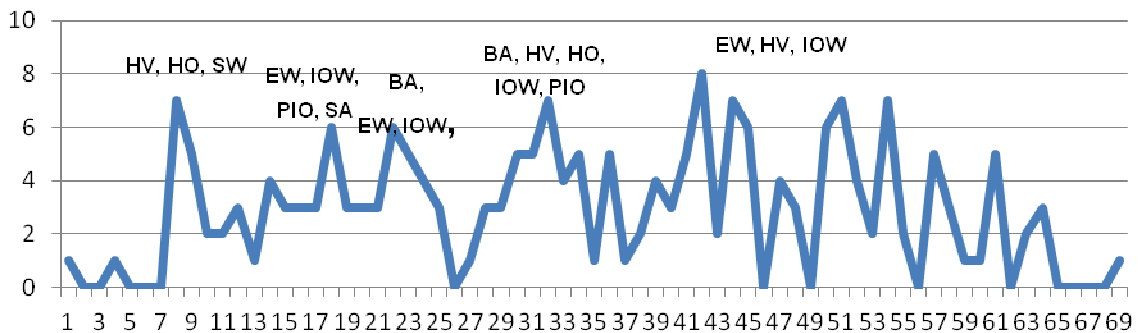
*This lone parent family was referred by an Education worker due to persistent and long standing concerns about the educational attendance and attainment of the two children. One child was also considered to be disruptive when attending school and education welfare were in the process of taking proceedings (for the second time) against the mother.*

*The FRP IOW's initial work involved creating a relationship with the mother who was very reluctant to engage and felt that professionals were against her. She also went through children's services and other agencies' records for several years and constructed a family history and case chronology to help her understand why previous attempts to help the family had been unsuccessful.*

*The benefits worker provided advice and support in relation to the legal process which initially created some tensions with other agencies. The mother persisted with the claim that health difficulties underpinned her children's non- attendance. Late on in the case one child was diagnosed with a chronic health condition. FRP IOW spend much time working with routines and reinforcing health routines. Housing difficulties were identified and FRP benefits and housing specialists were involved in getting the family rehoused and ensuring benefits were being claimed. The family appeared to be more stable after 12 months of engagement with FRP workers. However, relationships with the mother started to breakdown. One child remained at risk of permanent exclusion and with poor attendance increasing again, legal proceedings were considered just after the case was closed to FRP.*

**Number of interventions by week of involvement with FRP -  
Case 6**

Average = 2.91, Upper quartile = 5, Number of weeks with no interventions = 14 (20%)



Hours of staff time = 68.75

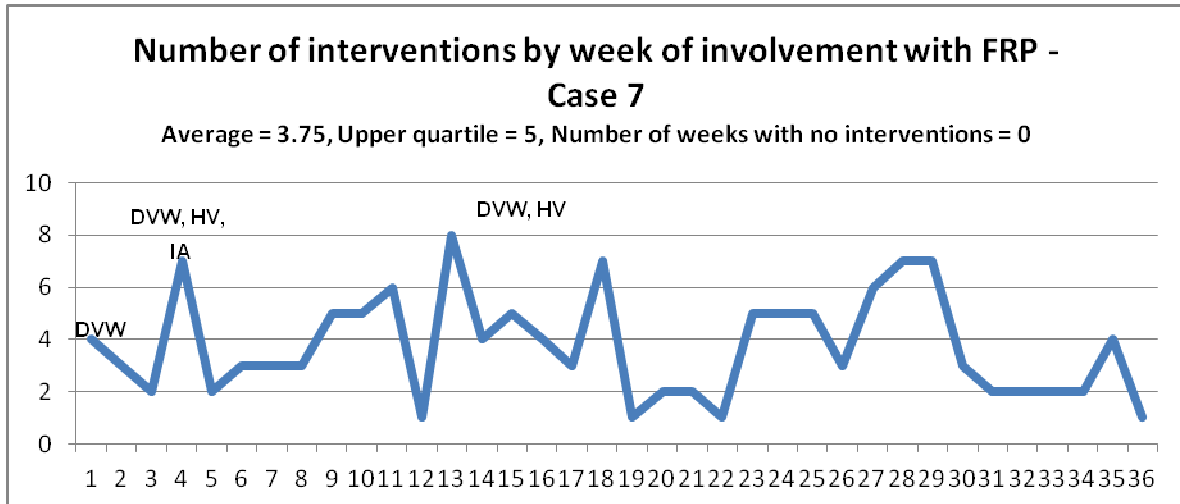
Unit Cost plus training £5,066

Staff roles – Benefits adviser (1.5 hours), Education worker (18 hours), Health Visitor (11.75 hours), Housing Officer (2.25 hours), Intensive Outreach Worker (25.75 hours), Police Intelligence Officer (0.5 hours), Senior Analyst (0.25 hours) Social Worker (8.75 hours).

**Case 7.**

*This case was referred jointly by a domestic violence worker and housing. This family had one child who was subject to a Child Protection Plan following physical and emotional abuse and this was also related to episodes of domestic violence between the parents, with the father assaulting the mother. This was one of the small number of cases in which there was no IOW with the DV worker and the health visitor (ensuring the child’s health needs were met as she has a mild medical condition) jointly provided intensive support and advice. In the early stages of the case the father was not living in the home. Much FRP work consisted of supporting the mother around the domestic violence issue. The father did not attend a DV programme.*

*The mother was rehoused. However she became s angry that the professionals viewed her partner as a risk to herself and her child and resumed her relationship with the child’s father. The lead worker for the child, a children’s services social worker, remained involved throughout the period. The case was closed to FRP when a professionals’ meeting agreed that care proceedings should be initiated. A care order was made but the child remained with the mother, who subsequently ended her relationship with the father. Six months after the case was closed to FRP, the mother, with support from her own mother, was considered to be providing good care for the child and consideration was being given to seeking repeal of the care order.*



Hours of staff time = 45

Unit Cost plus training £4,677

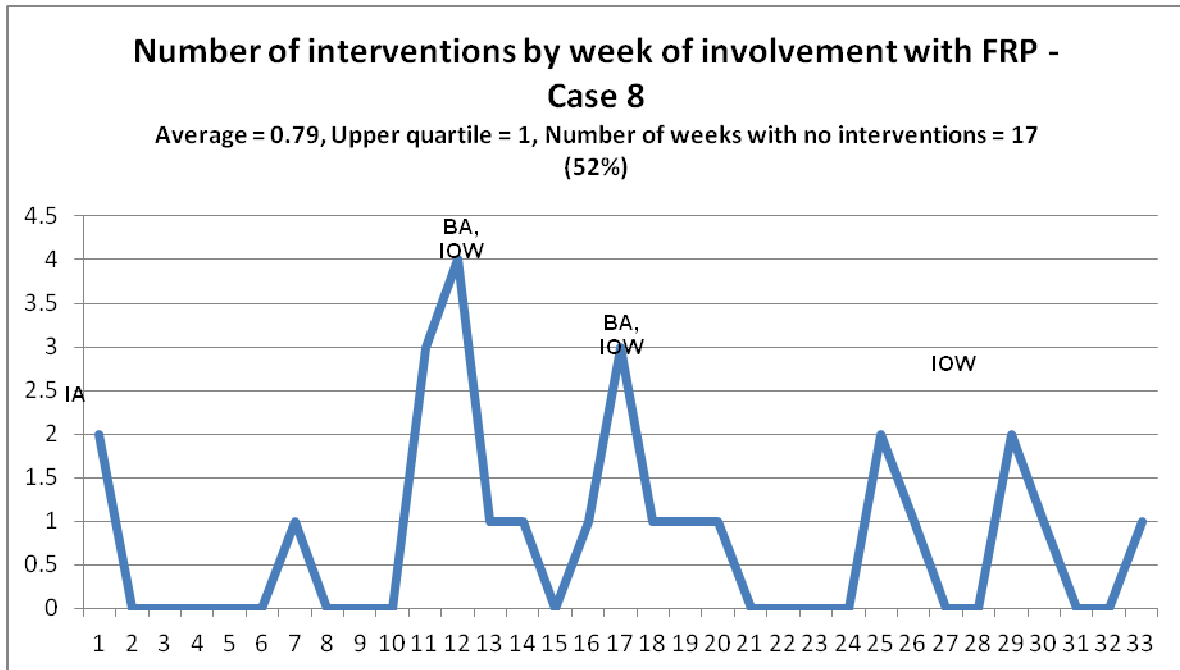
Staff roles – Domestic Violence Worker (28 hours), Health Visitor (11.25 hours), Housing Officer (0.25 hours), Intelligence Analyst (3.5 hours), Police Intelligence Officer (2 hours).

**Case 8**

*Referred by a local social work team this family were living in overcrowded accommodation in poor repair. The family had significant financial difficulties. The mother and father were separated, although they were on good terms and the father still saw the children. The core problem was that the children were at risk of entering care as they exhibited challenging behaviour and the mother was unable to control this, with little family routine, behavioural boundaries or appropriate parenting. The children's behaviour improved when staying with other family members.*

*The family were receiving support from a family centre and the FRP work centred around developing parenting skills. A financial plan was put in place by the benefit adviser to manage the debt. The father was in work but unwilling to assist the mother with money.*

*One child was referred to a speech therapist to assist with language development. Older children were linked into reading recovery programmes and learning support. The family were re-housed during the FRP intervention and this helped them to settle into a routine which was supported by the IOW. The mother aims to return to work and the employability worker was involved towards the end of the FRP intervention.*



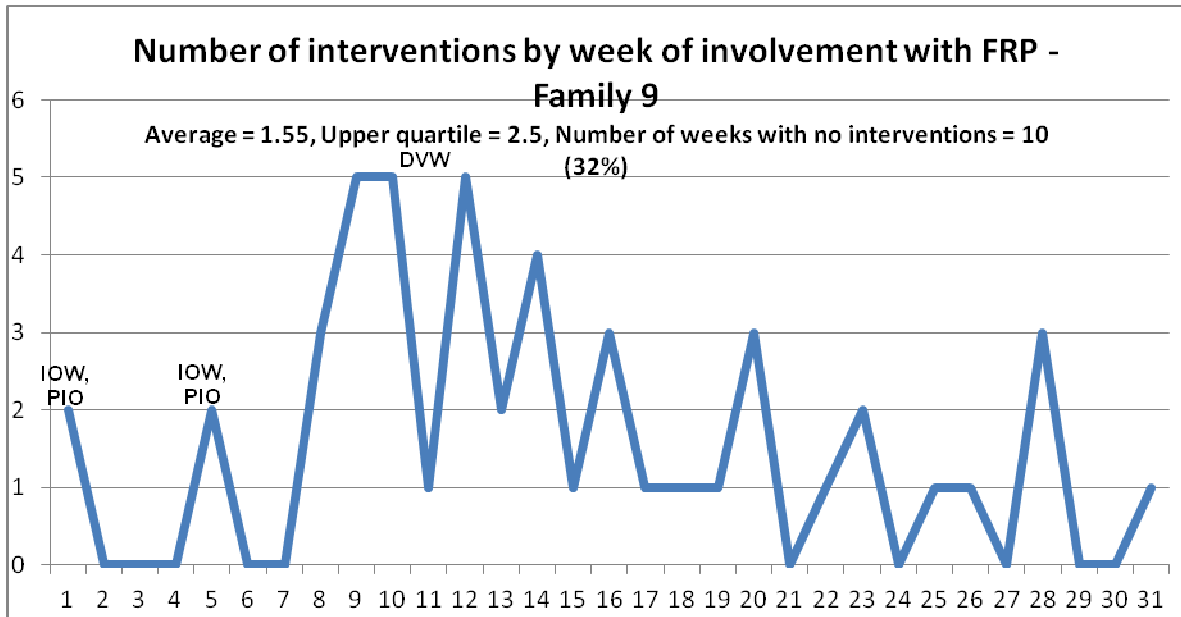
Hours of staff time = 11.5

Unit Costs plus training £938

Staff roles – Benefits Adviser (3.25 hours), Intelligence Analyst (3.5 hours), Intensive Outreach Officer (4.75 hours).

*Case 9*

*This family were referred to FRP by children's services following longstanding concerns about domestic violence, the mother's mental health and poor housing conditions. Despite attempting to engage the mother in DV work no relationship was established. The mother did not acknowledge that she was at risk of DV, despite a history of violence within the relationship. The family were referred back to children's services and a mental health worker.*



Hours of staff time = 14.75

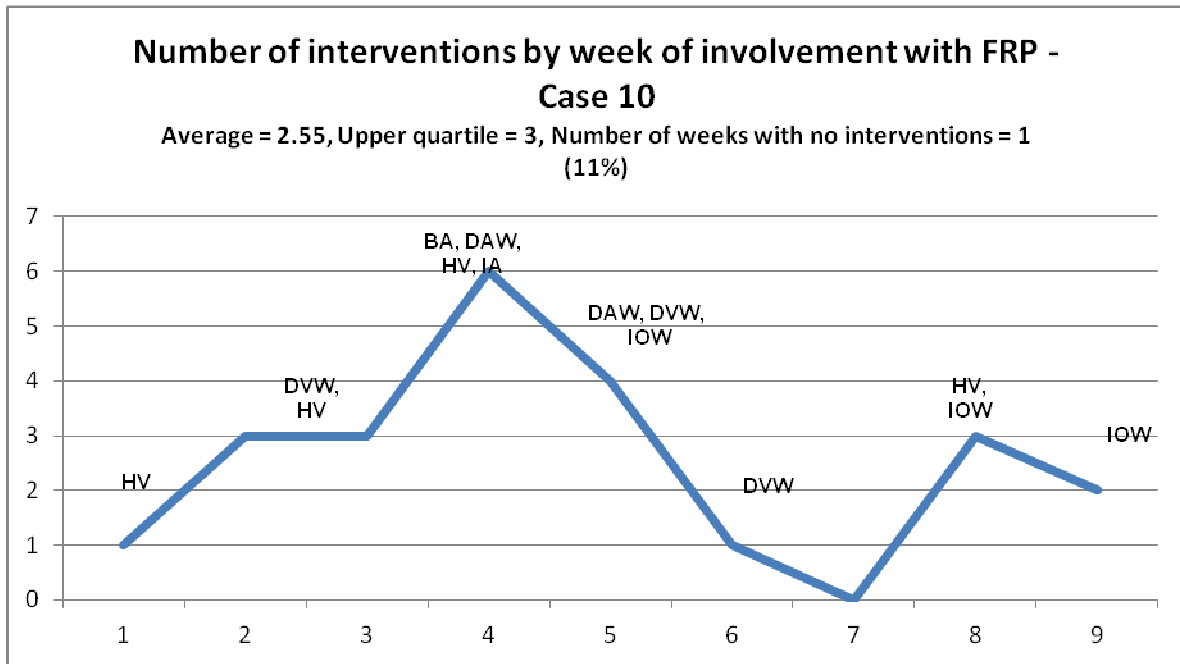
Unit Cost plus training £1,235

Staff roles – Domestic Violence Worker (11.5 hours), Intensive Outreach Officer (0.5 hours), Police Intelligence Officer (2.75 hours).

**Case 10**

*This family is part of a large extended family well known to local social services. The referral from social services to FRP concerned the father's long-term use of drugs and alcohol, domestic violence, financial and housing difficulties. The father was currently separated from the mother but was at risk of being evicted due to rent arrears.*

*Much FRP work revolved around working with the mother about her relationship with the father. Due to a DV incident during the FRP work, the mother was rehoused. Initial work with the father on his drug and alcohol use petered out and he became uncontactable. The mother was supported with financial issues and referred onto DV support groups, which she appeared keen to follow up.*



Hours of staff time = 14.75

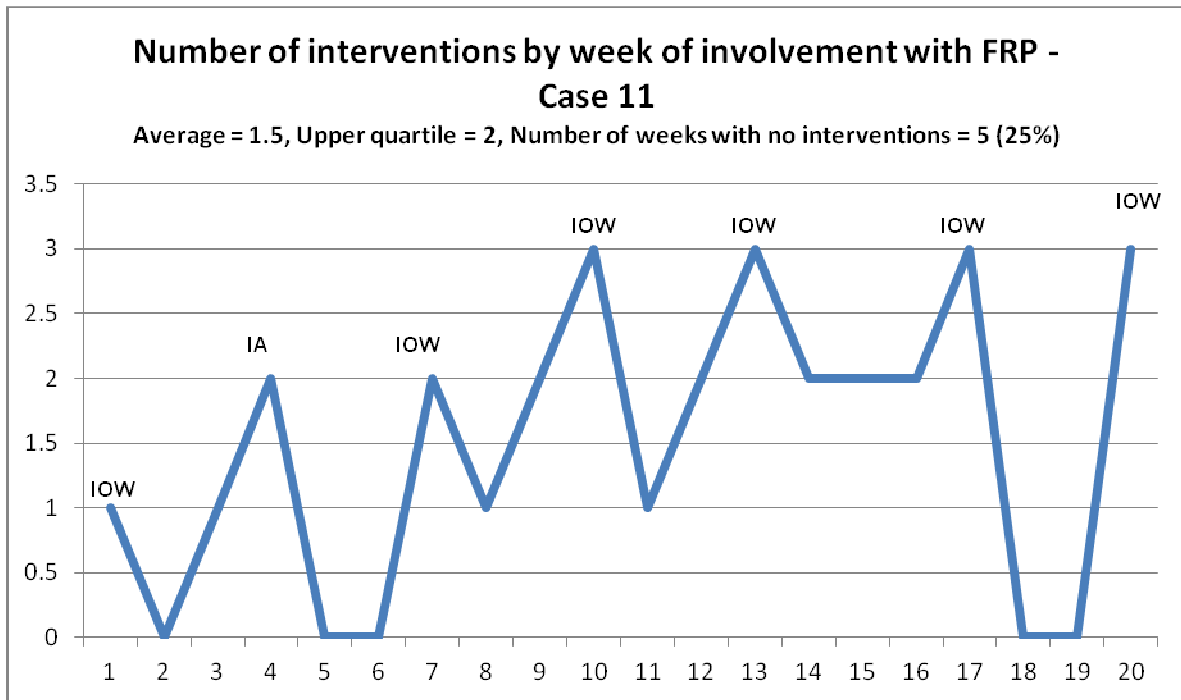
Unit Costs plus training £1,164

Staff roles – Benefits Advisor (0.25 hours), Domestic Violence Worker (2 hours), Drug and Alcohol Worker (4.75 hours), Health Visitor (2 hours), Intelligence Analyst (4.5 hours), Intensive Outreach Worker (1.25 hours).

*Case 11*

*This family were referred to FRP due to longstanding concerns about their impact upon the neighbourhood. The household is very noisy, with frequent parties and people coming to the house at unsociable hours, often aggressive behaviour occurs. The teenage children are also involved in antisocial behaviour. FRP work focused upon the mother and managing the family routines.*

*There were some housing issues to manage including ensuring repairs were undertaken. DV issues were recognised but the mother did not agree to explore this aspect. The mother was referred on to an employability worker to assist in applying for jobs.*



Hours of staff time = 12.5

Unit Costs plus training £744

Staff roles – Intelligence Analyst (3.5 hours), Intensive Outreach Worker (9 hours).

**Case 12**

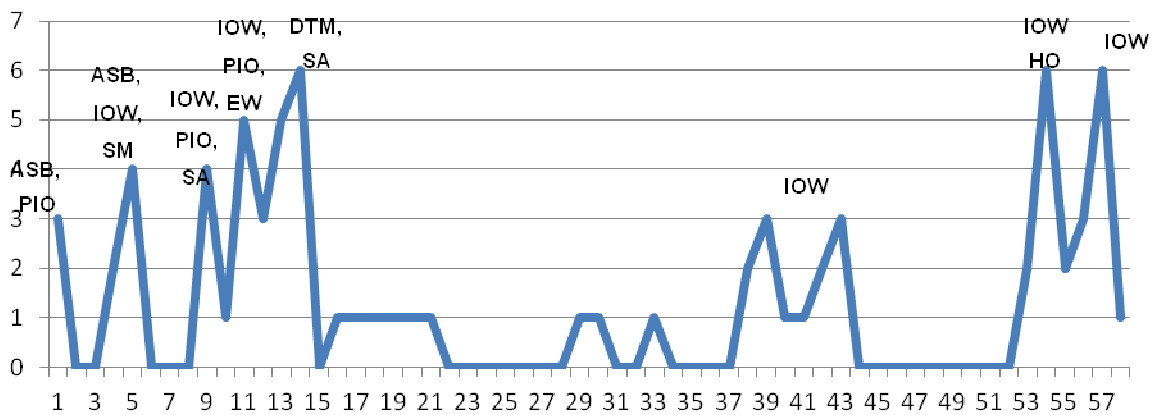
*This family was referred to the FRP as the teenage children were involved in anti-social behaviour, especially related to binge drinking. The mother also had mental health and alcohol difficulties.*

*The mother was supported with building family routines and clearing up the house so the family could manage everyday activities more easily. FRP also worked with the family on financial issues, including an application for ESA. NOSP was also involved during the FRP intervention as was a YISP worker. At the end of the intervention the young people were considered to be doing well in education.*

*A referral to mental health services was made and the mother's drinking was less problematic as the intervention concluded. The mother was also referred to a family centre where she had been receiving counselling. Professional opinion was that the parental partnership was harmful to the children's wellbeing and detrimental to the mother's mental health, however the mother refused to acknowledge this and no work was undertaken on this aspect.*

**Number of interventions by week of involvement with FRP - Case 12**

Average = 1.23, Upper quartile = 2, Number of weeks with no interventions = 28 (48%)



Hours of staff time = 42

Unit Costs plus training £2,649

Staff roles – ASB Case worker (0.75 hours), Benefits Advisor (6 hours), Deputy Team Manager (4 hours), Education Worker (0.25 hours), Housing Officer (0.25 hours), Intensive Outreach Worker (28.75 hours), Police Intelligence Officer (1.25 hours), Senior Analyst (0.5 hours), Service Manager (0.25 hours).

# Agenda Item 16

*Building a Housing Ladder of Opportunity – Housing Strategy Annexes*

## ***Building a Housing Ladder of Opportunity***

**Hammersmith & Fulham Council**

# **Housing Strategy**

# **Annexes**

Annex 1 – Evidence Base

Annex 2 – Borough Investment Plan – Executive Summary (Dec 2011)

Annex 3 – Background Reference Documents

Annex 4 – Glossary



## **Annex 1 – Evidence Base**

### **Contents**

1. Demography
2. Housing Tenure and House Prices Profile
3. Socio-Economic Profile
4. New Housing Supply Statistics
5. Housing and Regeneration Department Key Performance Indicators
6. Housing Register (including choice based lettings statistics and trends)
7. HomeBuy Register
8. Homelessness Statistics
9. Local Strategic Housing Market Assessment Executive Summary

## 1. Demography

### 1.1 Population trends and projections

1.2 The 2010 figure, based on the ONS mid-year population estimates for Hammersmith & Fulham shows a total population of 169,705 people, compared with 169,374 for mid 2001. This represents a very small increase of 0.2% or 331 people, a lower rate of increase than those for both West London (4.2%) and London as a whole (6.9%).

**Figure 1: Population trends comparison, 2001-2011**

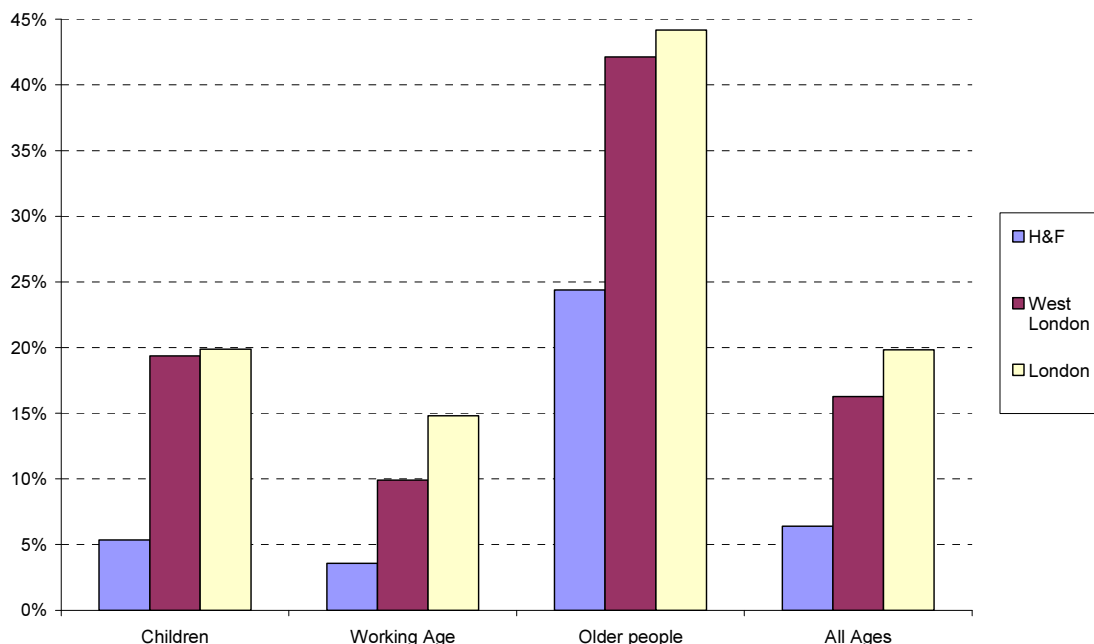
	2001	2006	2011	2001-2011 % change
<b>LBHF</b>	169,374	169,066	169,705	0.2%
<b>West London</b>	1,417,906	1,426,041	1,477,708	4.2%
<b>London</b>	7,322,403	7,484,931	7,825,177	6.9%

Source: ONS mid-year population estimates

- 1.3 The total population of the Borough is projected to continue rising in future years, though projections will be revised in the light of the recent adjustments to the population estimates.
- 1.4 The currently projected increase in 2011-2018 is 2%, and the further projected increase between 2018 and 2033 is 5%; this is at the slowest pace than those in West London and London. The borough population is expected to increase by some 10,800 people by 2033.<sup>1</sup>
- 1.5 While there is a growth in the Borough population in all age groups, the main growth occurs at ages between 65 and 74. The population of that age group is expected to increase by 2,200 by 2033, equivalent to 25%. The population aged 55 to 64 is expected to grow by 21% during the same period, and population aged 75+ to grow by 26%.

<sup>1</sup> ONS Subnational Population projections 2008

**Figure 2: Population projection by broad age groups, 2008-2033**



Source: Subnational population projections, ONS 2008

1.6 According to the GLA Ward Population projections, the highest population increase between 2011 and 2026 is expected to be in College park & Old Oak (54%), North End (26%), Shepherd’s Bush Green (24%), and Sands End ward (22%) (Appendix 1 Table 1).

1.7 Hammersmith & Fulham is the country’s eighth most densely populated area, with density of 10,348 people per square kilometre. It is more than twice densely populated as both West London and London.

1.8 In general, the boroughs’ central and south sub areas are more densely populated than the north sub area, but densities vary greatly between individual wards and neighbourhoods (Appendix 1 Area Map 1). The most densely populated wards are Addison and North End with density of 19,031 people per km<sup>2</sup> and 17,558 people per km<sup>2</sup> respectively, while College Park & Old Oak is the least densely populated ward (2,297 people per km<sup>2</sup>).<sup>2</sup>

## 2. Housing Tenure and House Prices Profile

2.1 In 2010-11, there were estimated 81,865 dwellings in Hammersmith & Fulham, some 4,850 more than in 2001-02. 68.5% of housing stock in the borough is in the private sector and 31.5% is public/RSL stock; this compares to 76.2% and 23.8% in Greater London.<sup>3</sup>

<sup>2</sup> ONS Ward Population estimates 2010

<sup>3</sup> HSSA DCLG, 2010-11

- 2.2 Within this smaller private sector, H&F has a significantly larger proportion of private rented accommodation than London, accounting for some 30% of the stock compared to 23% in the capital.

**Figure 3 - Current Estimated bedsize by sub-areas, Apr 2010**

Sub areas	1-bed		2-bed		3-bed		4+ bed		Total	
	#	%	#	%	#	%	#	%	#	% of all
North	7,004	34.3	6,461	31.6	5,335	26.1	1,618	7.9	20,418	25.0
Central	11,978	37.2	9,842	30.6	5,187	16.1	5,165	16.1	32,171	39.4
South	6,454	22.3	9,633	33.2	7,012	24.2	5,877	20.3	28,976	35.5
LBHF	25,440	31.2	25,935	31.8	17,533	21.5	12,658	15.5	81,566	100.0

Source: H&F estimates based on newly built and sold properties, H&F Housing Needs Survey 2004

- 2.3 Access to home ownership and affordable housing is problematic in Hammersmith & Fulham, due to greater house price rises over the past years. The Land Registry data shows an average house price of properties sold in the borough of 521,200 (London: 349,000). In the last two years the house prices have increased by 18% in H&F and by 12% in London.<sup>4</sup>
- 2.4 House price affordability in the borough's South sub area is however more of an issue as the average property price being 69% higher than it is in the North sub area and almost 40% higher than in the Central sub area.
- 2.5 According to December 2010 figures from the DCLG, Hammersmith & Fulham has the third highest lower quartile house prices to lower quartile income ratio in the country, with lower quartile house prices 13.07 times higher than lower quartile income.

**Table 4 – Housing Market Mean Prices in Hammersmith & Fulham**

Q1 2007	Q1 2008	Q1 2009	Q1 2010	Q1 2011	Q3 2011*
£494,855	£584,706	£564,941	£603,354	£637,801	£646,257

\* Provisional

Source: CLG Housing Statistics Table 581 Housing Market Mean Housing Prices

**Table 5 - Private Sector Rents in Hammersmith & Fulham**

Property Size	Median Rents
Room in Shared Accommodation	£129
Studio	£200
1 Bedroom	£215
2 Bedroom	£375
3 Bedroom	£525
4 Bedroom	£700

Source: GLA London Rents Map (4 April 2012)

<sup>4</sup> Land Registry, Sep2011

### **3. Socio-Economic Profile**

#### **3.1 Deprivation**

3.2 According to the index of Multiple Deprivation (IMD) 2010, Hammersmith & Fulham is within the top 50 most deprived in England (ranked 31<sup>st</sup> from 326 local authorities and 13th out of the 33 London boroughs in terms of the average rank).

3.3 Four (4%) of the borough's LSOAs are within the top 10% most deprived nationally compared to 8% of London's LSOAs. These LSOAs comprise major public sector estates: White City (north-western part), Wormholt North, Charecroft and Clem Attlee. A further 23% of the borough's LSOAs are in the 10-20% worst nationally (London 18%). Most of these areas are in the north of the borough but also extend down into parts of Hammersmith and North Fulham.

#### **3.4 Social Class**

3.5 Over four in ten (44.2%) adults aged 16-74 in Hammersmith & Fulham were classed as 'large employers, managers or professionals'; this is higher overall than in London (34.3%) and England & Wales (27.1%). North sub area wards have significantly lower proportion of adults in that group compared to other borough wards (Appendix 1 Table 4).<sup>5</sup>

3.6 11.3% of the borough population aged 16-74 are in 'routine' or 'semi-routine' occupations compared to 13.9% in inner London and 20.8% in England & Wales. College Park & Old Oak and Wormholt & White City wards have the highest levels of residents of those occupations (19.5% and 16.8% respectively).

#### **3.7 Income and Employment**

3.8 Hammersmith & Fulham is one of the most polarised local authorities in the country. The area is characterised by social, economic and environmental polarisation between those residents who are well housed and in well-paid employment, and those who are socially excluded.

3.9 The borough is ranked within the top 20 in the country in terms of child poverty. Nearly a third of all children live with families on 'low incomes'; this compares to 28% in London and 21% nationally. A quarter of all children live in families on workless benefits (London 20%). The GLA has estimated that 34% of all under 16s in H&F live in poverty; this is 11<sup>th</sup> highest proportion in London.<sup>6</sup>

3.10 Occupations of working age residents are skewed to 'managerial, professional or technical occupations' with proportionately fewer residents employed in 'elementary' occupations.<sup>7</sup>

---

<sup>5</sup> 2001 Census

<sup>6</sup> CESI 2009-10, GLA 2009-10

<sup>7</sup> APS / LFS, Nomis 2010-11

- 3.11 The average gross household income (including investment income and social security benefits) in H&F is £42,300 per annum or 4.5% higher than in London. The lowest household income in the borough is in College Park & Old Oak and Wormholt & White City ward (£30.3k and £31.3k respectively) and highest income is in Parsons Green & Walham and Palace Riverside ward (£51.3k and £50.2k respectively).<sup>8</sup>
- 3.12 24% of borough households depend on less than £20,000 compared to 26% for the whole London. Nearly a third (31.3%) of households in the north sub area depend on less than £20k.
- 3.13 The proportion of working age population in employment in Hammersmith & Fulham in 2010/11 was 68.5%; this compares to London rate of 68.2% and the national average of 70.2%.<sup>9</sup>
- 3.14 According to the 2001 Census, College Park & Old Oak and Wormholt & White City have much lower levels of residents aged 16-74 in employment (50% and 52% respectively); this compares to the borough level of 62.2%.
- 3.15 Hammersmith and Fulham has one of the lowest percentages of residents that live and work within the borough. Croydon has the highest percentage with over 46% of residents living and working in the borough, with Newham having the lowest at just over 23%.<sup>10</sup>
- 3.16 Similarly, H&F has a comparatively low proportion of workers in the borough that live in the borough. Almost 32% of workers in 35 the borough live in the borough. City of London has the lowest percentage, with Sutton having the highest with almost three quarters of all workers also living in the same borough (Appendix 1 Table 6).
- 3.17 Distance from services, lack of car ownership and limited access to public transport can mean that some residents may not make use of services that are available and that they need to access such as healthcare and other vital services.
- 3.18 Half of households in the Borough do not have access to a car, and proportion is even higher in more deprived areas. The proportion of those who commute on foot, by bicycle or by public transport is higher than both the inner and greater London averages for travel to work.<sup>11</sup>
- 3.19 Public transport accessibility indicates that Hammersmith Broadway and Shepherds Bush Green have a very good accessibility; that decreases as we move north or south from the area.
- 3.20 The number of population aged 16 to 64 on out-of-work benefits in the Borough stands at 16,350 as at second quarter of 2011; this represents 13.3% of all

---

<sup>8</sup> CACI PayCheck, 2010

<sup>9</sup> APS / LFS, Nomis 2010-11

<sup>10</sup> APS Commuting data, 2008

<sup>11</sup> 2001 Census

population of that age group (London 12.4%). The lowest proportion of claimants was in Palace Riverside ward (5.6%), and the highest was in College Park & Old Oak and Wormholt & White City where over one in five residents were in receipt of benefits.<sup>12</sup>

3.21 Some 8,150 residents in H&F were claiming Employment and Support Allowance (Incapacity Benefit); this represents 6.6% of all population of that age group (London 5.8%). The number of Lone Parents claiming Income Support (IS) has decreased over the years and the IS rate it is now lower than the average rate for London.

**Figure 6: People aged 16-64 on benefits**

Ward	JSA		ESA / IB		IS / Lone Parents		Other benefits		Total Out of Work claimants	
	number	% rate	number	% rate	number	% rate	number	% rate	number	% rate
Addison	310	3.8	540	6.6	110	1.3	65	0.8	1,025	12.6
Askew	510	5.5	785	8.4	195	2.1	70	0.7	1,560	16.7
Avonmore & Brook Green	300	3.7	435	5.3	95	1.2	35	0.4	865	10.6
College Park & Old Oak	330	6.3	500	9.6	215	4.1	35	0.7	1,080	20.7
Fulham Broadway	315	4.1	505	6.6	115	1.5	40	0.5	975	12.8
Fulham Reach	245	3.0	420	5.2	120	1.5	25	0.3	810	10.0
Hammersmith Broadway	395	4.3	655	7.2	155	1.7	55	0.6	1,260	13.8
Munster	175	2.3	340	4.6	60	0.8	30	0.4	605	8.1
North End	345	3.8	575	6.4	145	1.6	50	0.6	1,115	12.4
Palace Riverside	75	1.6	135	2.9	35	0.8	10	0.2	255	5.6
Parsons Green & Walham	190	2.9	325	4.9	70	1.1	20	0.3	605	9.2
Ravenscourt Park	270	3.7	475	6.6	125	1.7	35	0.5	905	12.5
Sands End	310	3.9	495	6.1	210	2.6	40	0.5	1,055	13.1
Shepherd's Bush Green	565	6.3	780	8.7	205	2.3	70	0.8	1,620	18.0
Town	275	3.7	385	5.2	110	1.5	20	0.3	790	10.7
Wormholt & White City	615	7.1	790	9.1	350	4.0	65	0.8	1,820	21.0
<b>North sub area</b>	<b>2,020</b>	<b>6.3</b>	<b>2,855</b>	<b>8.9</b>	<b>965</b>	<b>3.0</b>	<b>240</b>	<b>0.7</b>	<b>6,080</b>	<b>18.9</b>
<b>Central sub area</b>	<b>1,865</b>	<b>3.7</b>	<b>3,100</b>	<b>6.2</b>	<b>750</b>	<b>1.5</b>	<b>265</b>	<b>0.5</b>	<b>5,980</b>	<b>12.0</b>
<b>South sub area</b>	<b>1,340</b>	<b>3.2</b>	<b>2,185</b>	<b>5.2</b>	<b>600</b>	<b>1.4</b>	<b>160</b>	<b>0.4</b>	<b>4,285</b>	<b>10.3</b>
<b>Hammersmith &amp; Fulham</b>	<b>5,220</b>	<b>4.2</b>	<b>8,150</b>	<b>6.6</b>	<b>2,320</b>	<b>1.9</b>	<b>660</b>	<b>0.5</b>	<b>16,350</b>	<b>13.3</b>
<b>London</b>	<b>219,110</b>	<b>4.1</b>	<b>314,710</b>	<b>5.8</b>	<b>109,200</b>	<b>2.0</b>	<b>26,760</b>	<b>0.5</b>	<b>669,780</b>	<b>12.4</b>

Source: DWP, 2011

3.22 The unemployment rate in H&F at 7.7% is the 12th lowest amongst all London boroughs.<sup>13</sup>

3.23 The JobSeekers Allowance (JSA) claimant rate at 4.3% in October 2011 was at the highest level for two years (London 4.4%). H&F has the 16<sup>th</sup> highest claimant rate of all of the London boroughs, and has the 23<sup>rd</sup> highest increase from October 2010.<sup>14</sup>

<sup>12</sup> DWP Benefits, Qtr2 2011

<sup>13</sup> APS / LFS Nomis, 2010

<sup>14</sup> DWP Benefits, Oct 2011

3.24 The highest JSA rates are in the north borough wards: Wormholt & White City (6.9%), College Park & Old Oak (6.9%), Shepherd's Bush Green (6.1%), and Askew (5.7%). The lowest JSA rate at 1.5% is in Palace Riverside ward (Table 7).

**Table 7: JSA Claimants and Rates by Wards, 2010-2011**

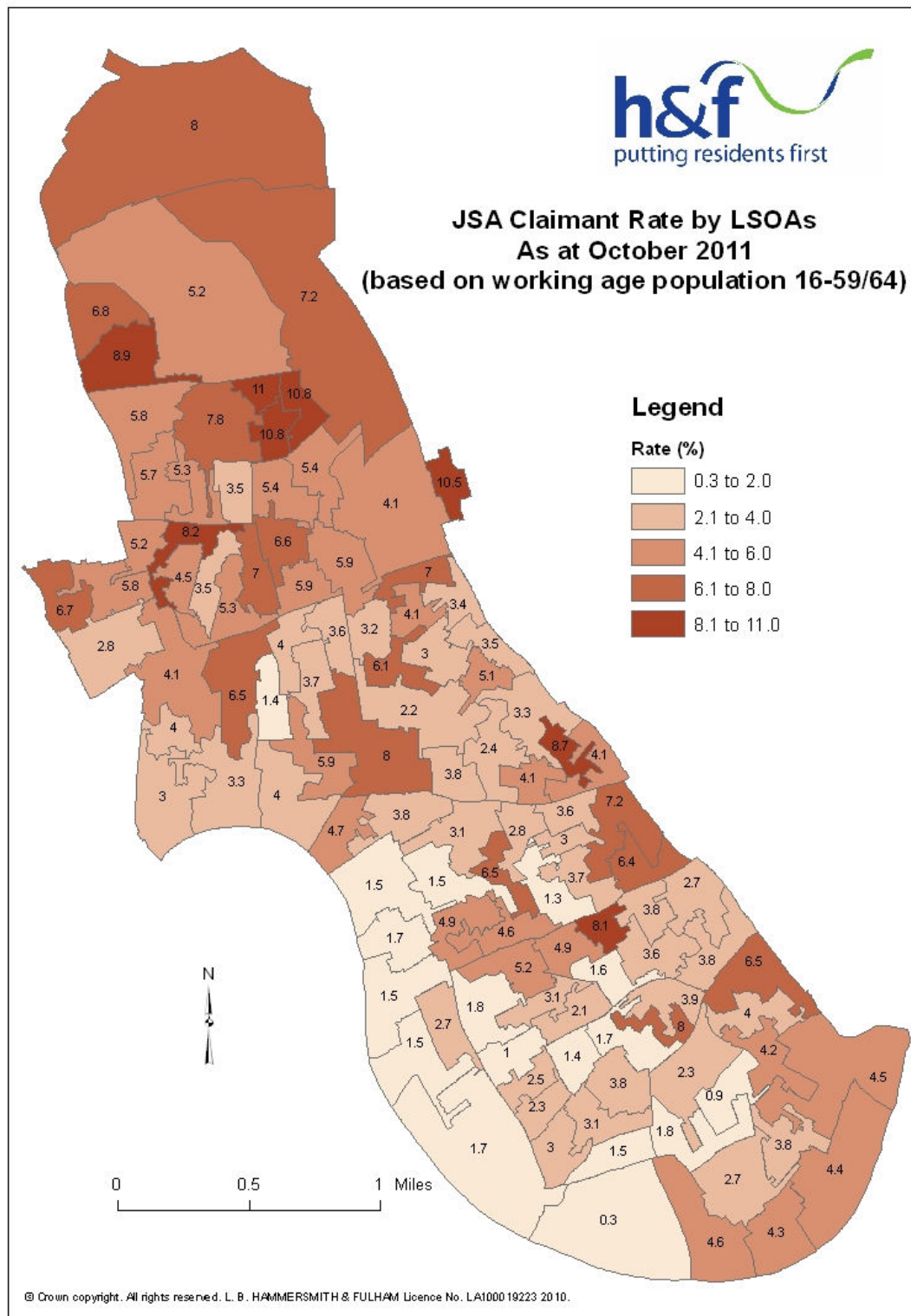
Ward	Oct 2010 number	Oct 2010 rate (%)	Oct 2011 number	Oct 2011 rate (%)	Annual change (%)
Addison	289	3.5	328	4.0	13.5
Askew	489	5.2	535	5.7	9.4
Avonmore & Brook Green	291	3.6	318	3.9	9.3
College Park & Old Oak	318	6.1	359	6.9	12.9
Fulham Broadway	293	3.8	294	3.8	0.3
Fulham Reach	252	3.1	252	3.1	0.0
Hammersmith Broadway	389	4.3	407	4.5	4.6
Munster	165	2.2	188	2.5	13.9
North End	333	3.7	337	3.7	1.2
Palace Riverside	68	1.5	70	1.5	2.9
Parsons Green & Walham	166	2.5	196	3.0	18.1
Ravenscourt Park	295	4.1	244	3.4	-17.3
Sands End	304	3.8	330	4.1	8.6
Shepherd's Bush Green	481	5.3	545	6.1	13.3
Town	252	3.4	260	3.5	3.2
Wormholt & White City	537	6.2	601	6.9	11.9
<b>North sub area</b>	<b>1,825</b>	<b>5.7</b>	<b>2,040</b>	<b>6.3</b>	<b>11.8</b>
<b>Central sub area</b>	<b>1,849</b>	<b>3.7</b>	<b>1,886</b>	<b>3.8</b>	<b>2.0</b>
<b>South sub area</b>	<b>1,248</b>	<b>3.0</b>	<b>1,338</b>	<b>3.2</b>	<b>7.2</b>
<b>Hammersmith &amp; Fulham</b>	<b>4,963</b>	<b>4.0</b>	<b>5,302</b>	<b>4.3</b>	<b>6.8</b>
<b>London</b>	<b>213,795</b>	<b>4.0</b>	<b>236,912</b>	<b>4.4</b>	<b>10.8</b>

Source: DWP, 2011

3.25 The highest JSA rates in the borough at Lower layer Super Output Area (LSOA) level are 11.0%, 10.8%, 10.8% in White City estate, and 10.5% in Edward Woods estate. The lowest rate at 0.3% is in Palace Riverside ward (Figure 8).



**Figure 8 - JSA claimant rate by LSOAs**



Source: DWP, Oct 2011

- 3.26 47% of all H&F claimants were in long-term unemployment (over 6 months); this compares to less than 40% of long term claimants recorded in the previous year.
- 3.27 As at October 2011, over one in five (21.6%) JSA claimants were aged 16 to 24. The lowest proportion of youths in receipt of JSA was in Palace Riverside (2.3% of

all aged 16-24) and the highest was in Wormholt & White City (9.9% of all aged 16-24).<sup>15</sup>

**Figure 14: Long term and Youth JSA Claimants by Ward**

Ward	Long term number	Long term rate (%)	Youth number	Youth rate (%)	as % of all Youths
Addison	155	47.3	70	21.3	7.5
Askew	255	47.7	120	22.4	9.0
Avonmore & Brook Green	140	44.0	60	18.9	4.0
College Park & Old Oak	160	44.6	95	26.5	9.5
Fulham Broadway	135	45.9	60	20.4	4.1
Fulham Reach	125	49.6	55	21.8	3.2
Hammersmith Broadway	180	44.2	90	22.1	6.1
Munster	70	37.2	40	21.3	3.6
North End	155	46.0	70	20.8	4.8
Palace Riverside	35	50.0	15	21.4	2.3
Parsons Green & Walham	95	48.5	35	17.9	3.7
Ravenscourt Park	130	53.3	40	16.4	3.5
Sands End	155	47.0	65	19.7	5.0
Shepherd's Bush Green	270	49.5	105	19.3	8.6
Town	130	50.0	55	21.2	4.7
Wormholt & White City	290	48.3	165	27.5	9.9
<b>North sub area</b>	<b>975</b>	<b>47.8</b>	<b>485</b>	<b>23.8</b>	<b>9.3</b>
<b>Central sub area</b>	<b>885</b>	<b>46.9</b>	<b>385</b>	<b>20.4</b>	<b>4.7</b>
<b>South sub area</b>	<b>620</b>	<b>46.3</b>	<b>270</b>	<b>20.2</b>	<b>4.1</b>
<b>Hammersmith &amp; Fulham</b>	<b>2,490</b>	<b>47.0</b>	<b>1,145</b>	<b>21.6</b>	<b>5.7</b>
<b>London</b>	<b>100,570</b>	<b>42.5</b>	<b>59,325</b>	<b>25.0</b>	<b>6.6</b>

Source: DWP, Oct 2011

3.28 Unemployment by Ethnicity data for the Borough shows that JSA rate is highest among Black Other (19.0%), Black Caribbean (17.4%) and Black African (14.1%) ethnic groups. These rates were around four times the rate for White and Asian ethnic groups.

<sup>15</sup> DWP Benefits, Oct 2011

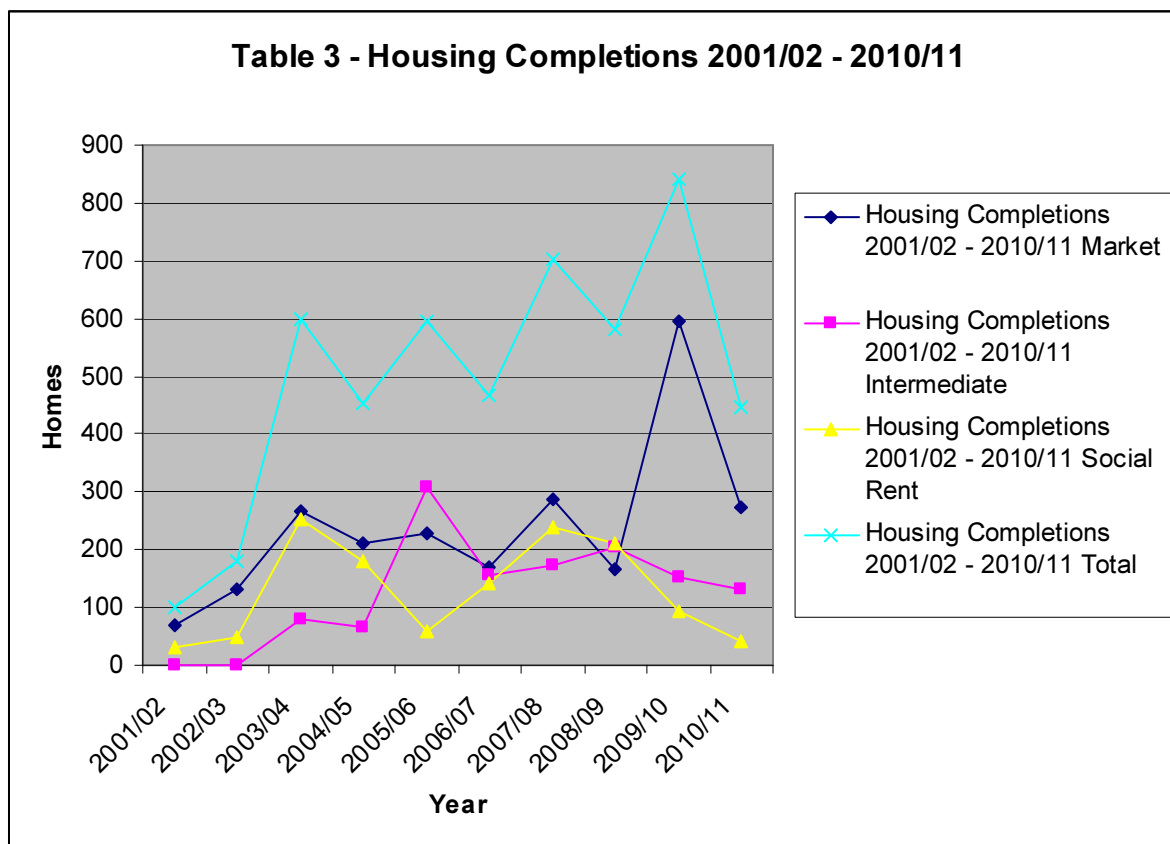
#### 4. New Housing Supply Statistics

4.1 **2001/11 Housing Delivery by Tenure in Hammersmith & Fulham** is drawn from Council’s Strategic Housing Land Availability Assessment . A year has been added to reflect most recent delivery.

**Table 3 - Housing Completions 2001/02 - 2010/11**

Year	Market	Intermediate	Social Rent	Total
2001/02	70	0	30	<b>100</b>
2002/03	130	0	49	<b>179</b>
2003/04	265	79	254	<b>598</b>
2004/05	210	65	179	<b>454</b>
2005/06	230	307	58	<b>595</b>
2006/07	170	156	143	<b>469</b>
2007/08	287	174	240	<b>701</b>
2008/09	167	203	211	<b>581</b>
2009/10	597	153	92	<b>842</b>
2010/11	275	131	40	<b>446</b>
<b>Total</b>	<b>2401</b>	<b>1268</b>	<b>1296</b>	<b>4965</b>

4.2 Table 3 below illustrates the new supply information set out above.



## 5. Housing and Regeneration Department Key Performance Indicators

5.1 All figures reported are as 31<sup>st</sup> March 2012 for the period ending February 2012.

### Performance Key

Green	Target met
Amber	Within tolerance
Red	Outside tolerance

### Repairs and Maintenance

Indicator	Target	YTD	2010/11	Trend	Performance Key
% non-decent council homes	0.39%	0.39%	1.26	Improving	Target Met
% with gas compliance certificate	100	99.84%	99.73	Improving	Outside Tolerance
% repairs appointments kept of made	98	99.7	98.6	Improving	Target Met
% repairs completed in priority time	99	95.4	96.6	Not improving	Outside Tolerance
% Satisfaction with repairs	90	76.5	76	Improving	Outside Tolerance

### Income

Indicator	Target	YTD	2010/11	Trend	Performance Key
% current rent collected excluding arrears	100	99.09	99.71	Not improving	Outside Tolerance
£ cash amount of rent arrears	£2.11m	£2.47m	£2.16m	Not improving	Outside Tolerance
Rent loss on voids as % of rent due	1.58	2.19%	2.96	Improving	Outside Tolerance
£ Service charge collected YTD	£3.84m	£3.86m	£3.45m	Improving	Target Met
Average days to relet void property	25	28.5	29.39	Improving	Outside Tolerance
Voids as % of total stock	1.8	2.23	2.96	Improving	Outside Tolerance

### Reducing households in temporary accommodation

Indicator	Target	YTD	2010/11	Trend	Performance Key
-----------	--------	-----	---------	-------	-----------------

Homeless acceptances	229	174	164	Not Improving	Target Met
Households in temp accommodation	915	998	888	Not Improving	Outside Tolerance

Reducing costs

Indicator	Target	YTD	2010/11	Trend	Performance Key
Sickness rolling year days	7.8	10.5	None*	n/a	Outside Tolerance

\* target relates to the new department

Supporting home ownership

Indicator	Target	YTD:	2010/11	Trend	Performance Key
New Homebuy applications registered	733	934	1043	Not improving	Target Met
Sales under RTB	7	6	7	Not Improving	Within Tolerance
Low Cost Home Ownership (total)	100	65	121	Not improving	Outside Tolerance

## 6. Housing Register (including choice based lettings statistics and trends)

6.1 On 1 February 2012, there were 10,238 households on the Council's Housing Register. Table 1 illustrates housing demand by applicant type household housing requirements including households on the transfer list.

**Table 1 – Housing Demand by Applicant Type and Requirement**

	<b>BS/ 1 Bed</b>	<b>2 Bed</b>	<b>3 Bed</b>	<b>4 Bed</b>	<b>5 Bed</b>	<b>Sheltered</b>	<b>Total by Applicant Type</b>
<b>Homeless</b>	104	322	166	79	66	6	<b>743</b>
<b>Register</b>	4,420	1,921	762	244	76	228	<b>7,651</b>
<b>Transfer</b>	481	500	508	203	53	103	<b>1,848</b>
<b>Total Demand</b>	<b>5,005</b>	<b>2,743</b>	<b>1,436</b>	<b>526</b>	<b>195</b>	<b>337</b>	<b>10,242</b>

Note: Four applicants on more than one list.

6.2 Table 2 illustrates housing demand by applicant type and priority. Under the choice based lettings scheme, there are four priority bands:

- Band A: Emergency and very severe housing need
- Band B: High priority of applicants with an urgent need to move
- Band C: Other applicants with an identified need to whom the Council is required to give reasonable preference under s.187 Housing Act 1996
- Band D: All other registered members or applicants for housing

6.3 More detail on the Council's priority band definitions can be found in its Scheme of Allocation (July 2009) which can be found at the following address:

[http://www.lbhf.gov.uk/Directory/Housing/Council\\_housing/Apply\\_for\\_council\\_housing/27582\\_Apply\\_for\\_council\\_housing.asp](http://www.lbhf.gov.uk/Directory/Housing/Council_housing/Apply_for_council_housing/27582_Apply_for_council_housing.asp)

**Table 2 – Housing Demand by Applicant Type and Band**

	<b>Band A</b>	<b>Band B</b>	<b>Band C</b>	<b>Band D</b>		<b>Total Applicant by Type</b>
<b>Homeless</b>	6	8	729			<b>743</b>
<b>Register</b>	29	197	2,997	4,426	2	<b>7,651</b>
<b>Transfer</b>	218	186	942	501	1	<b>1,848</b>
<b>Total Demand</b>	<b>253</b>	<b>391</b>	<b>4,668</b>	<b>4,927</b>	<b>3</b>	<b>10,242</b>

Note: Four applicants on more than one list.

6.4 Table 3 sets out housing demand by bedroom requirement and band

**Table 3 – Housing Demand by Bed Requirement and Band**

	<b>Band A</b>	<b>Band B</b>	<b>Band C</b>	<b>Band D</b>		<b>Total Applicant by Type</b>
<b>BS/1Bed</b>	142	127	1,482	3,252	2	<b>5,005</b>
<b>2 Bed</b>	55	106	1,421	1,161		<b>2,743</b>
<b>3 Bed</b>	21	50	1,042	322	1	<b>1,436</b>
<b>4 Bed</b>	10	31	418	67		<b>526</b>
<b>5+ Bed</b>	4	10	167	14		<b>195</b>
<b>Sheltered</b>	21	67	138	111		<b>337</b>
<b>Total</b>	<b>253</b>	<b>391</b>	<b>4,668</b>	<b>4,927</b>	<b>3</b>	<b>10,242</b>

Note: Two applicants on more than one list.

### 6.5 Housing Register Statistics

In March 2012:

- Approximately 79% of housing register applications were from addresses in Hammersmith & Fulham; 2% were from out of borough temporary accommodation placements; and 19% were from addresses outside Hammersmith & Fulham
- The oldest recorded date for a housing register application was from April 1976, a Band C case.
- There were 478 applicants who have been on the Housing Register for more than 10 years
- There were 2,288 applicants who have been on the Housing Register for between 5 and 10 years
- The number of applicants housed from Band D in 2010/11 was 10 out of a total of 911

### 6.6 Choice Based Lettings Bidding Trends and Statistics:

In 2010/11:

- The total number of bids for all properties in Hammersmith & Fulham was 131,343, against a total number of lets of 911.
- The record number of bids for a single property was 542 (a one bedroom property)
- The number of applicants who made no bids was 914

- The number of homeless households on the register have never bid or have bid 3 times or less was 363
- The number of times that a household come top in the bidding and refused the property was 92
- The record number of refusals by any one household was 6
- The average number of bids for a bedsit/studio was 66; for a one bedroom home, 73; for a two bedroom home, 84; for a three bedroom home, 158; for a four bedroom home, 140; for a five bedroom home, 44; for a six bedroom home, 30.

## 6.7 **Overcrowding**

In March 2012:

- Using Housing Benefit data, it was estimated that 13% of council homes were overcrowded (by one or more bedrooms)
- Using Housing Benefit data, it was estimated that 9% of council housing were under-occupied (by one or more bedrooms)

## 6.8 **Homelessness**

In 2010/11:

345 Homelessness Applications (Part 7) were made, of which 164 were accepted

Of 555 council general needs homes (i.e., excluding sheltered housing) let, 93 were allocated to homeless households



## 7. HomeBuy Register (21 March 2012)

Household Income Group	
Under £11,000	249
£11,000 to under £20,000	195
£20,000 to under £30,000	1269
£30,000 to under £40,000	1195
£40,000 to under £50,000	694
£50,000 to £60,000	441
Over £60,000	100
<b>Total</b>	<b>4143</b>

Household Savings Group	
Under £3,000	1134
£3,000 to under £5,000	575
£5,000 to under £10,000	833
£10,000 to under £20,000	728
£20,000 to £40,000	589
Over £40,000	284
<b>Total</b>	<b>4143</b>

Age Group	Main Applicant's Age Group			
	Female	Male	No Data	Total
20 to 30	652	415	1	1068
30 to 40	1171	847	5	2023
40 to 50	387	320	3	710
50 to 65	133	114	0	247
No Data	9	7	19	35
Over 60	3	17	0	20
Under 20	26	14	0	40
<b>Total</b>	<b>2381</b>	<b>1734</b>	<b>28</b>	<b>4143</b>

Main Applicant's Age Group	Households' Savings						
	Under £3,000	£3,000 to under £5,000	£5,000 to under £10,000	£10,000 to under £20,000	£20,000 to £40,000	Over £40,000	Total
20 to 30	323	126	194	184	150	91	1068
30 to 40	507	306	426	368	302	114	2023
40 to 50	205	98	160	114	97	36	710
50 to 65	65	34	42	46	30	30	247
No Data	20	4	1	4	5	1	35
Over 60	2	1	3	4	3	7	20
Under 20	12	6	7	8	2	5	40
<b>Total</b>	<b>1134</b>	<b>575</b>	<b>833</b>	<b>728</b>	<b>589</b>	<b>284</b>	<b>4143</b>

Main Applicant's Age Group	Households' Income							
	Under £11,000	£11,000 to under £20,000	£20,000 to under £30,000	£30,000 to under £40,000	£40,000 to under £50,000	£50,000 to £60,000	Over £60,000	Total
20 to 30	72	76	364	276	161	106	13	1068
30 to 40	87	64	581	615	387	230	59	2023
40 to 50	45	37	213	224	103	68	20	710
50 to 65	20	12	81	65	31	32	6	247
No Data	18	1	6	7	2	1	0	35
Over 60	4	2	7	2	2	3	0	20
Under 20	3	3	17	6	8	1	2	40
<b>Total</b>	<b>249</b>	<b>195</b>	<b>1269</b>	<b>1195</b>	<b>694</b>	<b>441</b>	<b>100</b>	<b>4143</b>

Income Group	Main Applicant's Gender			
	No Gender Data	Female	Male	Total
Under £11,000	17	137	95	249
£11,000 to under £20,000	1	123	71	195
£20,000 to under £30,000	4	804	461	1269
£30,000 to under £40,000	4	676	515	1195
£40,000 to under £50,000	0	370	324	694
£50,000 to £60,000	2	226	213	441
Over £60,000	0	45	55	100
<b>Total</b>	<b>28</b>	<b>2381</b>	<b>1734</b>	<b>4143</b>

Savings Group	Main Applicant's Gender			
	No Gender Data	Female	Male	Total
Under £3,000	20	718	396	1134
£3,000 to under £5,000	1	338	236	575
£5,000 to under £10,000	1	477	355	833
£10,000 to under £20,000	4	393	331	728
£20,000 to £40,000	2	312	275	589
Over £40,000	0	143	141	284
<b>Total</b>	<b>28</b>	<b>2381</b>	<b>1734</b>	<b>4143</b>

Ethnic Origin of Main Applicant	Main Applicant's Gender			
	No Gender Data	Female	Male	Total
No Ethnicity Data	11	82	75	168
Asian or Asian British - Bangladeshi	0	3	10	13
Asian or Asian British - Indian	0	79	74	153
Asian or Asian British - Other	0	111	88	199
Asian or Asian British - Pakistani	1	18	34	53
Black or Black British - African	0	146	101	247
Black or Black British - Caribbean	3	130	64	197
Black or Black British - other	0	71	32	103
Chinese	0	33	26	59
Mixed - other	0	72	43	115
Mixed - White and Asian	0	20	19	39
Mixed - White and Caribb	0	33	14	47
Not Stated	0	18	15	33
Other	1	139	57	197
White - British	7	863	726	1596
White - Irish	0	66	44	110
White - other	5	497	312	814
<b>Total</b>	<b>28</b>	<b>2381</b>	<b>1734</b>	<b>4143</b>

Ethnic Origin	Households' Income Groups							
	Under £11,000	£11,000 to under £20,000	£20,000 to under £30,000	£30,000 to under £40,000	£40,000 to under £50,000	£50,000 to £60,000	Over £60,000	Total
No Ethnicity Data	19	12	51	46	23	16	1	168
Asian or Asian British - Bangladeshi	1	0	8	3	1	0	0	13
Asian or Asian British - Indian	10	3	45	47	19	23	6	153
Asian or Asian British - Other	5	7	48	66	47	21	5	199
Asian or Asian British - Pakistani	5	4	19	10	9	5	1	53
Black or Black British - African	23	15	95	60	29	16	9	247
Black or Black British - Caribbean	22	17	77	49	21	6	5	197
Black or Black British - other	3	6	52	27	8	6	1	103
Chinese	4	1	14	20	10	9	1	59
Mixed - other	9	7	38	32	18	8	3	115
Mixed - White and Asian	0	4	12	10	8	3	2	39
Mixed - White and Caribb	10	6	13	10	5	3	0	47
Not Stated	3	4	7	8	10	1	0	33
Other	13	13	51	57	38	16	9	197
White - British	75	63	450	478	300	192	38	1596
White - Irish	7	3	36	29	19	16	0	110
White - other	40	30	253	243	129	100	19	814

**Need and Want of Bed Sizes (Additional Information Sept 2012)**

Needed Bed Sizes (Added Sept 2012)						
No Data	One	Two	Three	Four	Five	Total
19	2898	1407	203	15	0	4542
0.4%	63.8%	31.0%	4.5%	0.3%	0.0%	100.0%

Wanted Bed Sizes (Added Sept 2012)						
No Data	One	Two	Three	Four	Five	Total
15	1638	2452	405	28	4	4542
0.3%	36.1%	54.0%	8.9%	0.6%	0.1%	100%

Number of Applicants who are either disabled or who include a disabled Household Member (Added Sept 2012)
163

**8. Homelessness Statistics**

**Homelessness Strategy**

Name	2003/04	2004/05	2005/06	2006/07	2007/8	2008/9	2009/10	2010/11	2011/12 (up to Dec11)
<b>Approaches</b>	2264	2208	2059	2454	2225	2891	2612	2521	1718
<b>Approaches by Ethnicity</b>									
White Total					835	1077	992	1031	720
Black Total					743	1014	933	897	592
Asian Total					187	205	203	212	141
Mixed Total					106	165	215	170	113
Other Total					153	193	205	167	122
Not Stated					201	237	64	44	30
Total					2225	2891	2612	2521	1718
<b>Approaches by Age</b>									
0-15					4	3	1	6	1
16-24					668	1001	876	730	455
25-44					1136	1371	1239	1281	903
45-59					308	404	373	375	273
60-64					49	49	62	64	35
65-74					46	49	47	46	33
75 & Over					14	14	12	17	9
Unknown					0	0	2	2	9
Total					2225	2891	2612	2521	1718
<b>Acceptances</b>	644	653	430	443	252	172	156	164	132

<b>Acceptance by ethnicity:</b>										
White Total	189	223	152	176	80	62	50	66	51	
Black Total	254	237	151	150	102	65	60	62	61	
Asian Total	31	39	35	29	23	13	14	12	9	
Mixed Total	0	0	0	19	14	9	24	10	4	
Other Total	69	73	54	42	22	10	8	14	7	
Not Stated	101	81	38	27	11	13	0	0	0	
Total	644	653	430	443	252	172	156	164	132	
<b>Acceptance by Age:</b>										
16-24			170	176	114	71	59	42	38	
25-44			219	216	106	81	77	92	65	
45-59			35	42	20	16	11	23	20	
60-64			3	2	3	2	2	1	1	
65-74			3	6	9	2	7	3	5	
75 & Over			0	1	0	0	0	3	3	
Total			430	443	252	172	156	164	132	
<b>Acceptance by Household Type:</b>										
Couple with children			89	61	30	21	22	23	18	
Male Lone Parents			8	11	13	4	4	3	3	
Female Lone Parents			196	203	104	85	85	70	63	
Male Lone Person			69	77	59	33	26	32	35	
Female Lone Person			60	80	41	28	16	34	13	
Other inc couples			8	11	5	1	3	2	0	
Total			430	443	252	172	156	164	132	
<b>Homeless Reason Breakdown:</b>										
Excluded Parents/Relative	313	315	226	233	135	89	78	60	61	
Loss of Rented Accommodation	124	125	92	89	42	34	30	44	37	
Relationship Breakdown - Violence related	57	91	46	53	23	23	33	20	12	
Relationship Breakdown - Non Violence related	11	10	5	7	11	6	2	4	2	
Rent/Mortgage Arrears	10	7	3	10	5	5	1	2	3	
Ex-Institution of Care	28	16	13	5	2	5	2	9	2	
Consolidated Other Reasons	101	89	45	46	34	10	10	25	15	
Total	644	653	430	443	252	172	156	164	132	
<b>Priority Need Breakdown:</b>										
Dependent child(ren) in household	351	372	247	256	126	97	94	91	79	
Applicant or partner pregnant (no children)	52	90	50	45	22	13	17	5	5	
Applicant aged 16/17	108	68	69	65	57	27	23	9	3	
Vulnerable (Other)	133	123	64	77	47	35	22	59	45	
Total	644	653	430	443	252	172	156	164	132	
<b>Households in TA by Accommodation Type (as at 31st March - apart from 2011/12 where as at 31st Dec)</b>										
Bed & Breakfast	214	139	70	64	51	39	26	51	71	
Daily Annexe	0	0	0	1	5	0	0	0	0	
Housing Association Leased	651	644	517	423	333	300	303	263	239	

Private Sector Leased	480	595	672	652	558	494	411	409	458
LBHF Stock	436	421	361	309	205	161	135	150	189
Assured Shorthold Letting	0	0	0	0	0	0	0	9	9
Voluntary Sector Hostels	0	26	47	60	48	30	2	6	2
Total	1781	1825	1667	1509	1200	1024	877	888	968
<b>Preventions</b>			450	530	554	609	721	546	365
<b>Homeless Permanent Rehoused (HLP Rehoused)</b>					435	281	255	201	128
<b>Approach Reasons (went live May09)</b>									
Disrepair								18	8
Domestic violence								232	151
Ex offender								165	143
Excluded Parents, Family or Friends								751	474
Illegal eviction								6	8
Landlord and tenant dispute								13	4
Landlord harassment								1	0
Left institutional accommodation								15	20
Medical unsuitable								46	25
Mortgage arrears								7	9
Neighbour dispute								9	1
Notice to vacate premises								610	464
Other harassment								62	40
Other reason for approach								293	188
Overcrowding								87	34
Pest infestation								4	0
Possession order/bailiffs warrant								61	43
Racial harassment								3	0
Relationship breakdown - spouse/partner								52	35
Rent arrears/ affordability								86	72
Total								2521	1719
<b>Current Accommodation on Approach (went live May09)</b>									
Assured shorthold RSL tenancy								18	47
Assured tenancy PRS								85	35
ASTPRS - assured shorthold tenancy PRS								533	444
Bare license host is LA tenant								598	312
Bare license host is owner occupier								73	43
Bare license host is private tenant								177	108
Bare license host is RSL tenant								141	78
Bare license host other accomm type								146	206
Contractual licensee								62	34
Freehold owner occupier								13	3
Hospital patient								40	42
LBHF probationary tenancy								1	0
LBHF secure tenancy								47	24

*Building a Housing Ladder of Opportunity – Housing Strategy Annexes*

Leasehold owner occupier								13	13
NASS provided accommodation								11	1
Other accommodation type								188	84
Other local authority tenancy								33	15
Prison inmate								33	72
Resident landlord								2	1
Secure or assured RSL tenancy								48	24
Street homeless								259	133
Total								2521	1719

## **9. Hammersmith & Fulham Housing Market Assessment – Executive Summary (Dec 2010) – Executive Summary**

### **How H&F will meet housing need**

The borough has a higher proportion of social housing than Greater London as a whole. In 2009, the borough had 32% of dwellings that were social housing compared to 24% for Greater London as a whole. (1)

Determining actual housing need in the borough is difficult as the housing register has not been validated since late 2005 with additional households in housing need being added to the register since then.

Extrapolating findings from a 15% stratified sample of the housing register, it is estimated that the actual level of housing need was 3037 households. (2)

Housing need includes all those current applications in the highest priority bands (A and B) and all households that are severely overcrowded or overcrowded, are homeless, and / or have a medical award (Band C).

Based on 2009-10 data, there are an additional 1,273 households applying in actual need throughout the year (either as new applicants or as a change in priority need).

On average the borough re-houses 663 households per annum (excluding transfers and sheltered housing).(3)

Over a 10 year period, considering preventative measures and new additions to the housing register through newly formed households LBHF can meet the housing requirements for those households in need through the effective use of the existing stock.

**Making best use of existing social housing -tackling overcrowding and under-occupancy**

H&F's innovative Re-housing Opportunities Initiative has had impressive results. This has enabled:

- moving a total of 48 under occupied households
- moving 50 overcrowded households,
- enabling 20 adult children to move to alternative housing and
- providing 93 households with in situ space saving solutions.

Where estate renewal is a priority, for example in opportunity areas, the Council will re-provide social housing through redevelopment. Given the prevalence of unsuitable one bed stock, redevelopment will provide opportunities to build housing more suitable for families. Estate renewal will also provide an unparalleled opportunity to deal with the large numbers of under occupied properties, re-providing properties much more suited to households whose adult children have moved on.

In addition, the Council proactively seeks to fund lateral conversions of its existing one bed stock to better meet family demand, particularly to address overcrowding.



These initiatives to improve the use of existing stock will lead to a reduction in the need for transfers and free up social housing units for households in housing need. Increasing the existing supply of social rented housing –

#### Targeted HomeBuy and Employment services

The borough is increasing the supply of social housing available for re-housing by using our resources in a more effective way. Employment and HomeBuy services are targeting existing council tenants and households on the housing register to assist them into employment and secure their preferred form of tenure.

It is estimated that 7% of those on the housing register will have an income at a sufficient level to consider low cost home ownership products or rental in the private sector.<sup>(4)</sup> From the last housing needs survey <sup>(5)</sup> it was estimated that there were 1800 households living in council tenancies with an income of £29k pa or more who could afford low cost home ownership and want to buy their own property. <sup>(6)</sup>

Employment services are working intensively work with people on the housing register to assist them into employment and reduce the likely demand for social housing. It is estimated that 52% of those on the housing register are not in employment <sup>(7)</sup>, and 63% of council tenants are not in employment <sup>(8)</sup>. Any increase in these employment rates would help increase the number of households who could potentially afford market housing and so increase the supply of social housing units for those households in most need.

Through effective targeting of our existing services, the supply of units available for rehousing those in housing need will increase. The employment service has an annual target of helping 50 households requiring rehousing into employment and reduce the need for social housing. The HomeBuy service has a target of assisting 50 households that are in existing council tenancies to purchase their own homes per year.

#### **Increasing Supply of Affordable Housing for Purchase and Rent**

H&F are working to increase the provision of housing, including affordable housing. LDF policy is to exceed the Revised London Plan (RLP) target of 615 additional dwellings/year not only for 2011-2021 (in accordance with RLP) but to continue to seek this level for 2022-2032.

The current London Plan target is only 450 additional dwellings a year, but H&F are proposing this much higher target of at least 615 additional dwellings a year. This will produce 1,650 more homes over 10 years. This is a 37% increase in the target compared with a London-wide increase of 9%.

Increasing the housing target will also result in an increase in the provision of affordable housing. The 40% affordable housing target in accordance with Replacement London Plan will produce at least 2,460 additional affordable dwellings in 10 years. This compares with 2,250 additional affordable dwellings with the current London Plan target.

Proposals for estate regeneration will provide opportunities to tackle under occupation and overcrowding and of re-providing housing more suitable for families.

Why H&F want to provide most of the additional affordable housing as intermediate housing for purchase or rent

The local area is polarised both demographically and economically; with areas of deprivation close to affluent, wealthy areas, and areas of high economic activity and income next to areas with very high inactivity and unemployment and low incomes.

The economy of the borough is strong and resilient but despite this the borough has one of the lowest employment rates of working age people in London. (9)

The borough has consistently struggled to fill job vacancies in the occupations with low wage levels. These include “key worker” areas such as health and social care. This impacts on the provision of a wide range of essential services because many key workers move out of the borough and possibly London when they want to buy a house.

An analysis of those job vacancies in the lowest paid areas shows that these positions are not filled by local people on job seekers allowance.

House prices and sales have recovered well since entering and leaving recession. The borough has the 4th highest average house price in London, with an average of £495k.<sup>(10)</sup> The majority of properties sold in the borough are flats. An average household income of £86k pa is required to purchase an entry level (ie lower quartile house price) property in the borough.

H&F has one of the highest house price to household income ratios in the country, meaning that the majority of first time buyers cannot afford to buy in the borough.

Low cost home ownership and other forms of intermediate housing account for only 2% of all dwellings in the borough.

Even so, 3000 households are on the HomeBuy register (71% residents, 57% workers in the borough and 33% both resident and local workers. 62% have household income £20-40k).

Also at the 2001 census, nearly quarter of households rented from a private landlord. It is estimated that this may have increased to over a third of all households now renting from a private landlord. A MORI survey for the GLA (2009) showed that 87% of households in private rented housing wanted to own their own home.

The aspiration for home ownership also includes households on the council’s housing register. A survey <sup>(11)</sup> of people on the council’s housing register shows that 57% of housing register applicants are interested in owning their own home. Home ownership for these households would free up further social housing units.

Increasing home ownership opportunities for these households would free up more housing to meet housing need and would help to maintain an appropriately skilled local workforce. Where home ownership cannot be achieved because of income and/or mortgage availability constraints, we will provide more intermediate homes at below market rents.

## **Summary and Conclusions**

1. About 2% of the housing stock is intermediate housing and there is evidence that the overwhelming need in H&F is for more intermediate housing to meet the aspirations of local residents and workers for home ownership.
2. About 32% of the housing stock is already social rented housing, compared to 24% in London as whole.
3. H&F aims to build a minimum of 6150 additional dwellings over the next 10 years and 2,460 additional affordable dwellings. These targets are likely to be exceeded if the proposals for estate regeneration go ahead.
4. Housing need can be met from the existing annual supply of social rented housing.
5. The supply of social rented housing can be increased by targeting employment and HomeBuy services to existing council tenants and those in housing need.
6. The Rehousing Opportunities Initiative is tackling under occupation and overcrowding.
7. Proposals for estate regeneration will provide opportunities for tackling under occupation and overcrowding and of reproviding housing more suitable for families.

1 Housing Strategy Statistical Appendix returns 2009-10

2 15% stratified sample of housing register, see methodology

3 Rehousing figures from I World – 2009-10

4 Data from the 15% stratified sample of the housing register, 2010

5 Hammersmith and Fulham Borough Council Housing Needs and Demand Study Update 2007, based on 2003 survey

6 Fordhams LBHF Housing Need Survey

7 Data from the 15% stratified sample of the housing register, 2010

8 Fordhams LBHF Housing Need Survey

9 Huggins 2010 Competitiveness Index

10 2010 Land Registry data

11 2010 15% Stratified sample of the housing register

### **Note: Full document available from:**

[http://www.lbhf.gov.uk/Directory/Environment\\_and\\_Planning/Planning/Planning\\_policy/82310\\_LDF\\_Researchhousing.asp](http://www.lbhf.gov.uk/Directory/Environment_and_Planning/Planning/Planning_policy/82310_LDF_Researchhousing.asp)

## **Annex 2 – H&F Borough Investment Plan – Executive Summary (Dec 2011)**

- Over the 2012/32 years, there is identified capacity for 14,400 additional homes, the large majority of which is in the five regeneration opportunity areas detailed in this document. Over the same period, there is potential for over 25,000 new jobs.
- Over the first ten years of this programme, the Council expects to deliver between 2,460 and 2,880 affordable homes, the majority of which will be located in the five identified regeneration opportunity areas. The timing and tenure profile of housing delivery will be significantly affected by the long lead in times associated with large strategic sites and will be subject to scheme viability and site constraints
- Ensuring working age residents in the borough, particularly affordable housing residents, access to new jobs created is an Investment Plan priority
- The housing market in Hammersmith & Fulham remains strong and it is expected that market interest in new development will continue as will the need for new and more innovative intermediate housing products to create opportunities for working residents to get onto the housing ladder
- The Council's affordable housing target will be 40% of total delivery which will comprise intermediate and affordable rent housing. The proportions of intermediate and Affordable Rent will be decided on a site by site basis taking account of the local area's characteristics and housing market. The Council will also seek new social rented housing necessary to enable proposals for the regeneration of council or housing association estates, or the replacement of unsatisfactory accommodation. Our intention is to tackle overcrowding in all households by increasing the supply of larger homes with incentives in place to encourage greater mobility for working households.
- A Local Housing Company has been established by the Council to deliver new market and affordable housing. This vehicle may require future Homes and Communities Agency funding to fully realize its potential. The Council intends to work with the HCA to progress and grow that ambition
- The Council will seek to deliver its Housing Estates Investment Plan designed to improve housing and wider socio economic outcomes for our residents
- Investment will be required to support key enabling infrastructure to allow people in deprived communities to benefit from opportunities that are being created

By setting out the rationale for investment in Hammersmith & Fulham to the Homes and Communities Agency and the Mayor of London, the Council looks forward to working with the HCA and the successor GLA Housing and Regeneration Directorate to achieving the objectives that we have set out in this Borough Investment Plan.

### **Annex 3 – Background Reference Documents**

1. LBHF Local Development Framework – Core Strategy (Oct 2011)
2. LBHF Local Development Framework – Proposed Development Management DPD (Nov 2011)
3. LBHF Strategic Housing Market Assessment (Dec 2010)
4. West London Strategic Housing Market Assessment (Nov 2010)
5. Hammersmith and Fulham Community Strategy 2007/14 (September 2007)
6. Mayor of London's London Plan (July 2011)
7. Mayor of London's Housing Strategy (Feb 2010)
8. LBHF Housing Strategy 2007/14 – A Housing Ladder of Opportunity for All (2007)
9. Mayor of London's A Revised London Housing Strategy (Dec 2011)
10. CLG A Fairer Future for Social Housing (Nov 2010)
12. LBHF LDF Strategic Housing Land Availability Assessment (Oct 2010)
13. LBHF LDF Background Paper: Affordable Housing (Oct 2010)
14. HMG Laying the Foundations: A Housing Strategy for England (Nov 2011)
15. TSA The Regulatory Framework for Social Housing in England from April 2012 (March 2012)
16. CLG National Planning Policy Framework (March 2012)
17. LBHF Housing Allocation Scheme (July 2009) Second Edition
18. LBHF Housing Demand by Applicant Type and Requirement (1 April 2012)
19. The CLG Allocation of Housing (Qualification Criteria for Armed Forces) (England) Regulations 2012 (July 2012)
20. CLG Allocation of accommodation: Guidance for Local Housing authorities in England (June 2012)
21. CLG Homelessness (Suitability of Accommodation) (England) Order 2012 – Consultation (May 2012)
22. CLG Pay to Stay Consultation Paper on charging higher rents to social housing tenants (June 2012).

## **Annex 4 – Glossary**

**Affordable Rent** – “Rented housing provided by registered providers of social housing, that has the same characteristics as social rented housing except that it is outside the national rent regime, but is subject to other rent controls that require it to be offered to eligible households at a rent of up to 80% of local market rents.” Source: CLG. Planning Policy 3: Planning for Housing – Technical change to Annex B, Affordable Housing Definition. CLG, 2011 (Note: CLG Planning Policy Statements have now been replaced by the National Planning Framework)

**Greater London Authority (GLA)** – The statutory strategic authority responsible for supporting the Mayor produce the London Plan and the London Housing Strategy

**Homes and Communities Agency (HCA)** – The national housing and regeneration agency responsible for administering funding for new housing and regeneration in England and overseeing the borough investment planning process. *Note: The HCA’s London (and London Development Agency’s) functions have now been incorporated into the Mayor’s GLA Housing and Land Directorate.*

**Intermediate Housing** – Affordable housing for rent and/or ownership for working households on low to medium incomes who are ineligible for social housing and unable to afford market housing

**Local Development Framework (LDF)** – The suite of planning documents that make up the local spatial development strategy for the borough, including the Core Strategy and Development Management Plan policies

**Market Housing** – Housing for sale or for private rent.

**Mayor of London** – The strategic authority for planning and housing in London.

**Registered Providers** – Organizations formerly known as Registered Social Landlords (and also housing associations) who provide affordable housing. (Note: The former TSA described housing associations as *Private* Registered Providers and council landlords and arms length management organisations as Registered Providers). For the purpose of the housing strategy documents, ‘housing associations’ are described as Private Registered Providers with the local authority’s landlord role described as ‘the Council in its Registered Provider role.’

**Social Housing** – Affordable housing provided by local authority landlords (on secure tenancies) or housing associations (on assured tenancies) charged at ‘target’ rent.

**Strategic Housing Land Availability Assessment (SHLAA)** – Assesses the availability and timing of housing site delivery in an area over a fifteen year timeframe and is intended to guide housing delivery ‘trajectories’ in the LDF

**Strategic Housing Market Assessment (SHMA)** – A research tool designed to help inform and provide housing market evidence for planning and housing strategies and policies

**Tenant Services Authority** – Formerly responsible for regulating the work of Registered Providers, abolished in April 2012.

**BUILDING A HOUSING LADDER OF OPPORTUNITY** In-house research on tenancy turnover in LBHF housing stock:  
 Age at start of tenancy by rehoused year for tenancies which have ended - by length of tenancy

Age Range (Age at start of tenancy)	Summary of length of tenancy (months)		Tenancy Ended						Grand Total	Grand Total %
	2009/10	2010/11	2009/10 %	2010/11 %	2010/11	2011/12	2011/12 %	Grand Total		
17-25 Total	25	12	25.0%	23.5%	2	2	18.2%	39	24.1%	
26-35 Total	14	6	14.0%	11.8%	2	2	18.2%	22	13.6%	
36-45 Total	18	3	18.0%	5.9%	1	1	9.1%	22	13.6%	
46-55 Total	10	4	10.0%	7.8%	1	1	9.1%	15	9.3%	
56-65 Total	14	13	14.0%	25.5%	4	4	36.4%	31	19.1%	
66-75 Total	9	6	9.0%	11.8%	1	1	9.1%	16	9.9%	
76-85 Total	6	5	6.0%	9.8%	1	1	9.1%	11	6.8%	
86+ Total	4	2	4.0%	3.9%	2	11	100.0%	6	3.7%	
<b>Grand Total</b>	<b>100</b>	<b>51</b>	<b>100.0%</b>	<b>100.0%</b>	<b>11</b>	<b>11</b>	<b>100.0%</b>	<b>162</b>	<b>100.0%</b>	

Note: 4 Tenancies allocated to persons under 18 years old



**MEASURED TERM CONTRACT  
FOR  
HOUSING REPAIR SERVICE COMPRISING BOROUGH WIDE CYCLICAL  
PLANNED MAINTENANCE TO COUNCIL OWNED HOUSING PROPERTIES  
2012-2015**

**SECTION NO 8**

**KEY PERFORMANCE INDICATORS & INCENTIVISATION**

**REVISION 1 – 15<sup>TH</sup> MAY 2012**

**APPENDIX 1**

**RESIDENTS SATISFACTION FORM**

# PLANNED MAINTENANCE WORKS SATISFACTION SURVEY

**Date Issued**

**Name**

**Address**

**Contact Telephone Number**

**Please state if you are a  
Council Tenant, Leaseholder  
or Private Tenant**

**Contractor**


*Please call your Resident Liaison Officer or the Client Project Manager if you need help completing this form.*

## PLEASE ANSWER QUESTIONS 1-10

**Q1 Do you feel that you were given enough information about the works before the works started?**

 Yes.....   No.....

**Q2 Did the contractor take care in your home and leave it safe, tidy and secure at the end of every day?**

 Always.....   Occasionally.....

 Mostly.....   Never.....

**Q3 Overall, how satisfied were you with the quality of work carried out by the contractor?**

 Very satisfied.....   Dissatisfied.....

 Satisfied.....   Very dissatisfied.....

**Q4 Did the contractor keep the working areas outside your home in a safe and tidy condition?**

 Always.....   Occasionally.....


 Mostly.....   Never.....

**Q5 If you had to contact the Resident Liaison Officer, were they helpful?**

 Very helpful.....   Unhelpful.....

 Helpful.....   Very unhelpful.....

**Q6 How satisfied were you with the finished product?**

 Very satisfied.....   Dissatisfied.....

 Satisfied.....   Very dissatisfied.....

**Q7 Taking into account the disruption, was the work worthwhile?**

 Yes.....   Probably not.....

 Probably.....   No.....

**Q8 Did you have a complaint or problem that was handled by the contractor?**

 Yes.....   No.....

**Q9 Overall, how well did the contractor deal with any queries or complaints you raised with them?**

☺ Very well.....

☹ Poorly.....

☺ Well.....

☹ Very poorly.....

**Q10 Overall, how satisfied were you with the contractor who carried out the work?**

☺ Very satisfied.....

☹ Dissatisfied.....

☺ Satisfied.....

☹ Very dissatisfied.....

**Q11 & Q12 TO BE COMPLETED BY LEASEHOLDERS ONLY**

**Q11 Did you have enough information in advance about the possible costs of the works?**

☺ Yes.....

☹ No.....

**Q12 Do you think that the work we have carried out provides good value for money?**

☺ Excellent.....

☹ Poor.....

☺ Good.....

☹ Very poor.....

**IF YOU HAVE ANY COMMENTS, QUERIES OR SUGGESTIONS PLEASE USE THE SPACE BELOW.**

## Equalities & Diversity Monitoring

**Are you male or female?**

Male.....  Female.....

**How old are you?**

16-24.....  45-54.....

25-34.....  55-64.....

35-44.....  65+.....

**Do you or does anyone in your household have any long-term illness, health problem or disability which limits your/their daily activities or the work you/they can do?**

Yes.....  No.....

**What is your ethnic origin?**

White: British.....

Irish.....

Other.....

Mixed: White and Black Caribbean.....

White and Black African.....

White and Asian.....

Other.....

Asian or Asian British: Indian.....

Pakistani.....

Bangladeshi.....

Other.....

Black or Black British: Caribbean.....

African.....

Other.....

Chinese or Other: Chinese.....

Other.....

Prefer not to say:.....

If you selected the **Other** category under White, Mixed, Asian or Asian British, Black or Black British or Chinese or Other, please specify your ethnicity:

**THANK YOU FOR HELPING US**

## **APPENDIX A**

### **Schedule of Properties**

Attached is a schedule of properties which potentially could be included within the Contract. The Contractor is advised that the schedule is indicative only, and no guarantees can be provided as to how many and which properties will be instructed during the term. Furthermore, the Contractor should be aware that the schedule is not necessarily exhaustive, and additional properties, not included in the schedule, may be instructed.

Count of UPRN Street	Ownership Status		
	Council Owned	Leasehold	Grand Total
ABERCROMBIE HOUSE White City Estate	22	15	37
ACFOLD ROAD	3	1	4
ADAM WALK, Crabtree Lane	27	7	34
ADDISON GARDENS	6	2	8
ADELAIDE GROVE	1	1	2
AGATE ROAD	1	5	6
AISGILL AVENUE	44		44
ALDBOURNE ROAD	2	2	4
ALDERVILLE ROAD	4		4
ALDINE COURT, Aldine Street	30	18	48
ALICE GILLIATT COURT, Star Road	56	21	77
ALLESTREE ROAD		2	2
ANSELM ROAD	5	1	6
ARCHEL ROAD	9	8	17
ARMINGER ROAD	2	2	4
ASHCHURCH GROVE	1		1
ASHCHURCH PARK VILLAS	9	15	24
ASHCHURCH TERRACE	1	5	6
ASHINGTON ROAD	1		1
ASKEW CRESCENT	1		1
ASKEW ROAD	3	1	4
ASPENLEA ROAD	3	2	5
ATWOOD ROAD	1		1
AUCKLAND HOUSE White City Estate	44	16	60
AURIOL ROAD	4	8	12
AVERILL STREET	2	2	4
AYCLIFFE ROAD	2		2
AYLMER ROAD	3	2	5
BAGLEYS LANE	4		4
BAIRD HOUSE White City Estate	36	14	50
BANIM STREET	36		36
BARCLAY CLOSE, Fulham Road	60	46	106
BARCLAY ROAD	1		1
BARONS COURT ROAD	24	12	36
BARTON HOUSE, Wandsworth Bridge Rd	71	5	76
BARTON ROAD	16	10	26
BASSEIN PARK ROAD	1	2	3
BATHURST HOUSE White City Estate	31	8	39
BEARCROFT HOUSE, Elysium Street	23	7	30
BECKLOW GARDENS W12	194	51	245
BELLAMY CLOSE	8		8
BENTINCK HOUSE White City Estate	33	6	39
BERESTEDE ROAD	1		1
BERYL ROAD	3	3	6
BETTRIDGE ROAD	1	2	3
BISCAY ROAD	1	1	2
BISHOPS ROAD	8	4	12
BLAXLAND HOUSE White City Estate	101	24	125
BLOOM PARK ROAD	1	1	2
BLYTHE ROAD	3		3
BOSCOMBE ROAD	1	1	2
BOSWELL COURT, Blythe Road	16		16
BOVINGDON ROAD	5	3	8
BOWERDEAN STREET	3	1	4



Count of UPRN Street	Ownership Status		
	Council Owned	Leasehold	Grand Total
BOXMOOR HOUSE, Queensdale Cresc	61	13	74
BRACKENBURY GARDENS	1	1	2
BRACKENBURY ROAD	2	1	3
BRADFORD HOUSE, Springvale Trc	8	4	12
BRIDGE VIEW	10	6	16
BRISBANE HOUSE White City Estate	20	6	26
BRITANNIA ROAD	4	1	5
BRONSART ROAD	2	2	4
BRONTE COURT, Girdlers Road	8	3	11
BROOKLYN COURT, Frithville Grdns	5	3	8
BROOKVILLE ROAD	1		1
BROUGHTON ROAD	13	11	24
BROWNING COURT, Turneville Rd	29	1	30
BROXHOLME HOUSE, Harwood Rd	30	14	44
BUER ROAD		2	2
BULOW COURT, Pearscroft Road	23	13	36
BULWER STREET	3		3
BURNAND HOUSE, Redan Street	10	8	18
BURNFOOT AVENUE	11	3	14
BURNTHWAITE ROAD	3	4	7
BUSH GREEN HOUSE, Pennard Road	6	4	10
CAITHNESS ROAD	2	2	4
CAMBRIDGE GROVE	1		1
CAMPANA ROAD	3	2	5
CAMPBELL HOUSE White City Estate	43	12	55
CANNING HOUSE White City Estate	42	13	55
CAROLINE HOUSE, Queen Caroline Stre	10	10	20
CASTLETOWN ROAD	19	7	26
CAXTON ROAD	2		2
CEDARNE ROAD	38	6	44
CHAMPLAIN HOUSE White City Estate	94	31	125
CHARNOCK HOUSE White City Estate	22	14	36
CHEESEMANS TERRACE, Star Road	134	57	191
CHESILTON ROAD	4	2	6
CHESSON ROAD	5	1	6
CHIDDINGSTONE STREET	1	1	2
CHISHOLM COURT, St Peters Road	24	3	27
CLAYBROOK ROAD	1		1
COBBOLD ROAD	1		1
COLEHILL LANE	7		7
COLLEGE COURT, Queen Caroline Stree	34	33	67
COLWITH ROAD	1		1
COMERAGH ROAD	9	10	19
CONIGER ROAD	1	3	4
CONINGHAM ROAD W12	41	41	82
CORNWALLIS HOUSE White City Estate	38	16	54
CORTAYNE ROAD	1	1	2
COVERDALE ROAD	5	3	8
CRANBURY ROAD	29	30	59
CRISTOWE ROAD	1	1	2
CRONDACE ROAD	1	1	2
CROOKHAM ROAD	4	4	8
DALLING ROAD	1	1	2
DAN LENO WALK, Britannia Road	8	4	12

Count of UPRN Street	Ownership Status		
	Council Owned	Leasehold	Grand Total
DANCER ROAD	5	10	15
DANEHURST STREET	5	7	12
DAVISVILLE ROAD	1		1
DAWES ROAD	9	6	15
DE MORGAN ROAD	6	1	7
DELAFORD STREET	2	1	3
DELORME STREET	4		4
DELVINO ROAD	1	1	2
DENHAM HOUSE White City Estate	39	16	55
DEVONPORT ROAD	28	13	41
DONERAILE STREET	2	2	4
DORIA ROAD		2	2
DORVILLE CRESCENT	6	1	7
DOUGLAS JOHNSTONE H Clem Attlee C	10	6	16
DUNRAVEN ROAD	3	3	6
DURBAN HOUSE White City Estate	19	10	29
EDDISCOMBE ROAD	1	1	2
EDITH ROAD	21	17	38
ELEANOR HOUSE Queen Caroline St	16	4	20
ELIZABETH HOUSE Queen Caroline St	18	7	25
ELLALINE ROAD	2	1	3
ELLENBOROUGH HSE White City Estate	61	19	80
ELTHIRON ROAD	6		6
EMLYN ROAD	1		1
EPIRUS ROAD	6		6
EPPLE ROAD	1	4	5
ESTCOURT ROAD	2		2
EWALD ROAD	1		1
EYOT GARDENS	2		2
FABIAN ROAD	5	3	8
FAIRHOLME ROAD	7	8	15
FARM LANE		2	2
FAROE ROAD	1		1
FERNHURST ROAD	1	1	2
FIELDING ROAD	2		2
FILMER CHAMBERS, Fulham Road	9	2	11
FINLAY STREET	1		1
FLANCHFORD ROAD	1	2	3
FLORA GARDENS W6	135	62	197
FOSKETT ROAD		2	2
FRANK BESWICK HOUSE Clem Attlee C	10	6	16
FRANK SOSKICE HOUSE Clem Attlee C	11	5	16
FRANKLIN SQUARE	17		17
FRITHVILLE COURT, Frithville Garden	2	6	8
FRITHVILLE GARDENS	6	1	7
FULHAM PALACE ROAD	4	6	10
FULHAM PARK GARDENS	13	7	20
FULHAM PARK ROAD	1	2	3
FULHAM ROAD	11	4	15
FURNESS ROAD	4	3	7
GALLOWAY ROAD	8		8
GASTEIN ROAD	1		1
GAYFORD ROAD	2		2
GEORGE LINDGREN HOUSE Clem Attlee C	5	3	8

Count of UPRN Street	Ownership Status		
	Council Owned	Leasehold	Grand Total
GIBBS GREEN, Beaumont Cresc	56	42	98
GILSTEAD ROAD	2	3	5
GIRONDE ROAD	1	1	2
GLAZBURY ROAD	8	12	20
GLENTHORNE ROAD	1		1
GLIDDON ROAD	3	5	8
GODOLPHIN ROAD	18	11	29
GOLDHAWK ROAD	4	7	11
GOODWIN ROAD	13	8	21
GOWAN AVENUE	9	12	21
GRATTON ROAD	21	6	27
GREENSIDE ROAD	2	2	4
GREY HOUSE White City Estate	45	15	60
GREYHOUND ROAD	3		3
GUNTERSTONE ROAD	11	12	23
HAARLEM ROAD	7		7
HADYN PARK COURT, Curwen Rd	32	3	35
HALDANE ROAD	5	2	7
HALFORD ROAD	2	3	5
HAMMERSMITH ROAD	1		1
HARBLEDOWN ROAD	1	1	2
HARBORD STREET	2	3	5
HARGRAVES HOUSE White City Estate	57	23	80
HAROLD WILSON HOUSE Clem Attlee C	19	5	24
HARTISMERE ROAD	4	1	5
HARWOOD ROAD	3	3	6
HASTINGS HOUSE White City Estate	37	13	50
HAVELOCK CLOSE White City Estate	60	20	80
HAWKSMOOR STREET	1		1
HAZLEBURY ROAD	16	14	30
HAZLITT ROAD	7	7	14
HERBERT MORRISON HSE Clem Attlee Ct	62	6	68
HESTERCOMBE AVENUE	2	4	6
HETLEY ROAD	1	1	2
HOLMEAD ROAD	6	1	7
HOLYPORT ROAD	1	1	2
HOMESTEAD ROAD	4	1	5
HUDSON CLOSE White City Estate	64	16	80
HUMBOLT ROAD	4	1	5
HUME HOUSE, Queensdale Cresc	21	11	32
HURLINGHAM ROAD	5	3	8
IFFLEY ROAD		2	2
INGLETHORPE STREET	5	1	6
IRENE ROAD	1	3	4
IRVING ROAD	4		4
ISABELLA HOUSE, Queen Caroline Stre	13	7	20
IVATT PLACE	15		15
JOHN STRACHEY HOUSE Clem Attlee C	9	7	16
JOHN WHEATLEY HOUSE Clem Attlee C	5	3	8
KEIR HARDIE HOUSE, Fulham Palace Rd	20	2	22
KEITH GROVE	15	5	20
KELVEDON ROAD	2		2
KEMPSON ROAD	3	1	4
KENNETH YOUNGER HOUSE Clem Attlee C	12	4	16

Count of UPRN Street	Ownership Status		
	Council Owned	Leasehold	Grand Total
KENYON STREET	1	1	2
KILMAINE ROAD	1		1
KILMARSH ROAD	1	1	2
KIMBELL GARDENS	2		2
KING STREET	1		1
KINGS ROAD	2	3	5
KINNOUL ROAD	4		4
LAKESIDE ROAD	129	48	177
LALOR STREET	1	1	2
LAMBROOK TERRACE	3	3	6
LANCASTER COURT, Darlan Rd	121	45	166
LANDOR WALK	1		1
LANGTHORNE STREET	2		2
LARDEN ROAD		2	2
LARNACH ROAD	1		1
LAWRENCE CLOSE White City Estate	42	13	55
LAWSON HOUSE White City Estate	42	18	60
LEFROY ROAD	1		1
LETTERSTONE ROAD	2	2	4
LILLIE ROAD	17	6	23
LILYVILLE ROAD	4	4	8
LINDEN COURT, Frithville Gardens	14	16	30
LINDROP STREET	12	5	17
LUGARD HOUSE, Bloemfontein Rd	25	6	31
LUXEMBOURG GARDENS	2	1	3
LYSIA STREET	2	2	4
MABLETHORPE ROAD	2	4	6
MACFARLANE ROAD	9		9
MACKENZIE CLOSE White City Estate	44	11	55
MALL ROAD	6	2	8
MANNY SHINWELL HOUSE Clem Attlee C	13	11	24
MANOR COURT, Bagleys Lane	61		61
MARCHBANK ROAD	13		13
MARCO ROAD	1	1	2
MARGARET HERBISON HSE Clem Attlee C	11	5	16
MARGARET HOUSE	17	3	20
MARGRAVINE GARDENS	6		6
MARRYAT COURT, Cromwell Ave	8		8
MARVILLE ROAD	2		2
MAXWELL ROAD	4	2	6
MENDORA ROAD	1		1
MERRINGTON ROAD	3		3
MICHAEL STEWART HOUSE Clem Attlee C	104		104
MICKLETHWAITE ROAD	1	3	4
MILSON ROAD	1		1
MIMOSA STREET	3	3	6
MINFORD GARDENS	14	6	20
MIRABEL ROAD	1	1	2
MITCHELL HOUSE White City Estate	48	7	55
MOORE PARK ROAD	17	8	25
MORLAND COURT, Coningham Road	8		8
MORNINGTON AVE MANSIONS	2		2
MORTIMER HOUSE, Queensdale Cresc	51	21	72
MOYLAN ROAD	3	1	4

Count of UPRN Street	Ownership Status		
	Council Owned	Leasehold	Grand Total
MUNDEN STREET	30		30
MUNSTER ROAD	4	4	8
MUSARD ROAD	2		2
MYLNE CLOSE, Upper Mall, W6	3	8	11
NELLA ROAD	1	2	3
NETHERWOOD ROAD W14	13	2	15
NEW KINGS ROAD	5	1	6
NITON STREET	3	3	6
NORTH END ROAD	1	1	2
OAKBURY ROAD	25	18	43
OAKLANDS GROVE	3	1	4
OLD OAK COMMON LANE	1	1	2
OLD OAK ROAD	1		1
ONGAR ROAD	19	8	27
ORCHARD SQUARE	13		13
ORCHID STREET	14		14
ORMISTON GROVE	32	16	48
OVERSTONE ROAD	7	9	16
OSBERRY AVENUE	10	5	15
PADDENSWICK COURT, Paddenswick Rd	6	3	9
PALLISER ROAD	7	2	9
PARFREY STREET	3		3
PARK MANSIONS, Colehill Lane	14	6	20
PARKVILLE ROAD	2		2
PARTHENIA ROAD		2	2
PASSFIELDS	13	11	24
PEARSCROFT ROAD	4		4
PELLANT ROAD	1	1	2
PENNARD ROAD	1	1	2
PERCY ROAD	5	6	11
PERHAM ROAD		2	2
PETERBOROUGH ROAD	12	1	13
PETLEY ROAD	2		2
PHIPPS HOUSE White City Estate	82	43	125
PLANE TREE COURT, Brook Green	37		37
PROTHERO ROAD	8	1	9
PURSERS CROSS ROAD	5	4	9
QUEENSMILL ROAD	4	1	5
RACTON ROAD	1		1
RADIPOLE ROAD		3	3
RAINVILLE ROAD	25	8	33
RANELAGH AVENUE	7	1	8
RANNOCH ROAD	2		2
RAVENSCOURT GARDENS	2		2
RAYNHAM ROAD	3	1	4
REDAN STREET	1		1
REDMORE ROAD	3		3
REPORTON ROAD		4	4
RICHARD KNIGHT HOUSE, Favart Rd	5	3	8
RICHFORD STREET		1	1
RICHMOND WAY	4	4	8
RICKETT STREET	2		2
RIGAULT ROAD	2	4	6
RINGMER AVENUE	2	1	3

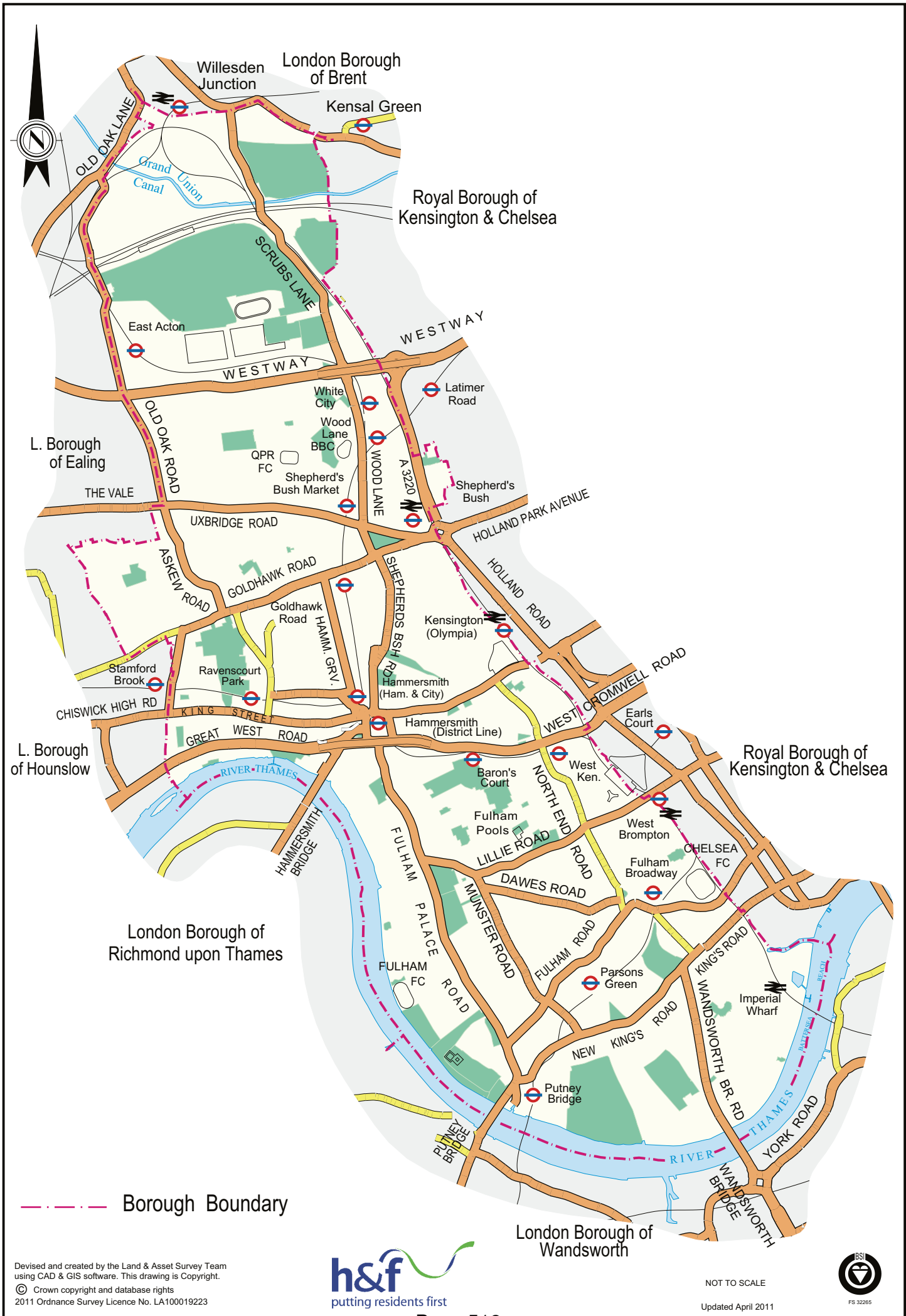
Count of UPRN Street	Ownership Status		
	Council Owned	Leasehold	Grand Total
RIVERCOURT ROAD	1	1	2
RIVERSIDE GARDENS W6	143	54	197
ROCKLEY ROAD	2	2	4
ROSAVILLE ROAD	4		4
ROSEBURY ROAD	26	12	38
ROSEDALE TERRACE, Dalling rd	3	1	4
ROSTREVOR ROAD	1	1	2
RUMBOLD ROAD	1		1
RYLETT CRESCENT	1	1	2
SAMUEL RICHARDSON HSE, North End C	13	11	24
SEAGRAVE ROAD	10	3	13
SEDLSCOMBE ROAD	3		3
SHEPHERDS BUSH PLACE	4		4
SHERBROOKE ROAD	1		1
SHORROLD'S ROAD	12	14	26
SHUTERS SQUARE Star Road	12	5	17
SILVERTON ROAD	3		3
SINCLAIR GARDENS	1	3	4
SINCLAIR ROAD	16	7	23
SKELWITH ROAD	2		2
SNOWBURY ROAD	2	3	5
SOUTHCOMBE STREET	3	1	4
SOUTHERTON ROAD	9	7	16
SPRINGVALE TERRACE	2		2
ST DIONIS ROAD	3		3
ST DUNSTANS ROAD	2	1	3
ST MAUR ROAD		2	2
ST PETERS ROAD	1		1
ST STEPHENS AVENUE	10	7	17
STANFORD COURT Bagleys Lane	31		31
STANIER CLOSE Aisgill Ave	5		5
STAR ROAD	12	5	17
STARFIELD ROAD	1		1
STEPHENDALE ROAD	33	13	46
STERNDALE ROAD	2		2
STERNE STREET	4		4
STEVENAGE ROAD	5	1	6
STOWE ROAD	4	1	5
STRODE ROAD	8		8
STRONSA ROAD	1		1
STUDLAND STREET	2	1	3
SUN ROAD	8	4	12
SWANSCOMBE HOUSE St Anns Road	27	21	48
TADMOR STREET	1		1
TALGARTH ROAD	34	27	61
TAMWORTH STREET	43	20	63
TASSO ROAD	1		1
THERESA ROAD	2		2
THORPEBANK ROAD	6	2	8
TOURNAY ROAD	10	1	11
TOWNMEAD ROAD	17	12	29
TREVANION ROAD	3	2	5
TURNEVILLE ROAD	2	1	3
TYRAWLEY ROAD	1		1

Count of UPRN Street	Ownership Status		
	Council Owned	Leasehold	Grand Total
UNDERWOOD HOUSE Sycamore Gardens	33		33
VERA ROAD	8	4	12
VEREKER ROAD	54	13	67
VERNON STREET	17	3	20
VESPAN ROAD	2	1	3
VINE SQUARE	7	4	11
WALDEMAR AVENUE	3	2	5
WALHAM GROVE	8	4	12
WALPOLE COURT Blythe Rd	18	6	24
WANDSWORTH BRIDGE ROAD	15	6	21
WARBECK ROAD	1	1	2
WARDO AVENUE	2	1	3
WATERFORD ROAD	8	2	10
WATERHOUSE CLOSE	41		41
WEAVERS TERRACE Micklethwaite Rd	3		3
WELTJE ROAD	3	3	6
WENDELL ROAD	2	3	5
WESTCROFT SQUARE	1	1	2
WESTVILLE ROAD	2	4	6
WESTWAY Wormholt Estate	85		85
WESTWICK GARDENS	11	11	22
WHITTINGSTALL ROAD	4	11	15
WINCHENDON ROAD	1	1	2
WINGATE ROAD	1		1
WINSLOW ROAD	1	1	2
WOLFE HOUSE White City Estate	34	11	45
WOLVERTON GARDENS	3	2	5
WOOD LANE	4		4
WOODLAWN ROAD	2		2
WOODMANS MEWS	44	6	50
WOODSTOCK GROVE	4		4
WORMHOLT ROAD	2	1	3
WYFOLD ROAD	24	12	36
YELDHAM ROAD	3	1	4
Grand Total	5450	2138	7588

**APPENDIX B**

**MAP OF THE BOROUGH  
AND  
CONTRACT AREA**





Devised and created by the Land & Asset Survey Team using CAD & GIS software. This drawing is Copyright.  
 © Crown copyright and database rights  
 2011 Ordnance Survey Licence No. LA100019223



NOT TO SCALE

Updated April 2011



## **PRE-CONSTRUCTION INFORMATION**

**PROJECT TITLE:** Cyclical Planned Maintenance works (2012/15)  
Borough Wide to Council Owned Housing Properties

---

### **1.0 LEGISLATION**

- 1.01 This document is prepared pursuant of the Construction (Design & Management) Regulations 2007.
- 1.02 The Construction (Design & Management) Regulations 2007 place new duties upon clients, designers and contractors to rethink their approach to health and safety so that it is taken into account and then co-ordinated and managed effectively throughout all stages of a construction project: from inception, design and planning, through to the execution of works on site and subsequent maintenance and repair.
- 1.03 The risks identified in this document cannot be entirely eliminated but they can be minimised by pre-planning.
- 1.04 This document, prepared prior to construction work commencing on site, should be read in conjunction with tender documentations, specifications, drawings and any other relevant information issued to the Principal Contractor; it shall be supplemented during the construction period to include documentation relating to any variation in construction materials, details of services installations, and maintenance instructions for construction and services.

### **2.0 DESCRIPTION OF PROJECT AND PROGRAMME DETAILS**

- 2.01 **SITE ADDRESSES:** Borough wide to Council owned housing properties within the London Borough of Hammersmith and Fulham.

#### **2.02 BRIEF DESCRIPTION OF THE WORKS:**

Cyclical Planned Maintenance works to the external and communal areas of occupied housing dwellings. Properties may be single dwellings or multiple flats within Estates or Blocks. Properties may be low, medium or high rise and range from to traditional to system built.

The works include pre-decoration repairs, redecoration works, general repairs, replacement and maintenance to the external fabric of the buildings including windows, doors, roofs, walkways, external walls, cladding and communal areas. Works to communal areas to also include the testing and repair/upgrading/replacement of electrical installations and other services. External paving areas, roadways, fencing, gates, outbuildings are also included.

It is to be noted that the Pre-Construction Information contained within this document is provided in connection with a framework contract. Under this contract arrangement, it is proposed that works will be let via a series of orders. Additional Pre-Construction Information, specific to the properties where works are planned, shall be provided in connection with the proposed individual orders for work.

## Appendix C

### 2.03 TIMESCALES FOR THE PROJECT:

It is anticipated that works will commence August 2012 via a series of separate orders for an estate or groups of properties for a contract period of thirty six months.

2.04 CLIENT: Housing & Regeneration Department  
London Borough of Hammersmith and Fulham  
3rd Floor, Town Hall Extension  
King Street  
London W6 9JU

CONTACT OFFICER: Roger Thompson - 020 8753 3920

#### CONTRACT ADMINISTRATOR:

Building and Property Management  
Transport and Technical Services  
London Borough of Hammersmith & Fulham  
6th Floor, Town Hall Extension  
King Street  
London W6 9JU

CONTACT OFFICER: Matthew Martin - 020 8753 4832

### 2.05 CDM CO-ORDINATOR (CDM-C):

Building and Property Management  
Transport and Technical Services  
London Borough of Hammersmith & Fulham  
6th Floor, Town Hall Extension  
King Street  
London W6 9JU

CONTACT OFFICER: Matthew Martin - 020 8753 4832

2.06 DESIGNERS: Building and Property Management  
Transport and Technical Services  
London Borough of Hammersmith & Fulham  
6th Floor, Town Hall Extension  
King Street  
London W6 9JU

CONTACT OFFICER: Matthew Martin - 020 8753 4832

Housing & Regeneration Department  
London Borough of Hammersmith and Fulham  
3rd Floor, Town Hall Extension  
King Street  
London W6 9JU

CONTACT OFFICER: Roger Thompson - 020 8753 3920

## Appendix C

### 2.07 CLIENT CONTACT

In relation to the over-arching contract, Mr Roger Thompson shall be the main Client point of contact. For individual works orders, details of the specific Client Contacts shall be contained within the supplementary Pre-Construction Information associated to those specific works.

### 2.09 WORKPLACE CONSIDERATIONS

The proposed works are anticipated to be predominantly to external and communal areas, although some works within dwellings e.g. for the replacement of kitchens and bathrooms and for internal works to windows will also be included within some works packages. The design needs to take account of the relevant requirements of the CDM Regulations 2007 and the Principal Contractor must therefore bring to the attention of the CDM-C any material or design contained within the specification that they do not consider appropriate to comply with the aforementioned regulations.

The properties are generally situated within residential streets and highways. There are private and communal garden areas to the front and rear of some of the blocks. There are schools/retail facilities/industrial premises close to a number of the properties.

### 2.10 EXISTING RECORDS AND PLANS

For the overwhelming majority of properties, no existing drawings exist. However, where drawings do exist they shall be provided as part of the order specific Pre-Construction Information.

## **3.00 CLIENT CONSIDERATIONS AND MANAGEMENT REQUIREMENTS**

### 3.01 ARRANGEMENTS FOR:

#### i Planning and Management of the Construction Work

The Principal Contractor will be required to provide full details of all designs to the Client and CDM-C to ensure that all risks have been considered and reduced / eliminated. The Principal Contractor will provide regular H&S updates for each works package for the duration of same and shall further provide any information requested by the Client or CDM-C which will aid in the assessment of the Contractor's competency with regard to H&S, particularly in reference to reportable incidents (RIDDOR) and day to day issues (e.g. site housekeeping).

#### ii Communication and Liaison

Regular (anticipated monthly) site meetings will be undertaken for each specific package of works. All relevant issues arising from these meetings will be published and issued to all appropriate parties.

#### iii Security of the Site(s)

Security of the site will consist of security to the site compound and to the scaffold as well as ensuring that individual properties are secure at all times. The Principal Contractor shall not store any tools in communal areas or residents homes.

## Appendix C

### iv Welfare Provisions

Welfare provision needs shall be assessed for each works package. It is expected that space will be made available to the contractor on grassed areas and hard standings nearby or adjacent to the proposed works. However, the Principal Contractor is to note that this will not be possible on all occasions, particularly where works are proposed to street based properties. In these instances, available space for welfare provisions may be some distance from the properties where works are to be undertaken and consequently, suspension of parking bays or the use of mobile welfare facilities may need to be considered. The Principal Contractor will design site set-ups with adequate provision for welfare facilities suitable for the nature and duration of the works packages and shall submit the design and proposed siting to the Client and CDM-C at an early stage for their assessment and for consideration as part of the resident consultation process.

### 3.02 H&S OF CLIENT EMPLOYEES OR CUSTOMERS AND OTHERS:

#### i Site Hoarding Requirements

Site compound areas and the base of all scaffolding shall be surrounded with boarding, sheeted timber or narrow gauge Heras type security fencing which is to be locked shut outside normal working hours. Fencing shall be a minimum of 2.0m in height. Where there is a risk of falling debris, fencing shall be of a solid construction i.e. solid timber boarding or sheeting.

#### ii Site Transport Arrangements or Vehicle Movement Restriction

The contractor's attention is drawn to the limited parking throughout the borough. Vehicles parked on estate roads without authorisation are liable to be clamped. All vehicular movements are to take into account the social housing environment. Where a site is in the proximity of a school, access and deliveries should be restricted to between 09:15 and 15:00 hours, with access left unobstructed for emergency vehicles at all times.

Site specific details/restrictions shall be provided within the supplementary pre-construction information for individual works packages.

#### iii Occupants of the Building:

Social housing: children, disabled persons, elderly persons, persons with learning difficulties, single parents, ethnic minorities etc.

#### iv Fire Precautions and Emergency Procedures & Means of Escape

The majority of communal areas and roof voids do not have smoke detection or alarm systems. Fire Risk Assessments and existing emergency procedures for the premises where work is to take place shall be provided to the contractor as part of the pre-construction information for individual works packages.

The Principal Contractors attention is drawn to the requirement of 'Fire Prevention on Construction Sites (7<sup>th</sup> Edition) and in particular in relation to temporary buildings and waste materials.

## Appendix C

The Principal Contractor shall provide the Client and CDM-C with a FRA with regard to the site under their control and in particular how this may impact on the existing emergency procedures.

v 'No-go' Areas and Other Authorisation

Access to any locked areas is to be arranged via the Client. No areas within or surrounding the building (other than the site compound area) are to be used for storage.

The Principal Contractors attention is drawn to Appendix P for general Council H&S procedures. Specific requirements in relation to these will be included within individual scheme Pre-Construction Information.

vi Designated Confined Spaces

Areas to be designated as confined spaces shall be notified via the scheme specific Pre-Construction Information.

vii Smoking

No smoking will be permitted within buildings or their associated grounds.

ix Parking Restrictions

The parking of the Contractors cars and vehicles on Council Housing Estates will be restricted to areas directed by the Contract Administrator in consultation with the local area housing office. The Principal Contractor shall note that where permits are required the number of permits will be limited.

The Principal Contractor is to further note that parking restrictions apply to both Housing Estates and on street parking within the Borough and that penalty charges will be levied for unauthorised vehicle parking.

Site specific parking restrictions will be notified within the scheme specific Pre-Construction Information.

x Resident Information

Scheme specific resident information will be notified within the scheme specific Pre-Construction Information

The Principal Contractor's Resident Liaison Officer must liaise with the Client Contact Officer or Contract Administrator regarding potential difficulties with residents as part of the planning process.

### **4.00 ENVIRONMENTAL RESTRICTIONS AND EXISTING ON-SITE RISKS**

#### **4.01 SAFETY HAZARDS**

i Boundaries and Access

Details of boundaries and specific access requirements shall be supplied within the scheme specific Pre-Construction Information.

## Appendix C

All routes through estates must be kept free for emergency access at all times.

Deliveries and collections are restricted as in 3.02 ii. above.

Contractor's skips are to be contained within a fenced area (exact location to be agreed with the Client, Housing & Regeneration Department) and where required, will be subject to the Principal Contractor acquiring the necessary Highway Licences.

### ii Adjacent Land Uses

The properties are generally situated within residential streets and highways or on estates. There are private and communal garden areas to the front and rear of some of the blocks. There are schools/retail facilities/industrial premises close to a number of the properties. Additional details shall be provided within the scheme specific Pre-Construction Information.

### iii Existing Storage of Hazardous Materials

Details of stored hazardous materials shall be provided within the scheme specific Pre-Construction Information.

### iv Location of Existing Services

Details of known services shall be provided within the scheme specific supplementary Pre-Construction Information. The routes of specific gas, water, electricity and telecommunication services may not be known and, where details do not exist, it will be the responsibility of the Client to obtain records from the relevant Statutory Authorities.

### v Ground Conditions

Details of known ground conditions shall be provided within the scheme specific Pre-Construction Information.

### vi Information on Existing Structures

Houses, flats, maisonettes and bungalows. Low rise, medium rise and high rise. All scaffolding shall comply with the Employer's Code of Practice for Contracts Involving Works on Council Properties. All access/scaffolding shall be made non-accessible to the public and children including potential access from communal balconies and walkways. All access routes and parking areas shall be adequately protected (i.e. fans) to protect against falling debris. A banksman is required when working over a public right of way. Where scaffolding is liable to vehicular impact, particular attention shall be paid to stability. Method Statements for all scaffolding are required.

It should be noted that asbestos or asbestos based products may have been used in the construction of pre-1985 properties. Details of known asbestos material within or about properties shall be provided to the Principle Contractor within the scheme specific Pre-Construction Information. The Employer requires that a Method Statement which is to be prepared by an independent specialist

## Appendix C

consultant or licensed contractor, shall be provided for all work which might involve or affect asbestos or asbestos based materials.

Additional details on existing structures shall be provided within the scheme specific Pre-Construction Information.

- vii Previous Structural Modifications  
Details on existing structures shall be provided within the scheme specific supplementary Pre-Construction Information.
  - viii Fire Damage, Movement or Poor Maintenance Which May Affect the Structure  
Details to be provided within the scheme specific Pre-Construction Information.
  - ix Difficulties Relating to Plant and Equipment In the Premises  
Details to be provided within the scheme specific Pre-Construction Information.
  - x Health and Safety Information Contained in Earlier Construction  
Generally, no as built drawings exist. Where existing Health and Safety Files are available, copies shall be provided to the Principle Contractor as part of the scheme specific Pre-Construction Information.
- 4.02 HEALTH HAZARDS
- i Asbestos  
As per paragraph 4.01(vi) above.  
The Principal Contractor must ensure that all operatives are given an induction for safe working including the identification and treatment of suspected asbestos.
  - ii Existing Storage of Hazardous Materials  
Details to be provided within the scheme specific Pre-Construction Information.
  - iii Contaminated Land  
Details to be provided within the scheme specific Pre-Construction Information.
  - iv Existing Structures Containing Hazardous Materials  
Details to be provided within the scheme specific Pre-Construction Information.
  - v Health Risk Arising From Client's Activities  
Details to be provided within the scheme specific Pre-Construction Information.



## Appendix C

### 5.0 **SIGNIFICANT DESIGN AND CONSTRUCTION HAZARDS**

Scheme specific residual design and construction hazards will be included within the individual scheme Pre-Construction Information. However the following general hazards are highlighted as they are unlikely to be avoidable within specific schemes.

- i All works at high level will be undertaken using a suitable and safe means of access.
- ii All due precaution will be taken in the handling of Lead and its disposal to ensure that relevant Health and Safety guidance and procedure is followed.
- iii All due precaution will be taken to ensure pedestrian accesses are kept free and clear and where scaffolds are erected proper signage and safety measures are implemented
- iv Hot works shall be carried out in line with current Health and Safety guidance and all proper Hot Works Permits shall be in place.
- v. Access scaffold must be designed to avoid applying additional loads on the buildings affected by the works.
- vi.
- vii. All work will be in or around occupied properties.

### 6.0 **GAS, OIL AND SOLID FUEL SAFETY**

#### 6.01 GENERAL SAFETY

- i. The Contractor should be aware of the dangers of working on a building that has gas, oil or solid fuel appliances and the need to ensure that these appliances function correctly during the contract period. Prior to any works being carried out the Contractor shall ensure that the works to be undertaken shall have no adverse effects on any fuel burning appliances within the building, be it either domestic or commercial.
- ii. Should the works require the Contractor to alter or change the fuel supply, flue, ventilation, controls, wiring or safety devices of any fuel burning system or appliance, the Contractor is to employ competent personnel to carry out these works. The Contractor shall have a competent person to inspect the gas, oil or solid fuel system prior to starting any work. The Contractor will also provide the Contract Administrator/Engineer with details on how they intend to keep all gas, oil and solid fuel appliances operating correctly during the contract period. The Contractor shall also have all appliances checked following the completion of the works, this shall include a suitable certificate for each appliance i.e., CP12 for gas appliances.
- iii. Any works undertaken during the contract on gas installations, shall be carried out by competent persons i.e., GasSafe Registered installers only. All works shall be in accordance with all current gas regulations and in particular, the Current Edition of the Gas Safety (Installation & Use) Regulations. The Contractor is to supply to the Contract Administrator the names, registration number and copy of current GasSafe certificate showing which areas of work that can be undertaken by each individual or sub-contractor.

## Appendix C

- IV. At no time shall the Contractor allow any gas oil or solid fuel appliance to operate if it is in an unsafe condition due to either the works being undertaken by the Contractor or due to vandalism.
- V. The Contractor shall also include a section within the Construction Phase Plan to cover all work relating to gas, oil and solid fuel appliances. The Contractor's health and safety plan shall state the precautions to be taken by the Contractor to ensure no gas, oil or solid fuel appliance operates in an unsafe condition due to their works. The Contractor shall also state within the health and safety plan how they intend to protect any gas, oil or solid fuel appliance and their flues from vandalism during the course of their works.
- VI. It is the Contractor's responsibility to identify any possible risks to the safe working of gas, oil or solid fuel appliances while undertaking their works. The Contractor shall also inform the Contract Administrator/Engineer of any risks with regards to the safe operation of any gas, oil or solid fuel appliances while the Contractor is on site and their proposals to remove or reduce the risk to an acceptable level.
- VII. At no time shall the Contractor carry out works to a gas, oil or solid fuel appliance without first isolating the appliance and ensuring that the appliance cannot be used during the works.

### 6.02 UNAUTHORISED ACCESS TO FLUES AND VENTS

The Contractor should be aware (apart from planning and controlling the physical work and storage of materials on site, so as to not compromise the efficiency and effectiveness of flues and vents) that scaffolds etc., may lead to unauthorised access by persons with intent to disturb, damage or otherwise block flues and vents. Safeguards must be put in place by the Contractor to avoid any compromise of flues and vents. If any protection or other work is to be carried out to flues or vents this work must be approved by a GasSafe Registered Engineer.

### 7.0 **SPECIAL PRECAUTIONS**

- 7.01 Special precaution shall be taken to ensure that the security of scaffold is maintained both during the progress of works and outside of working hours.

### 8.0 **SITE MANAGEMENT**

**For each individual works order, the Principle Contractor shall be required to comply with all of the following requirements (Clauses 8.0 – 10.0):**

#### 8.01 MANAGEMENT STRUCTURE

- 1 The Principal Contractor is to provide an outline of his management structure developed to enable the proper communication of health and safety information, between the Principal Contractor and all Contractors and Sub-Contractors including those with whom he has no contractual relationship. This structure should include the following:-
  - .1 Names and experience/qualification of Site Management.
  - .2 Name of Site Safety Officer.

## Appendix C

- .3 Name and location of First Aid Officer.
- .4 Training requirements.
- .5 Arrangements for feedback of health & safety information between operatives and Principal Contractor.
- .6 Site rules, including details of procedures for ensuring compliance with Health & Safety requirements.
7. Details and locations of the Principal Contractor's Procedures Manual and means of ensuring compliance. This information will also be incorporated within the Health & Safety Plan and a copy held by the CDM Co-ordinator.

### 8.02 PROCEDURES MANUAL

A copy of the Principal Contractor's Procedures Manual is to be kept on site and made accessible to all site operatives. A further copy is to be provided on request to the CDM Co-ordinator. This manual is to include procedures for dealing with serious and imminent danger, such as evacuation of injured personnel from confined spaces as well as procedures for normal site activities.

### 8.03 HEALTH & SAFETY POLICY

A copy of the Principal Contractors Health & Safety Policy is to be made available to all site personnel including those with whom the Principal Contractor has no contractual relationship. In addition where subcontractors or contractors have their own Health & Safety Policy, specific to their tasks, it is incumbent upon the Principal Contractor to ensure that the subcontractor or contractor has his own procedure for ensuring compliance and that this procedure is being monitored by the Principal Contractor.

### 8.04 SITE RULES

It is incumbent upon the Principal Contractor to develop site rules for the maintenance of health and safety, and enforce them under his statutory responsibilities under the Health & Safety at Work Act. These rules shall be developed to take into account the contractors own procedures and policies and to allow for changes in the method and content of the Works, and should contain reference to the following items:-

### 8.05 PERSONNEL

- i Visitors to be provided with identification badges.
- ii. Visitors' Book to be kept at all times
- iii. Record of staff on site to be kept daily or more often as appropriate.
- iv. Site rules to be clearly displayed for operative's compliance.
- v. Contractors and subcontractors responsibilities under CDM to be to clearly displayed on site.
- vi. Develop means of obtaining feedback on Health and Safety matters from operatives and contractors.

## Appendix C

### 8.06 TRAINING

- i. All operatives are to be trained in the tasks which they are performing. Confirmation of this training is to be provided and a register kept by the Principal Contractor.
- ii. Site orientation training is to be give to **all** contractors and operatives **new** to the site. Particular reference is to be give to ensuring contractors are aware of specific requirements regarding any occupation of the site and the type of residents.
- iii. Provide a guide on site safety for all employees and any external contractors.

### 8.07 MONITORING & CONTROL

- i. Procedures for complex works are to be developed with all personnel involved in the procedure briefed in the contents, particularly safety requirements. Briefings are to be recorded listing the names and date upon which each individual was briefed and a checklist provided to ensure compliance.
- ii. Ensure clear and unambiguous lines of communication are set up, to manage health and safety. Employee's responsibilities are to be clearly defined.
- iii. Set out requirements for safety in advance and ensure they are communicated to all personnel.
- iv. Set up procedure for obtaining feedback from personnel.
- v. Arrange for site safety inspection on a minimum two-weekly basis and more often as required by certain procedures.
- vi. Hold a monthly meeting to review health and safety matters mad monitor progress of the systems.

### 8.08 EMERGENCY PROCEDURES

- i. All operatives are to be made aware of and comply with the fire alarm and evacuation procedures for the site.

### 8.09 PERMITS TO WORK

- i. Hot Works Permits required for all works involving fire risks.
- ii. Scaffold Certificates and Register of Inspection F91 Part 1 Section A.
- iii. Hoist Certificates and Register of Inspection F91 Part 1 Sections C to E.
- iv. Record of Weekly Inspection of Excavation F91 Part 1 Section B.
- v. Certificate of thorough test and examination of Lifting Plant to be provided by Plant Hire Subcontractor.
- vi. F2346 Abrasive Wheels Register to be kept together with F2347 dangers arising from use of Abrasive Wheels
- vii. Permits for working in confined spaces, including limitation of number of trades present and procedures for emergency evacuation.

### 8.10 HOT WORKS PERMIT PROCEDURES

In order to minimise the risk of fire damage to buildings and contents during the work involving an exposed heat source, e.g., blow lamps, welding equipment, angle-grinders, hot air-blowers, tar-boilers etc., the Council and its insurers require that a Hot Works Permit procedure is followed. The Contractor shall:-

- i. Undertake a check before commencement of any new phase of hot works covering:-
  - The heat producing equipment and the arrangements for safe handling of gas canisters.

## Appendix C

- Fire fighting equipment and alarm procedures including operators' training
  - The working environment within 15 meters of the work area to be cleared or adequately protected including areas which could be affected by heat transference.
- ii. Maintain a fire watch for 30 minutes on completion works.
  - iii. Make a final check on the working environment after 60 minutes.

A single document shall be used to record these checks. The Contractor shall provide this to the Contract Administrator upon demand for retention with the contract records.

### 9.00 **CONTINUING LIAISON**

#### 9.01 MONITORING

The Site Safety Officer shall inform the CDM Co-ordinator in advance of his carrying out site visits to enable joint visits to be carried out if considered necessary by the CDM Co-ordinator. In addition, meetings between the Site Safety Officer and the CDM Co-ordinator may be called by the CDM Co-ordinator in order to review health and safety matters, monitor the progress of the systems, and enable the effect of minor changes in design to be taken into account.

#### 9.02 CONTRACTOR'S DESIGN

Elements involving a significant amount of contractors design together with designs prepared by the temporary works engineer are to be passed to the Contract Administrator in the normal way for approval with copies to be sent to the CDM Co-ordinator for his comment. Contractors are to be reminded that their design input is covered by Regulation 13 of the CDM Regulations and they should apply the principles of prevention and protection in the development of that design, and to ensure its co-ordination with the work of the design team.

The names and addresses of all temporary and permanent works designers involved in the preparation of designs for these works are to be provided to the CDM Co-ordinator by the Principal Contractor.

#### 9.03 DESIGN CHANGES

Where design changes are envisaged or unforeseen eventualities occur requiring a change in design which may have an effect on health and safety, these shall be indicated by the Principal Contractor to the Contract Administrator and CDM Co-ordinator at the earliest opportunity.

In addition, the Principal Contractor should monitor the effect of all Contract Administrator's Instructions to determine whether they have health and safety implications.

#### 9.04 STANDARDS

General compliance with all relevant Health & Safety Legislation, HSE Guidelines and British Standards, relating to health and safety shall be made by the Principal Contractor. The Principal Contractor is to hold and have access to all relevant documentation during the course of the works and contractors are to ensure they comply with these requirements.

## Appendix C

### 9.05 HEALTH & SAFETY FILE

The Principal Contractor is to provide the CDM Co-ordinator with all information relevant to prepare the Health & Safety File and O&M Manuals, no later than two weeks before Practical Completion.

The file should be prepared in A4 format and should be presented in a ring binder and on a CD in 'Microsoft' Word format. A copy of the format of the H&S File will be provided to the Principle Contractor within the scheme specific Pre-Construction Information. The production and presentation is to be discussed at regular site meetings and updated by the Principle Contractor and CDM Coordinator as work proceeds.

### 10.00 **ACTION REQUIRED BY THE CONTRACTOR**

10.01 The Contractor shall provide a construction phase Health & Safety Plan for the approval by the CDM Co-ordinator before commencement on site. The Contractor shall provide method statements as required during the course of the works to the Contract Administrator. In particular the Contractor's attention is drawn to the following:-

- (a) If hot working is required the Contractor shall provide details of their Hot Works Permit procedure to the Contract Administrator and provide records to show compliance with that procedure.
- (b) The Contractor shall provide details to the Contract Administrator on how they will comply with the requirements of Section 6.0 above concerning Gas, Oil and Solid Fuel Safety.

10.02 List other particular risks, hazards, or issues to be addressed by the Contractor:

**APPENDIX D**

**CODE OF PRACTICE FOR CONTRACTS  
INVOLVING WORKS ON COUNCIL PROPERTIES**

## **APPENDIX D**

### **CODE OF PRACTICE FOR SAFETY ON CONTRACTS INVOLVING WORKS ON COUNCIL PROPERTIES**

#### **CONTENTS**

1. GENERAL REQUIREMENTS
2. APPOINTMENT OF CONTRACTOR'S LIAISON OFFICER
3. (A) PROVISION OF SITE SUPERVISION  
(B) BUILDING MANAGER
4. ERECTION OF SITE PERIMETER FENCING
5. (i) SCAFFOLDING, LADDERS ETC, ERECTING, PROTECTING AND DISMANTLING  
(ii) BARRIER FENCING AROUND SMALL WORKS OR SCAFFOLDING  
(iii) GENERAL  
(iv) LADDERS
6. HOISTS
7. PLANT AND MATERIALS (INCLUDING ASBESTOS AND STRIPPING PAINT)
8. SECURITY
9. SAFEGUARDING VEHICULAR ACCESS TO SITE
10. SAFEGUARDING PUBLIC ACCESS TO PARTS OF SITE
11. SAFEGUARDING ACCESS WITHIN PREMISES
12. WORKING OVER OCCUPIED AREAS
13. PROTECTION OF PROPERTY
14. FIRE PRECAUTIONS
15. PROVISION OF WARNING NOTICES
16. SITE CLEARANCE
17. MINIMISING INTERFERENCE TO OCCUPIERS AND THE PUBLIC
18. MAINTAINING SERVICES
19. TAKING PRECAUTIONARY MEASURES WHEN SITE IS UNATTENDED
20. REPORTING OF ACCIDENTS AND DANGEROUS OCCURRENCES



21. URGENT WORKS

22. SAFETY, HEALTH AND WELFARE OF WORKPEOPLE, OCCUPANTS OF THE PREMISES AND PUBLIC

## **1.0 GENERAL REQUIREMENTS**

When working in or on housing properties or estates, the Contractor shall provide for the efficiency protection of the public including residents and all other persons occupying or using the premises or adjoining premises, including unauthorised persons. The Contractor shall take all necessary precautions to safeguard Health and Safety of the public, with particular attention to the matters detailed below:-

All premises are deemed to be occupied at all times.

This code is in addition to all common law and statutory obligations and other Authority Codes of Practice on Health and Safety matters. The Contractor shall comply with this code which may be amended from time to time at the Authority's discretion.

In no circumstances do any of the requirements of this code imply that contractually the Contractor should take instructions from anyone other than the Contract Administrator.

## **2.0 APPOINTMENT OF CONTRACTOR'S LIAISON OFFICER**

The Contractor will be required to employ a full time resident liaison officer(s) (RLO(s)) for the duration of the works on site (numbers to be employed to meet the requirements set out in the tender documents and/or by agreement between the Contractor and the Employer).

The Contractor shall identify a senior member of their site staff, acceptable to the Contract Administrator, who will carry out the duties of Contractor's Resident Liaison Officer. They shall conduct and maintain day-to-day communications in respect of works with an individual Building/Property Occupier and with the Authority's Representative whose name shall be notified to the contractor. The Contractor shall inform the Contract Administrator and the Building Occupant/Resident of the identity of the Resident Liaison Officer in writing.

The Resident Liaison Officer's duties are to be treated by them with priority over any of their other duties in respect of the works, except where so doing would involve an increase risk of injury. The Resident Liaison Officer shall inform the Contract Administrator in writing where appropriate, of all communications between themselves and occupiers/residents, and where necessary they shall attend meetings outside normal working hours.

Part of the Resident Liaison Officer's responsibility shall be to inform the Building Occupier/Resident of the timing and progress of work at their individual Council Properties and/or immediate communal area, also to ensure that facilities are maintained for occupiers/users including those with special needs e.g., the disabled.

The Contractor's Resident Liaison Officer shall be on site at least within the periods stipulated in the Contract.

The Contractor's Resident Liaison Officer may on small contracts be responsible for more than one site but contact must be possible to the Contract Administrator.

### **3.0A PROVISION OF SITE SUPERVISION**

The Contractor shall provide full and adequate site supervision during the progress of the works and shall keep a competent and authorised agent or general foreman, approved by the Contract Administrator (whose approval may be withdrawn at any time), available at all times. Where required by the Contract Administrator, such authorised agent shall give their whole time to the supervision of the works and must be able to receive and act promptly (on behalf of the Contractor) upon all instructions issued by the Contract Administrator or any person authorised by law to give instructions on Health and Safety matters.

Where danger from falling objects or similar risks exist the Contractor shall provide general purpose industrial safety helmets complying with BS5240 (or any amendment or substitution of that BS) for the use of all the Authority's Officers or Servants visiting the site in connection with the works, and shall ensure that any special hazards are drawn to the attention of visitors to the site. The Contractor shall also ensure that all persons working on the site wear safety equipment where required.

All persons entering premises where building work is being undertaken whilst the normal operation of the establishment continues, shall report to the Building Occupier or their representative and the Contractor's site supervisor.

Where building works are undertaken in areas which have been handed over for the sole use of the Contractor, then all visitors shall report to the contractor's and/or the Authority's representative on the site.

### **3.0B BUILDING MANAGER**

Where a Building Manager is responsible for staff and or residents and health and safety (e.g. Sheltered Accommodation and the like) all persons entering premises where building work is being undertaken whilst the normal operation of the establishment continues, shall report to the Building Manager or their representative and the Contractor's site supervisor at the beginning and end of each day.

Where building works are undertaken in areas which have been handed over for the sole use of the Contractor, then all visitors shall report to the Contractor's and/or the Authority's representative on the site.

#### **4.0 ERECTION OF SITE PERIMETER FENCING**

All aspects of fencing and protection shall be confirmed at the site pre contract meeting.

Those parts of the site which are not required by occupiers or the public for access shall be enclosed within a fence to a minimum height of 2.0m (two metres) and which is a sufficient solid obstacle to prevent the ingress of unauthorised persons, particularly children, unless this is already achieved by an adequate boundary wall, or other adequate barrier.

The Contractor shall also maintain an adequately fenced materials compound, the siting of which shall be approved by the Contract Administrator at the pre contract site handover meeting. Materials and plant shall be stored within the compound until required.

The contractor shall provide all necessary padlocked entrance gates, to be securely closed at all times and to be kept locked whenever the site is left unattended, and shall move or adapt the fencing etc., as and when required during the progress of the works and shall dismantle and remove at completion of the works, but not until all danger to the occupiers and the public has ceased.

#### **5.0 (i) SCAFFOLDING - ERECTION, PROTECTING AND DISMANTLING**

All scaffolding erected shall comply with: -

1. BS EN12811-1 2003.
2. BS6399 Part2
3. The B.S.I Code of Practice BS 5974: - Temporary Installed Suspended Scaffolds and Access Equipment

Or any amendments or substitution of these regulations at such time in force.

(ii) **BARRIER FENCING AROUND SMALL WORKS OR SCAFFOLDING.**

Where ladders, scaffold, cradles, towers etc., are to be in position for less than a working day, at least a barrier of warning tapes or similar is to be provided two metres clear of the scaffold etc. During this period scaffolds, ladders etc., must not be left unattended when erected.

Where small works are to be undertaken or where scaffolding, towers, cradles are erected, and positioned for more than a working day, a fence/barrier shall be provided to prevent unauthorised access to the scaffolding etc. The barrier shall consist of boarding, sheeted timber or narrow gauge wire fencing with a minimum height of 2.0m and be erected 2.0m from the base perimeter of the scaffolding etc.

Where there is a risk of debris falling within the confines of the barrier fencing, this fencing shall be of solid construction i.e. sheet boarded.

Where the 2.0m distance from the scaffold cannot be maintained, the fence should be fixed to the face of the scaffolding and an overhead fan installed to provide the 2.0m wide protected distance.

When erected on existing paving the fencing shall be supported so as not to damage the paving. This fencing is to be erected at the initial stages of the scaffold erection.

The contractor shall maintain the entire fencing, gates, fans, screens, planned footways, guard-rails and gantries and shall obtain all necessary licences (including renewal of any existing licences) and pay all fees in connection therewith, the amounts of which shall be deemed to be included in the Contract Sum.

Before any works are undertaken in the vicinity of glazed roof lights or similar fragile material, these areas are to be suitably protected from damage by falling objects. Any similar areas which may be affected by scaffolding or other works are also to be protected.

Areas which are sensitive to being overlooked (e.g., toilets, changing rooms, showers, etc) shall be screened prior to works, being undertaken. Normally this means prior to any scaffolding works and not after its completion.

(iii) **GENERAL**

**The use of mobile tower scaffolding will not be permitted with a working platform higher than 10 metres above ground level.**

Where scaffolding is required to carry out works, the following requirements are to apply: -

- (a) The Contractor is fully responsible for all aspects of scaffolding, which is only to be erected by Subcontractor firms who are registered members of the National Access and Scaffolding Confederation (NASC).
- (b) The work shall be undertaken by experienced and competent operatives and supervisors.
- (c) The scaffold shall be capable of supporting the loads for which it is intended to be used, including such allowances as necessary for wind loading.
- (d) A scaffolding Certificate shall be provided for all scaffolding, including after any alterations or additions.
- (e) All scaffolding shall be rigidly connected with the building or other structure unless the scaffold is so designed and constructed as to ensure stability without such connections.
- (f) Scaffold ties must be fixed as necessary during the erection of the scaffold as each lift is completed. Care should be taken to ensure stability of the scaffold during dismantling.
- (g) The first ties shall be at or below fan level.
- (h) Every scaffold shall be rigidly connected with the building or other structure. Ties shall be either Hilti type ties or physical ties through the tops of the windows. For ties through the tops of windows, adequate security shall be provided, i.e., windows are to be secured and screens erected over the open area to provide weather protection in addition to security to the satisfaction of the Contract Administrator.
- (i) Alternative means of fixing ties may be used, but only when authorised by the Contract Administrator.

- (j) All scaffolds, perimeter/barrier fencing etc. may only be erected or dismantled when the common or surrounding areas are clear of residents, other occupants or members of the public. Similar precautions are to be taken when mobile towers are moved. The Contractor shall ensure that his Resident Liaison Officer is consulted upon all scaffold erection, dismantling or alterations including works to any hoists and the like prior to commencement of same and is advised when these operations are to begin and their expected duration. The Resident Liaison Officer shall supply this information in writing to the Building Manager and Contract Administrator so that the period during which these activities may be taken, can be agreed and any temporary barriers installed to maintain clearance of areas.
- (k) Where doors/entrances/public access ways occur in occupied premises, fans are to be provided which shall be of adequate construction and additionally have unbroken sheeting which abuts the fabric of the building and projects as far as barriers fencing, and all scaffold tubes are to be arranged so that full operation of the doors is not impeded. Additional requirements will be necessary if wet or very dusty conditions occur. If natural or artificial lighting is obscured the additional lighting shall be provided. No scaffold tubes shall protrude into an access way whether on or off the scaffolding. Caps shall be provided to protect ends of tubes.
- (l) Where works are to be undertaken involving the use of chemicals and/or other hazardous processes/materials, work is not to proceed until the Contract Administrator has agreed the working procedures. The procedures will cover areas such as: - Storage, restrictions in working hours; restrictions in building/communal areas use; protection; planning of works and communication with Building Managers.
- (m) Where works are to be undertaken above occupied areas full protection must be afforded to the occupants below.
- (n) All scaffolds, towers, cradles, etc., are to be maintained in a safe condition. It is the Contractor's responsibility to inspect as required and to sign the statutory registers within the seven days immediately prior to their use, and to obtain a Handover Certificate from the scaffolder.
- (o) All working platforms shall be adequately supported and fully boarded out, this shall include the provision of guard-rails and toeboards, and where there is a risk of materials being displaced, brick guards together with extra sheeting out or sealing of the working platform where demolition or similar type operations are being carried out. The contractor shall supply and fix full height debris netting to the entire perimeter of the scaffold.
- (p) Ladders are to be adequately tied and access and egress to them to be kept clear at all times. Ladders at ground level shall be removed at the end of each working day. Both ladders and ropes to be secured out of reach of children and unauthorised persons generally.
- (q) Satisfactory storage arrangements for scaffold and fittings are to be agreed with the Contract Administrator prior to their arrival on site to ensure they are not strewn around the site.
- (r) All electrical equipment on site to be at or below 110 volts unless alternative protective measures have been agreed with the Contract Administrator.

(iv) **LADDERS**

Ladders must be in good state of repair and strong enough for the work to be undertaken from them. They should always be checked before use for any damage, wear or faults. If defective the ladder must be replaced.

Ladders must not be painted or otherwise treated so as to conceal any defects.

Ladders must be placed at an angle of 75° (1:4) to the supporting structure.

The foot of the ladder must be on a firm level base and the ladder should be of adequate length for the job, and must extend at least 1.07m above platforms.

The ladder shall be securely fixed at its upper resting point or where this is impracticable shall be fixed at or near its lower end.

No movement of ladders shall be permitted while the area is in occupation. Protection of the working area is essential.

**6.0** **HOIST**

Where operations require that the Contractor provides a hoist for the movement of materials it is essential that the control of the hoist and its use is strictly supervised by the Contractor's site personnel.

Prior to undertaking works associated with hoists, the same procedures regarding information shall apply as for scaffolding.

All hoists erected shall comply with current regulations. Some of the more relevant points which must be strictly adhered to are: -

- (a) Hoist tower must be adequately tied in (at every lift) to the scaffolding and/or building as necessary.
- (b) Hoist tower and hoist motor area to be adequately fenced-in with suitable type fencing material.
- (c) Landing gates to be kept closed at all times except when having to be opened for the passage of workers and materials.
- (d) Accessway to the hoist platform at ground and all other levels to be kept clear at all times.
- (e) Only trained hoist drivers are to operate the hoist from one position only, preferably at top level from an outrigger platform with good visibility to all landings, should be provided.
- (f) Under no circumstances should any persons be permitted to ride on a hoist platform.
- (g) At the end of the working day the hoist motor and tower should be immobilised and effectively secured.



- (h) The hoist shall be inspected once a week and the necessary entry made in the Lifting Appliances section of the relevant register. This also includes giney wheels used for the purpose of raising and lowering materials.
- (i) Hoist platform to be left at ground level at the end of each working day and the gates locked.
- (j) Test certificates to be provided before the hoist is put into use and thereafter every six months or after substantial movement or repair.

## **7.0 PLANT AND MATERIALS** **(INCLUDING ASBESTOS AND STRIPPING PAINT)**

The Contractor shall provide the Contract Administrator with all relevant information on any dangerous, noxious or offensive substance or process to be used or handled on site, which might present a risk to the health and safety of the public or persons visiting the premises.

This information shall include details of the substance or process to be used or handled, and the precautions and protective measures the Contractor intends to take. Such information shall be provided at least 14 days before the substances or process is to be used or handled, or immediately if a dangerous substance e.g., asbestos is discovered unexpectedly. The Contractor should be aware and take notice of the regulations regarding the Control of Substances Hazardous to Health (C.O.S.H.H.).

The Contractor shall ensure that all plant and materials are placed and used and all operations carried out in such a manner as to prevent injury to persons or loss, access or damages to property. Plant and materials shall not be left unattended on balconies, corridors, hallways, staircases, in playground or in there common areas, without adequate safeguards.

The Contractor shall take measures to minimise the effect of construction noise by applying those recommendations contained in BS 5228 (or any amendment or substitution of that BS), and in particular Clauses 23 and 24 section 5 and Table 6 of Appendix G of that code which are applicable in the circumstances.

The Contractor shall use the most effective noise reduction measures available, and plant likely to cause disturbance may only be used within the periods previously agreed by the Contract Administrator and Building Manager.

Where site activities are possibly going to create a large amount of dust then specific precautions should be undertaken.

Some alternatives are:-

Sealing all openings adjacent to the works, totally enclosing the work area, damping down area, localised dust extraction.

Even with these precautionary measures incorporated in working procedures the Contract Administrator and where applicable, Building Manager, should be forewarned of such problems so that addition cleaning provisions may be considered for the duration of these activities.

## **ASBESTOS**

### **Asbestos based materials**

A significant proportion of the Authorities buildings contain amounts of asbestos products in varying degrees. In all areas of the buildings where work is to be undertaken the Contractor, prior to commencement of works, shall ensure that no asbestos contamination will occur, and shall constantly be vigilant to the possibility of finding asbestos during the course of the works and take the necessary immediate precaution.

All works in connection with asbestos products shall in accordance with the Authority's Codes of Practice on Asbestos Removal and Air Monitoring.

The Contractor is to refer to the Pre-Construction information and the Asbestos Register, access to which will be provided to the contractor, for details of known asbestos within the premises. In any event all work shall proceed with caution allowing for the probability of asbestos being present in any location throughout the premises.

If during the course of the contact, materials suspected of containing asbestos are found, the suspect material should not be disturbed. The Contract Administrator should be informed immediately by the Contractor.

The Contractor shall not permit any person other than trained operatives wearing the proper respiratory and other protective equipment into a building or part of a building where the Authority's asbestos guidance level is or may be exceeded.

Before reoccupation of any part of a building may take place after asbestos removal work, the occupational safety unit or air monitoring consultant must provide a clearance Certificate.

## **STRIPPING PAINT:**

### **THE CONTROL OF LEAD AT WORK REGULATIONS 1980**

It is likely that on many painting contracts, there will be some stripping of internal/external paint. Much preparation work can be done by rubbing down and scraping, the rest requiring stripping. The specification allows either chemical or heat stripping externally, Because it is the traditional, quicker, cheaper, less messy and probably more effective way, burning is usually preferred externally. Dry rubbing down of known lead paint is prohibited under the Regulations.

The safety precautions required for stripping and rubbing down of all internal and external paintwork throughout the building are detailed below: -

1. If the premises are to be occupied while stripping of paint is taking place, then the Resident(s), Building Occupants and where applicable, the Building Manager, of every establishment where paint is to be stripped is to be advised in advance of that fact and of the times these operations are to take place.
2. When stripping is taking place, dust sheets should be placed beneath the work area to catch ALL stripped material, whether it is removed by burning, scraping, rubbing down or chemical means. Plastic sheets must not be used when burning off is carried out.
3. Cleanliness during the course of the contract is essential, e.g., periodic cleaning up of the floors, paths etc., beneath areas stripping is to take place regularly during the day while work is in progress. Cleaning up should always be done immediately before any known major use of the area, unless the work area, including any area into which stripped materials or dust is allowed to fall, is fenced off.
4. All rubbing down after stripping must be with wet abrasive.
5. Dust from rubbed down areas both internally and externally is to be dampened down and swept up at the end of each working day and removed by industrial vacuum cleaner.
6. Dust sheets used to protect where stripping has taken place must not be subsequently used elsewhere on the site unless they are thoroughly cleaned first off the site in an approved manner.
7. Burning off, of doors, windows etc., must not take place while the rooms they serve are occupied.
8. Where paint is not stripped, all rubbing down of paint shall be with wet abrasive and debris removed before it dries.
9. After cleaning up, all debris from stripping is to be collected, placed in sealed receptacles and disposed of by the Contractor immediately following stripping. It must not be stored on site nor placed in Council dust bins etc. The area beneath the stripped components is to be thoroughly swept, washed if internal, or if external, hosed down to nearest gully or removed by industrial vacuum cleaner.

## **8.0 SECURITY**

Buildings, where scaffolding or other access equipment is to be erected, are more vulnerable to security problems than normal.

When work areas are bounded by substantial perimeter fencing this is not always an adequate measure to prevent intruders gaining access to the premises. Similarly where financial constraints are such that only a barrier fence is provided, alternative security measures may need to be taken. Added security should be provided in both these cases, in the form of those items set out below, either individually or a combination of methods, to achieve an acceptable deterrent to intruders. These measures are to be defined and agreed at the site handover meeting. The following options should be considered: -

1. All windows in the vicinity of the access equipment to be secured to prevent ingress.
2. Screens/Plywood Panels to be fixed to areas of high risk
3. Additional fencing around higher elevations of scaffolding i.e., near entrance railways.
4. Lower lifts could also be additionally secured by fencing or boards.
5. Additional patrols of Contractor's or security personnel.
6. Where scaffolding ties pass through open windows, these are to be secured and plywood screwed to the inside of the windows over the open areas, to the satisfaction of the Contract Administrator.
7. Ensure the procedures for checking security especially on painting activities or other works of maintenance to windows.
8. All points of Contractors access to the premises to be adequately secured nightly.
9. Contractors to ensure that all existing external window grilles and/or locks are replaced on completion of the works.
10. Scaffolding or the building works not to interfere with or provide access to any part of the alarm systems i.e., alarm wiring, sensor units, door contacts, control panels, strobe light units, door contacts, control panels, strobe light units, etc.

## **9.0 SAFEGUARDING VEHICULAR ACCESS TO SITE**

The Contractor shall take all precautions to eliminate as far as is reasonably practicable, the danger to the occupiers or the public arising from the entry and exit of the Contractors and/or Sub-Contractors vehicles to and from the site. This shall include, where practicable, separate access to the site for Contractor's personnel, plant and equipment for the whole duration of the works, as agreed with the Contract Administrator and where present, the Building Manager.

Efficient warning of movement of vehicles to members of the public highway and to persons within the site shall be provided as necessary.

#### **10.0 SAFEGUARDING PUBLIC ACCESS TO PARTS OF SITE**

Those parts of the site that must remain open to the occupiers or the public shall be provided with proper footways, guard-rails and other protective measures to ensure the safety of the occupiers or the public. The Contractor shall also provide and maintain temporary access facilities where necessary. Where scaffolding is erected over or adjacent to an entrance which is to remain in use, effective screens and fans shall be provided. The Contractor shall not block the access of occupiers or the public, to roads parking areas or pathways during the progress of the works. Excavations of more than 2m deep or more than 1m where water is likely to collect, shall be fenced in accordance with section 4 and 5 (II) of this code, and small excavations shall be appropriately and adequately protected. Suitable warning notices shall be erected in accordance with section 14. Stop-blocks or similar barriers shall be provided where required to stop wheeled vehicles from manoeuvring too close to excavations or scaffolding.

#### **11.0 SAFEGUARDING ACCESS WITHIN PREMISES**

Wherever works are to be undertaken the area around the works shall have barriers (where potential hazard exists) or warning tapes if adequate. The Contractor shall continuously maintain existing access, or if necessary provide alternative access facilities to lifts, stair cases, lobbies, hallways, corridors, refuse facilities etc, and shall ensure that work within lobbies, corridors and stair areas proceeds in orderly safe manner. Under no circumstances are the corridors, staircase, intake cupboards, WCs, or emergency escape routes to be obstructed with plant, materials, etc unless by prior agreement with the Contract Administrator.

Materials shall be distributed on a day to day basis with no localised storage. Contractor's site operatives, plant or materials are not to be transported by the lift. The Contractor shall remove all rubbish, plant, tools and materials from areas used by the occupiers to a central storage point as works proceeds and specifically at the end of each working day and at completion. On no account shall intake cupboards or WCs be used for storage or for the disposal of waste. On completion the Contractor shall also properly clean floors, woodwork, steps, yards, clear out all gutters, drains and gullies and leave the whole of the works in a clean, sound and fit condition for occupation.

## **12.0 WORKING OVER OCCUPIED AREAS**

Works which are to be undertaken above areas which may be occupied must be so carried out to prevent any risks to occupants otherwise the occupants shall be asked by prior agreement to vacate the area for the duration of work, and the area to be secured against re-occupation.

All plant and materials, whether of a temporary - or permanent nature, which could cause danger due to a risk of falling, must be positively fixed into the structure.

## **13.0 PROTECTION OF PROPERTY**

The contractor shall take all necessary precautions to ensure that nothing is done which is likely to endanger the stability of the works or buildings, whether new or existing, including that of adjoining properties that may in any way be endangered or affected by the works being carried out. The Contractor shall be provided all shoring, strutting, needling and other supports and shall take all other precautions and adapt such other expedients as may be necessary to preserve the stability of the above-mentioned buildings and/or properties, and to protect the same from damage and/or settlement. No part of these protective measures shall be taken down or removed until all risk of damage or settlement is past, and all work involving such risk is to be executed in such portions as will minimise the risk as far as possible.

## **14.0 FIRE PRECAUTIONS**

In addition to any fire precautions required by the various Acts, Bye-Laws and Regulations the Contractor shall ensure that all fire access routes are kept clear at all times. Combustible materials e.g. timber is to be stored in agreed storage areas, other than materials required for use in the particular area in which they are being placed. Unnecessary build up of combustible materials must be avoided. Flammable liquids or compressed gases shall not be kept within the building, except in such quantities as may reasonably be required for the day's work. Sufficient numbers of adequately maintained fire extinguishers shall be provided by the Contractor according to circumstances and not less than one extinguisher per floor or scaffold lift. The Contractor is to provide a Fire Risk Assessment with their Health and Safety Plan, ensuring that his works do not compromise the Employers Fire Risk Assessment and emergency procedures.

## **15.0 PROVISION OF WARNING NOTICES**

The Contractor shall implement a system of sign posting to warn occupiers and the public of dangerous operations, plant and chemicals and of freshly applied materials. All safety signs must conform to current signs safety regulations. Where flammable gases are used on site, the Contractor shall provide and maintain a warning sign incorporating the flame motif and the words 'FLAMMABLE GAS' underneath. Such notices shall be securely fixed externally and prominently where flammable gas cylinders are stored.

It may be necessary to provide the signs in different languages according to Local Ethnic Communities. In such circumstances the Authority's Officers will provide the translation. Such requirements shall be decided at the pre contract site meeting.

## **16.0 SITE CLEARANCE**

The Contractor shall comply with Control of Pollution Act 1974 and the regulations made there under. Water, dust, dirt and other debris caused by the building operations or other work shall be cleared regularly as work progresses and placed in skips, which shall be sited so as to cause the minimum of inconvenience to occupiers and the public.

Skips shall be emptied regularly and shall be adequately fenced off from the surrounding areas and the Contractor shall subcontract carting away only to carriers who are approved by the Authority. The Contractor shall provide proper rubbish chutes and shall ensure that there is no 'bombing' of materials from upper storeys. The Contractor shall take all reasonable steps to prevent water accumulation which may represent a hazard on site.

#### **17.0 MINIMISING INTERFERENCE TO OCCUPIERS AND THE PUBLIC**

All works shall be carried out so as to cause the minimum of interference to the residents and occupiers of the premises at which work is being carried out and to persons using the premises, and the public. To achieve this, the works shall be carried out in the sequence and indicative timing agreed with the Contract Administrator at the site handover meeting. The Contractor shall take measures to minimise the effect of all noise on site, and shall ensure that site boards are not placed so as to cause inconvenience to occupiers. All reasonable means shall be used to avoid inconveniencing adjoining owners and occupiers.

All plant, machinery and equipment shall be placed and used on the site so as to avoid any trespass or nuisance on adjoining property. Should it be necessary for plant, machinery or equipment to project or operate over adjoining property, the Contractor shall obtain the prior written permission of the adjoining owner and occupier. No operatives employed upon the works shall be allowed to trespass upon the property. If the execution of works requires that operatives must enter upon adjoining properties, written permission shall first be obtained by the Contractor who shall ensure that any conditions imposed by the owners/occupiers of the adjoining properties are adhered to.

#### **18.0 MAINTAINING SERVICES**

No diversion of any of the existing services other than shown on the drawings, or described thereafter, shall be carried out without the prior written agreement of the Contract Administrator. Any temporary disconnection of the services which may be necessary shall be done at such time as it is directed by the Contract Administrator and shall be notified by the Contractor's Resident Liaison Officer to the Building Manager where one is present at the premises, a reasonable period in advance. The contractor shall maintain unobstructed access to dry and wet riser inlets and outlets, service cupboards, switch rooms, plant rooms, boiler houses, tank rooms, etc.

##### **Care of Services When Digging**

Unidentified underground services may be present in many of the Authority's Premises and great care must be taken when undertaking any excavation works. The Contractor is to use all due care and attention when carrying out excavation and shall immediately report any services found to the Contract Administrator.

## **19.0 TAKING PRECAUTIONARY MEASURES WHEN SITE IS UNATTENDED**

When the site is left unattended:-

- (a) Every reasonable precautions, including the supply and erection of fencing and or barriers should be taken by the contractor to prevent access of unauthorised persons, particularly children, to elevated or other dangerous areas of the site.
- (b) All plant and vehicles shall be immobilised.
- (c) Materials, particularly hazardous substances such as chemicals, gas cylinders and flammables shall be left inaccessible.
- (d) Gas and electricity supplies shall be isolated, or if floodlighting is required, supplies shall be properly protected.
- (e) Scaffolding/hoists shall be treated as described in Section 5 and 6.
- (f) Scaffolding etc., to be erected for less than a working day shall not be left unattended.

The Contractor shall provide all attendance and lighting in accordance with statutory requirements, everything else necessary by day and night for the protection of the public, including the occupiers and unauthorised entrants, and the security of the works.

## **20.0 REPORTING OF ACCIDENTS AND DANGEROUS OCCURRENCES**

The Contractor shall make adequate arrangements for reporting accidents and dangerous occurrences as required by the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 and any amendments, modifications or substitution of/for those regulations. In addition, accidents and dangerous occurrences must be reported to the Contract Administrator.

## **21.0 URGENT WORKS**

Where work of an urgent character is instructed, the Contractor shall at once execute all work that may be necessary to make safe for the time being the structure in respect of which any such instructions is given, and shall take every precaution for the prevention of accidents or damage of whatever kind, notwithstanding the fact that in some cases the precise nature of the work to be performed or materials supplied may not be definitely stated. In the event of it being necessary for the Contractor to exercise his discretion in this respect they shall inform the Building Manager of their decisions and at once advise the Contract Administrator in writing of the action they are taking and subsequently satisfy the Contract Administrator who may disallow payments for such part of the work as he/she may consider unnecessary including any claims for overtime. In the event of failure at any time by the Contractor, the Contractor shall be liable for and shall indemnify the Employer against any loss which the Employer may sustain by reason of such non-compliance.



**22.0 SAFETY, HEALTH AND WELFARE OF WORKPEOPLE, RESIDENTS, STAFF, OTHER OCCUPANTS OF THE PREMISES AND THE PUBLIC**

- 22.1 The Contractor shall comply with all enactment's, regulations and working rules relating to the safety, health and welfare of workpeople, residents, staff, other occupants of the premises and the public. In addition, the contractor shall also note and comply with the following:
1. London Borough of Hammersmith and Fulham's Standing Orders.
  2. London Borough of Hammersmith and Fulham Safety Policy and Codes of Practice (see appendix P).
- 22.2 The Contractor shall comply with his own safety policy and codes of practice and such further codes of practice as may be notified to the Contractor in writing.
- 22.3 The Contractor shall arrange whenever necessary for a suitably qualified or experienced safety officers to undertake inspection of the Contractor's operations work places and equipment. Details of the person appointed with relevant qualifications/experience shall be forwarded to the Contract Administrator together with details of the Safety Officer's functions and where they may be contacted, prior to the contract being submitted.
- 22.4 The Contractor shall not permit any equipment, workplace or part of the service which has a dangerous defect or presents a danger to workpeople, residents, staff, other occupants or the public to be used until such defects have been remedied to the Contract Administrator's satisfaction.
- 22.5 The Contractor shall ensure that his employees are provided with an adequate and suitable supply of protective clothing and other protect equipment as conditions may require. Whenever possible, the equipment and clothing shall comply with the appropriate British Standard. The Contractor shall instruct their employees in the use of protective equipment and clothing, and it shall be maintained in a fit condition. The Contractor shall ensure that protective clothing is effectively worn.
- 22.6 The Contractor shall ensure owing to the nature of the work, or the materials or equipment, that specific instruction is needed about safe methods of work or operation of equipment. Employees shall not commence any such work without first receiving such instruction.
- 22.7 The Contractor shall provide and maintain safe work places, and equipment, and shall organise safe systems of work as to protect their employees, residents, staff, other occupants and members of the public against accidents and conditions injurious to health.
- 22.8 Machines and appliances shall be properly maintained and regularly inspected by a competent person to ensure they conform to relevant safety regulations and British Standards and HSE Guidance Notes. If no safety regulations apply the Contractor shall ensure that the machine or appliances are designed and protected so that they operate safely and without risk or causing injury.
- 22.9 An adequate amount of competent supervisors shall be provided to ensure that the workpeople carry out their duties in compliance with all health and safety considerations.

- 22.10 Mandatory notices and instructions relating to regulations and safe working practices shall be provided to employees and posted in prominent areas.
- 22.11 The Contractor shall inform the Contract Administrator as soon as becoming aware of any prosecution or pending or likely prosecution of the Contractor for any offence pertaining to the Health & Safety of its employees or of other persons, or of any conviction on such further information and documents as the Employer may require.
- 22.12 Where the Contractor considers that the execution of any order for work will or is likely to involve any interference with asbestos or any other hazardous substances or installation he shall immediately stop work and forthwith notify the Contract Administrator who will give the Contractor further instructions.
- 22.13 In the event of default by the Contractor in the proper observance of any necessary health and Safety requirements, cancellation of the written order by the Contract Administrator shall not result in the Employer being obliged to reimburse either any costs incurred by the Contractor or the value of any abortive work except to such extent (if any) as those costs or that abortive work were incurred or performed without contravention of the Health and Safety requirements in question.

**APPENDIX E**

**CALCULATION OF LIQUIDATED  
AND  
ASCERTAINED DAMAGES (LAD) RATES**

## APPENDIX E

### CALCULATION OF LIQUIDATED AND ASCERTAINED DAMAGES (LAD) RATES

The rate for Liquidated and Ascertained Damages (LAD) for each Order will be calculated in accordance with the attached Calculation Form and advised to the Contractor with each Instruction to commence an Order.

The current interest rate applicable to the calculation under item A on the Calculation Form is 4.29%. The weekly rate under this item is computed as follows: -

$$\frac{80\% \times (\text{Estimated Order Value plus Fees}) \times 4.29\%}{52}$$

Overall project LAD rates will typically be in the region of £1 per calendar per day per £1,000 of order value, but individual projects rate may higher if there are applicable costs under Items C and/or D of the Calculation Form.

**CALCULATION OF LIQUIDATED DAMAGES RATE**

**PROJECT TITLE**

<b><u>LOSS OF INTEREST CALCULATION</u></b>	
ESTIMATED ORDER VALUE	£ <input style="width: 90%; height: 25px;" type="text"/>
FEEs	£ <input style="width: 90%; height: 25px;" type="text"/>
TOTAL	£ <input style="width: 90%; height: 25px;" type="text"/>
INTEREST RATE	<input style="width: 90%; height: 25px;" type="text"/> %

A] LOSS OF INTEREST CALCULATION *(from above)* £

B] COST OF PROFESSIONAL OFFICERS TIME *(to be specified)*

CONTRACT ADMINISTRATOR:  HOURS PER WEEK @ £45PH £

QUANTITY SURVEYOR:  HOURS PER WEEK @ £30PH £

OTHER COSTS (eg: C.o.W Client Officer)

CLERK OF WORKS  HOURS PER WEEK @ £ 25 PH £

CUSTOMER CARE OFFICER  HOURS PER WEEK @ £ 30 PH £

C] EXPENSES ON ANOTHER CONTRACT CAUSED BY FAILURE TO COMPLETED £

D] COSTS OF A TEMPORARY NATURE AWAITING COMPLETION £

E] FURTHER APPLICABLE COSTS *(to be specified)* £

F] FLUCTUATIONS AS APPLICABLE £

G] MANAGEMENT DISCRETION £

RATE PER WEEK £

**LIQUIDATED DAMAGES TO BE STATED AS RATE 'PER CALENDAR DAY'** **£**   
 (DIVIDED BY 7 AND ROUND TO THE NEAREST POUND)

PREPARED BY: \_\_\_\_\_ DATE: \_\_\_\_\_

REVIEWED BY: \_\_\_\_\_ DATE: \_\_\_\_\_  
 MDF 18 (20.4.2000)

**APPENDIX F**  
**LBH&F CORPORATE SAFETY PROCEDURES**

## **APPENDIX F**

### **LBH&F CORPORATE SAFETY PROCEDURES**

#### **INTRODUCTION**

The Principal Contractor shall be aware of the Council's Corporate Health & Safety Procedures and shall ensure that all their H&S Procedures and those of any sub-contractors comply with the requirements of the Council's Corporate H&S procedures.

Where there is a conflict between the Contractors policy and or procedures and the Councils procedures these shall be drawn to the attention of the Contract Administrator immediately.

A copy of the Council's Corporate Health & Safety Procedures are available on request through the e-tendering portal.

#### **SCHEDULE OF SAFETY PROCEDURES**

- Asbestos Management
- Confined Spaces
- Contractor Management
- CDM Project Management
- Electrical fixed installations
- Equipment Safety
- Fire Safety
- Gas safety management
- Ground Safety Management
- Hazardous Substances and Noise
- Lifting Equipment (fixed)
- Lift Trucks
- Pressure Systems
- Permit to Work
- Play Grounds and Play Equipment
- Traffic Management
- Water Hygiene Management
- Window Cleaning Strategy
- Works at Height inc Ladders
- Work Equipment

#### **Standard Documents/Permits**

- Confined Spaces Permit
- Permit to Work Certificate (High Voltage)
- Permit to Work Certificate (Low Voltage)
- Permit to Work Certificate (General)
- Permission to Work Certificate
- Hot Works Permit
- Rules for Contractors
- Works Notification CSSD34

## **APPENDIX G**

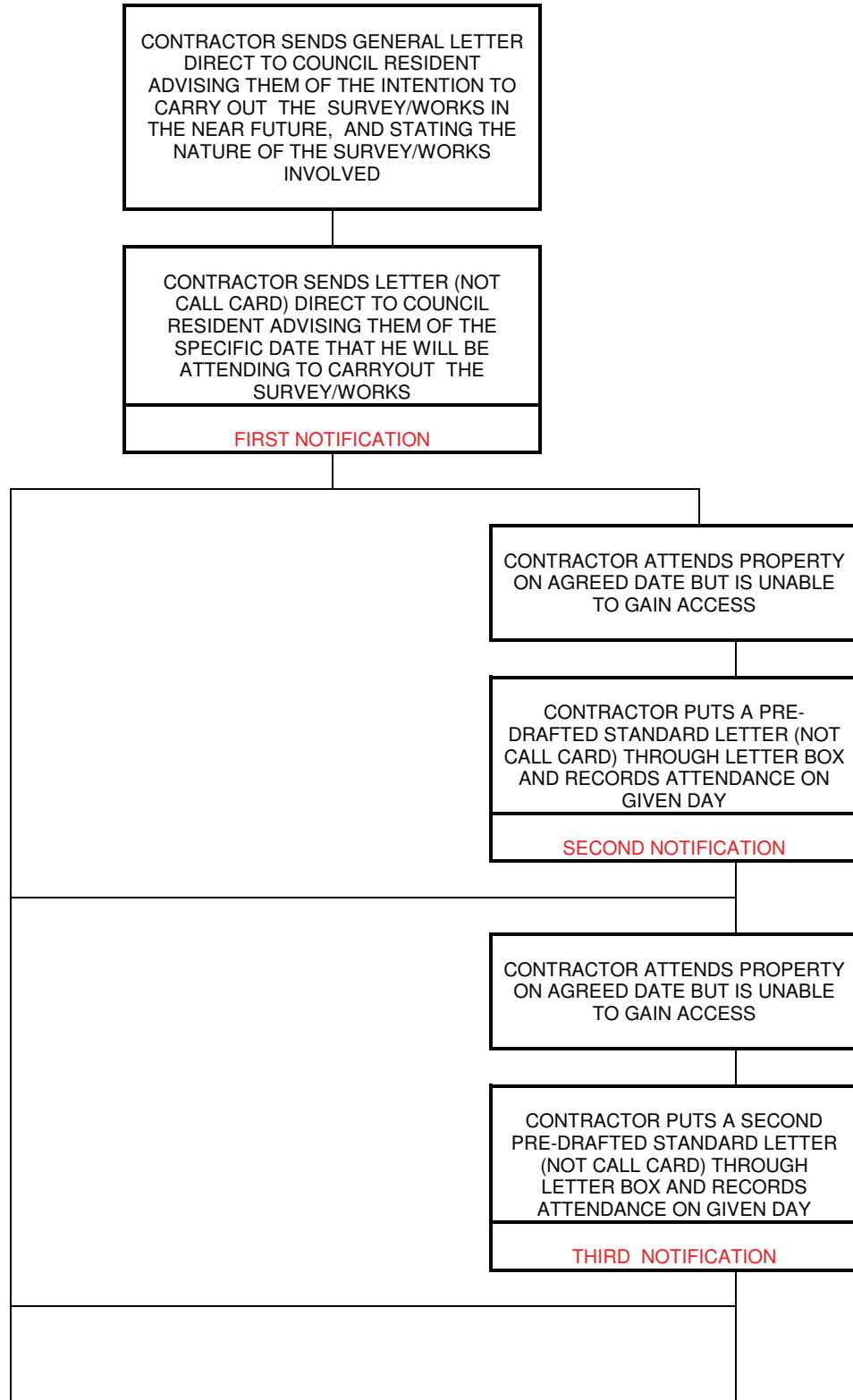
### **PROCEDURE FOR OBTAINING ACCESS TO PROPERTIES TO UNDERTAKE SURVEYS AND EXECUTE WORKS**

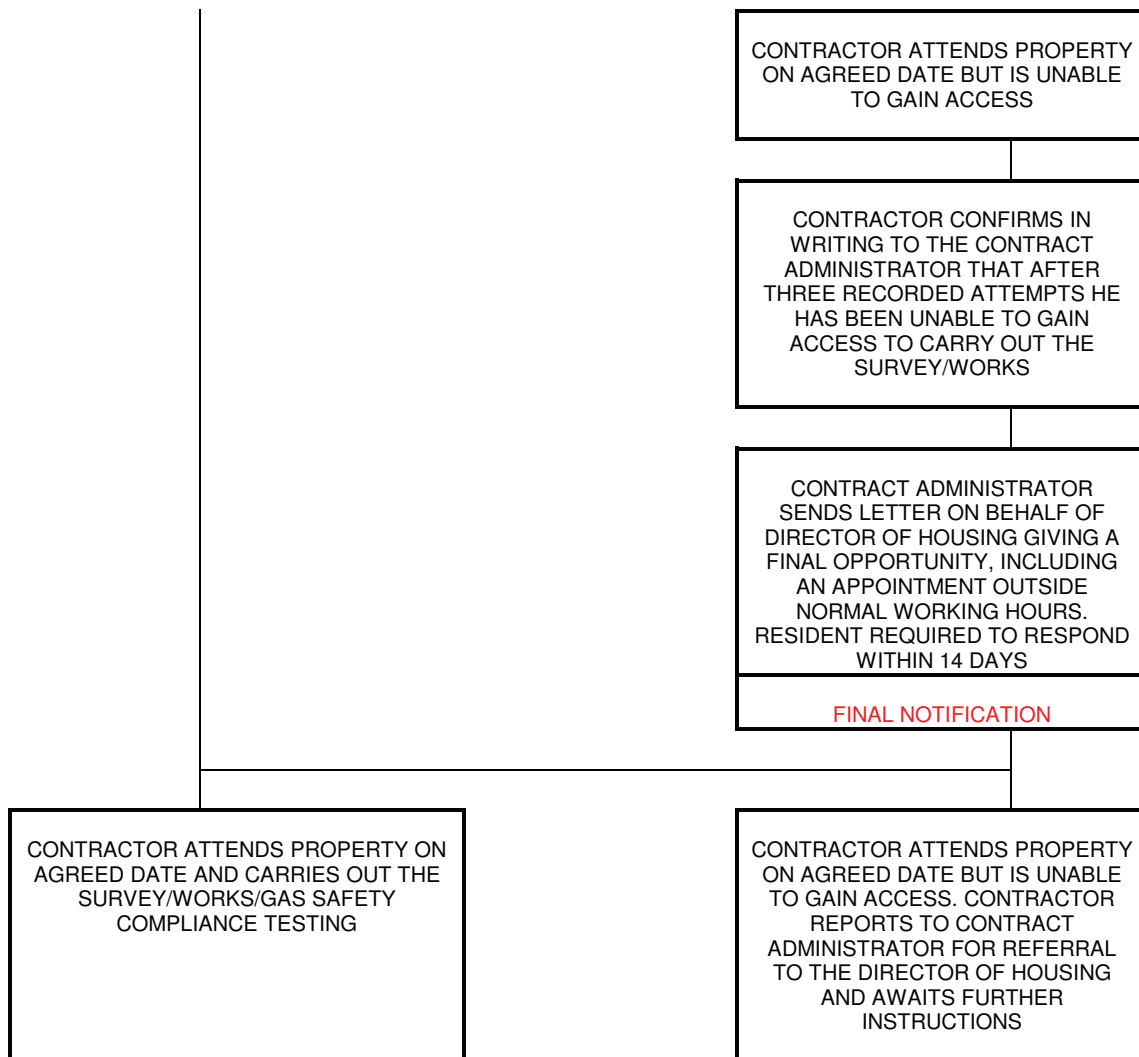


## APPENDIX G

The Contractor shall strictly comply with the following procedure when attempting to gain access to all flats for the purposes of carrying out all surveys, Gas Safety Compliance Inspections, gas appliance testing, and all other operations in connection with the Works.

### PROCEDURE DIAGRAM FOR OBTAINING ACCESS TO PROPERTIES





The contractor shall provide a written record of his attempts to gain access to each property, and the information to be supplied to the Contract Administrator shall be as detailed in the following table. Only the production of all the information required will be sufficient evidence of the Contractor's proper attempts to gain access.

Property:-			
Flat No. X	Operatives Name (Printed)	Operatives Signature	Date letters delivered to resident.
General letter delivered			
First letter delivered			
Second letter delivered			
Third letter delivered			
LBH&F notified			

The Contractor shall provide drafts of his intended standard general, first, second and third notification letters to the Contract Administrator for his prior approval.

## **APPENDIX H**

### **RESIDENT LIAISON OFFICER JOB DESCRIPTION AND RESPONSIBILITIES OF NOMINATED KEY HOLDER**

## **APPENDIX H**

### **RESIDENT LIAISON OFFICER JOB DESCRIPTION**

#### **AND RESPONSIBILITIES OF NOMINATED KEY HOLDER**

##### **SECTION A: RESIDENT LIAISON OFFICER JOB DESCRIPTION**

Good resident liaison is a key element in ensuring the success of the refurbishment programme and delivering a good quality service to our residents.

The Council considers the RLO to be a key member of the site team and crucial to the success of a project and the first point of contact for dealing with issues and complaints.

The Contractor will be required to employ a full time resident liaison officer(s) (RLO(s)) for the duration of the works on site (numbers to be employed to meet the requirements set out in the tender documents and/or by agreement between the Contractor and the Employer).

The purpose of the RLO is as follows:

1. To create and maintain a good working relationship between residents and the site team.
2. To ensure there is effective communication between the Contractor and residents at all times.
3. To ensure that disruption and inconvenience to the residents, caused by the works, is kept to a minimum.
4. To ensure that the safety of the residents during the works is maintained.
5. To undertake such other duties as are reasonably required and agreed by both the Contractor and the Employer.

The RLO plays a major role in ensuring the success of the Contract and in maintaining the confidence of the residents in Council's and the Contractor's ability to do the work with minimum disruption.

If an RLO is not able to perform these duties to the reasonable satisfaction of the Contract Administrator, then the Contractor will be instructed to dismiss the RLO from the site, and the Contractor shall forthwith employ another.

The Contractor is to provide temporary cover for an RLO's planned absences and any long-term sick leave.

#### **1. SET UP**

- 1.1 The Resident Liaison Officer(s) will be provided with a separate office on the site to give privacy to residents wishing to discuss matters relating to the works. The location of the office will be notified to all residents before work starts.
- 1.2 The liaison officer is to be available for one hour of the day in the office and the time to be notified in writing to all residents before work starts.

- 1.3 The RLO(s) is/are to be issued with a mobile phone and the RLO(s) number will be issued as part of the contact details to all residents before work starts.
- 1.4 The RLO(s) will be issued with identity cards along with other site staff.

## 2 PROJECT TEAM

- 2.1 The RLO(s) will be required to work closely with all officers who are involved in the project on a day to day basis. These officers are the Contract Administrator, Clerk of Works and other relevant H&F Officers. This may also extend to third parties in exceptional circumstances.
- 2.2 The RLO will arrange monthly meetings with the Housing Officer to discuss any issues relating to special needs, access, individual management problems.
- 2.3 The RLO will prepare monthly written reports for site meetings detailing all complaints raised by residents and the action taken and all resident issues requiring discussion and involvement of Council Officers e.g. access issues, complaints, tenancy issues etc..
- 2.4 The RLO shall attend site meetings and out of hours meetings with the Employer or individual tenants and shall be party to other discussions between the Contract Administrator and the Contractor on the subject of revisions to the Contract Programme.

## 3 PRIOR TO COMMENCEMENT OF REFURBISHMENT WORKS

- 3.1 Attend a briefing meeting with Council Officers to share information, where available, on vulnerable residents (note meeting will consider implications of Data Protection Act), some information may be provided in confidence and needs to be treated in line with the Information Sharing protocol agreed between the Contractor and the Council. The aim of the meeting is to:
  - Identify residents who may find work in occupation particularly difficult and consider strategies to assist the resident and prevent a refusal
  - Before work commences, identify any known residents having a disability who may require special provision and ensure that the Contractor takes note of the resident's requirements whilst undertaking work in their home.
  - Identify residents who may be known to be a possible threat to officers/ operatives and consider strategies to enable the work to go ahead following a risk assessment.
  - Commence a dialogue between the RLO and the Council officers with the intention of offering mutual support and partnership to deal with some of the more difficult resident liaison problems that may occur during the contract.
- 3.2 Where available invite each resident into any show flats prepared by the Contractor to agree elements of the proposed works. The RLO to record resident's preferences/choices and to feed these back to the project team.

- 3.3 Following on from the briefing meeting, make initial contact with every resident to build up a profile giving information on access times or special needs which will make work more difficult for the resident. This information is strictly confidential. Report back to the H&F Officers on findings and convene a further meeting as necessary to discuss difficulties not previously identified.
- 3.4 Ensure every household understands the content of the work, by means of a detailed discussion with the resident about the extent and sequence of works, and what services will be affected, supplemented with a detailed fact sheet. In particular inform residents of the expected time in their home.
- 3.5 Give residents a minimum of 14 days written notice of the date that work will commence in their property. If work includes the erection of scaffold, the RLO notice shall include advise relating to the need for residents to notify their household insurers of the proposed works.
- 3.6 Dependant on the nature of the project, carry out in conjunction with the Employer's representative, an inspection of each property and prepare a written schedule of condition of carpets, decorations, fixture and fittings, valuables, to be signed and agreed by each resident.
- 3.7 Provide clear guidance to residents on the requirements to clear furniture and contents of cupboards etc at the earliest point to facilitate the planned works. Provide residents with temporary storage containers for the contents of the kitchen before stripping out starts. This will also include secure storage facilities to allow residents to safely store valuables and furniture to prevent damage or loss during the course of the works. Offer and arrange assistance with preparing the area for work for those residents who need such help.
- 3.8 Where required by the employer, ensure that a refuge flat/cabin is set up as laid down in the terms of the contract.

#### 4. DURING THE WORKS

- 4.1 Ensure that every operative wears an identity card, so that unauthorised persons do not gain access to dwellings in the guise of workmen.
- 4.2 Encourage residents to refuse entry to any person not wearing an identity card.
- 4.3 Ensure that residents' carpets, furniture and valuables are adequately protected during the course of the works.
- 4.4 Make appointments for each element of the works during the work period, in consultation with the Contractor's site manager and the resident; and to contact residents in advance if an appointment needs to be broken because of exceptional circumstances.
- 4.5 Carry out follow-up visits at set intervals during the works to check that no unnecessary inconvenience is being caused to residents.
- 4.6 Ensure that all services are available at the end of the working day and that the Contractor provides temporary heating, cooking or hot water appliances if services cannot be connected at the end of the working day.

- 4.7 Ensure that all flats are left secure and watertight at all times, and that all dust and debris from the works is cleared away at the end of the working day.
- 4.8 Should any resident complain to the Contractor of theft or any other criminal act for which they hold the Contractor wholly or partly liable, even if disputed by the Contractor, then the RLO shall advise the resident to report the matter to the police (giving assistance to the resident as required), take all particulars, record the event in the file, notify the Contract Administrator and write a full report to be given to the Contract Administrator as soon as possible.
- 4.9 Be prepared to intervene in disputes between the Contractor and residents and offer support to residents in dealing with unforeseen and difficult problems arising from the work.
- 4.10 Prepare written reports for Council Officers on any serious incidents that arise involving residents where further action is likely to be needed from the project team.

## 5. SITE SAFETY

- 5.1 Be aware of the identity of the Contractor's Safety Officer and report to the Safety Officer immediately any concerns that arise relating to:
  - Providing the public with safe access to and from dwellings and around the site at all times.
  - Ensuring that areas of work adjacent to public areas are fenced off, and that fencing is secured so it cannot be moved around by others.
  - Providing effective direction signs and warning notices to divert residents and members of the public to agreed safe access routes. Signs to be in the language commonly used in the area and in English.
  - Ensuring that access routes, footpaths and roads adjacent to the works are level, free of debris, and swept regularly and that safe access routes are adequate for wheelchair users, carers with double buggies etc.
- 5.2 Check site each evening with the site manager to confirm that all work areas are secure, communal lights are operating, and that the compound area is secure.
- 5.3 Ensure all residents and relevant Council officers are aware of the Contractor's 24 hour emergency maintenance number.

## 6. ON COMPLETION OF WORKS TO OR IN EACH DWELLING

- 6.1 Ensure that all work to or in a dwelling is completed to the satisfaction of the resident, and to obtain the resident's signature to that effect together with their views on the Contractor's performance- see item 8.6 below.
- 6.2 Note any items of work outstanding and ensure that the Contractor carries out the outstanding work within a reasonable timescale. Confirm with the resident that the work has been completed satisfactorily within the agreed timescale.

6.3 Ensure that each tenant receives all operating instructions and manuals and to demonstrate the operation of all new equipment to the tenants as soon as possible after installation. The RLO is to remain available to give further advice and demonstrations to any tenant who may so require up to the date of full Practical Completion of the Contract.

## 7. COMPLAINTS PROCEDURE

7.1 Publicise, maintain and implement a simple complaints procedure. Ensure that a complaints book is held at all times in the RLO office and that residents are aware of the register's existence and location.

7.2 Provide a triplicate complaints book/forms on site, in which all complaints whether written or **verbal**, will be entered, and signed and dated by the resident.

7.3 All complaints to be responded to by the RLO immediately. The time within which the complaint shall be resolved to the resident's satisfaction will vary with the nature of the complaint, and the RLO is expected to exercise judgement in this respect, and agree a target date with the resident, Contractor, and the Project Manager.

7.3.1 Resolve all complaints within 10 days of the complaint being made -provide a detailed report for those instances where resolution has not been possible with explanations of action taken.

7.3.2 Monitor progress to resolution, and act upon deviations from target.

7.4 Following resolution the resident should be requested to sign the complaint form confirming that the complaint has been dealt with to their satisfaction.

7.5 Present the complaints book to the Contract Administrator or other H&F representative for inspection on a weekly basis, giving proposed course of action, and to present formal written reports detailing and monitoring all complaints at monthly site meetings.

7.6 The complaints book shall be available for inspection by any member of the Council's project team at any time during the contract.

7.7 If complaints cannot be satisfactorily resolved by the site team, refer the complaint to the Project Team to develop a way forward.

## 8. CONSULTATION

8.1 Prepare and circulate to all residents a regular news sheet advising residents of the work that is on site and what is planned in the coming fortnight/month and how this affects them as required.

8.2 Send out leaflets any time there is a change to the access arrangements to a particular block or around the courtyard. All major changes must be agreed in advance with the appointed H&F Officers.

8.3 With the provision of appropriate notice, attend all residents' group meetings. These are usually held in the evening.



- 8.4 Ensure that all leaflets and news sheets are available in languages used in the area, (by inclusion of information indicating languages available). To visit residents where he/she is aware that they will have difficulty with leaflets.
- 8.5 Put up a Bulletin Board outside the office to display leaflets and programme information and to give the names and telephone numbers of staff who can be contacted and who will take immediate action in response to issues raised by residents.
- 8.6 On completion of work in each flat obtain the resident's views on the Contractor's performance when working in their flat, recorded on a questionnaire and signed by the resident. Review the responses and present to the Contract Administrator a summary of the residents' views at practical completion.

## **SECTION B: RESPONSIBILITIES OF NOMINATED KEY HOLDER**

- 1.0 The Contractor will appoint a nominated key holder and a deputy key holder from among his site personnel. The responsibilities of the nominated and deputy key holders will be as follows:
  - 1.1 To identify themselves to residents as the nominated key holders.
  - 1.2 To collect flat keys from residents and to maintain the security of every dwelling while the RLO or Contractor has responsibility for controlling access to it.
  - 1.3 To issue receipts to residents upon handover of flat keys and to ensure that residents return their receipts when collecting their keys.
  - 1.4 To be responsible for maintaining the key storage and logging the receipt and return of all keys in a book showing the key codes which is to be kept locked securely away from the key book on collection and return. Should any key be lost or should the security of any lock be in the opinion of the Contract Administrator compromised by misuse or negligence on the part of the Contractor then the Contractor shall at his sole expense immediately replace the affected lock or locks and supply the tenants with 3 keys each.
  - 1.5 The RLO is to ensure that full consideration is given to maintain the security of the property at all times.
- 2.0 Where residents will be absent through work commitments, holidays and the like, the Contractor will offer a key holding facility. The Contractor will provide a secure lockable key cupboard for storage of all keys to properties which are given to the nominated key holder for access to the properties.
  - 2.1 Each key or bunch of keys is to be provided with a key tag and given a security code number so that the keys cannot be identified in relation to the block or any flat except by the nominated key holders.
  - 2.2 If the key cupboard is kept on site the contractor must keep the cupboard locked at all times.

**APPENDIX I**

**ADDENDUM TO THE NATIONAL SCHEDULE OF RATES**

## APPENDIX I

### ADDENDUM TO THE NATIONAL SCHEDULE OF RATES

Remove existing satellite dish from property, extend cable as required and fix to scaffolding including all temporary fixing brackets and the like. Realign dish and check signal. Leave dish fully operational.

#### Item

APP001	1 no. satellite dish per visit	£75.00 per dish
APP002	2 no. satellite dishes per visit	£70.00 per dish
APP003	3 no. or more satellite dishes per visit	£65.00 per dish

Remove existing satellite dish from scaffolding, and refix to external wall of property including all fixing bolts, brackets and the like. Adjust and reclip cable as required. Realign dish and check signal. Leave dish fully operational.

#### Item

APP004	1 no. satellite dish per visit	£75.00 per dish
APP005	2 no. satellite dishes per visit	£70.00 per dish
APP006	3 no. or more satellite dishes per visit	£65.00 per dish

**APPENDIX J**  
**ADDITIONAL CLAUSES FOR HOUSING PROJECTS**

## **APPENDIX J**

### **ADDITIONAL CLAUSES FOR HOUSING PROJECTS**

1. The Contractor's site compound shall be located in agreement with the Contract Administrator and following consultation with the Tenants & Residents Association (where present).
2. The Contractor is to allow for temporary lighting for the purpose of site security and to scaffolding, hoardings, fencing etc.
3. The parking of the Contractor's cars and vehicles on Council Housing Estates will be restricted to areas directed by the Contract Administrator in consultation with the local Area Housing Offices. Where permits are required, the number of permits will be limited. The Contractor is to note that parking restrictions apply and penalty charges will be levied for unauthorised vehicles on Council Estates.
4. The Contractor is to note that the use of communal staircases for access purposes by site personnel and for the carrying of materials shall allow for the free movement of the building users.
5. The use of the existing lifts by the Contractor shall be prohibited for the purpose without the prior written consent of the Contract Administrator.
6. The use of noisy plant will be restricted as detailed in the Preliminaries/General Matters. In particular, no noisy work may be commenced prior to 9.00 am or continue after 5.00 pm.
7. Access to work to, or within, individual dwellings must be by arrangement with the occupiers. If difficulty in gaining access is experienced, the Contractor is to notify the Contract Administrator without delay. Public access to the communal entrances, staircases and lifts is to be maintained and protected at all times. Where existing door entry systems or concierge service are in use, the Contractor shall make arrangements for access with the Contract Administrator and maintain security to the block at all times. At no time is access for Fire Brigade vehicles or the Authorities refuse vehicles to be restricted.
8. Access can only be gained on Mondays to Fridays 8.00 am to 6.00 pm unless written consent of the Contract Administrator has been obtained.
9. The Contractor is advised that with exception of isolated voids all dwellings will be occupied and fully furnished at the time the work is carried out, and therefore must take extra care than would otherwise be the case, in the execution of the works.
10. The tenants/leaseholders will have been informed that the works are to take place, but the Contractor will be required to make his own arrangements with tenants as to the order, times, and dates in which he wishes to carry out the works.
11. The Contractor shall strictly comply with the "Procedure for obtaining Access to Properties to undertake surveys and execute works," as Appendix G to this document.

12. Failure by tenants to keep appointments shall be at the Contractor's risk. The Contractor shall allow for working outside normal working hours to suit the requirements of individual residents, subject to the prior written approval of the Contract Administrator.
13. The Contractor will be required to give not less than 14 days' written notice to the occupiers of each dwelling affected. He will also be required to give not less than 48 hours' notice in writing to each occupier before starting work informing times and any other relevant matters. The Contractor shall further keep an appointments record of arrangements made with residents for access, opening of windows and doors etc..
14. Where it is necessary to enter dwellings to execute work the Contractor must allow for the protection of fixtures and fittings from damage during the works, and must move all necessary furniture, appliances, fixtures, planters, flower boxes etc., to properly execute the works including the taking up of carpets or other floor coverings etc., and relaying, replacing and all necessary clean dust sheets or other suitable protection that may reasonably be required, and leaving the dwelling clean and tidy at the end of each working day. The Contractor shall include for carrying out a condition survey including photographs prior to work commencing. The Contractor will be responsible for damage to residents' belonging and decorations etc..
15. The Contractor is also to allow for maintaining security to the dwellings at all times during the works.
16. Work to windows in any one room is to be executed without delay, and during such time as the work is being carried out, the Contractor must provide all necessary protection both inside and outside the dwelling, and remove and make good on completion. Dwellings must be left wind and weather-tight at the completion of each day's work.
17. The Contractor is to take on consideration that the adjoining dwellings will be occupied during the whole period of the Contract, and the Contractor is to allow for carrying out works with the minimum of inconvenience to the adjoining occupiers.
18. The Contractor must prevent unauthorised access from scaffold and ladders etc., to the dwellings during normal working hours and at all other times.
19. The Contractor is to note that the buildings and external areas will be in constant use during the progress of the Contract and he will be required to maintain residents access at all times and execute the works, arrange for deliveries to and cartage from the site so as to cause the minimum inconvenience to the occupiers, the Employer and his employees, the public and others using the existing buildings.
20. The Contractor must maintain access for fire, ambulance, refuse vehicles etc.
21. The tenants' plumbing installations, Water, Electrical or Gas supplies, toilet/kitchen facilities or telephone installations etc., are NOT to be used by the Contractor.

22. The periods for loss of residents' services/facilities shall be kept to a minimum and under no circumstance must any occupier be left without power, water, toilet or kitchen sink facilities overnight during the course of the works. Temporary services where necessary, shall be provided.
23. The Contractor will be required to keep and maintain a triplicate "Tenants Complaints Log Book" on each site, for inspection by the Employer's representatives.
24. Identification badges are to be provided by the Contractor or sub-contractors for all operatives who shall wear them at all times. Occupiers have been told not to admit any person into their dwelling who is unable to produce suitable photographic identification and it is in the interest of all parties that this requirement is fulfilled.
25. The Contractor shall allow for specialists temporarily locating and protecting all TV Aerials/Satellite dishes to the outside of the scaffolding and subsequently refixing in their original positions, including retuning/realignment as necessary to maintain reception. He shall also allow for providing and temporary boarding and ladders required for gaining access to the locations of aerials/dishes. Similarly, relocate and later reinstate external lighting globe fittings.
26. The various public balconies and walkways and the private balconies are furnished with residents personal possessions e.g. garden furniture, window boxes, washing lines etc. The Contractor must include for liaising with the owners and setting aside and/or protecting such items prior to commencing the works and reinstating all as original upon completion.
27. During cleaning, jet cleaning, grit blasting, cutting or similar operations, all windows, door ventilators and other openings shall be adequately protected by the Contractor so as to prevent any ingress of abrasive or other cleaning materials, e.g., grit, water, steam etc., (safe operation of boiler flue terminals shall not be impeded in any manner). The Contractor shall ensure that written prior notice of such works is given to all resident's. Any work deemed necessary as a result of inadequate protection shall be rectified by the Contractor to the satisfaction of the Contract Administrator.
28. Whilst works are in progress steps shall be taken to ensure that waste refuse is stored in such a way as to avoid nuisance and to avoid provision of harbourage to insects or rodents.
29. Whilst works are in progress steps shall be taken to prevent the risk of pest infestation. The Contractor should liaise with the Council's Director of Environmental Services over preventative works prior to construction, or the opening up of drains and sewers.
30. The Contractor shall note the recommendations of the BRE Digest 238 "Reducing the Risk of Pest Infestation - Design Recommendations and Literature Review."

**APPENDIX K**  
**SITE WASTE MANAGEMENT PLAN REGULATIONS**



## **APPENDIX K**

### **SITE WASTE MANAGEMENT**

#### LEGISLATION

The Site Waste Management Regulations 2008 place duties upon clients and principle contractors to rethink their approach to waste management so that it is taken into account and then co-ordinated and managed effectively throughout all stages of a construction project: from inception, design and planning, through to the execution of works on site.

#### AIM

The Principle Contractor shall implement the SWMP as part of all construction activities (including domestic waste from site offices) in line with relevant good practice. The site waste management plan is required to evaluate the level of waste reduction, reuse and recycling, measure waste arising from the project and set targets for waste reduction and materials diverted from landfill.

Although the SWMP Regulations set financial limits for the two levels of SWMP, it's the intention of the Employer that the principles for reducing waste be embedded within all schemes regardless of their value. The Principle Contractor shall identify a suitable qualified person to act as 'waste champion' with regard to the waste minimisation of any given scheme.

Where appropriate the Employer will provide a scheme specific SWMP before construction work commences. Due to the nature of the schemes the Principle Contractor along with the Employer and their nominated representatives will need to assist in the production of the initial plan, giving guidance on the levels of waste to be produced and to set targets for recycling etc..

#### WASTE MANAGEMENT

The Principle Contractor must ensure that all waste is disposed at a licensed and suitable site under Section 34(1) of the Environmental Protection Act (Duty of Care) Regulations 1991 and related amendments.

Where there is sufficient space within the site compound area(s), the use of segregated waste containers on site is preferred. However, due to the limited site space it is anticipated that the use of mixed skips will be required on many schemes.

In order to minimise pollution from the transport of waste from site, an initial target has been set for general construction waste not to be transported further than a 15 mile radius from its point of origin. This target does not apply to hazardous waste if there are no suitable sites, although consideration to transport costs should be a factor in deciding on a suitable waste site.

#### REVIEW

In accordance with the Regulations, the Principle Contractor shall keep the SWMP at the site office of the project site. For all schemes, within three months of work being completed the Principal Contractor shall confirm the following:

- SWMP has been monitored on a regular basis.
- Explain any deviation from the SWMP
- Compare estimated and actual quantities of waste
- Estimated cost savings.

The Principle Contract shall keep the SWMP for all schemes at their main place of business for a minimum of two years after the date of practical completion.

At regular periods throughout the contract (initially 3 months) the Principle Contractor is to report on the waste produced and evaluate waste reduction across the framework.

Regardless of contract value, the Principal Contractor shall provide a report on the management of waste within the Contractor's Report at the monthly Site Progress Meeting to allow for scheme specific review of the estimated waste and actual waste arising and identify the reasons for any variance.

### Health and Safety File Document Structure

The Contractor shall prepare and deliver the Health and Safety file as follows:

The Health and safety document comprises three parts

- a) The Contract Master List a Microsoft Excel Document that details all of the properties identified by the property address, and the Unique Property Reference Number – UPRN. Against each property are detailed the start and finish date of the Decent Homes, Internals and Externals programme , detailing the elements included in the internals and externals work identifying the warranty period in Months of each element or an indication of non inclusion. The Document will be provided initially with the properties details included and the proposed start and completion dates. They should be updated with any inclusions or exclusions of property and any changes to actual start, actual completion and handover of the contract. Identified by the Project reference number including number and letter and the .xls file designation
- b) The Contract General Health and Safety File (as a Microsoft word and PDF file) both Identified by the Project reference number including number and letter and the .doc and .pdf file designation and should contain the information as detailed in Section A below.
- c) The Individual property specific Health and safety file which should be a PDF file identified by the UPRN as a number followed by the .pdf file designation and should contain the information as detailed in Section B and/or C below.

Note1: it is essential that information that could inevitably be inserted in a combination of sections is only added to one relevant section BUT clearly cross referenced in the remaining section(s) where information has not been inserted.

Note2: H&F homes do not require paper copies they only require electronic copies of the documents e mailed and supported by a CD Rom for the completed contract. These files will be transferred to the H&F Shared Drives for access so please ensure that the files are not protected or hyperlinked in any way that can stop access to the files.

### Section A

#### 1. Front sheet detailing

- 1.1. Project Title
- 1.2. Project Location
- 1.3. Client specific UPRN and/or
- 1.4. A print of the contract master list from the excel spreadsheet

#### 2. Contents Page (File content to be listed and page number referenced)

#### 3. Introduction

- 3.1. Name/address/contact details of Client, Principal Contractor, Designer and CDM Co-ordinator
- 3.2. Brief description of the work carried out

3.3. Schedule of properties contained in contract

3.4. Expiry of Defects Liability Period

#### **4. Residual Hazards**

Identify and make note of any residual hazards which remain and how they have been dealt with (for example surveys or other information concerning asbestos; buried services etc- this is not an exhaustive list).

#### **5. Key Structural Principles (if applicable)**

Key structural principles (for example, bracing, sources of substantial stored energy- including pre or post tensioned members) and safe working loads for floors and roofs, particularly where these may preclude placing scaffolding or heavy machinery.

#### **6. The use of Hazardous materials**

Hazardous materials used (for example lead paint; pesticides; special coatings which should be burnt off)

#### **7. Installation /dismantling of plant**

Information regarding the removal or dismantling of installed plant and equipment,(for example any special arrangements for lifting, order or other special instructions for dismantling etc.)

#### **8. Operations and Maintenance Manuals**

For equipment provided and elements of the works that require the need for sharing of information for future users/maintenance etc. (For example roof maintenance requirements, gas boilers, windows, white goods, IRS etc. This is not an exhaustive list)

#### **9. Location and Marking of Significant Services**

Identify the nature, location and markings of significant services, including underground cables; gas supply equipment; fire-fighting services, location of incoming electrical mains (tenement blocks), etc.

### **Section B Individual Residential Property files containing:**

- 1) Front page for each residence detailing property address, UPRN
- 2) As built Kitchen/Bathroom Layouts
- 3) Schedule of kitchen units/equipment/colours
- 4) Test and commissioning certificates including
  - a) Gas Safe certification (copies of CP12 and any installation benchmarking documents that should have been registered immediately after installation with the The H&F homes gas team )
  - b) NICEIC electrical certification (copies of the certificates that should already have been registered with H&F homes.
- 5) Asbestos testing/removal documentation and copy documentation of any remaining ACM's, and copies of the survey documents that should previously have been supplied to the duty holder responsible for the management of Asbestos at Hammersmith and Fulham homes should be included.
- 6) Details of the location of utilities and services (specific to individual properties)
- 7) Significant specific risks to maintenance personnel, building/structure users
- 8) Tenant satisfaction/handover form
- 9) Specifications particular to the Property (e.g. OT specific specs)

## **Section C Individual Tenement Blocks Property Files Containing**

- 1) Front page for each block detailing property address, UPRN
- 2) Asbestos survey documentation
- 3) Details of the location of utilities and incoming services
- 4) Significant risks to maintenance personnel
- 5) Copies of any survey information commissioned for the project.

## **Appendix M**

### **Procedure for Appointment of Subcontractors via Competitive Tendering Procedure**

#### **1. Scope/Objectives**

- 1.1 This Procedure Note is to be utilised by the Contractor, where the appropriate method for determining prices is via a subcontract tendering procedure, rather than through application of rates in the NSR.
- 1.2 The objectives are:
- to provide a clear procedure to be applied consistently across all contract areas
  - to ensure that the procurement is carried out in an open and transparent manner
  - to ensure that best value in the procurement process is achieved in relation to the specified subcontract works
  - to provide details of the record keeping requirements of all actions and decisions that are required for both audit and leaseholder inspection/scrutiny
  - to enable the Contractor's submissions for contracts to be processed by the Contract Administrator and QS without delay.

#### **2. Competitive Requirement**

- 2.1 Where the value of the estimated subcontract is not more than £5000, one written quotation is required, although the duty to obtain value for money remains.
- 2.2 Where the value is between £5000 and £100,000, a minimum of three tenders are to be sought, but in all cases preferably five in order to maximise competition and allow for failures to return tenders/late returns.
- 2.3 Where the value is £100,000 or more, a minimum of five tenders are to be sought.
- 2.4 In all cases where the estimated value of the subcontract is £5000 or more, the QS will prepare a pre-tender estimate for the tendered works, and forward to the Contract Administrator (CA).

### **3. Proposals for Subcontract Tender Lists**

- 3.1 Tender lists are to comply with the above competitive requirements
- 3.2 Subcontract tender lists are to be initially proposed by the Contractor as soon as the packaging arrangements are agreed for the project, and at least one month prior to the dispatch of tenders in order to allow sufficient time for the introduction and vetting (if required) of alternative proposed tenderers.
- 3.3 Contractor's tender list submissions shall include:
- (i) the rationale for their proposed choices.
  - (ii) confirmation that their financial vetting processes have been successfully carried out.
  - (iii) details of the quality and technical capability assessments carried out for each selection.
  - (iv) confirmation that all their proposed choices have expressed (in writing) a willingness to tender for the work.
- 3.4 The Contractor's tender list submission is to be forwarded to the CA and QS for approval.

### **4. Vetting/Review of Subcontract Tender Lists**

- 4.1 The QS is to:
- (i) vet the Contractor's processes for evaluating the financial viability of the proposed subcontractors
  - (ii) carry out sample checks (10%) to verify that the Contractor is following its processes.
- 4.2 The QS is to review the Contractor's recommendations seeking additional information as required, in relation to:
- (i) the level of previous tenders submitted by each proposed tenderer under the Contract and past withdrawals/late tenders/failures to submit tenders.
  - (ii) the level of repetition from previous proposed lists for similar works.
- 4.3 The CA is to review the Contractor's recommendations seeking additional information as required, in relation to the quality and technical capability with regard to the proposed subcontractors
- 4.4 Where a proposed tenderer has carried out previous work under the Contract, the CA shall review their performance.

## **5. Agreement of Tender Lists**

- 5.1 The QS shall formally advise the Contractor on the outcome of the QS/CA review.
- 5.2 Where the proposed tender list is not agreed by the QS and/or CA, the reasons will be forwarded by the QS to the Contractor, who will be required to reassess their proposed list and put forward further proposals in compliance with this Procedure Note.
- 5.3 In the event of failure thereafter to agree a tender list, the QS shall convene a meeting to resolve the matter, to be attended by the Contractor, QS, CA and client.

## **6. Approval of Tender Lists**

- 6.1 The QS shall formally advise the CA that the QS vetting/review processes under Item 5 above have been satisfactorily completed.
- 6.2 The CA shall formally approve the agreed subcontract tender list prior to invitations being dispatched.

## **7. Tender Documents**

- 7.1 The Contractor shall prepare the subcontract tender documents and forward copies to the CA and QS for review and approval.
- 7.2 Tender documents should be unambiguous as to the works/specification to be included in the subcontract tender bids. It shall be made clear to tenderers that, if clarifications are required, they should be sought prior to, and not included as qualifications or alternative bids with the tender returns.
- 7.3 Tender enquiries are to include the clarification that no deduction will be made by the Contractor from payments in respect of “main contractor’s discount”
- 7.4 Tender documents should specify the anticipated timescale for the execution of the subcontract works and additionally stipulate that tenders will be fixed price for the duration of the subcontract, with inflationary uplifts only to be considered in the event of exceptional delay to programmes.
- 7.5 Tender documents are to highlight the Defects Liability Period of 12 months and the requirement for specific periods for the correction of defects (main contract tender document, page 4/35)



## **8. Vetting and Approval of Tender Documents**

- 8.1 The CA is to review the Contractor's recommended tender documents seeking additional information as required, in relation to the specification of the subcontract works, works programmes, health and safety and any matters effecting the execution of the works.
- 8.2 The QS is to review the Contractor's recommended tender documents seeking additional information as required, in relation to the works quantities (if applicable) and compliance with the requirements of this Practice Note.
- 8.3 On conclusion of the CA and QS review of the tender documents, and any counter-proposals and/or further communications, the CA shall formally approve the agreed documents prior to the dispatch of tender invitations.

## **9. Dispatch, Queries, Receipt and Opening of Tenders**

- 9.1 Tender invitations shall be dispatched to all subcontract tenderers by the Contractor on the same day. The instructions to tenderers should be clear and highlight:
- (i) that tenders must be returned to the QS Consultant
  - (ii) the return date/time and that late tenders will not be considered.
  - (iii) the acceptable methods for receipt of tenders to be hard copy or electronic communication via fax or email.
  - (iv) returned tenders are to clearly state what the tender is for on envelope or heading to electronic communication.
  - (v) that enquiries during the tender period shall be via email addressed to the QS

Where arithmetical errors are found in tenders:

- (a) the overall price shall predominate where tenders are based on specifications

i.e. the final price payable will be built up via the tendered sum adjusted up or down due to works variations.

- (b) the rates shall predominate where tenders are based on accurate or approximate quantities i.e. in all cases where the final price payable will be built up via re-measurement and the tendered rates.

Each tender invitation to specify the option (a) or (b) that applies.

In cases under (a) above, tenderers are to be required to stand by their tender or, in the alternative, it will not be considered. Where tenders with errors are accepted, compensating adjustments are to be made in the tender breakdown.

Where (b) above applies, tenderers with errors are to be notified of the errors together with their adjusted tender amount.

It is important to note that, in the case of (b), final tender sums may be adjusted only in the event of arithmetical errors, where rates have been provided. Where items of work have not been priced and no rate has been provided, the item is deemed to be included within the overall price (ie contained within other rates). In this instance, the final tender sum may not be adjusted, and the tenderer must be asked to stand by their original price or withdraw their tender (ie the tenderer shall not be given the opportunity to adjust their tender to include additional prices for items where no rate was given in the original tender submission).

- 9.2 Within two working days from the dispatch of subcontract tenders, the Contractor shall obtain written confirmation of receipt from all tenderers via fax or email. The confirmations shall be forwarded to the QS for monitoring and record keeping purposes.
- 9.3 The receipt and opening of tenders shall be carried out by the QS Consultant and recorded on a standard form showing:
- (i) all subcontractors invited to tender listed
  - (ii) date and time of receipt of each tender
  - (iii) deadline date/time for receipt of tenders
  - (iv) date and time of tender opening
  - (v) amount of each valid tender received
  - (vi) the pre-tender estimate
  - (vii) the names of two persons present at tender opening

## **10. Evaluation of Tenders**

- 10.1 The Contractor will carry out a detailed tender analysis and evaluation of valid tenders, including seeking clarifications from tenderers where necessary. The QS will carry out detailed vetting and verification that the entire evaluation process is in order. Copies of tenders are to be forwarded to the CA for comments.
- 10.2 Where the number of valid tenders received is less than the minimum number to be sought under Item 3 above, this does not preclude the acceptance of a tender, subject to the outcome of the tender evaluation.
- 10.3 The tender evaluations shall be carried out in accordance with Section 4 of the Code of Practice for the Selection of Subcontractors, except that the assessment will have regard to price only, and not both quality and price.
- 10.4 The QS records the outcome of the tender evaluation on a standard form to include:
- (i) an analysis of the valid tenders set against the pre-tender estimate

- (ii) details of queries from tenderers during the tender period, qualifications to tender submissions and of queries raised and responses received by the QS on tenders received.
- (iii) a comparison with the pre-tender estimate with any serious discrepancies examined.
- (iv) value for money comments together with a recommendation for tender acceptance (or otherwise) with supporting reasons.

10.5 Section 4 of the “Code of Practice for the Selection of Subcontractors” is clear that ‘tendered prices should not change on an unaltered scope of works’. Therefore, where tenderers have (clearly or apparently) not included for all the works, they are to be required to confirm that their tendered price allows for all the specified works or, in the alternative, it will not be considered.

There may be instances where it is likely that, had a non-compliant tenderer been given the opportunity to allow for excluded works within an adjusted tender, their tender would remain the lowest received. In these instances, the QS is to put forward recommendations to the Project Team which may include a ‘fast track’ re-tender to the same tender list.

In cases where the QS’s opinion is that VFM has not been achieved under any of the tender returns, then a re-tender via a new tender list should be the automatic option.

A common alternative to works items not being included by tenderers is that items are marked as “included” ie. all items allowed for but not individually priced. In these cases, such tenders are not to be deemed non-compliant and tenderers may be requested to provide further details. However, in an extreme case where a tenderer, for example, refuses to provide any breakdown whatsoever, such a tender may be considered to be non-compliant.

## **11. Tender Reporting**

11.1 The standard forms covering the receipt and opening of tenders (Item 10 above) and that for the tender evaluation (Item 11 above) shall be forwarded by the QS to the Contractor, CA and Client. If there are no comments received, the Contractor shall incorporate the recommended subcontractor prices in the contract bill of quantities, together with the name of the successful subcontractor for those works.

## **12. Records**

12.1 The QS shall maintain records to ensure that a clear audit trail is in place regarding subcontract tendering in order to demonstrate transparency in the decision making process. The records to be made available for inspection at all reasonable times and to be maintained for as long as necessary.

The importance of proper records of all subcontract tendering procedures cannot be over-emphasised. The QS shall maintain such records to ensure that a clear audit trail is in place in order to demonstrate transparency in the decision making process.

### **13. Code of Practice**

13.1 The principles of the Code of Practice for the Selection of Subcontractors as issued by the Construction Industry Board, dated April 1997, shall be followed, and particular attention is drawn to the following recommendations:

- clear procedures to ensure fair and transparent competition in a single stage tender
- conditions for all tenderers should be the same
- confidentiality should be respected by all parties
- tendering process should ensure receipt of competitive tenders on the same basis, compliant with the requirements of the tender enquiry documents and without assumptions or qualifications/clarifications that may render difficulties in the analysis and comparison of tenders received.
- sufficient time and information should be allowed for preparation of tenders
- practices that avoid or discourage collusion should be followed
- tender prices should not change on an unaltered scope or works (no post-tender negotiation)
- tender invitations should be issued on the same day to all tenderers
- a date and time must be specified as the deadline for return of tenders and tenders received after that time should not be accepted
- tenders should be kept in a secure place and not opened before the date and time stated for receipt
- the treatment of arithmetical errors in returned tenders should be identified in the tender enquiry documents
- tenderer's enquiries during the tender period should be in writing (to include email) and all responses circulated to all tenderers
- tender enquiries should include:
  - a stated period of validity of the tenders
  - the contract conditions to be used including payment terms, etc
  - site attendance facilities to be provided to, or by, the subcontractor
  - a single point of contact within the contractor's organisation for all communication
  - approximate dates for commencement and completion of subcontract works and any sectional programme information
  - health and safety plan as required by CDM Regulations
- tenders received should be compared with any pre-tender estimate and any serious and/or consistent discrepancy should be examined

## **APPENDIX N**

### **Procedure Note - Conduct with respect to Communication with Residents**

The following note is intended to give guidance to the Contractor as to how their staff and those of their sub-contractors etc who come into direct contact with residents during the course of the Contract should conduct themselves with respect to their communication with the residents.

Whilst it is obviously essential that all personnel who come into contact with residents must communicate politely, the Council is equally keen to ensure that communications with residents do not convey any messages which, whilst not impolite, are inappropriate or based on ignorance of the overall rationale of the works.

All residents rightfully expect that the works which are being carried out during the term of the Contract are justified and represent good value. This is particularly the case with respect to leaseholders, since they will often be required to contribute towards the cost of the works, but it is also important for tenants. No resident will want the disruption of extensive works to their property if they perceive that the works are not necessary.

Hence, it is very important that the Contractor's operatives do not say anything to residents which might prejudice their views.

Such inappropriate comments might for example be made by tradesmen who may not understand the background to the works they are carrying out, or the reasons for the method by which they are being carried out. If comments such as "...in my opinion these works shouldn't be being carried out anyway..." are made directly to or within earshot of residents, this could prove very embarrassing not only for the Council, but for all involved in the scheme. Similarly, comments such as "...the repair that was done before was terrible..." or "...I would have done it a different way..." would be deemed equally inappropriate.

These principles also relate to the Contractor's staff who may be undertaking surveys in advance of works on site. Extensive consultation is carried out and consideration given before final scopes of works are decided upon, and it is important that residents are not told, albeit incorrectly, that decisions have been made about the scope of work to their home before options and costs have been considered in detail.

Comments, for example, in respect of the necessity or otherwise to undertake certain works before decisions have been made as to whether such works are to be included in the final scope of works for a scheme, would be inappropriate and should be avoided.

Examples of statements which a surveyor undertaking a survey might make which would break these guidelines are as follows:-

“...I’ve been told to look at these windows, but as far as I’m concerned, it’s a waste of time, because anyone can see they need replacing...” - as the ultimate decision may be that the windows can be retained.

“...I have come here to do a survey for your new windows...” – this implies they are to have new windows, but the survey may result in the windows being kept.

“...with the state of these properties, this scheme is going to cost a fortune...” – this statement would bring undue alarm to residents, particularly leaseholders.

It is also important to remember that tenants do have a choice about whether they have internal works undertaken and they must not be given the impression that they will be forced to have work carried out that they do not want.

Furthermore, it is stressed that such surveys should be undertaken only after residents have been given the correct notice that the surveys are to take place.

The simple rule is that personnel must not offer their opinions on matters which they are not qualified or authorised to comment on. If operatives are asked a direct question by a resident which they are unable to answer, or it would be inappropriate for them to answer, they should refer the resident to the client, or, if the project is on site, the Contractor’s Resident Liaison Officer. Ultimately all staff will need to use their reasonable judgement as to whether a comment is appropriate or not. If anyone is in any doubt as to whether a comment or opinion is inappropriate, then the default position is not to say it.

The Contractor must instruct and correctly brief all their staff, whether directly or indirectly employed, accordingly, and to ensure that this Procedure Note is strictly adhered to at all times.

**APPENDIX O**

**CONSTRUCTION SKILLS TRAINING AND  
LOCAL EMPLOYMENT**

## **CONSTRUCTION SKILLS TRAINING AND LOCAL EMPLOYMENT**

- A. Hammersmith & Fulham Council is committed to the provision of local employment and training opportunities for its residents on its capital programmes. There are existing employment and training initiatives serving residents that work to meet these objectives, respectively the Op\*Shop and Skillforce (details Appendix A and attached Information pack). The Council is particularly interested in how the Contractor will work to ensure residents benefit from the work and learning opportunities generated by construction work on the council properties. The Council would welcome partnership arrangements that seek to address the traditionally under-representation of women in the construction industry.
- B. The tenderer should give details of how it will ensure local people benefit from employment and training opportunities generated by the work included within the contract.
- I. This shall include details of the range of employment & training opportunities that would be provided. For example construction, technical (eg clerk of works, surveyor), non-construction – (eg Resident Liaison Officer, administrative staff, logistics).
  - II. The tenderer should also provide details showing how you will ensure your sub-contractors comply with the objectives to ensure local people benefit from employment and training opportunities generated by the work included within the contract.  
This may involve working with local employment and training initiatives (details in Appendix A).
- C. The tenderer should outline the procedures that will be in place to ensure staff and trainees employed on site hold a CSC card. (Note: There are local initiatives that offer support to workers seeking a CSC card, including support for people who do not have English as their first language).
- D. The Council believe that longer term contracts should enable contractors to invest in providing longer trainee placements leading to appropriate qualifications and potentially full employment. The council's employment and training initiatives are available to support contractors to find suitable trainees, arrange appropriate college courses and mentor trainees. Tenderers should provide details of the range of trainee opportunities you expect to provide. This may include a range of trainee opportunities that would be developed during the length of the partnership arrangement, that would enable the trainee to secure appropriate qualifications (craft, technical, or professional).  
As a guide, the Council **would wish to see a minimum of 3 six month construction trainee placements per annum**. However, tenderers may wish to offer alternative provision to meet the overall objectives. Tenderers should demonstrate how they would work with existing local agencies to develop training initiatives.



- A. Appendix B contains a standard contract between Skillforce and contractors regarding the use of trainees. This contract could be amended in negotiation with Skillforce and the Council.
- B. The Council (and chosen training partners) will require local labour and training monitoring returns. Appendix C details the pro formas to be used.
- C. The tenderer will be required to meet all additional costs arising out of its training obligations during the Contract Period. No claims in respect of extension of time and/or loss and expense in connection with the training provisions within these tender documents will be considered.
- D. The development of partnership contracts will include opportunities to explore training and employment opportunities with the partnership team and share good practice through the Partnership Core Group to enable the Council contracts to be as effective as possible. Tenderers should indicate their willingness to work with the Council to develop initiatives further during the life of the contract and to spread good practice and provide synergy across all of the Council partnership contracts.

## Appendix A

- A. Skillforce is a Hammersmith and Fulham construction training initiative that offers contractors motivated trainees that are currently in learning with an FE college and need paid work experience to enable them to become qualified.
- B. Skillforce will organise training programmes, provide ongoing support to the trainee and employer. It will help trainees in employment access work tax credits and childcare and deal with any transitional issues related to moving from benefits into employment.
- C. Skillforce can work with contractors to develop tailored training programmes to meet their skill needs. This may include customised training programmes for young people, or unemployed adults, accessing Construction Safety Training (for those in and entering the industry), and occasionally grants to enable an employer to train its existing work force. Additional details on Skill force are provided in the attached Information Pack.
- D. The Op\*Shop works with a range of employers to provide skilled local labour. It matches and screens applicants for vacancies before forwarding them to contractors for interview. The Op\*Shop works in partnership with Jobcentreplus and has an outreach service working with community groups and on estates and is able to access people who may not respond to traditional recruitment methods.

**Appendix B**

THIS AGREEMENT is between:

<b>SKILLFORCE</b>	The Council of the London Borough of Hammersmith & Fulham acting by its principal officer at <b>SKILLFORCE</b> of Apex Court, Woodger Road, LONDON W12 8N. Telephone number: 020 8746 2225
And	
The Employer	

**Purpose of the Agreement**

This agreement makes provision for arrangements between the Council (as **SKILLFORCE** formerly WCCT) and the Employer to procure training and day release to college of construction trainees placed with the Employer.

**Effect and Duration of Agreement**

This Agreement shall take effect on \_\_\_\_\_

and may be terminated at any time during the construction of the development by either party giving two weeks notice in writing to the other.

A Trainee Schedule is attached to this Agreement which shall be revised and signed by each party in the event of there being agreed an extension of placement dates, or additional trainees being taken on by the Employer.

Substantive Provisions

1. The Employer undertakes to comply with the Health and Safety at Work etc. Act 1974 and all relevant regulations and codes made under it and will use its best endeavours to induct each trainee, to give clear training and provide effective supervision of trainees, to ensure that each trainee is protected from risks to health and safety.
2. The Employer will have proper regard to the welfare of each trainee during his/her period of placement with the Employer.

3. The Employer will ensure that each trainee is covered by employer's liability and public liability insurance under the following policy/ies, which the Council has checked prior to the signing of this Agreement:

	(1)	(2)
<b>Name of Insurer</b>		
<b>Policy(ies) nos and expiry date</b>	Public Liability	Employers Liability

4. **SKILLFORCE** will ensure that each trainee has completed the health and safety units of his/her NVQ before being placed with the Employer.
5. **SKILLFORCE** will ensure that each trainee has had a pre-placement induction before being placed with the Employer.
6. **SKILLFORCE** will provide each trainee with personal protective equipment.
7. The Employer will appoint a named supervisor to each trainee.
8. The Employer shall use its best endeavours to ensure no trainee suffers any act of discrimination contrary to the Sex Discrimination Act 1975, Race Relations Act 1976 or the Disability Discrimination Act 1995 (or any subsequent such legislation currently in force)
9. The Employer shall comply with the London Borough of Hammersmith & Fulham's equal opportunity policy.
10. The Employer recognises that each trainee is entitled to 20 days paid holiday each year (pro rata) plus public holidays and such entitlement will be observed.
11. If the Employer wishes to change the duties of any trainee, the hours or days to be worked or the rate of pay it shall give not less than one week's written notice to **SKILLFORCE**.
12. Prior to each trainee's placement the Employer and **SKILLFORCE** shall agree a programme of work for him/her.
13. **SKILLFORCE** will advise each trainee of the work expected of him/her prior to placement with the Employer.

14. The Employer will prepare an attendance record for each trainee, in accordance the attached **SKILLFORCE** guidelines, which shall be faxed to **SKILLFORCE** at the end of each week.
15. The Employer undertakes on consultation to give access to the site for **SKILLFORCE** to interview and review the progress of the trainee.
16. During the period of this agreement each trainee shall be under the direct supervision of the Employer. In the event of any problem or disciplinary issue arising the Employer must notify **SKILLFORCE** at 020 8746 2225 as soon as possible.

Signed on behalf of the Council by  ..... (Name)  ..... (Position)  ..... (Date)	..... (Signature)
---	----------------------

Signed on behalf of the Employer by  ..... (Name)  ..... (Position)  ..... (Date)	..... (Signature)
--	----------------------

**Appendix C**

<b>LOCAL LABOUR</b>	<b>MONITORING FORM 1</b>
---------------------	--------------------------

DATE:

VACANCIES OFFERED				VACANCIES FILLED				
TRADE	REF NO.	FROM/TO (APPROX)	ADVISED START	ADVISED FINISH	TOTAL WEEKS	ACTUAL START	ACTUAL FINISH	TOTAL WEEKS

<b>LOCAL LABOUR</b>	<b>MONITORING FORM 2</b>
---------------------	--------------------------

Month:  Date of Sheet Issue:

SITE:	No. of Workers	Percentage	No. of Days	Percentage
1: Total Labour				
2: LBH&F				
3: Black and Minority Ethnic Labour				
4: Female Labour				

**APPENDIX P**

**CUSTOMER CARE CHARTER**

## **Customer Charter: Major Works**

The Customer Care Charter is designed to provide you with information on the standards and levels of service that you can expect to receive from the contractor employed to carry out works in and around your home.

### ***ALL OF OUR CONTRACTORS AIM TO MEET THESE STANDARDS***

If you feel that the service standards are not being met please let your Project Manager know.

Project Manager details: Name:  
Telephone number:  
Email address:  
Postal address:

#### **1. Complaints procedure**

The contractor has to provide a complaints book, held on site. You should record details of any complaint in the book and you will be given a copy back. Each month the contractor will be asked to tell us about all complaints made and explain how they have all been dealt with. The complaints book for this scheme is held in the following location:

.....

#### **2. Responding to enquiries**

It is the contractor's responsibility to answer all letters, received from the residents, ***within 10 working days***. They must also arrange for personal visits and telephone enquiries to be dealt with promptly, efficiently and without excessive delay.

***This process will also be monitored at the monthly site progress meetings.***



### **3. Equalities and Diversity**

The contractor must not treat people adversely or discriminate against them because of their race, culture, religion, gender, sexual orientation, disability or understanding.

The contractor must also ensure that their entire staff treat all residents with respect at all times.

### **4. Treating your home with respect**

The contractor will carry out a video recorded condition survey of your home, before any works commence within the property. The Council and the contractor will each hold a copy of the survey. The purpose of this survey is to ensure that in the unlikely event of any damage being caused by the contractor or his operatives, we will have a visual record of your home's original condition. The survey will be available for you to look at, should you wish to view it.

The contractor is responsible for ensuring that his operatives treat your property with respect whilst the works are undertaken. They will be vigilant and take care not to damage the furniture, fixtures and fittings in your home. They will also:

- Not allow any of their employees to use your toilet, telephone, kitchen or any other facilities within your home
- Leave your home in a clean, tidy and safe condition every day.
- Always protect your possessions where necessary with clean dust sheets.
- Ensure that your home is secure at all times whilst it is being worked upon and at the end of the working day.

**At the end of every working day** the contractor will ensure that you have a wc and cooking facility, electricity, a kitchen sink, running water and where appropriate a source of heating. The contractor will always aim to minimise the time that you are without full services within your home and will provide temporary services if necessary.

On projects that include window renewal, the contractor will ensure that old windows, when removed, are quickly replaced with new ones before the end of each working day.

If any of your external fixtures need to be removed as a consequence of the work, the contractor will take care when removing and refitting them afterwards. Examples of these items include window boxes, TV aerials etc.

If the work requires larger items to be moved from your home, such as furniture or carpets etc, the contractor will inform you in advance and provide a storage facility, should it be required. If you are unable to move any furniture or need help with clearing cupboards etc you should request support from the Resident Liaison Officer, who will always aim to assist you.

If you have a personal satellite dish fixed to a wall, roof or any other part of the building that needs to be worked upon, the contractor will be instructed to remove the dish, but not refit it. This is because, wherever possible, the Council will install a new digital integrated communal TV aerial that will allow all residents to subscribe to Sky or Hotbird TV services.

The contractor's operatives are required to consider that residents homes located around the property being worked upon, will be occupied. They should therefore show due respect, care and consideration to residents when working in such conditions.

## **5. Working Hours**

Weekday working times are Monday to Friday from 8:00am to 5:00pm daily. Noisy work including any scaffolding activities, will not be permitted to take place before 9:00am or after 4:00pm.

If any particularly noisy work is planned, the contractor will give at least 7 days notice to residents.

Weekend working, including Bank Holidays, is not allowed. If the contractor needs to work on any of these days, we will consult with you first, before agreeing to any requests.

If any part of the work is likely to create significant amounts of dust and or dirt, the contractor will provide the residents with adequate notice. In addition, the contractor shall agree with us, a detailed plan of how the work will be carried out to minimise any inconvenience caused to residents.

## **6. Outside your home**

Contractors will make sure that emergency services and refuse vehicles can still reach your home at all times.

The contractor's vehicles should not be parked in either residents or visitors parking spaces and they should not interfere with easy access to the area.

The contractor must minimise and discourage any unauthorised access onto the scaffolding. This requirement will include the installation of a perimeter hoarding around the base of the scaffold, removing and securing all access ladders when not in use and where appropriate the use of scaffold alarms.

Contractors must not use any passenger lifts for materials without specific agreement from the Housing Manager and any Tenants/Residents Association. An external hoist will be erected if possible to bring materials up the building. If the passenger lifts are used they must be fully boarded out before use to protect them.

Communal staircases and walkways will be kept clear of materials and in a clean condition.

Temporary lighting will be supplied and fitted to scaffolding, storage areas and site buildings.

Contractors will ensure that the delivery and storage of materials on site is managed to minimise inconvenience to residents.

## **7. Residents Liaison Officer**

A full time residents liaison officer will be employed by the contractor to make arrangements with residents for access and to deal with issues that arise in relation to customer care. The liaison officer is responsible for the welfare and security of residents and their property.

This person will be given a separate office on site with a separate telephone number and a mobile phone. When required the liaison officer will work in the evenings and occasionally at weekends to meet with residents.

## 8. Making arrangements to come in to your home

Access to your home will be by arrangement with you.

You will be given at least 14 days notice before the contractor needs to come inside.

Arrangements will be confirmed with you not less than 48 hours before the contractor is due to start work.

The contractor will keep a record of arrangements made for access.

## 9. Contacting the contractor

At the start of the work you will be given a resident's pack. It will include contact details of the contractor's key personnel including the resident liaison officer. The contractor will also provide a telephone number that can be used to contact the contractor in the event of an emergency at any time.

## 10. Confirming identity of contractor's staff

The contractor must ensure that their entire staff always carry and visually display a photographic identification card, at all times whilst on site. The up to date photo of the worker and his/ her name must be displayed together with the contractor's company name and a contact telephone number. ***Under no circumstances should you allow anyone into your home if you cannot be certain of their identity.***

### RACIAL HARASSMENT POLICY

LBH&F values the borough's cultural diversity and is committed to promoting racial equality. The Council will not tolerate any form of harassment or intimidation instigated because of the race, ethnic origin, nationality, colour or religion of the people subjected to it. The Council will therefore do everything possible to oppose it and to ensure all residents can live without fear of such harassment.

The Council recognises the very serious impact this behaviour has on the victim's quality of life and encourages its tenants and leaseholders to report all instances of racial harassment to the Housing Services department. The department will give a high priority to supporting the victims, to investigating the incidents and to taking all possible action against the perpetrators and will work with all other relevant agencies and services to do so (with the victim's consent).

The Council adopts the definitions of racial harassment and racist incidents provided by the report of the MacPherson Inquiry:

- **Racial harassment** – “is an incident or a series of incidents intended or likely to intimidate, offend or harm an individual or group because of their ethnic origin, colour, race, religion or nationality.”
- **Racial Incidents** – “A racist incident is any incident that is perceived to be racist by the victim or any other person.”

The adoption of these definitions does not seek to pre-judge that all incidents are in fact racially motivated, but to ensure that this issue is positively and thoroughly addressed by the investigation.

The Housing Services department will take a victim-centred approach to dealing with all cases of racial harassment. This means that:

- the victim will be believed and taken seriously;
- the victim will be treated sympathetically and with respect;
- interpretation and translation services will be arranged whenever necessary;
- the victim will be given all possible advice, information and practical support to enhance his or her confidence, security and well-being, as part of the first stage of handling the case;
- the victim's consent will be needed for any involvement of a third party agency or service;
- the victim will be kept informed at all stages of the case, including proactive contact to explain any developments or delays, and the victim's consent will be needed for any action that might have repercussions for him/her;
- the victim will be provided with alternative accommodation when this is necessary to protect him or her from serious risk;
- the department will do everything possible to stop the harassment.

The Housing Services department will seek to build confidence among minority communities by publicising its racial harassment policy and so encourage the reporting of incidents. This will include working with local networks encouraging third-party reporting.

Publicity will also be used as part of a strategy to prevent racial harassment, which will also include steps such as highlighting the issue in early tenancy counselling.

The department will also encourage representation of minority communities in its tenant participation structures and among its tenants and residents associations.

The department will apply a high level of supervision and monitoring to all racial harassment cases, to ensure consistency and objectivity of approach and that the work retains a high priority. Through this process the department will also identify any geographic areas where cases are concentrated and then work with partners to prepare a joint, proactive and strategic response over and above the normal handling of the individual cases. This might, for example, include community outreach, specialised youth work or covert police operations to seek further evidence.

All reported racist incidents will be investigated promptly, and action will be taken to deal firmly with all identified perpetrators. Maximum timescales will apply to all stages of handling the case. The actions taken against perpetrators will be consistent with the evidence available and the nature and severity of the behaviour. Where sufficient evidence to support enforcement action is lacking, the department will use formal warnings and other measures. Where the incidents could constitute criminal behaviour, the department will work closely with the police and ensure that any relevant conviction is used to support legal action for breach of tenancy.

The department will continue to participate in the Council's multi-agency structures for monitoring and strategy development for hate crimes.

All staff involved in dealing with racial harassment will be trained in the policy and procedures including awareness of the Council's legal duties and responsibilities, such as under the Human Rights Act 1998 and the Race Relations Act. The department will seek to involve the police and community organisations in the provision of training.

Members will consider reports on the numbers and outcomes of cases arising every six months at the Executive Performance Monitoring meetings.

This policy and its related procedures will be reviewed and updated regularly, and at least every two years.

## **Draft public statement of key policy principles**

### **We want to know if you are being racially harassed – because we want to stop it**

Racial harassment can take many forms. It can include verbal abuse, physical attacks, threats, attacks on your property, and anything else which is intended to stop you enjoying your home and feeling safe in your local area because of your race, ethnic origin, nationality, colour or religion.

The Council is determined to stop racial harassment and wants to hear from you if you have experienced it. You do not have to bring us proof about what happened – we will believe you and do everything we can to help you and to stop the problem from happening again.

You do not have to be sure yourself that the motivation is racial, as we want to stop all forms of harassment. Just tell us about it and we will investigate. We will arrange for an interpreter for you if you need one.

You will be given the name and contact details of the officer handling the investigation and they will keep in touch with you as it progresses.

We will respect the confidentiality of what you tell us, and not pass it on to anyone else who could help without your permission.

We won't take any action against the person harassing you without your permission

We will give you advice and practical help to make you as safe as possible.

We will encourage you to keep a record of anything else that happens, and we will investigate to look for other evidence. When we have evidence about the person who has harassed you, with your permission, we will take firm legal action to stop them.

You can report harassment at your local area housing office, Mondays to Fridays, between 9 a.m. and 5 p.m. by visiting in person or by telephoning, or you can tell us about it in a letter.

**SCORING MATRIX FOR QUALITY ASSESSMENT FOR CYCLICAL PLANNED MAINTENANCE MTC 2012-2015**  
(Contractor 1 awarded maximum scores for illustrative purposes)

**JOINTLY SCORED BY NAMES:**

**DATE:**

Weighted score for Each Section = Total score awarded for Section ÷ Total available score for Section x weighting percentage x 100%

Section	Management Structure and Resources	Customer Care	Health & Safety	Proposals for Dealing with Sub-Contracting	Estimates and Valuations	Quality Control	Planning, Programming and Resourcing of Works	Total score out of 100	Contractor 1		Contractor 2		Contractor 3		Contractor 4		Contractor 5		Contractor 6		
									Weighting %	Max Score	Score	Weighted score	Score	Weighted score	Score	Weighted score	Score	Weighted score	Score	Weighted score	Score
Section 1	1.1									5											
	1.2									5											
	<b>Total</b>	5%	10	10	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	2.1 (a)		5	5																	
	2.1 (b)		5	5																	
	2.1 (c)		5	5																	
	2.2		5	5																	
	2.3		5	5																	
	2.4		5	5																	
	2.5		5	5																	
	2.6		5	5																	
	2.7		5	5																	
	<b>Total</b>	25%	45	45	25	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	3.1 (i)		5	5																	
	3.1 (ii)		5	5																	
	3.1 (iii)		5	5																	
	3.1 (iv)		5	5																	
	3.1 (v)		5	5																	
	3.2		5	5																	
	3.3		5	5																	
	<b>Total</b>	5%	35	35	5	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	4.1		5	5																	
	4.2		5	5																	
	4.3		5	5																	
	<b>Total</b>	20%	15	15	20	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	5.1		5	5																	
	5.2		5	5																	
	5.3		5	5																	
	5.4		5	5																	
	<b>Total</b>	10%	20	20	10	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	6.1		5	5																	
	6.2		5	5																	
	6.3		5	5																	
	6.4		5	5																	
	6.5		5	5																	
	<b>Total</b>	25%	25	25	25	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	7.1		5	5																	
	7.2		5	5																	
	7.3		5	5																	
	7.40		5	5																	
	<b>Total</b>	10%	20	20	10	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	<b>Total score out of 100</b>				<b>Pass 100</b>					<b>Pass/Fail 0</b>										<b>Pass/Fail 0</b>	<b>Pass/Fail 0</b>

An overall score of 60 or more will be required to meet the minimum quality standard. The minimum quality standard will also not be met should a Contractor not achieve an average score of at least 3 for each Section (ie total score achieved for the Section divided by the number of Sub-criteria for that Section must equal 3 or greater)



**APPENDIX R**

**Tenderer's Proposals Evaluation  
Matrix Template**

**MEASURED TERM CONTRACT  
FOR  
HOUSING REPAIR SERVICE COMPRISING BOROUGH WIDE  
CYCLICAL PLANNED MAINTENANCE TO COUNCIL OWNED  
HOUSING PROPERTIES 2012-2015**

**APPENDIX S**

**Valuation and Certification Illustrations  
Showing the Mechanism for applying  
Incentive Payments and Retentions to  
Valuations and Payment Certificates**

- 1.0 In accordance with Clause 4.3 A of the conditions of contract, and Section 8 Key Performance Indicators and Incentivisation, valuation of the works and payment certification for Orders undertaken under this Framework are subject to adjustment on account of:-
- (a) incentivisation payments subject to performance, and
  - (b) retention.
- 2.0 With respect to incentivisation payments, the final 10% each gross valuation will be payable only subject to performance against the KPI Targets as detailed in Section 8 of the Tender Documents.
- 3.0 In addition, retention will be held on each Certificate at the following rates (calculated as a percentage of the amount payable including any incentive payment):-
- (i) Prior to Completion of an Order (“Practical Completion”) – 10%
  - (ii) On issue of the Completion Certificate (at “Practical Completion”) - 2½%
  - (iii) On issue of the Making Good Defects Certificate – 0%
- 4.0 For the avoidance of doubt, below are example valuation calculations, showing how incentive payments and retentions are to be applied at each stage of an Order, for illustration purposes:-

**Examples Showing Valuation Mechanism for Illustrative Purposes:-**

1. Example Certificate prior to the Order Completion Date (interim valuation prior to “Practical Completion”)

Where the Gross value of work is say £200,000, and the Contractor has met the higher target for KPI 3 for all properties completed to date

Gross Value of Work Executed	£200,000
Less 10% (payable subject to performance)	<u>£ 20,000</u>
	£180,000
Plus incentive payment based on performance against KPI 3 (full 2% achieved)	<u>£ 4,000</u>
	£184,000
Less Retention @ 10%	<u>£ 18,400</u>
<u>Net Amount certified</u>	<u>£165,600</u>
Less amounts previously certified	

2. Example Certificate issued after the Order Completion Date but prior to the notification by the Contract Administrator that all defects identified in accordance with clause 2.12 have been rectified to his satisfaction (interim valuation issued at “Practical Completion”)

Where the Gross value of work is say £800,000, and the Contractor has met the targets for KPI 2, 3 and 4 such that, in accordance with Section 8 Key Performance Indicators and Incentives, the incentive payment has been assessed as £60,000

Gross Value of Work Executed	£800,000
Less 10% (payable subject to performance)	<u>£ 80,000</u>
	£720,000
Plus incentive payment based on performance against KPI 2, 3 and 4	<u>£ 60,000</u>
	£780,000
Less Retention @ 2½%	<u>£ 19,500</u>
<u>Net Amount certified</u>	<u>£760,500</u>
Less amounts previously certified	

3. Example Certificate issued after notification by the Contract Administrator that all defects identified in accordance with clause 2.12 have been rectified to his satisfaction (Final Certificate)

Where the Gross value of work is £820,000, and the Contractor has met the targets for KPI 1-5 such that, in accordance with Section 8 Key Performance Indicators and Incentives, the incentive payment has been assessed as £70,000

Gross Value of Work Executed	£820,000
Less 10% (payable subject to performance)	<u>£ 82,000</u>
	£720,000
Plus incentive payment based on performance against KPI 1-5	<u>£ 70,000</u>
	£790,000
<u>Total final payable amount (Final Account)</u>	<u>£790,000</u>
Less amounts previously certified	

## DEED OF UNDERTAKING

THIS DEED is made on the            day of            2012

BETWEEN:

**THE MAYOR AND BURGESSES OF THE LONDON BOROUGH OF  
HAMMERSMITH AND FULHAM of Town Hall, King Street, London W6 9JU  
(the "Council")**

and

[<sup>1</sup>  
]whose registered office is situate at the [  
]("Contractor")

WHEREAS

- a) The Contractor has requested certain information (the 'Employee Liability Information') which is more particularly set out in the Schedule in order to ascertain whether it has obligations under the Transfer of Undertakings (Protection of Employment) Regulations 2006 and the EC Council Directive 2000 (the Acquired Rights Directive); and
- b) The Council agrees to supply the Employee Liability Information.

NOW THIS DEED WITNESSETH AND IT IS HEREBY AGREED AS FOLLOWS:-

- (1) The Contractor shall ensure that neither it nor any of its officers or employees discloses or uses any of the Employee Liability Information except for the purposes of complying with its obligations under Transfer of Undertakings (Protection of Employment) Regulations 2006.
- (2) In the event that the parties fail to agree the terms of a Measured Term Contract For The Inspection And Maintenance Of Fire Fighting Equipment In Council-Owned Housing Properties 2012–2017 then all of the Employee Liability Information, including any copies made by the Contractor or any of its officers or employees must be returned immediately to the Council.
- (3) If
  - (a) the Contractor or any of its officers or employees makes a disclosure in contravention of this Deed of Undertaking; or
  - (b) the Contractor becomes aware of facts indicating that any of its officers or employees has or may have disclosed information in contravention of this Deed of Undertaking;

---

<sup>1</sup> Please insert name and registered address of company.

The Contractor shall

- (i) immediately serve upon the Council a notice specifying the information concerned and the parties or persons to whom it has or may have been disclosed or the use to which it has or may have been put; and
  - (ii) promptly provide the Council with any further information which it reasonably requests about that disclosure or use.
- (4) Both the Council and the Contractor agree that they will comply with all the requirements of the Data Protection Act 1998 in relation to this Deed of Undertaking.
- (5) The Contractor acknowledges that, since damages are unlikely to be an adequate remedy for a breach of this Deed of Undertaking, the Council is entitled to an injunction to prevent a breach or a continued breach.
- (6) This Deed of Undertaking shall continue to have effect for a period of 18 months from the date that the Employee Liability Information is disclosed to the Contractor.

## SCHEDULE OF EMPLOYEE LIABILITY INFORMATION

- identification of employee and age,
- the date when the employment began, and
- the date on which the employee's period of continuous employment began (taking into account any employment with a previous employer which counts towards that period).
- the scale or rate of remuneration or the method of calculating remuneration,
- the intervals at which remuneration is paid (that is, weekly, monthly or other specified intervals),
- any terms and conditions relating to hours of work (including any terms and conditions relating to normal working hours),
- any terms and conditions relating to any of the following-
  - (i) entitlement to holidays, including public holidays, and holiday pay (the particulars given being sufficient to enable the employee's entitlement, including any entitlement to accrued holiday pay on the termination of employment, to be precisely calculated),
  - (ii) incapacity for work due to sickness or injury, including any provision for sick pay, and
  - (iii) pensions and pension schemes,
  - (iv) benefits (including though not limited to bonus schemes and allowances)
- the length of notice which the employee is obliged to give and entitled to receive to terminate his contract of employment,
- the title of the job which the employee is employed to do or a brief description of the work for which he is employed,
- where the employment is not intended to be permanent, the period for which it is expected to continue or, if it is for a fixed term, the date when it is to end,
- either the place of work or, where the employee is required or permitted to work at various places, an indication of that and of the address of the employer,
- any collective agreements which directly affect the terms and conditions of the employment.
- information of any disciplinary procedure taken against any employee within the previous two years in circumstances where the Employment Act 2002 (Dispute Resolution) Regulations 2004 apply.
- information of any grievance procedure taken by any employee within the previous two years in circumstances where the Employment Act 2002 (Dispute Resolution) Regulations 2004 apply.
- Information of any court or tribunal case, claim or action brought by an employee against the Council within the previous two years.
- Information of any court or tribunal case, claim or action that the Council has reasonable grounds to believe that an employee may bring against the transferee arising out of the employee's employment with the Council.

IN WITNESS WHEREOF the parties have executed this Deed the day and year first before written.

SIGNED AS A DEED BY  
THE MAYOR AND BURGESSES OF THE  
LONDON BOROUGH OF HAMMERSMITH  
AND FULHAM

ACTING by.....  
(duly authorised officer)

SIGNED AS A DEED BY

.....

ACTING by  
.....  
(Director)

.....  
(Director/Company Secretary)\* delete as applicable



**MEASURED TERM CONTRACT  
FOR  
HOUSING REPAIR SERVICE COMPRISING BOROUGH WIDE CYCLICAL  
PLANNED MAINTENANCE TO COUNCIL OWNED HOUSING  
PROPERTIES 2012-2015**

**SECTION NO 6**

**CONDITIONS OF CONTRACT**

## CONDITIONS OF CONTRACT

### CONTENTS

### Page No

CONDITIONS OF CONTRACT .....	2
CONTRACT PARTICULARS .....	5
<i>CONTRACT CLAUSE HEADINGS, INCLUDING ALTERATIONS AND AMENDMENTS</i> .....	11
<i>SPECIAL CONDITIONS OF CONTRACT</i> ..... <i>(RELATING TO EMPLOYER'S CONTRACTS CODE)</i>	21

## CONDITIONS OF CONTRACT

The contract shall be the Measured Term Contract published by the Joint Contracts Tribunal (MTC) 2011 Edition, issued by the JCT, and further amendments, additions or supplementary conditions noted hereinafter.

The contract will be sealed as a Deed.

The Articles of Agreement will be completed as follows:-

Employer: **Mayor and Burgesses of the London Borough of Hammersmith & Fulham of The Town Hall, King Street, Hammersmith, London W6 9JU**

### Recitals

#### Whereas

- First** the Employer requires maintenance and minor works to be carried out to:
- Council own properties anywhere within the London Borough of Hammersmith and Fulham** ('the Contract Area') in accordance with the details set out or referred to in the Contract Particulars;
- Second** the Contractor has offered to carry out the required works at specified rates or as otherwise determined in accordance with the Conditions and the Employer has accepted that offer;
- Third** the Employer has appointed a Contract Administrator to issue Orders for the required works and carry out the functions ascribed to the Contract Administrator by the Conditions;
- Fourth** the Employer has appointed a CDM Co-ordinator pursuant to regulation 14(3) of the CDM Regulations to ensure that, where so required by those regulations, a Construction Phase Plan which complies with their requirements is prepared in respect of each project to which an Order relates and that that plan is provided to the Contractor before the commencement of construction work under the relevant Order;
- Fifth** the Contractor has supplied to the Employer the Contractor's safety policy complying with Statutory Requirements, a copy of which is annexed;
- Sixth** the Supplemental Provisions identified in the Contract Particulars apply

## **Articles**

### **Now it is hereby agreed as follows**

#### **Article 1: Contractor's obligations**

The Contractor shall carry out all Orders that are placed with him during the Contract Period in accordance with the Contract Documents.

#### **Article 2: Payment**

The Employer shall pay the Contractor at the times and in the manner specified in the Conditions amounts calculated by reference to the Schedule of Rates identified in the Contract Particulars (item 11), adjusted and, if appropriate, revised as therein mentioned, or (where applicable and appropriate) calculated by reference to a Schedule of Hourly Charges (subject to items 12 and 13).

#### **Article 3: Contract Administrator**

For the purposes of this Contract the Contract Administrator is Maureen McDonald-Khan of Building & Property Management, Environment Department, London Borough of Hammersmith & Fulham **or her duly authorised representative**, or if he ceases to be the Contract Administrator, such other person as the Employer shall nominate in accordance with clause 3.10.1 of the Conditions.

#### **Article 4: CDM Co-ordinator**

The CDM Co-ordinator for the purposes of the CDM Regulations is the Building & Property Management, Environment Department, London Borough of Hammersmith & Fulham or, if he ceases to be the CDM Co-ordinator, such other person as the Employer shall appoint pursuant to regulation 14(3) of those regulations.

#### **Article 5: Principal Contractor**

The Principal Contractor for the purposes of the CDM Regulations is the Contractor or, if he ceases to be the Principal Contractor, such other contractor as the Employer shall appoint pursuant to regulation 14(3) of those regulations.

#### **Article 6: Adjudication**

If any dispute or difference arises under this Contract, either Party may refer it to adjudication in accordance with clause 9.2

#### **Article 7: Arbitration**

Where Article 7 applies, then subject to Article 6 and the exceptions set out below, any dispute or difference between the Parties of any kind whatsoever arising out of or in connection with this Contract shall be referred to arbitration in accordance with clauses 9.3 to 9.8 and the JCT 2011 edition of the Construction Industry Model Arbitration Rules (CIMAR). The exceptions to this Article 7 are:

- any dispute or differences arising under or in respect of the Construction Industry Scheme or VAT, to the extent that legislation provides another method of resolving such disputes or differences; and

- any disputes or differences in connection with the enforcement of any decision of an Adjudicator.

### **Article 8: Legal Proceedings**

Subject to Article 6 and (where it applies) to Article 7, the English courts shall have jurisdiction over any dispute or difference between the Parties which arises out of or in connection with this Contract.

### **ADDENDUM TO THE ARTICLES OF AGREEMENT**

#### **LBH& F amendments and Additions to the Conditions of Contract**

The Conditions shall have effect as modified by the amendments in “London Borough of Hammersmith and Fulham Amendments and Additions to the Conditions of Contract” attached hereto.

#### **Special Conditions of Contract**

The Contractor shall comply with the “Special Contract Conditions of Contract (Applicable to all Council Contracts)” inclusive attached hereto.

## CONTRACT PARTICULARS

### 1 Properties and description of the types of work (First Recital)

- .1 List of properties in the Contract Area in respect of which Orders may be issued

**Any housing property of the London Borough of Hammersmith & Fulham within the Borough.**

- .2 Description of the types of work for which Orders may be issued

**Cyclical Planned Maintenance works to the external and communal areas of occupied dwellings. Properties may be single dwellings or multiple flats within Estates or Blocks. Properties may be low, medium or high rise. The works include pre-decoration repairs, redecoration works, general repairs, replacement and maintenance to the external fabric of the buildings including windows, doors, roofs, walkways, external walls, cladding and communal areas. Works to communal areas to also include the testing and repair/upgrading/replacement of electrical installations and other services including Mechanical, External paving areas, roadways, fencing, gates, outbuildings are also included.**

### 2 Supplemental Provisions (Sixth Recital and Schedule)

Collaborative Working

Paragraph 1  
**applies**

Health & Safety

Paragraph 2  
**applies**

Cost savings and value improvements

Paragraph 3  
**applies**

Sustainable development and environmental considerations

Paragraph 4  
**applies**

Performance Indicators and Monitoring

Paragraph 5  
**applies**

Notification and negotiation of disputes

Paragraph 6  
**applies**

Where paragraph 6 applies, the respective nominees of the Parties are

Employer's Nominee  
Matthew Martin

Contractor's Nominee

TBC (Director)

or such replacement as each party may notify to the other from time to time

**3 Contract Period**  
(Article 1 and clause 7.1)

Subject to clause 7.1, the Contract Period will be **three years** commencing **on August 2012 (anticipated)**

**4 Arbitration**  
(Article 7)

Article 7 and clauses 9.3 to 9.8 (Arbitration) **apply**

**5 Orders – minimum and maximum value**  
(Clause 2.4)

Minimum value of any one Order to be issued

**£20,000.00 (Twenty Thousand Pounds)**

Maximum value of any one Order to be issued

**£2,000,000.00 (Two Million Pounds)**

**6. Orders – value of work to be carried out**  
(Clause 2.5)

Approximate anticipated value of work to be carried out under this Contract

**£30,000,000.00 (Thirty Million Pounds)** for the Contract Period

**7 Orders – priority coding**  
(Clause 2.6)

**Not Applicable**

**8 Construction Industry Scheme (CIS)**  
(Clause 4.2)

The Employer at the commencement of the Contract Period **is a Contractor** for the purposes of the CIS

**9 Progress Payments**  
(Clause 4.3.1)

Estimated value of an Order above which progress payments can be applied for

**£30,000.00**

**10 Responsibility for measurement and valuation**  
(Clause 5.2)

**The Contractor shall measure and value all Orders**

**11 Schedule of Rates**  
(Clauses 5.3, 5.6.1 and 5.6.2)

.1 **The Schedule of Rates** is

**\* the National Schedule of Rates**

Subject to adjustment of the rates listed in that Schedule by

\* the addition

\* the deduction

Of the adjustment Percentage, which is **See Section 2 for adjustment per cent**

.2 Where the Schedule of Rates is \* National Schedule of Rates (Building Works)  
The National Schedule of Rates the  
Version(s) identified opposite are to  
apply

.3 **Rates – Fluctuations**  
(Clause 5.6.1)

**does not apply**

.4 **Basis and dates of revision**

**Is as follows:**

Orders placed 01/08/2012 - 31/03/13 shall be priced on the National Schedule of Rates 2011/2012 Edition.

Orders placed 01/04/2013 - 31/03/14 shall be priced on the National Schedule of Rates 2012/2013 Edition.

Orders placed 01/04/2014 - 31/03/15 shall be priced on the National Schedule of Rates 2013/2014 Edition.

Orders placed 01/03/2015 - 31/07/15 shall be priced on the National Schedule of Rates 2014/2015 Edition.



**12 Daywork**

(Clauses 5.4, 5.6.3 and 5.6.4)

**.1 Valuation – percentage additions**

Where not included in or annexed to the Schedule of Hourly Charges, the percentage additions to the invoice price of non-labour items are as follows:

Overheads and profit on Materials **15%**

Overheads and profit on Plant **15%**  
Services and Consumable Stores

Overheads and profit on Sub-Contractors **10%**

**.2 Revision of Schedule of Hourly Charges**

Clause 5.6.3 does not **apply**

the annual revision date is **N/A**

the basis of revision of hourly charges, if not set out in the Schedule of Hourly Charges **N/A**

**13 Overtime work**

(Clause 5.7)

Percentage addition in respect of overheads and profit on non-productive overtime rates is Not applicable per cent

## 14 Insurance

(Clause 6.4.1.2, 6.9, 6.11 and 6.14)

.1	Insurance cover for any one occurrence or series of occurrences arising out of one event	<b>£5,000,000.00</b>
.2	Percentage to cover professional fees	<b>12.5%</b>
.3	Annual renewal date of insurance as supplied by the Contractor	TBC
.4	Terrorism Cover – details of the required cover	<b>TBC</b>

## 15 Break Provisions - Employer or Contractor

(Clause 7.1)

The period of notice, if less than 13 weeks is:

**Employer's break: 13 weeks notice any time following expiry of first six months of the Contract Period.**

**Contractor's break: 26 weeks notice any time following expiry of first 12 months of the Contract Period**

## 16 Settlement of Disputes

(Clause 9.2, 9.3 and 9.4.1)

### Adjudication

Nominating body

**The President or a Vice President of the Royal Institute of Chartered Surveyors**

### Arbitration

Appointer of Arbitrator

**The President or a Vice President of the Royal Institute of Chartered Surveyors**

In witness whereof the Employer and the Contractor have caused their respective Common Seals to be hereunto affixed the day and the year first above written

The Common Seal of the Council of the London  
Borough of Hammersmith and Fulham was  
hereunto affixed to this Deed in the presence:

\_\_\_\_\_

[The Officer duly authorised on behalf  
of the London Borough of  
Hammersmith and Fulham]

The Common Seal of:

was hereunto affixed to this Deed in the  
presence of:

\_\_\_\_\_  
(signature)

[Director][Company Secretary]\*  
(\*delete as applicable)

(print name in BLOCK capitals)

\_\_\_\_\_  
(signature)

[Director]

\_\_\_\_\_  
(print name in BLOCK capitals)

(\*delete as applicable)

The contract shall be the Measured Term Contract published by the Joint Contracts Tribunal 2011 issued by the JCT, and further amendments, additions or supplementary conditions noted hereinafter.

The contract will be sealed as a Deed.

<b>CONTRACT CLAUSE HEADINGS, INCLUDING ALTERATIONS AND AMENDMENTS</b>
---

## Conditions

### Section 1 Definitions and Interpretation

1.1 Definitions

Add "Employer's Quantity Surveyor or Quantity Surveyor shall be Ridge and Partners LLP"

Add "Schedule of Hourly Charges shall be as the relevant edition of the National Schedule of Rates subject to the percentage adjustments given on the Form of Tender"

1.2 Agreement etc. to be read as a whole

1.3 Headings, references to persons, legislation etc.

1.4 Reckoning periods of days

1.5 Contracts (Rights of Third parties) Act 1999

1.6 Notices and other communications

1.7 Applicable law

### Section 2 Carrying out work

2.1 Contractor's obligations

2.2 Materials, goods and workmanship

2.2.4.2 Delete the word "scaffolding"

2.3 Rights of Employer

2.4 Size and duration of Orders

2.5 Value of work to be carried out under this Contract

2.6 Orders – completion

2.6A Insert new clause 2.6A as follows:-

Damages for non-completion

Where the Employer has decided that Liquidated and Ascertained Damages shall be applicable to an Order, this shall be stated on the Order together with the rate thereof.

If the works incorporated into an order are not completed by the completion date stated on the Order and given in accordance with (the new) clause 2.6 above or by any later period fixed under Clause 2.10 hereof the Contractor shall pay or allow to the Employer Liquidated and Ascertained Damages at the rates calculated in accordance with Appendix D of the Tender Document and as advised by the Contract Administrator for each Order.

The stated damages are applicable to individual Orders for every calendar day for the period during which the work comprising an individual Order shall remain or have remained incomplete. The Employer may deduct such Liquidated and Ascertained Damages from any monies due to the Contractor under this Contract or he may recover them from the Contractor as a debt.

2.7 Programme

2.8 Divergences from Statutory Requirements

2.9 Fees or charges

Delete the last sentence of clause 2.9 and insert "The Tender Percentage Additions/Deductions will be deemed to include reimbursement for the payment of all such fees and charges."

2.10 Extension of Time

2.11 Order Completion Date

Delete clause 2.11.1 and replace with new clause 2.11.1 as follows:-

2.11.1 The Contractor shall notify the Contract Administrator in writing the date when in his opinion an Order will be completed, such notification shall be received by the Contract Administrator at least 7 days in advance of the date so given.

Delete clause 2.11.2 and replace with new clause 2.11.2 as follows:-

2.11.2 When in the opinion of the Contract Administrator an Order has been completed and/or supplied in accordance with the contract, he shall forthwith issue a certificate to such effect. The Order Completion Date shall be deemed to be the date so named on the certificate.

Insert new clause 2.11.3 as follows:-

2.11.3 It shall be a condition precedent of the Order Completion Date that all information reasonably required by the CDM Co-ordinator and/or Contract Administrator under clause 3.9 has already been provided by the Contractor.

2.12 Defects

Amend to "12 months" instead of "6 months"

### Section 3

### Control of Work

3.1 Assignment

3.2 Sub-Contracting by Contractor

Insert additional clauses:-

3.2A Specialist Sub-Contractors

For certain items of a specialist nature the Contract Administrator shall instruct the Contractor with regard to the sub-letting of such works, which may include design.

The Contractor shall have the right of reasonable objection to any proposed specialist Sub-Contractor.

Such specialist Sub-Contractors under this clause shall become Domestic Sub-Contractors and in consideration for this the Employer's Quantity Surveyor/Contract Administrator will allow the addition of 10% (as stated in clause 12 of the Conditions of Contract) to the Sub-Contractors' net accounts (after the deduction of all (trade and cash) discounts, which will be deemed to cover the Contractor's overheads and profit and any other costs incurred in respect of the sub-contracts. This clause (3.2) shall be deemed to take preference over any contradictory provisions of the NSR. Any necessary specific attendances will be valued separately in accordance with the contract.

3.2B Sub-let works

With reference to the above the Contractor is advised that the sub-letting of the following (non-exhaustive) list of works are likely to be instructed:-

- (a) Scaffolding including hire charges (where over £3,000 value).
- (b) Plumbing and Mechanical Installations
- (c) Electrical Installations

(d) Dpc injection and timber infestation treatment

(e) Works normally considered "Specialist" and/ or not covered under the under the National Schedule of Rates.

### 3.2C Contractor Design

Where the Contract Administrator instructs the Contractor to carry out design, or works that include design elements, whether by a Sub-Contractor or other designer, such works will be deemed to be of a Specialist nature and subject to all sub-clauses under clause 3.2. The Contract Administrator will either on the Order or by means of a Variation specifically list any works which contain a design element.

(1) Where the Contractor either by himself or by means of any employee, agent, Sub-contractor or supplier, is required under the Contract to undertake the design of any part of the Works, he shall submit to the Contract Administrator for approval two copies of a suitable drawing design document or other suitable design information relating to that works, in the form and medium instructed by the Contract Administrator. The Contractor shall not commence any work to which such drawing, design document or design information relates unless the design has been approved in writing by the Contract Administrator, and the Contractor shall not further alter that design without the further written approval of the Contract Administrator. The approval of the Contract Administrator shall not relieve the Contractor of any liability which he would otherwise have in respect of the design in accordance with the following paragraph (2).

(2) The Contractor's liability to the Employer in respect of any defect or insufficiency in any design undertaken by the Contractor himself or by means of any employee, agent, Sub-contractor or supplier shall be the same as would have applied to an appropriate professional designer who had held himself out as competent to take on work for such design and who had acted independently under a separate contract with the Employer and supplied such a design for, or in connection with, works to be carried out and completed by a contractor not being the supplier of the design.

(3) Any such Sub-Contractor shall be deemed to be a Domestic Sub-Contractor and the Contractor is to provide such evidence of Professional Indemnity Insurance and any requisite Collateral Warranties (in a form acceptable to the Employer) necessary to provide the Employer with Professional Indemnity Insurance of £1,000,000.00 for each element of contractor design.

### 3.3 Contractor's representative

### 3.4 Access to the Site

3.4.1 Delete the words "Except to the extent" until "where the Site is occupied" and replace with the following words:

"Except to the extent that Appendix G of the Tender Document provides, access to the Site shall be arranged by the Contractor in accordance with Appendix G of the Tender Document, who,"

3.4.2 Delete the words "if the Contractor..." until "he shall forthwith" and replace with the following words:

"If the Contractor is unable to gain access to the Site in accordance with Appendix G of the Tender Document or, having been granted access to an occupied Site, cannot reasonably carry out the Order, he shall forthwith"

Insert additional clauses:-

3.4A For all Orders the Contractor is to agree access to sites with the Contract Administrator before commencement of the works for each individual Order.

3.4B For occupied properties, the Contractor shall be responsible for arranging access with individual building users which must be by agreement with the occupiers. Failure by occupiers to keep appointments shall be at the Contractor's risk.

3.4C Notwithstanding the provisions of clauses 3.4.1 and 3.4.2 no claims for additional costs caused by access difficulties arising from the execution of the works within any Order which in the opinion of the Contract Administrator could reasonably have been identified at the time of the preparation of the estimate, site measurement, design development etc as described in Section 2.9 prior to the issue of the Order will be allowed. In this respect the decision of the Contract Administrator shall be final and binding.

3.4.D Clause 3.4 including all sub-clauses thereunder shall take preference over any contradictory provisions of the National Schedule of Rates.

3.5 Variations

3.6 Cancellation of an Order

3.7 Exclusion from the Site

3.8 Non-compliance with Contract Administrator's instructions

3.9 Undertakings to comply

3.10 Appointment of successors



## Section 4

### Payment

4.1

VAT

4.2

Construction Industry Scheme (CIS)

4.3

Progress payments

4.3A

Insert additional clause as follows:-

The amount certified by the Contract Administrator in accordance with clause 4.3 shall be:-

I. For Certificates prior to the Order Completion Date –

90% of the value of work properly executed and/or supplies made by the Contractor pursuant to the Order, plus up to 2% incentive payments for KPI 3 measured and valued in accordance with Section 8 Key Performance Indicators and Incentives, less 10% retention on the total valuation amount, after taking into account any amounts previously certified in respect of the relevant Order;

II. For Certificates issued after the Order Completion Date but prior to the notification by the Contract Administrator that all defects identified in accordance with clause 2.12 have been rectified to his satisfaction –

90% of the value of work properly executed and/or supplies made by the Contractor pursuant to the Order, plus up to 5% incentive payments for KPIs 2, 3 and 4 measured and valued in accordance with Section 8 Key Performance Indicators and Incentives, less 2½% retention on the total valuation amount, after taking into account any amounts previously certified in respect of the relevant Order;

III. For Certificates issued after notification by the Contract Administrator that all defects identified in accordance with clause 2.12 have been rectified to his satisfaction –

90% of the value of work properly executed and/or supplies made by the Contractor pursuant to the Order, plus up to 10% incentive payments for KPIs 1, 2, 3, 4 and 5 measured and valued in accordance with Section 8 Key Performance Indicators and Incentives, after taking into account any amounts previously certified in respect of the relevant Order.

4.4

Final payment where Contract Administrator measures and values Orders

4.4.2

After 4.3.3 add the words "4.3A"

- 4.5 Final payment where Contractor measures and values Orders
- 4.6 Payments – final date and amount
- 4.6.6 Insert the following words “-save as under 4.3A above,” after “If the Employer fails to pay a sum, or any part of it”
- 4.7 Contractor’s right of suspension

**Section 5 Measurement and Valuation**

- 5.1 Definition of Variations
- 5.2 Measurement and Valuation - responsibility
- 5.2 Valuation - measurement
- 5.3 Valuation – daywork

Delete clause 5.4.1 and replace with new clause 5.4.1 as follows:-

- 5.4.1 **Where in the opinion of the Employer’s Quantity Surveyor or the Contract Administrator (if carrying out the Employer’s Quantity Surveyor’s duties) the appropriate basis for valuation of an Order or part thereof is daywork, the direct labour rate, shall be as given in the National Schedule of Rates using the edition specified for use in clause 11 of the Contract Particulars, subject to the percentage adjustment as given on the Form of Tender. Plant and materials used in connection with the work valued on daywork shall be valued at net cost after the deduction of all discounts (including trade and cash) adjusted by the percentage adjustment as given on the Form of Tender and inserted in clause 12 of the Contract Particulars.**

- 5.5 Derived rates

- 5.5.1 **Delete the words “or where there is no applicable all-in labour rate in the Schedule of Hourly Charges, as the case may be”**

**Delete clause 5.5.2 and replace with new clause 5.5.2 as follows:-**

- 5.5.2 **If in the opinion of the Employer’s Quantity Surveyor or the Contract Administrator (if carrying out the Employer’s Quantity Surveyor’s duties), it is not practical or would not be fair and reasonable to apply the rates or prices in the Schedule of Rates or to deduce rates or prices therefrom or to apply the rates and prices in the Schedule of Hourly Charges, the value shall be agreed between the parties, failing which it shall be ascertained on a fair and reasonable basis by the Employer’s Quantity Surveyor or the Contract Administrator (if carrying out the Employer’s Quantity Surveyor’s duties) after consultation with the Contractor.**

- 5.6 Rates - Fluctuations
- 5.7 Overtime work
- 5.8 Interruption of work – unproductive costs

Delete the words “during normal working hours” and replace with the words “during the agreed working hours for the particular Order or site”

## **Section 6 Injury, Damage and Insurance**

- 6.1 Liability of Contractor – personal injury or death
- 6.2 Liability of Contractor – injury or damage to property
- 6.3 Injury or damage to property – work and Site Materials excluded
- 6.4 Contractor’s insurance of his liability
- 6.5 Excepted Risks
- 6.6 Related definitions
- 6.7 Insurance of existing structures
- 6.8 Evidence of insurance
- 6.9 All Risks Insurance of work or supply comprised in Orders
- 6.10 Insurance documents – failure by Contractor to insure
- 6.11 Use of Contractor’s annual policy – as alternative
- 6.12 Notification of occupation and use
- 6.13 Loss or damage, insurance claims and Contractor’s obligations
- 6.14 Terrorism cover – policy extensions and premiums
- 6.15 Terrorism cover – non-availability – Employer’s options

## **Section 7 Break Provision – Rights of each Party**

- 7.1 Break notice

Delete entire Clauses 7.1 and add New Clause 7.1 as follows:-

- 7.1A The Employer shall have the right to reduce the duration of the Contract Period by giving the Contractor in writing not less than 13 weeks' notice to that effect (or such lesser period of notice as is stated in the

Contract Particulars (item 15)). That notice may expire at any time not less than 6 months after the date of commencement of the Contract Period.

- 7.1B The Contractor shall have the right to reduce the duration of the Contract Period by giving the Employer in writing not less than 26 weeks' notice to that effect (or such lesser period of notice as is stated in the Contract Particulars (item 15)). That notice may expire at any time not less than 12 months after the date of commencement of the Contract Period.

**Section 8 Termination for Default, etc.**

- 8.1 Meaning of insolvency
- 8.2 Notices under section 8
- 8.3 Other rights, reinstatement
- 8.4 Default by Contractor
- 8.5 Insolvency of Contractor
- 8.6 Corruption
- 8.7 Default by Employer
- 8.8 Insolvency of Employer
- 8.9 Termination by Employer – valuation, certificate and payment
- 8.10 Termination by Contractor – account and payment

**Section 9 Settlement of Disputes**

- 9.1 Mediation
- 9.2 Adjudication
- 9.3 Arbitration – conduct of arbitration
- 9.4 Notice of reference to arbitration
- 9.5 Powers of Arbitrator
- 9.6 Effect of award
- 9.7 Appeal – questions of law
- 9.8 Arbitration Act 1996

**Schedule  
(Sixth Recital)**

**Supplemental Provisions**

- |   |  |
|---|--|
| 1 | Collaborative working                                    |
| 2 | Health and safety  |
| 3 | Cost savings and value improvements                      |
| 4 | Sustainable development and environmental considerations |
| 5 | Performance Indicators and monitoring                    |
| 6 | Notification and negotiation of disputes                 |

**SPECIAL CONDITIONS OF CONTRACT  
(RELATING TO EMPLOYER'S CONTRACTS CODE)**

**ADD NEW SECTION 10  
LOCAL GOVERNMENT OMBUDSMAN**

- 10.1 In addition to its obligations under the Contract, where any investigation by Local Government Ombudsman (as appointed by the Commission for Local Administration in England) takes place the Contractor shall at no cost to the Employer:-
- (i) provide any information requested in the timescale allotted; and
  - (ii) attend any meetings as required and permit its staff, operatives or sub-contractor to so attend; and
  - (iii) promptly allow access to and investigation of any documents deemed to be relevant; and
  - (iv) allow itself and any employee or sub-contractor to appear as witness in any ensuing proceedings; and
  - (v) co-operate fully and promptly in every way required by the Local Government Ombudsman during the course of that investigation.
- 10.2 For the avoidance of doubt, where any financial redress or other compensation is recommended by the Local Government Ombudsman in any investigation arising directly or indirectly out of the provision of the works or any other action by the Contractor or its staff or sub-contractors then the Council shall seek to recover the cost of that financial redress or other compensation from the Contractor.

**ADD NEW SECTION 11 AS FOLLOWS:-  
CONTRACT ADMINISTRATOR'S DUTIES**

- 11.1 The Contract Administrator is required, under the terms of the Council's internal procedures, to give a minimum of five days' notice for, and obtain the prior specific approval of the Council's Client Agent Officer before exercising the following duties:-
- 11.1.1 Contract Administrator's Instructions which results or could result in additional expenditure above approved limits.
  - 11.1.2 Extension of Time
  - 11.1.3 Certificate of Practical Completion
  - 11.1.4 Certificate of Making Good Defects
  - 11.1.5 Final Certificate

**ADD NEW SECTION 12  
PREVENTION OF BRIBERY AND CORRUPTION**

- 12.1 The Employer in accordance with the provisions of the Prevention of Corruption Acts 1889 to 1916 and Section 117 of the Local Government Act 1972 shall take necessary steps to cancel any Contract and to recover from the Contractor and/or the Member(s) and/or employee(s) the amount of any loss resulting from such cancellation, if:-
- (a) the Contractor shall have offered or given or agreed to give any person any gift or consideration of any kind as an inducement or reward for doing or forbearing to do or for having done or foreborne to do any act in relation to the obtaining or execution of the Contract and any other Contract with the Employer, or
  - (b) the Contractor has shown or foreborne to show favour or disfavour to any person in relation to the Contract or any other Contract with the Employer, or
  - (c) the like acts in (a) or (b) above shall have been done by person employed by the Contractor or acting on behalf of the Contractor (whether with or without the knowledge of the Contractor), or
  - (d) in relation to any contract with the Employer the Contractor, or any person employed by the Contractor's or acting on behalf of the Contractor shall have committed any offence under the Prevention of Corruption Acts 1889 to 1916, or shall have given any fee or reward the receipt of which is an offence under Section 117 of the Local Government Act 1972 to any Member(s) of the Employer or to any employee(s) of the Employer.

**ADD NEW SECTION 13  
PROBITY AND POLITICAL NEUTRALITY**

- 13.1 The purpose of letting the Contract is to provide a public service from public funds on behalf of a democratically elected Local Authority.
- 13.2 The Contractor shall undertake on its behalf and that of its employees and of its agents that it will:-
- (a) immediately ensure that the Employer is made aware of any impropriety, maladministration of which it or they may become aware;
  - (b) follow every lawful expressed policy of the Employer; and
  - (c) not permit personal political, religious or ethical beliefs to interfere with the provision of the works; and
  - (d) refrain from illegal, corrupt or improper practices or relationships the effect of which might bring the reputation of the Employer into disrepute.

**ADD NEW SECTION 14  
CONFLICT OF INTEREST**

- 14.1 The Contractor shall ensure by advance declaration that there is no actual or potential conflict of interest in respect of works carried out in relation to this contract.
- 14.2 Should there be perceived conflict of interest then:-
- (a) the Contractor shall take reasonable steps to remove or avoid the conflict of interest;
  - (b) if the conflict of interest cannot be removed or avoided, the Employer may either vary the Contract or terminate the Contract.

**ADD NEW SECTION 15  
COMPLAINTS PROCEDURE**

- 15.1 The Contractor shall demonstrate that it operates a complaints procedure which meets the standards of the Employer's "Corporate Public Complaints Procedure in the London Borough of Hammersmith and Fulham – Guidance Notes for Staff" (hereafter called the "Complaints Procedure").
- 15.2 The Contractor will be required to co-operate with any investigations carried out by officers of the Employer under the Complaints Procedure on behalf of Members, MPs, the Local Government Ombudsman, members of the public.
- 15.3 The Contractor will be required to maintain such a procedure for the duration of the Contract.

**ADD NEW SECTION 16  
OFFICIAL ENQUIRIES AND CONTACT WITH THE PUBLIC**

- 16.1 The Contractor will be required to respond promptly to the Contract Administrator in connection with all correspondence, telephone calls and personal enquiries made to the Contract Administrator by Councillors, Members of Parliament, Members of the European Parliament, the Local Authority Ombudsman, the Health & Safety Executive, the Commission for Racial Equality, the Equal Opportunities Commission, members of the public and the Employer's external auditors. All correspondence is to be answered within a maximum of 15 working days (or less as may be required by the Contract).
- 16.2 The Contractor will ensure that its staff treat members of the public and residents of the Borough courteously. In accordance with the Employer's Equal Opportunities policy for the provision of services, the Contractor will ensure that members of the public and residents of the Borough are not precluded from the services being provided or discriminated against by reason of race, religion, gender, sexual orientation, disability or understanding.

**ADD NEW SECTION 17  
THE RIGHT TO SET OFF**



- 17.1 "The Employer will pay to the Contractor the Total of the Prices or other sum as shall become payable hereunder at any time and in the manner specified in the Contract Documents PROVIDING ALWAYS that the Employer shall be entitled to deduct any monies from time to time due them under this agreement or by any other agreement or contracts between the Contractor and the Employer or otherwise without prejudice to their rights to recover any monies due under this agreement or any other agreement or any balance from time to time owing to them in any other manner".

**ADD NEW SECTION 18  
IDENTIFICATION OF THE CONTRACTOR'S EMPLOYEES WHILE ON COUNCIL  
PROPERTY**

- 18.1 "The Contractor shall provide, at its own expense, photographic identification cards (hereafter referred to as "the Cards") for its employees which shall have and contain the following information:-
- (i) A passport size photograph of the person.
  - (ii) The name of the person.
  - (iii) The name of the Company.
  - (iv) The payroll or wage number of the person (when used).
  - (v) The date of issue and expiry date.

**ADD NEW SECTION 19  
SUB-CONTRACTORS AND CONTRACT ASSIGNMENT**

- 19.1 The Contractor shall not:
- (a) Assign the Contract without the prior written consent of the Employer first being obtained,
  - (b) Sub-let any portion of the Contract without the prior written consent of the Contract Administrator first being obtained,

**ADD NEW SECTION 20  
DELAYS IN PERFORMANCE**

- 20.1 "Should the Contractor fail to perform the work within the time or times specified in the Contract, the Employer, without prejudice to any other remedy for breach of contract, shall be at liberty to the extent of such default to purchase other goods, materials or services, as the case maybe, of the same or similar description to make good (a) such default, or (b) in the event of the contract being wholly determined to purchase goods, materials or services the goods, materials.or services in lieu of those which the Contractor was obliged to provide. If the cost of such purchases is greater than the amount due to the Contractor for that portion of the Contract, this additional cost shall be recoverable by the Employer from the Contractor".

**ADD NEW SECTION 21  
REQUIREMENTS IN CONNECTION WITH HEALTH AND SAFETY**

- 21.1 The Contractor shall at all times comply with the requirements of the Health and Safety Act 1974 and all Amendments thereto and of any other provisions of any Acts, Regulations, Orders or rules of law pertaining to health and safety, and applying to work being carried out by the Contractor.
- 21.2 The Contractor shall at all times comply with the requirement of its own safety policy statements and safety codes of practices, and of such safety policy statements and safety codes of practice as the Employer may from time to time adopt or require and notify to the Contractor.
- 21.3 The Contractor shall provide such information and documents as the Employer or the Contract Administrator may require as evidence of such compliance and shall maintain copies of all relevant legislation, codes of practice and working rules for the kind of work undertaken, shall permit its employees to use and refer to them, and shall permit the Contract Administrator to inspect them.
- 21.4 The Contractor shall:
- (a) Appoint one or more Safety Officers, who shall have responsibility for matters affecting health and safety at the Sites.
  - (b) Notify the Contract Administrator of the name of each Safety Officer;
  - (c) Ensure that each site of the works is inspected by the appropriate Safety Officer on a quarterly basis and that a written report is made by the Safety Officer of each such inspection.
  - (d) Provide the Contract Administrator within two weeks of the making of the report with a copy of the report.
- 21.5 The Contractor shall:
- (a) Provide the Contract Administrator with a copy of the Contractor's current safety policy statement and safety codes of practice;
  - (b) Inform the Contract Administrator as soon as it becomes aware of any prosecution or pending or likely prosecution of the Contractor for any offence pertaining to the health and safety of its employees or of other persons, or of any conviction on such prosecution, and shall provide the Contract Administrator with such further information and documents as the Contract Administrator may require;
  - (c) Consult regularly with such health and safety representatives or committees as the Contractor's employees may appoint or establish;
  - (d) Permit any Contract Project Officer nominated by the Employer to enter and inspect without prior notice at any reasonable time any premises, persons, equipment or materials used, in the process of being used or proposed to be used, by the Contractor in the provision of the Service.

- 21.6 The Contractor shall take such steps as are necessary to ensure that its employees engaged upon the said works, and those of its sub-contractors so engaged if any, are competent to carry out their respective tasks with due regard to the Contractor's obligations under the aforementioned Acts and other instruments, and in the interests of the health and safety of other persons engaged in the said works or present on the site of the works, and of the general public.
- 21.7 The Contract Administrator shall be empowered to suspend the provision of the Service in the event of non-compliance by the Contractor with health and safety matters. The Contractor shall not resume provision of the service until the Contract Administrator is satisfied that the non-compliance has been rectified. In respect of any such period of suspension, the default provisions as set out in these conditions shall apply.
- 21.8 The Contractor shall review its health and safety policy and safe working procedures as often as may be necessary and in the light of changing legislation or working practices or the introduction of new materials, equipment, vehicles or machinery and shall notify the Employer in writing of any such revisions.

**ADD NEW SECTION 22  
REQUIREMENT IN CONNECTION WITH RACE RELATIONS**

- 22.1 The Contractor shall at all times comply with the requirements of the Race Relations Act 1976 as amended by the Race Relations (Amendment) Act 2000; and the Race Relations Act 1976 (Amendment) Regulations.
- 22.2 The Contractor shall give the Employer such information, such access to documents and such copies of documents as the Employer may require in order to satisfy himself or herself as to the Contractor's compliance with the foregoing sub-clause.
- 22.3 The Contractor shall so far as practicable and to the satisfaction of the Employer follow the practical guidance, recommendations and advice contained in the Code of Practice for the elimination of racial discrimination and the promotion of equality of opportunity in employment issued by the Commission for Racial Equality pursuant to Section 47(1) and (7) of the Race Relations Act 1976; and shall in particular (but without prejudice to the foregoing) operate an equal opportunities policy which is not less favourable than required to comply fully (so far as practicable) with the practical guidance, recommendations and advice contained in paragraphs 1.1 and 1.3 of the said Code of Practice and with the guidance papers referred to in paragraph 1.1 of the Code of Practice.
- 22.4 The Contractor shall at the request of the Contract Administrator provide the Employer with a breakdown of its workforce by race and grade as the Contract Administrator may reasonably require in order to satisfy himself or herself as to the Contractor's compliance with Conditions 22.1 and 22.3 so far as relevant.
- 22.5 The Contractor shall monitor the representation within its workforce of employees of different racial groups (meaning groups of persons defined by

reference to colour, race, nationality or ethnic or national origins) and shall, so far as the Contractor is not prohibited from doing so by the Race Relations Act 1976 or any subsequent legislation, take all or such part of the following action as may be appropriate if it appears to the Contractor that any racial group is under-represented in its workforce engaged in any trade or trades by comparison with the proportion of members of that racial group known to be engaged in such trade or trades either in Greater London or in the United Kingdom or Great Britain and Northern Ireland as a whole:-

- The placing of job advertisement designed to reach members of those racial groups and to encourage their applications; for example, through the use of the ethnic minority press (as well as other newspapers) and/or the use of advertisements in the languages of those racial groups;
- The inclusion in job advertisements of the following slogan (or of a slogan carrying the same or similar meaning): "We are an equal opportunity employer",
- The use of employment agencies and careers offices in areas where members of those racial groups live and work;
- Recruitment schemes for school leavers designed to reach members of such racial groups;
- Encouragement to employees from such racial groups to apply for promotion or transfer opportunities;

22.6 The Contractor shall inform the Contract Administrator as soon as becoming aware of any legal proceedings (whether civil or criminal) brought or likely to be against the Contractor under the legislation mentioned in Clause (22.5) above or of any Judgements, awards, convictions, or settlements arising from, and shall provide the Contract Administrator with such further information and documentation as he or she may require in relation thereto.



10

**LONDON BOROUGH OF HAMMERSMITH AND FULHAM  
MEASURED TERM CONTRACT FOR HOUSING REPAIR SERVICE COMPRISING  
BOROUGH WIDE CYCLICAL PLANNED MAINTENANCE TO COUNCIL OWNED  
HOUSING PROPERTIES 2012-2015**

20

**CONTRACT PERIOD: THREE (3) YEARS**

**REVISED - INSTRUCTIONS TO TENDERERS**

**1. INVITATION TO TENDER**

1.1. The London Borough of Hammersmith and Fulham (the “Council”) invites tenders for a Measured Term Contract For Housing Repair Service Comprising Borough Wide Cyclical Planned Maintenance To Council Owned Housing Properties 2012-2015 (the “Contract”) in accordance with the Contract Documents comprising:

- Section 1 Instructions to Tenderers
  - Section 2 Council’s Administration of the Contracts
  - Section 3 Selection Process, Evaluation Criteria And Council’s Method & Resources Statement Requirements – Tenderer’s Proposals (Quality Assessment)
  - Section 4 Preliminaries and General Conditions of Contract
  - Section 5 Materials and Workmanship Preambles
  - Section 6 Conditions of Contract
  - Section 7 Special Conditions of Contract
  - Section 8 Key Performance Indicators and Incentivisation
- Form of Tender
- Statutory Declaration - Regulation 23
- Statutory Declaration of Non-Collusion

	Deed of Undertaking
Appendix A	Property List
Appendix B	Map of the Borough and Contract Areas
Appendix C	Pre-construction Information
Appendix D	Code of Practice for Contracts involving Works on Council properties
Appendix E	Calculation of Liquidated & Ascertained Damages (LAD) Rates
Appendix F	Corporate Health & Safety Procedures
Appendix G	Procedure for Obtaining Access to properties including the Facilitating of Opened Windows and Doors for Preparation of Painting Works.
Appendix H	Residents Liaison Officer Job Description.
Appendix I	Addendum to The National Schedule of Rates
Appendix J	Additional Clauses for Housing Projects
Appendix K	Site Waste Management Plans
Appendix L	Health and Safety File Document Structure
Appendix M	Procedure for Appointment of Subcontractors via Competitive Tendering Procedure
Appendix N	Procedure Note - Conduct with respect to Communication with Residents
Appendix O	Construction Skills Training And Local Employment
Appendix P	Customer Charter
Appendix Q	Racial Harrassment Policy
Appendix R	Tenderer's Proposals Evaluation Matrix Template

- 1.2. The Contract period will be 36 months (subject to the terms for earlier termination), with an anticipated commencement date of 1<sup>st</sup> August 2012.
- 1.3. The contract will contain a two-way non-default break-clause whereby, the Employer shall have the right to reduce the duration of the Contract Period

by giving the Contractor in writing not less than 13 weeks' notice to that effect (or such lesser period of notice as is stated in the Contract Particulars), and the Contractor shall have the right to reduce the duration of the Contract Period by giving the Employer in writing not less than 26 weeks' notice to that effect (or such lesser period of notice as is stated in the Contract Particulars). That notice may expire at any time not less than 12 months after the date of commencement of the Contract Period.

10 1.4. The Council's various budgets will dictate the amount of work that is available to be procured through this contract. The estimated value of the works is set out in the Conditions of Contract, but the Council does not guarantee to provide work to this estimated value. The Council will not consider any claims at any time from the successful Contractor for loss of profit, failure to recover overheads or any other costs arising from any exclusion or reduction of any items of work in this contract.

1.5. The Contractor's rates and prices including dayworks and Contractor's risk elements shall be adjusted in accordance with the terms set out in the Contract Particulars.

20 1.6. Tenderers shall ensure that they are fully familiar with the nature and extent of the obligations upon them if their tender is accepted, including those contained in the Council's Contract Standing Orders, a copy of which may be viewed on the Council's website.

1.7. Should any Tenderer be in doubt as to the interpretation of any part of the Contract Documents, queries should be submitted via the London Tenders Portal <https://www.londontenders.org> no later than 17.00 hours (5pm) on **Friday 25<sup>th</sup> May 2012**.

1.8. **Only WRITTEN ENQUIRIES raised via the London Tenders Portal will be accepted regarding interpretation of any part of the Contract Documents or any other aspect of the tendering process.**

**TELEPHONE ENQUIRIES WILL NOT BE ACCEPTED**

30 1.9. Tenderers should note that the Council's response to queries referred to at paragraph 1.7 will be copied (without identifying the original source) to all other organisations invited to tender (unless the queries are tenderer specific).

**2. PREPARATION OF TENDER**

2.1. The information set out in this ITT is intended to provide Tenderers with guidance in preparing their tenders. The Council does not warrant that any figures or illustrations given in the Contract Documents are correct (although it has used its reasonable endeavours to ensure that they are).

40 2.2. All information given by the Council shall be treated by Tenderers as confidential (except where prior written consent has been given by the Council that such information may be disclosed for the purpose of

obtaining sureties and quotations necessary for the preparation of the tender).

2.3. No unauthorised alteration or addition should be made to the Contract Documents. If any such alteration or addition is made, the tender is not properly completed or if this ITT is not fully complied with the tender may be rejected.

2.4. Tenders must be made via the London Tenders Portal <https://www.londontenders.org> and shall be submitted fully completed through the same portal link. No Tender will be accepted outside of this portal. The submission of a completed Form of Tender (together with all other documents listed in paragraph 2.5) on the portal is considered a posted bid. **Draft submissions and documents can be saved on the London Tenders Portal and will not be viewable by the Council. Tenderers must note that once a tender is formally submitted to the London Tenders Portal it cannot be amended.**

2.5. Tenders must be submitted without qualification. Qualified Tenders will be rejected.

2.6. No tender will be accepted unless it is accompanied by the following documents:

- (i) the completed Form of Tender;
- (ii) the completed Tenderer's Proposals.

All documents must be submitted in English and prices quoted in pounds sterling.

2.7. All Contract Documents requiring a signature (in particular the Form of Tender and Pricing Schedule) shall be copied, signed by hand and submitted in PDF format on the London Tenders Portal along with the Tender submission as follows:

2.7.1 Where the Tenderer is a company, by two Directors or by a Director and the Company Secretary, such persons being authorised for the purpose, or, where the company has only one director and no company secretary, by that sole director and witnessed;

2.7.2 Where the Tenderer is sole trader, by that sole trader and witnessed;

2.7.3 Where the Tenderer is a partnership, by at least two duly authorised partners.

2.8. The Form of Tender and all other documents referred to in paragraph 2.5 above must be uploaded onto the London Tenders Portal no later than **03.00 hours (3am) on 1<sup>st</sup> June 2012 (REVISED)**. Tenders received after this date and time **WILL BE REJECTED**. Tenderers are advised not to leave the submission of the Form of Tender (and other documents referred



to in paragraph 2.6) too close to the time for submission. **There may be a time-lag between the time at which a tender and supporting documents are uploaded onto the system and the time at which it is received on the London Tenders Portal** (the process is not instantaneous). Tenderers should also be aware that internet service speeds vary. The Council shall not be held responsible for internet service provider's internet service speeds

10 2.9 Tenderers must form their own opinion, making such investigations and taking such advice (including professional advice) as is appropriate, regarding the proposed contract and their tenders, without reliance upon any opinion or other information provided by the Council. Tenderers should notify the Council promptly of any perceived ambiguity, inconsistency or omission in this ITT, the Contract Documents and/or any other documentation issued during the procurement process.

### 3 CONDITIONS FOR TENDERING

3.1. Tenders shall remain open for acceptance for a period of 6 calendar months from and including the date for return of tenders.

20 3.2. Except insofar as may be authorised by the Chief Executive, no agent or servant of the Council has any authority to make any representation or explanation to persons tendering or desirous of tendering as to:

- (i) the meaning of the Conditions of Contract, the Specification, or any other Contract Documents; or
- (ii) anything to be done or not to be done by the Tenderer; or
- (iii) any other matter or thing so as to bind the Council or bind or fetter the judgement or discretion of any Council officer under the Contract Documents in the exercise by him/her of his/her powers and duties under the Contract Documents.

30 3.3. Except as otherwise expressly provided, the several documents comprising the Contract are to be taken as mutually explanatory of one another.

3.4. Should the addition of any supplementary clauses, documents or information be considered necessary by the Council prior to the date for return of tenders the same will be issued to Tenderers and will form part of the Contract Documents.

40 3.5. If the Council accepts the offer of a tender a Letter of Acceptance will be sent to the successful Tenderer. Until formal execution of the Contract, the priced Contract Documents together with the formal Letter of Acceptance shall constitute a legally binding contract from the date of the Letter of Acceptance.

3.6. The Council is not bound to accept the lowest priced tender or any tender and as far as is permissible in law the Council does not accept any liability for costs, expenses or losses of whatever nature and howsoever arising which may be incurred directly or indirectly by Tenderers in relation to this ITT.

10

3.7. Information supplied by the Council (whether in these Contract Documents or otherwise) is supplied for general guidance in the preparation of tenders. Tenderers must satisfy themselves by their own investigations with regard to the accuracy of any information and no responsibility is accepted by the Council for any inaccurate information obtained by Tenderers.

3.8. Before submitting a tender, Tenderers shall be deemed to have satisfied themselves as to the accuracy and sufficiency of the rates stated in their tender which shall (except insofar as it is otherwise provided in the Contract Documents) cover all obligations under the Contract and shall be deemed to have obtained for themselves all necessary information as to risks, contingencies and any other circumstances which might reasonably influence or affect the tender.

20

3.9. The successful Tenderer shall allow inspection, checking and auditing of its quality systems by any person nominated by the Council before the Contract is awarded and at any time throughout the term of the Contract.

3.10. Any Tenderer who directly or indirectly canvasses any officer of the Council, obtains or attempts to obtain information concerning this Contract from any person who is or has been in the employment or engagement of the Council concerning any other Tenderer or Form of Tender submitted by any other Tenderer shall not be considered for the award of this Contract.

3.11. A tender submitted by any Tenderer who:

30

- (i) fixes or adjusts the prices shown in its tender by or in accordance with any agreement or arrangement with any other person; or
- (ii) communicates to any person other than the Council, the amount or approximate amount of the prices shown in its tender (except where such disclosure is made in confidence in order to obtain quotation necessary to the preparation of the tender); or
- (iii) in connection with the award of the Contract, commits an offence under the Prevention of Corruption Acts 1889 to 1916 or gives any fee or reward the receipt of which is an offence under Section 117(2) of the Local Government Act 1972

shall not be considered for acceptance and shall be rejected by the Council PROVIDED ALWAYS that such rejection shall be without prejudice to any other civil remedies available to the Council.

40

3.12. The successful Tenderer may be required to swear a statutory declaration affirming that there has been observance with, amongst other things, the matters set out in paragraph 3.11 above.

- 3.13. A tender may be rejected if:
- (i) it is not in accordance with the provisions of this ITT; and/or
  - (ii) it is in breach of the provisions of the Contract Documents, and/or
  - (iii) The Tenderer makes or attempts to make any variation or alteration to any of the Contract Documents save where it is explicitly required in accordance with this ITT or is otherwise authorised (in writing) by the Contact Officer.

10

3.14. The Contract Documents and all copies thereof are and shall remain the property of the Council (whether or not the Council shall have charged a fee for the supply of such documents) and must be returned to the Council upon demand.

**4 TENDER EVALUATION**

4.1. The Council will carry out a tender evaluation after the return of tenders. The criteria which the Council will use to determine that a tender is most economically advantageous shall be:-

- Price and Financial Provision of the Tender (80%)
- Completed Tenderer’s Proposals (20%)

20

4.2. The quality assessments will be on the basis of the Tenderer’s submitted proposals produced in response to the Council's Method & Resources Requirements.

4.3. An overall score of 60 or more will be required to meet the minimum quality standard. The minimum quality standard will also not be met should a Contractor not achieve an average score of at least 3 for each Section (ie total score achieved for the Section divided by the number of Sub-criteria for that Section must equal 3 or greater). Any Tender whose Proposals do not meet these minimum quality standards

4.4. The weightings to be utilised are as indicated in the Table below, which also indicates the number of sub-criteria for each Section. Each sub-criterion within the same Section has equal weighting:-

30

	<b>Section</b>	<b>Item Weighting %</b>
<b>1.0</b>	<b>Management Structure and Resources</b>	
	Contractors team skill, qualifications and experience Total no of Sub-criteria - 2	5
<b>2.0</b>	<b>Customer Care</b>	
	Care of residents during the works Total no of Sub-criteria – 9	25
<b>3.0</b>	<b>Health and Safety</b>	
	Company procedures and resources to CDM	5

	requirements Total no of Sub-criteria – 7	
<b>4.0</b>	<b>Proposals for Dealing with Sub-Contracting</b>	
	Sub-contracting generally and control of Sub-Contractors Total no of Sub-criteria – 3	20
<b>5.0</b>	<b>Estimates and Valuations</b>	
	Estimates, measurement and valuation of works and agreement with Quantity Surveyor as projects proceed Total no of Sub-criteria – 4	10
<b>6.0</b>	<b>Quality Control</b>	
	Procedures for control of quality in order to target towards zero defects Total no of Sub-criteria – 5	25
<b>7.0</b>	<b>Planning, Programming and Resourcing of Works</b>	
	Proposals generally for ensuring order are delivered on time Total no of Sub-criteria - 4	10
	<b>TOTAL:</b>	<b>100</b>

- 4.5. Each Sub-criteria to be scored out of 5 on the basis set out in the Table below. All questions will be scored by 3 markers who will jointly agree a single score for each sub-criteria.

Excellent	Meets all criteria in a full and comprehensive manner and exceeds some requirements.	5 points
Good	Generally meets the requirements of the criteria to the satisfaction of the Council.	4 points
Satisfactory	Satisfactory, but with aspects which give the Council concern because either the responses are incomplete, or differ from Council on the requirement necessary to meet the criteria.	3 points
Poor	Indications that the response meets some of the requirements but either the Council has serious doubts about aspects of the response, or inadequate information has been provided.	2 points
Unacceptable	The response given is unsatisfactory as it fails to address the question.	1 point

	No information provided.	0 points
--	--------------------------	----------

4.6. The total sum of the scores awarded for each sub-criterion for each Section shall be divided by the total available score for each Section, multiplied by the weighting factor and then multiplied by 100. The weighted scores for each Section will be added together to provide a score out of 100. Neither the individual Section weighted scores nor the overall total shall be rounded up or down.

## 5 FORM OF TENDER

10 5.1. Tenderers are required to provide costs and details of any commission payable to the Council as per the Form of Tender. It is important that prices are presented clearly. Failure to do so may result in the rejection of a Tenderer's tender.

5.2. Tenderers are required to provide pricing information in the format prescribed.

5.3. Prices should be quoted on an all inclusive basis but VAT must not be added.

## 6. FREEDOM OF INFORMATION

20 6.1 In accordance with the obligations and duties placed upon public authorities by the Freedom of Information Act 2000 (the 'FoIA') and the Environment Information Regulations 2004 (EIR), the Council may, acting in accordance with the Secretary of State's Code of Practice on the Discharge of the Functions of Public Authorities under Part 1 of the said Act and EIR be required to disclose information submitted by the Tenderer to the to the Council.

6.2 In respect of any information submitted by a Tenderer that it considers to be commercially sensitive the Tenderer should:

- (i) clearly identify such information as commercially sensitive;
- (ii) explain the potential implications of disclosure of such information; and
- (iii) provide an estimate of the period of time which the Tenderer believes that such information will remain commercially sensitive.

30 6.3 Where a Tenderer identifies information as commercially sensitive, the Council will endeavour to maintain confidentiality. Tenderers should note, however, that, even where information is identified as commercially sensitive, the Council may be required to disclose such information in accordance with the FoIA and/or EIR. In particular, the Council is required to form an independent judgment concerning whether the information is

exempt from disclosure under the FoIA and/or the EIR and whether the public interest favours disclosure or not. Accordingly, the Council cannot warrant that any information marked 'confidential' or "commercially sensitive" will not be disclosed.

- 6.4 Where a Tenderer receives a request for information under the FoIA and/or the EIR during this tender process the same must be immediately passed on to the Council.

## **7. THE LOCAL GOVERNMENT OMBUDSMAN**

10 7.1 The Commission for Local Administration in England appoints a number of officers known as "Local Government Ombudsman" (referred to "the Ombudsman").

7.2 The statutory role of the Ombudsman is to investigate complaints made by members of the public against a Local Authority.

7.3 Complaints could be based on any of the following non exhaustive list: improper consideration or conduct, unfair discrimination, neglect, unjustifiable delay, incompetence or a failure to observe relevant rules or procedures.

20 7.4 The Ombudsman has the power of a High Court judge to demand information and require the production of all relevant files. Also, witness attendance can be secured whether or not the witness is willing to co-operate.

7.5 Any report by the Ombudsman must be considered by the Council and may be made available to the public.

7.6 The report may make recommendation for financial compensation or other redress which the Council would be expected to implement.

7.7 Where any such investigation or report arises directly or indirectly out of the Tenderer's performance of the service, the Tenderer must be aware of the following:

30 (i) it has both a statutory and contractual obligation to co-operate with the Ombudsman; and

(ii) it will not be entitled to any additional payment.

(iii) where such an investigation results in a recommendation that the Council makes financial compensation or other redress, the Council is contractually entitled to recover the cost of so doing directly from the Tenderer.

## **8. STATUTORY DECLARATIONS**

8.1 It shall be a condition precedent of the Contract that the successful Tenderer swear the following Statutory Declarations before a Solicitor

empowered to administer Oaths and forward the same to the Council prior to the Commencement of the Contract.

- (i) Statutory Declaration 2011

## 9. PROCUREMENT TIMETABLE

9.1 The following is the anticipated timetable for the procurement process:

<b>Planned list of activities</b>	<b>Dates &amp; Deadlines</b>
Issue of Tenders	5 <sup>th</sup> April 2012
Last date for queries	17.00 hours (5pm) 25th May 2012
Submission of Tenders	<b>03.00 hours (3am) -1<sup>st</sup> June 2012 (Revised)</b>
Award of Contracts by Council	End June 2012
Mobilisation	July 2012
Commencement of Services	1 <sup>st</sup> August 2012

## 10. TUPE

- 10 10.1 There is no contract currently in place to deliver the service in question and consequently the provision of Transfer of Undertakings (Protection of Employment) 2006 ('TUPE') and the Acquired Right Directive (77/187) ('ARD') do not apply.

# **REVISED - FORM OF TENDER**



**To: The Mayor and Burgesses of the London Borough of Hammersmith & Fulham  
(The “Employer”)**

Project Title : **MEASURED TERM CONTRACT FOR A HOUSING REPAIR SERVICE  
COMPRISING BOROUGH WIDE CYCLICAL PLANNED  
MAINTENANCE TO COUNCIL OWNED HOUSING PROPERTIES 2012-  
2015**

Procon ref : **MU11004**

I/we, the undersigned hereby tender and offer to execute and carry out works more particularly described and referred to in the Tender Documents hereto annexed and which under the terms thereof are to be supplied, executed and done by the Contractor and to perform and observe the provisions and agreements on the part of Contractor contained in or reasonably to be inferred from the Tender Documents and the following:

- (a) The Form of Contract is the Measured Term Contract 2011, published by the Joint Contracts Tribunal, with further amendments, additions or supplementary conditions as detailed in the tender documents.
- (b) The rates listed in the National Schedule of Rates, Parts 1 and 2, 2011/2012 Edition, subject to the addition/deduction of Percentage ‘A’ measured and valued in accordance with the contract.

**Percentage ‘A’ \_\_\_\_\_ % Addition/Deduction  
(Tenderer to insert Percentage ‘A’ and to delete Addition or Deduction as  
Applicable).**

OR

- (c) Instructions from the Contract Administrator under the Conditions of Contract, Clause 3.2B
- (d) The cost associated in providing a Resident Liaison Officer (RLO), shall be paid at the weekly rate as indicated on the Form of Tender. The Contractor is not therefore required to allow for the cost of providing an RLO within his Percentage A adjustment. The requirements for an RLO for each order will be discussed and agreed prior to the commencement of the order. The contractor’s attention is drawn to the requirements of Appendix H with which he shall be required to comply.

**The provision of a Residents Liaison Officer for a 40 hour working week**

**Per Week £ \_\_\_\_\_ (Rate to be fully inclusive)**

**CONTRACTOR TO NOTE THAT THE RLO RATE WILL NOT BE SUBJECT TO  
THE % ‘A’ ADJUSTMENT.**



- (e) Fluctuation Provisions  
To be as detailed in the Tender Documents
- (f) Preliminaries and Preambles from Part 1 of the National Schedule of Rates 2011/2012 Edition, subject to the Preliminaries Addendum included with the Tender Document.
- (g) Orders and variations thereon to be issued from time to time by the Contract Administrator.

This exclusive of VAT the details of which are given in the Pricing Schedule submitted herewith, or such other sum as shall become payable at the times and in the manner specified in the Tender Documents.

I/We undertake to do any extra work not covered by the Tender Documents which may be ordered by the Engineer and hereby agree that the value of such extra work shall be determined as provided for in the Conditions of Contract and Tender Document.

I/We understand and accept that the Council is not bound to accept the lowest or any submission and I/We agree that this tender shall remain open for acceptance by you and will not be withdrawn by me/us for a period of SIX (6) months from the closing date for submission of tenders.

In the event of this tender being accepted by the Council I/We undertake to enter into a formal contract for the works to be sealed as a Deed, and I/We agree that in the event of my/our failing to comply with this requirement within fourteen days of the document being left at my/our registered office, (the address of which is given hereafter) any prior acceptance of this tender may be revoked by the Council.

## **DECLARATION RELATING TO BONA FIDE TENDER**

The essence of selective tendering is that the Council shall receive bona fide competitive tenders from all those tendering. In recognition of this principle we declare that this is a bona fide tender, intended to be competitive, and that we have not fixed or adjusted the amount of the tender by or under or in accordance with any agreement or arrangement with any other person. We also declare that we have not done and we undertake that we will not do at any time before the hour and date specified for the return of this tender any of the following acts:

- (a) communicate to a person or persons (other than an officer the Council calling for those tenders) the amount or approximate amount of the proposed tender, except where the disclosure, in confidence, of the approximate amount of the tender was necessary to obtain insurance premium quotations or performance bond quotations required for the preparation of the tender;
- (b) entering into any agreement or arrangement with any other person or persons that he/she/they shall refrain from tendering or as to the amount of any tender to be submitted;
- (c) offering paying or giving or agreement to pay or give of money or valuable consideration directly or indirectly to any person or persons for doing or having done or causing or having caused to be done in relation to any other tender or proposed tender for the said work any act or thing of the sort described above.

In this declaration the term "person or persons" includes any person or body or partnership or a co-operative or an unincorporated association, or a company incorporated under the Companies Acts and the term "any agreement or arrangement " includes any such transaction, formal or informal, and whether legally binding or not.

WE CERTIFY that this is a bona fide offer

Signatures	(1)	(2)
and date	_____	_____
	_____ (date)	_____ (date)
Name	_____	_____
Status*	(1)	(2)
	_____	_____

Company Name in Full \_\_\_\_\_

Company Registered Address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

\*Where the Tenderer is a company, two directors or one director and the company secretary must sign this document on it behalf stating whether they are a director or the company secretary in the line marked status. In the case of a partnership at least two duly authorised partners should sign, likewise indicating their status and in case of a sole trader, the proprietor should sign and have his/her signature witnessed.

**THE TENDER SUBMISSION IS TO BE SUBMITTED VIA THE  
AUTHORITIES E-SOURCING TOOL**

**<https://www.londontenders.org/portal/CMS.nsf/vhomepage/fSection?OpenDocument>**

**NO LATER THAN**

**03.00 hours (3am) FRIDAY 1<sup>ST</sup> JUNE 2012**

**NOTES**

The Council will not be bound to accept the lowest or any tender and will not be responsible for any contractor's expenses in estimating or otherwise.

The tender amount on this Form of Tender, if accepted by the Council, will be the amount in which the Contract will be entered into.

The Specification duly priced and monied out in BLACK INK, together with the Contractors Method and Resource Statement (if required), are to be delivered at the same time in accordance with the tendering instructions.

**SECTION 2**  
**COUNCIL'S ADMINISTRATION OF THE CONTRACT**

## **SECTION NO 2**

### **1.0 COUNCIL'S ADMINISTRATION OF THE CONTRACT**

- 1.1 The Council proposes to appoint a Single Contractor to carry out Orders during the Contract Term.
- 1.2 Single Order Values will be within the range £20,000 to £2,000,000. Tenderers should note that no minimum total order value for the contract as a whole could be guaranteed. In addition, no undertaking will be provided regarding the timing or geographical distribution of individual property orders. Fluctuations in workload levels during the contract term are inevitable.
- 1.3 The works orders will generally need to be fast-tracked and often with fixed start and completion dates. A flexible and responsive approach is essential. The Council will encourage a co-operative team working approach and will require the Contractor's input for projects as soon as they are identified, including assistance in determining the scope and estimated value of the work, specialist sub-contracting etc.
- 1.4 The contract will include an optional break clause by the Employer subject to the Employer giving 13 weeks notice any time following expiry of first 6 months of the Contract Period. The contract will also include an optional break clause by the Contractor subject to the Contractor giving 26 weeks notice any time following expiry of first 12 months of the Contract Period (Refer to Contract Particulars Section 15 and Contract Conditions Section 7).
- 1.5 The Contractor shall nominate a Contracts Manager with overall responsibility for the management of the contract. The Contracts Manager shall attend and provide progress reports to monthly meetings.
- 1.6 The Contractor is to measure and value the works for checking and validation by the Council's appointed External Consultant Quantity Surveyor on an on-going basis. Valuations will be carried out and payment certificates issued on a monthly basis. The retention rate for orders prior to their individual Order Completion Dates shall be 10% and 2½% thereafter. The Contractor shall be advised each month of a "cut-off" date for the provision of any relevant information to the Quantity Surveyor. Individual "final account" for Orders shall be agreed as soon as possible after their Order Completion Dates (refer to Conditions of Contract, Section 4 Clause 4.5). No interim payments will be processed by the Council prior to formal execution of the contract by the parties.
- 1.7 It shall be a pre-condition to any 'snagging' inspections by the Contract Administrator or the Clerk of Works that the Contractor has first carried out its own inspections and is able to demonstrate that such inspections have taken place together with details of the remedial works undertaken, re-inspections, dates, etc.
- 1.8 The Contractor shall register each Order with the Considerate Constructors Scheme including paying the appropriate fee and for complying with Scheme's Code of Considerate Practice. For details contact Considerate

Construction Scheme, P O Box 75, Great Amwell, WARE SG12 9UY -  
Tel/Fax: 01920 872837.

1.9 The Contractor will be required to register the site with Scheme Administrators, including payment of the appropriate fees, prior to commencement. The recommended posters relating to the scheme must be predominantly displayed on the site from the earliest opportunity. Further details as given in the Conditions of Contract.

1.10 Orders issued during the following periods shall be measured and valued under the National Schedule of Rates as shown, subject to the addition/deduction of Percentage A;-

Orders placed 01/08/2012 - 31/03/13 shall be priced on the National Schedule of Rates 2011/2012 Edition.

Orders placed 01/04/2013 - 31/03/14 shall be priced on the National Schedule of Rates 2012/2013 Edition.

Orders placed 01/04/2014 - 31/03/15 shall be priced on the National Schedule of Rates 2013/2014 Edition.

Orders placed 01/03/2015 - 31/07/15 shall be priced on the National Schedule of Rates 2014/2015 Edition.

1.11 The items as detailed in Appendix I, shall be an addition to the National Schedule of Rates and shall be measured and valued in accordance with the said schedule subject to the addition/deduction of Percentage A.

1.12 The value of the items detailed in Appendix I, and the contractor's tendered weekly Resident Liaison Officer's rate shall be adjusted on each first day of April during the life of the contract, the first adjustment being 1<sup>st</sup> April 2013, in accordance with the Royal Institution of Chartered Surveyors (RICS), 'All in Tender Price Index', Base Index second quarter 2012, first adjustment on Index first quarter 2013 to apply for period 1<sup>st</sup> April 2013 to 31<sup>st</sup> March 2014 etseq.

1.13 The Orders will include works to leaseholders' flats who are subsequently billed by the Council for their proportion of the cost. Leaseholders shall be permitted to have an input into the snagging and handover of the works although the final decision will be that of the Contract Administrator.

1.14 The Contract requires that test panels are carried out to establish and set the standard of painting and decorating work. Further details are given in Section 5 of this document. Windows and doors must be prepared and painted in an open position. Notices for access to arrange the opening of windows and doors is given in Section 4 and Appendices D and G of this document.

1.15 The Contractor is to appoint one or more Resident Liaison Officers subject to the agreement of the Employer.

- 1.16 Prior to handover the Contractor via the Resident Liaison Officer shall first obtain tenant and leaseholder satisfaction, feedback and views on the works (Customer Satisfaction Surveys).
- 1.17 The Contractor shall specifically verify that redecoration preparation work carried out by their operatives or sub-contractors have been inspected and approved by them before the painting stage commences.
- 1.18 The Contract Administrator reserves the right to inspect the redecoration preparation work before painting commences. The Contractor shall allow for the delay that this will build into the process.
- 1.19 It is envisaged that the contract will be operated as a series of Orders running in parallel. The pre-construction preparation time for each order is anticipated to be as follows:

Cumulative Calendar Days from Start

(a)	Scope of works for a particular order issued to the Contractor	0
(b)	Joint site visit to agree works and carry out measurement, subcontract quotes sought	14
(c)	Estimate agreed including sub-contractor quotes	35
(c)	Section 20 Notices issued by Council to leaseholders	49
(e)	Council places limited Order for Contractor to carry out test panels and register site with Considerate Constructors Scheme	49
(f)	Test panels approved, site registered	80
(g)	Section 20 Notices expire	80
(h)	Order confirmed with Contractor	87
(i)	Contractor starts on site	101

It is intended that the first few Orders will be initiated with the successful Contractor in advance of the Contract commencing at the Council's risk in order for works to be able to commence on site from 1<sup>st</sup> August 2012.

- 1.20 It is anticipated that final account agreements for individual order will be agreed within three months of the date of issue of the Practical Completion Certificate for said orders.
- 1.21 Unless otherwise instructed in writing by the Contract Administrator, the contractor shall commence the removal of previously erected scaffolding within 48 hours of completion of the works accessed via said scaffolding.

**MEASURED TERM CONTRACT 2012 - 2015**

**FOR**

**HOUSING REPAIR SERVICE COMPRISING BOROUGH WIDE CYCLICAL  
PLANNED MAINTENANCE TO COUNCIL OWNED HOUSING  
PROPERTIES 2012-2015**

**THE LONDON BOROUGH OF HAMMERSMITH & FULHAM**

**SECTION NO 3**

---

---

**SELECTION PROCESS**

**EVALUATION CRITERIA**

**COUNCIL'S METHOD & RESOURCES STATEMENT REQUIREMENTS  
- CONTRACTORS PROPOSALS (QUALITY ASSESSMENT)**

---

---



## **SELECTION PROCESS, APPRAISAL CRITERIAL AND COUNCIL'S METHOD & RESOURCES STATEMENT REQUIREMENTS - CONTRACTORS PROPOSALS (QUALITY ASSESSMENT)**

- A Tenders are invited on the basis of a Percentage Adjustment to the National Schedule of Rates, Dayworks and a weekly rate for the provision of Resident Liaison Officer as required on the Form of Tender.
- B The Council intends to award on a quality price model with quality at 20% and price 80%. Should a Contractor not meet the Council's minimum requirements on Quality, their bid will not be considered.
- C The quality assessments will be on the basis of the Contractor's submitted proposals produced in response to the Council's Method & Resources Requirements.
- D Tenderers shall submit with their tender "Contractor's Proposals". These proposals shall answer all of the following questions.

**Failure to provide adequate "Contractor's Proposals" shall result in the rejection of the Contractor's tender. It is essential that Tenderers read and understand the tender documents before answering these questions.**

Where any of the details requested below have been previously provided by Tenderer at Pre-Qualification Stage, they do not need to be re-submitted; this should be stated giving details of what was provided.

### **CONTRACTORS PROPOSALS**

#### **1.0 MANAGEMENT STRUCTURE AND RESOURCES**

- 1.1 The Tenderer shall give details of the management supervisory structure and reporting arrangement which will operate during the performance of this Contract. *[1 Sub-criterion]*

This shall include:

- (i) A statement indicating the role and responsibilities of the Contracts Manager, and the parameters under which they will operate, the methods by which they will supervise and monitor performance under the Contract.
- (ii) The staffing structure, numbers of senior staff to be deployed in the performance of the Contract and how the supervision of operatives, sub-contractors and overall monitoring will be achieved, on site and generally, and the reporting lines through to senior level.
- (iii) The operational structure for the running of the Contract, showing the duties and responsibilities of managers, staff and operatives.

- 1.2 The Tenderer to provide details of the experience and qualifications of their proposed Resident Liaison Officers. Where any Resident Liaison Officers are still to be recruited, deployed or employed via sub-contract or on any agency basis, details of the level of qualification and experience that will be required shall be given. *[1 Sub-criterion]*

*Total Number of Sub-Criteria for Section 1.0 = 2*

## **2.0 CUSTOMER CARE**

- 2.1 Please provide statements detailing how you would deal with the following on-site performance problems, including copies of any procedures where available:-
- (a) How would you resolve the problem where a resident complains that an operative or sub-contractor under your control has made racist remarks or sexist comments. *[1 Sub-criterion]*
  - (b) During work to a window, damage occurs to a resident's fixtures and fittings, as Main Contractor how would you deal with this. *[1 Sub-criterion]*
  - (c) A leaseholder has complained to your Site Agent that in their opinion, the work being carried out to their windows was not necessary. *[1 Sub-criterion]*
- 2.2 How will you facilitate the involvement, engagement and participation of the residents and what added value will the term partnering arrangement offer them. *[1 Sub-criterion]*
- 2.3 How will you ensure and verify that your operatives and those of your sub-contractors will be in possession of a photographic ID card as detailed in the Tender Documents. *[1 Sub-criterion]*
- 2.4 The Council considers that regular customer feedback is essential in order to help measure the quality of service provided and to make service improvements. How will you obtain continuous and accurate feedback regarding the quality of work you are providing to residents. *[1 Sub-criterion]*
- 2.5 Based on your experience of similar Local Authority / Housing Association Maintenance Programmes, what special experience can you bring to the programme via the partnering arrangement. *[1 Sub-criterion]*
- 2.6 Please provide details of the Complaints Procedure you intend to operate under this contract, including any pro-forma used. How will you ensure that all complaints and enquiries from residents are captured and monitored. *[1 Sub-criterion]*
- 2.7 How will you ensure that minimum disruption is caused to satellite / TV reception. *[1 Sub-criterion]*

*Total Number of Sub-Criteria for Section 2.0 = 9*

### **3.0 HEALTH AND SAFETY**

3.1 The Tenderer shall provide the following:-

- (i) Example of a typical risk assessment you will prepare during the course of the contract to comply with the Management of Health & Safety at Work Regulations 1992. *[1 Sub-criterion]*
- (ii) A description of the Health & Safety measures to be taken during the course of carrying out the services for the protection of the Tender's employees, the Council's employees and residents in general. *[1 Sub-criterion]*
- (iii) An explanation of how the Health & Safety measure are to be brought to the attention of your staff, operatives and sub-contractors and how they will be implemented including any training which may need to be given. *[1 Sub-criterion]*
- (iv) A description of the monitoring processes that the Tenderer will undertake to ensure that the Health & Safety Policy and the Codes of Practice are being carried out. It shall include the intended frequency of monitoring by the person responsible for Health & Safety in the workplace. *[1 Sub-criterion]*
- (v) The name, address and telephone number of the Responsible Officer(s) of the Tenderer who will be supervising all matters of health and safety together with the Responsible Officer's, relevant training and qualifications. *[1 Sub-criterion]*

3.2 The Tenderer shall provide a statement as to how they will carry out all of the duties and obligations concerning the Construction (Design and Management) Regulations (CDM) as laid out within the Regulations. This shall include in particular the following areas *[1 Sub-criterion]*:-

- (a) Evidence of competence to act as Principal Contractor for this Contract.
- (b) A copy of any system and/or procedures that you have for dealing with CDM during the course of the Contract.

3.3 How will you ensure that scaffolding is not accessible to residents and members of the general public. *[1 Sub-criterion]*

*Total Number of Sub-Criteria for Section 3.0 = 7*

#### **4.0 SUB-CONTRACTING AND CONTROL OF SUB-CONTRACTORS**

- 4.1 Please provide a statement of which aspects, if any, of the works that you intend to sub-contract. Include in the statement, providing copies of procedures if applicable, for the selection and management of sub-contractors and of any special arrangements that you will make in respect to the requirements of this Contract. Within this statement, indicate what trades will not be carried out by directly employed staff (ie., undertaken by sub-contractors and agency staff) and how will you manage these operations. [1 Sub-criterion]
- 4.2 Please provide a statement on how your Company will assess the correct employment status of a worker in order to comply with Inland Revenue Principles as explained in Leaflet IR148/CA69 "Are your workers employed or self-employed" [1 Sub-criterion]
- 4.3 How will you ensure that your sub-contractors comply with the requirements and obligations of the Contract. [1 Sub-criterion]

*Total Number of Sub-Criteria for Section 4.0= 3*

#### **5.0 ESTIMATES, MEASUREMENT AND VALUATIONS**

- 5.1 What resources will you engage on this Contract to provide the estimates required for agreement with the Council's External Quantity Surveyor prior to the Order being placed. [1 Sub-criterion]
- 5.2 How will you obtain sub-contract quotes for scaffolding or other means of access. [1 Sub-criterion]
- 5.3 How will you ensure the accuracy of your submitted measurement and valuation of orders for the External Quantity Surveyor to check. [1 Sub-criterion]
- 5.4 How will you work with the Project Team and Consultant Quantity Surveyor to provide effective cost planning and outturn cost forecasting. [1 Sub-criterion]

*Total Number of Sub-Criteria for Section 5.0 = 4*

#### **6.0 QUALITY CONTROL**

- 6.1 How will you prevent problems such as operatives failing to wash down and prepare paintwork adequately before commencing painting or painting an opening window in its closed position. [1 Sub-criterion]
- 6.2 What procedures will you put into place to ensure snagging items are kept to minimum levels with a view to targeting zero defects. [1 Sub-criterion]
- 6.3 How will you exercise quality control over your operatives and sub-contractors. [1 Sub-criterion]

- 6.4 Please give details of the person(s) who would be responsible for the quality standards for this Contract, including relevant qualifications and experience. [1 Sub-criterion]
- 6.5 Please provide details of how you will carry out snagging before offering the works to the Contract Administrator as complete and free from defects. [1 Sub-criterion]

Total Number of Sub-Criteria for Section 6.0 = 5

## 7 PLANNING, PROGRAMMING AND RESOURCING THE WORKS

- 7.1 How will you plan and programme the works once the scope of the Order has been issued to you. [1 Sub-criterion]
- 7.2 What measures will you put into place to try and ensure the Order is completed within the period previously agreed between yourself and the Contract Administrator. [1 Sub-criterion]
- 7.3 How will you ensure the Contract Administrator and residents are kept advised of actual progress and avoid unexpected delays or overly optimistic and unrealistic promises on completion dates towards the end of the works. [1 Sub-criterion]
- 7.4 How will you provide the Employer / Tenants with an “after sales service” in the operation / maintenance of the completed works. [1 Sub-criterion]

Total Number of Sub-Criteria for Section 7.0 = 4

## EVALUATION OF CONTRACTOR'S PROPOSALS

- 1.1 The quality assessments will be on the basis of the Contractor's submitted proposals produced in response to the Council's Method & Resources Requirements.
- 1.2 The Council recognises that some elements of the evaluation criteria are more extensive than others in terms of the Council's objectives and the Contractor's performance. The weightings to be utilised are as indicated in the Table below, which also indicates the number of sub-criteria for each Section. Each sub-criterion within the same Section has equal weighting:-

	Section	Item Weighting
<b>1.0</b>	<b>Management Structure and Resources</b>	
	Contractors team skill, qualifications and experience Total no of Sub-criteria - 2	5
<b>2.0</b>	<b>Customer Care</b>	

	Care of residents during the works Total no of Sub-criteria – 9	25
<b>3.0</b>	<b>Health and Safety</b>	
	Company procedures and resources to CDM requirements Total no of Sub-criteria – 7	5
<b>4.0</b>	<b>Proposals for Dealing with Sub-Contracting</b>	
	Sub-contracting generally and control of Sub-Contractors Total no of Sub-criteria – 3	20
<b>5.0</b>	<b>Estimates and Valuations</b>	
	Estimates, measurement and valuation of works and agreement with Quantity Surveyor as projects proceed Total no of Sub-criteria – 4	10
<b>6.0</b>	<b>Quality Control</b>	
	Procedures for control of quality in order to target towards zero defects Total no of Sub-criteria – 5	25
<b>7.0</b>	<b>Planning, Programming and Resourcing of Works</b>	
	Proposals generally for ensuring order are delivered on time Total no of Sub-criteria - 4	10
	<b>TOTAL:</b>	<b>100</b>

- 1.3 Each Sub-criteria to be scored out of 5 on the basis set out in the Table below. All questions will be scored by 3 markers who will jointly agree a single score for each sub-criteria.
- 1.4 The total sum of the scores awarded for each sub-criterion for each Section shall be divided by the total available score for each Section, multiplied by the weighting factor and then multiplied by 100. The weighted scores for each Section will be added together to provide a score out of 100. Neither the individual Section weighted scores nor the overall total shall be rounded up or down.
- 1.5 The Scoring Matrix template has been provided within these tender documents (with Contractor 1 having been awarded maximum points for all Sections for illustrative purposes).

Excellent	Meets all criteria in a full and comprehensive manner and exceeds some requirements.	5 points
Good	Generally meets the requirements of the criteria to the satisfaction of the Council.	4 points
Satisfactory	Satisfactory, but with aspects which give	3 points

	the Council concern because either the responses are incomplete, or differ from Council on the requirement necessary to meet the criteria.	
Poor	Indications that the response meets some of the requirements but either the Council has serious doubts about aspects of the response, or inadequate information has been provided.	2 points
Unacceptable	The response given is unsatisfactory as it fails to address the question.	1 point
	No information provided.	0 points

**1.6 An overall score of 60 or more will be required to meet the minimum quality standard. The minimum quality standard will also not be met should a Contractor not achieve an average score of at least 3 for each Section (ie total score achieved for the Section divided by the number of Sub-criteria for that Section must equal 3 or greater)**

## **SECTION 4**

### **PRELIMINARIES AND GENERAL MATTERS**



## **SECTION 4**

### **PRELIMINARIES AND GENERAL MATTERS**

#### **INDEX**

#### **CLAUSES AND SUBJECTS**

1.00	Employer
2.00	Location
3.00	Access
4.00	Description of the Works
5.00	Scaffolding and Access Systems
6.00	London Housing Consortium
7.00	Contract Progress Meetings
8.00	Order Specific Meetings with Residents
9.00	Contractor to Execute Work at Contract Rates
10.00	Works Specified
11.00	Completion of the Works
12.00	Hours of Work
13.00	Identification
14.00	Code of Practice for Contracts involving Works on Council Properties
15.00	Protect and Remove Furniture
16.00	Protection of Persons and Property
17.00	Security of Unoccupied Premises
18.00	Access and Abortive Calls
19.00	Prevention of Trespass
20.00	Protection of Existing and Adjoining Building etc.
21.00	Liaison with Other Contractors
22.00	Where Schedule of Rates not Applicable
23.00	Daywork
24.00	Unsatisfactory Work
25.00	Opening up and Inspection of Completed Works
26.00	Contractor to Provide all Materials, Plant, Labour etc.
27.00	Condemned Materials

28.00	Credit for Materials
29.00	Asbestos
30.00	Carriage, Transport, Freightage etc.
31.00	Statutory Obligations
32.00	Health & Safety at Work Act
33.00	Scaffolding, Trestles, Hoardings, Barriers, Ladders etc.
34.00	Watching, Lighting Notices, and Fees
35.00	Location of Existing Services
36.00	Existing Services to be Maintained
37.00	Lighting and Power
38.00	Water for Works
39.00	Contractors Personnel
40.00	Meetings
41.00	Survey/Setting Out
42.00	Removal of Debris and Rubbish
43.00	Builders Skips
44.00	Protection of Gardens
45.00	Illegal Parking
46.00	Advertising
47.00	Advertising
48.00	Construction (Design & Management) Regulations 2007
49.00	Noise Control
50.00	Provision of Resident Liaison Officer

## **PRELIMINARIES/GENERAL MATTERS**

The Preliminaries/General Conditions of the National Schedule of Rates shall apply but as amended by the following. Should a conflict occur between the National Schedule of Rates then the following amendments shall prevail.:-

### **1.00 Employer**

1.01 The Employer is the Mayor & Burgesses of the London Borough of Hammersmith & Fulham, Town Hall, King Street, London W6 9JU.

### **2.00 Location**

2.01 The sites are situated within the London Borough of Hammersmith & Fulham.

### **3.00 Access**

3.01 Access to dwellings (including to facilitate the opening of windows and doors) shall be the responsibility of the Contractor. At least 14 days' written notice shall be given to residents, see also Appendix G.

### **4.00 Description of the Work**

4.01 Cyclical Planned Maintenance works to the external and communal areas of occupied housing dwellings. Properties may be single dwellings or multiple flats within Estates or Blocks. Properties may be low, medium or high rise.

The works include pre-decoration repairs, redecoration works, general repairs, replacement and maintenance to the external fabric of the buildings including windows, doors, roofs, walkways, external walls, cladding and communal areas. Works to communal areas to also include the testing and repair/upgrading/replacement of electrical installations and other services. External paving areas, roadways, fencing, gates, outbuildings are also included.

Painting works to woodwork and external surfaces are to be completed to very high standards.

### **5.00 Scaffolding and Access Systems**

5.01 The provision of scaffolding, towers or mobile towers to provide working platforms greater than 1.5m in height will be valued on the basis of a minimum of three quotations from domestic sub-contractors (see Part 1 Page 1/34 Item 4 of the National Schedule of Rates 2011/2012 plus an allowance for contractors profit, overheads, attendance and cash discounts all in accordance with the National Schedule of Rates Part 1 Pages 1/9 and 1/10.

The Council's portfolio of properties include street based, low, medium and high rise dwellings. Where external operations are to be carried out from scaffolding or other methods of access above a height of 10 metres above ground level, a percentage addition will be added to the rates within the National Schedule of Rates 2011/2012, as detailed in Part 1 Pages 1/19 and 1/20 of that Schedule.

### **6.00 London Housing Consortium**

6.01 The Council may also under the Contract require work to be carried out by sub-contractors via the LHC Bulk Quotation Arrangement. The Contractor will be paid an allowance for profit, overheads, attendance and cash discounts, all in accordance with the National Schedule of Rates Part 1 Pages 1/9 and 1/10.

### **7.00 Contract Progress Meetings**

7.01 The Contractor's key personnel are to attend monthly progress meetings to discuss all of the Orders under the Contract. These meetings to be held with the Contract Administrator and other Council Officers and the Quantity Surveyor. The Contractor shall also attend monthly progress meetings with tenants and leaseholder forums to discuss all the works within the contract area. These meetings will be in the evening and may include site visits beforehand to inspect the Contractor's work.

## **8.00 Order Specific Meetings with Residents**

### **8.01 Prior to Commencement**

- 8.1.1 Contractors key project personnel (eg., Contract Manager and Site Agent) to attend a Pre-Commencement Evening Meeting with all residents, arranged by the Contract Administrator - to introduce the Contractor, explain the works, programme, start and completion dates, limits on hours of working each day, weekend working, how residents will be affected, access arrangements, and complaints, maintenance of security to the Estate, use of lifts, workmanship and materials, management of Health & Safety, etc.
- 8.1.2 Notes from this meeting will be written up by the Resident Liaison officer and issued to all residents together with contractor's relevant contact names and their telephone numbers, within 3 working days of the meeting.
- 8.1.3 On certain smaller estates or street based properties as directed by the Contract Administrator, the above process may be replaced by the production of a newsletter to all affected properties. This newsletter to be produced and distributed by the Resident Liaison Officer. The wording and content of the newsletter to be agreed by the Contract Administrator.

### **8.02 During the Works**

- 8.2.1 Contractors key project personnel (eg., Contract Manager and Site Agent) to attend a daytime walk round the site, arranged by the Contract Administrator, with Tenant and Leaseholder representatives - to check adequate provision of, contractors site facilities, complaints book, sample ID badges and inspection of test panels and other relevant site matters.
- 8.2.2 Contractors key project personnel (eg., Contract Manager, Site Agent and Resident Liaison Officer) to attend a regular (monthly) evening meetings with Tenants and Leaseholders, arranged by the Contract Administrator - these meetings are to consider; contractor's progress report, programme, any operational matters arising from the works, complaints received and action taken, Health & Safety matters etc.

### **8.03 At the Completion of the Works**

- 8.3.1 Contractors key project personnel (eg., Contract Manager and Site Agent) to attend a completion daytime walk around the site, arranged by the Contract Administrator with the Residents representatives - to check the quality of work carried out, site being left clean and cleared of all builders material, equipment, debris etc., and to check any other relevant site matters.
- 8.3.2 Contractors key project personnel (eg., Contract Manager and Site Agent) to attend a project completion evening meeting with all Tenants and Leaseholders, arranged by the Contract Administrator - to discuss the completion of the works with the Tenants and Leaseholders and to make sure that all complaints have been dealt with.

## **9.00 Contractor to Execute Work at Contract Rates**

- 9.01 In consideration of payments to be made by the Employer to the Contractor in the manner and subject as hereinafter mentioned calculated in accordance with the rates set forth in the Schedule of Rates attached hereto together with the Percentage Adjustment "A" tendered by the Contractor and which have been accepted by the Employer. The Contractor shall perform, provide and execute all the Works, materials, matters and things as shall be ordered from time to time during the continuance of this Contract by the Contract Administrator as described or referred to in the Contract Documents and complete the same to the entire satisfaction of the Contract Administrator and shall perform and observe all the provisions of the Contract and Schedules hereto which on the Contractor's part are to be performed and observed.

The rates contained in the Schedule of Rates shall be deemed to be fully inclusive of all items listed below:

- a) Labour and all costs in connection therewith (including travel time)
- b) The supply of materials and goods, storage and all costs in connection therewith, including waste and delivery to site
- c) Plant, tools and all costs in connection therewith

- d) Fixing, erecting and installing or placing of materials and goods in position
- e) All temporary works and reinstatements except scaffolding and other means of access to provide working platforms above 1.5m from ground level.
- f) The effect on the phasing of the Work, of alterations and additions to existing services, of all statutory undertakings required for the Work
- g) All general obligations, liabilities and risks involved in the execution of the Work set forth or implied in this Contract
- h) Establishment charges, overheads and profit
- j) Supervision, transport and provision of Depots
- k) Supply of water for the use in the Works, including all necessary plumbing and removal of same on completion and pay any water companies fees in connection therewith.

The Contractor shall provide clean, fresh water for the execution of the Works, together with necessary receptacles and plumbing, alter as required and clear away at completion and make good all work disturbed. The Contractor shall give due notice to the local water undertaker and shall pay all charges. He shall make approved connection to the mains at such points as directed by the Contract Administrator.

- l) The supply of temporary artificial lights and electrical power or gas facilities where such are required for the Contractor's use or the Sub-Contractor's use and pay all costs and charges in connection and for power consumed.

The Contractor shall be responsible for the supply of electricity and gas and shall pay all reasonable charges.

- m) The temporary disconnection and protection of telephone installations including repositioning to maintain services, release wires prior to repairs and redecoration's and reconnect, reinstate and make good to works disturbed and pay all costs and charges
- n) The temporary disconnection and protection of television aerials, (excluding satellite dishes) and repositioning to maintain services, release wires or cables prior to repairs or redecoration and reconnect, reinstate on completion and make good to works disturbed and pay all costs and charges
- p) The removal of fittings to be replaced and other work necessary to provide access to pipes or other things to be repaired or renewed, inclusive of the removal and subsequent refitting of all duct access panels, floorboards and shelving to cupboards and the making good of all damage and touching up decorations to match such existing work and surfaces
- r) The temporary removal and reinstatement of all floor coverings, carpets and the like including making good all damage and touching up of decorations to match existing. The taking of Schedules of Conditions and photographs to record the situation in dwellings.
- s) The temporary set aside of net curtaining and the like and the subsequent re-hanging thereof.

9.02 In certain circumstances the Contract Administrator may require the Contractor to undertake certain Works in other Areas administered by the Employer to that for which the Contract has been awarded save that when such Work is so ordered the Contractor shall carry out and complete the Works in accordance with the terms and conditions of this Contract.

9.03 The successful Contractor should not consider that he has sole agency rights to all external redecoration and repair work undertaken by the Employer and that the Employer may, at its sole discretion, issue instructions to other Contractors to carry out work in or on properties the responsibility of the Employer.

## **10.00 Works Specified**

10.01 The properties the subject of an Order will not normally have been the subject of detailed pre-inspection by the Contract Administrator and therefore the Contractor will usually only be given an indicative notification of the Work required.

A specification outlining the work to be carried out to each property or series of properties (eg., a block or an estate) will be issued to the Contractor. A joint measure on site will be carried out with the Contractor, the Contract Administrator and the Council's appointed Quantity Surveyor. An estimate for the proposed works will be prepared by the Contractor including any sub-contractor quotes (ie., mainly scaffolding or specialist contractors), to be agreed by the Quantity Surveyor. This estimate may be subject to alteration by increasing or decreasing the scope of works in order to meet the budget.

The Order will then be placed with the Contractor and the works commenced. The Contractor will then re-measure the works completed for checking/agreement by the Quantity Surveyor who will then issue valuations. Monthly interim payments will be made.

- 10.02 The Contractor must acquaint and satisfy himself with all conditions likely to affect the execution of any of the Works, including the types, construction and location of the dwellings and buildings, as no claim by the Contractor for additional payment shall be allowed on the grounds of any misunderstanding, or ignorance due to lack of knowledge of local conditions, regulations or requirements on which the Works are to be executed.
- 10.03 The Contractor shall at all times employ sufficient labour and supply materials and suitable and sufficient plant and equipment to ensure that all Works are started and completed within the Period detailed on the Order to the entire satisfaction of the Contract Administrator.
- 10.04 The Contractor will be required to satisfactorily complete all Works specified on or before the date detailed on the Order. The time period for the works shall be agreed between the Contractor and Contract Administrator before the Order is confirmed. Should such an agreement not be made the Contract Administrator reserves the right to impose what he considers to be a fair and reasonable time after taking into consideration any representation by the Contractor.
- 10.05 The Employer reserves the right to omit any Works at any time.

No charge shall be made by the Contractor if Works are omitted before work has commenced.

#### 10.06 Communications

10..6.1 The Contractor is to ensure that his Foreman in charge can be contacted by means of mobile phone or other form of communication approved by the Contract Administrator during all normal working hours and that the Contractor can contact his operatives during all normal working hours.

3.6.2 The Contractor shall upon commencement of the Contract provide the Contract Administrator with the name(s) and the telephone number(s) of the Contractor's staff who would be available outside of normal working hours for the purposes of receiving urgent or emergency instructions relating to the execution of the works.

3.6.3 The costs of complying with these communication requirements are deemed to be included in the rates contained within the Schedule of Rates together with the Percentage Adjustment thereto.

#### **10.07 The Contractor should note that due to variations in the amount of work available at any one time it is not possible to guarantee continuity of work.**

#### **11.00 Completion of the Works**

11.01 The Contractor is to note that the Employer will have a Tenants and Leaseholder Satisfaction System operational during the currency of the Contract. This is likely to take the form of a questionnaire to be delivered to each resident by the Resident Liaison Officer and returned direct to the Contract Administrator in a pre-paid envelope supplied by the Employers. The contractor shall allow for compiling and submitting to the Contract Administrator, benchmarking data in accordance with the standard Industry KPI.s No additional cost will be allowed for complying with all reasonable requirements of such schemes.

11.02 The Resident Liaison Officer shall provide full details of the Tenants and Leaseholder Satisfaction System returns to the Contract Administrator.

11.03 The Tenant and Leaseholder Satisfaction System shall be operated as part of the handover procedure (this may be carried out as individual elements of work are completed within an overall Order). The satisfaction survey may identify work requiring remedial action by the Contractor, which shall be completed before handover of the works.

- 11.04 Any or all of the Works may be subject to inspection by the Contract Administrator with other Officers of the Council, leaseholders, tenants or other representatives in attendance, who will be permitted to give an opinion on the quality of the works, and the Contractor will be required to attend the place of inspection, if so requested.
- 11.05 The Contractor shall leave the Work complete and in a clean sound and perfect condition, and during the execution of the works and at completion shall clear away all rubbish and make good at his own expense to the satisfaction of the Contract Administrator, any damage which may have been caused to any property of the Employer by his employees.

## **12.00 Hours of Work**

- 12.01 The Contractor may generally carry out Work (except to Sheltered Accommodation) between the hours of 8.00am - 6.00pm Monday to Friday and 8.00am - 12 noon on Saturday. Work before or after these times may only be carried out with the prior written approval of the Contract Administrator. The contractor shall not undertake noisy operations before 9.00am.
- 12.02 The Contractor shall not be permitted to carry out Work after 12 noon Saturday or all day Sundays and Public and Bank Holidays with the exception of Works of an emergency nature and with the prior written approval of the Contract Administrator.
- 12.03 The Employer will not be liable for extra payments of monies in the event of overtime worked.
- 12.04 The Contractor is to note that Work to Sheltered Accommodation may be the subject of special timing and methods of working to comply with the occupier's requirements and the Contractor shall make all necessary allowances within his tender for any extra costs that compliance with this obligation may incur.

## **13.00 Identification**

- 13.01 The Contractor shall supply to all working personnel employed upon the Works including Sub-Contractors with a form of identification card approved by the Contract Administrator which will contain the following details:-
- a) Photograph of operative
  - b) Operative's name
  - c) Contractor's name, address and telephone number
  - d) Expiry date of card
- 13.02 The Identification Cards shall be worn at all times by all operatives including those of sub-contractors whilst on site.
- 13.03 The Contractor will be required to ensure that all identification cards so issued are returned to the Contractor on the expiration of the Contract or on the occasion of an operative leaving his employment.
- 13.04 Failure to return an Identification Card or a lost or mislaid Identification Card may result in the requirement to reissue new identification cards of a different design to all Operatives under the Contractor's control.
- 13.05 All vehicles used by operatives employed by the Contractor or Sub-Contractors in carrying out the Works under this Contract shall clearly and permanently bear the Contractor's name on them irrespective of ownership. The Contractor will be required to submit before the commencement of the Contract, a list of his vehicles together with their registration numbers, to be used on the Contract and this list is to be updated when changes in vehicles arise.
- 13.06 All the operatives employed by the Contractor or Sub-Contractor's shall at all times wear clean overalls, clearly and permanently bearing the Contractor's name, address and telephone number on them to the approval of the Contract Administrator.

## **14.00 Code of Practice for Contracts involving Works on Council Properties**

- 14.01 The Code of Practice in Appendix D shall be complied with by the Contractor.

14.02 The contractor's attention is drawn to Appendix J 'Additional Clauses for Housing Projects' with which the contractor shall be required to comply.

14.03 The Contractor should be aware that properties may be occupied by elderly, frail or ill tenants and should therefore take due care and consideration in the execution of the Works and the rates in the Schedule of Rates together with the Percentage Adjustment thereto are deemed to allow for any extra costs this may occur.

#### **15.00 Protect and Remove Furniture**

15.01 All furniture, fittings, apparatus, carpets and the like shall be carefully moved by the Contractor as necessary to enable the execution of the Work to be carried out.

15.02 The Contractor shall properly cover such furniture, fittings, apparatus, carpets and the like with spot cloths and protect them from dirt and splashes and at completion of the Works, replace and refit all such furniture, fittings, apparatus, carpets or the like in their original positions, to the tenants' or leaseholders satisfaction.

15.03 The Contractor shall agree the extent of the removal of carpets, furniture, etc with the tenant or leaseholder, and the conditions of such carpets, furniture etc., before commencing the Works. Failure to agree the extent of removal and condition is to be reported to the Contract Administrator.

15.04 Any claims for damage to any tenants' property are to be settled directly between the tenant(s) or leaseholder(s) and the Contractor. The Employer shall not entertain any claim from any party for damage or loss to tenants' or leaseholders' property.

15.05 The rates in the Schedule of Rates together with the Percentage Adjustment "A" thereto are deemed to allow for all costs that may arise in complying with Clause 15.00, including taking Schedules of Conditions or photographic records.

#### **16.00 Protection of Persons and Property**

16.01 The Contractor will take every precaution whilst carrying out the works to ensure the safety of the general public, Employer's staff and other persons likely to be affected by his operations, and in particular comply with the requirements of the Office, Shops and Railway Act 1963, the Factories Act 1961, Construction Regulation 1961 and 1966, Health and Safety at Work Act 1974, the Management of Health and Safety at Work Regulations 1992 etc., and subsequent amendments and re-enactments thereto and all other relevant legislation.

#### **17.00 Security of Unoccupied Premises**

17.01 The Contractor will be responsible for securing upon the completion of the Works or whilst the premises are unattended or at the end of each working day the doors and windows of unoccupied or unattended premises including the reinstatement of temporary door and window coverings as necessary. The cost of undertaking this work is deemed to be included in the rates contained in the Schedule of Rates and the Percentage Adjustment thereto.

#### **18.00 Access and Abortive Calls**

18.01 The Employer, its officers, employees, agents and contractors (including the Contractor and its Sub-Contractors) have no special right of access without the occupants' permission, and such rights of access include the opening of doors and windows and the carrying out of Works to boundaries or grounds of the Employer's Property.

18.02 The Contractor shall make his own arrangements with occupants for access to the individual properties for the purposes of inspection and/or carrying out the Works, but see Appendix G.

18.03 If the Contractor is unable to gain access, including the opening of windows or doors on his initial visit, he shall operate the procedure detailed Appendix G. No charge shall be made by the Contractor for this arrangement. The text/layout of the Contractors proposed cards or letters is to be agreed in advance by the Contract Administrator.

18.04 No payment will be allowed to the Contractor for Abortive Calls and all such costs are deemed to be included in the Schedule of Rates together with the Percentage Adjustment "A" thereto.



## **19.00 Prevention of Trespass**

- 19.01 No workman, scaffold or the like is to be allowed to trespass upon properties adjoining those included under the Contract. If the execution of Work requires that workmen must enter upon adjoining property, the necessary permission must be first obtained from the owner/leaseholder or tenant by the Contractor who is to see that these instructions are carried out. If the Contractor is unable to obtain such permission he is to inform the Authorised Officer who will endeavour to arrange access to the adjoining property.
- 19.02 The Contractor shall indemnify the Employer against any claim or action for damages on account of any trespass or other misconduct of his employees. Workmen will be allowed only into such parts of the site and buildings of the Employer's stock as may be necessary to execute the Works from time to time ordered hereunder.

## **20.00 Protection of Existing and Adjoining Building etc.**

- 20.01 The Contractor shall suffer nothing to be done that is liable to injure the stability of existing buildings or any portion thereof, boundary walls, fences or railings. The Contractor will be held responsible for all damage arising through carelessness or inadvertence in this respect. Every effort is to be taken by the Contractor to avoid damage to gardens and trees and the Work is to be carried out so as to cause the minimum of interference to the persons occupying or using the existing or adjacent or adjoining premises.

## **21.00 Liaison with Other Contractors**

- 21.01 The Contractor is to note that other repair works may be carried out concurrently with this Contract and the Contractor is to allow for working in conjunction with and liaising with the Employer and any other contractor. Any costs incurred in complying with this requirement are deemed to be included in the Schedule of Rates and the Contractor's Percentage Adjustment thereto.

## **22.00 Where Schedule Rates not Applicable**

- 22.01 If any Work is instructed to be executed for which no tendered rates or prices are contained in the said Schedule of Rates, the value shall be based on the items therein most nearly conforming with the description of such Work, or as may be agreed.
- 22.02 In the case of proposed Work which cannot be valued under specific items in the said Schedule of Rates either directly or indirectly as provided above, the Contract Administrator may require the Contractor to furnish a price or prices thereof, or the Contract Administrator may, if it thinks fit, employ other tradesmen or contractors to execute such Work.
- 22.03 The Contract Administrator reserves the right to delete items from the Schedule of Rates as is deemed appropriate and no claim for any additional costs arising from the deleting of such items will be allowed by the Contract Administrator.
- 22.04 The Contract Administrator may require the inclusion of additional items within the Schedule of Rates and in such situations the Employer will identify the items and either pre-price these or request a price from the Contractor for negotiation, agreement and inclusion in the Schedule of Rates.

In all cases the Contract Administrator 's decision on the Schedule of Rates prices will be absolute and final and the Contractor will be duly bound to undertake and complete all such Works so ordered under the terms and conditions of this Contract.

## **23.00 Daywork**

- 23.01 The Contract Administrator may instruct Work which cannot be valued under the Schedule of Rates to be carried out as Daywork. Prior written instruction must be received from the Contract Administrator before any Dayworks are carried out by the Contractor.
- 23.02 The Contract Administrator will specify on the particular Works Order for the Daywork, the maximum number of hours permissible for that Work. In the event that these hours are likely to be exceeded, the Contractor, shall, before expending any extra hours on the Work, obtain a variation order in writing from the Contract Administrator. The Contractor shall in all cases expedite this procedure in order to prevent any delay to the completion of the Works.

23.03 The Contractor will submit to the Contract Administrator at the end of the week in which the Daywork was carried out daily time sheets detailing the hours of all labour, and costs of materials and plant. The Contract Administrator if he is satisfied with the records so submitted, will endorse his signature thereupon and payment will be made in accordance with the provisions of the Contract.

23.04 The Contractor must provide supporting invoices to the Contract Administrator for materials and plant used in the execution of Daywork.

#### **24.00 Unsatisfactory Work**

24.01 If the Contractor shall fail to remove or make good any defective or unsatisfactory Work when ordered to do so by the Contract Administrator, the Employer shall have power to take the Work out of the Contractor's hands and cause the Work to be completed and/or make good the unsatisfactory Work and may offset, from any money due to the Contractor, the full amount of any costs incurred in so doing including the Employer's administration costs. No payment will be made for such unsatisfactory Work.

24.02 The Contractor shall ensure that all defects/faulty workmanship of whatever nature is corrected at the Contractor's sole expense to the entire satisfaction of the Contract Administrator.

#### **25.00 Opening up and Inspection of Completed Works**

25.01 The Contract Administrator may require the opening up for inspection of completed Works. In this event the Contractor will be responsible for arranging for such Works, having the Contract Administrator or Authorised Officer in attendance and the making good thereto. If the Works are satisfactory the Contractor will be paid at the rates contained in the Schedule of Rates and tendered Percentage Adjustment thereto. Should the Work prove to be not in accordance with the Contract, the Contractor must bear all costs incurred in replacing unsatisfactory work, including all such "opening up" and inspection" costs.

#### **26.00 Contractor to provide all Materials, Plant, Labour etc**

26.01 The Contractor shall provide and bear the expense of all materials, plant, labour, matters and things of every description that may be a prerequisite for properly executing the Works. The Contractor's provision of these items is deemed to be included in the Schedule of Rates, and the Contractor's Percentage Adjustment thereto.

26.02 All materials to be used shall be new materials (unless otherwise specified) and in accordance with the Specification and standards set out in the Contract.

The goods supplied shall be of quality or sort specified in the order and where so required equal in every respect to the Employer's standard patterns and/or specification or to samples submitted and approved. Where an appropriate British Standard Specification or British Standard Code of Practice issued by the British Standards Institution is current at the date of this Contract then all goods and materials used or supplied hereunder and all workmanship in execution of the Contract shall be in accordance with that standard unless a higher standard is specified in the Contract.

26.03 The Contractor must make adequate provision for holding stock of material and plant in the operational areas, together with having sufficient labour of all trades to meet the requirements of the Employer in accordance with the Contract. The Contractor should note that there will be no storage facilities available on site and that materials and equipment are therefore not to be left on site, but to be removed at the end of each working day and upon completion of the Works.

26.04 The Contract Administrator may require any materials or completed Work to be tested by an independent body. In this event the Contractor will be responsible for arranging for such tests and if they are satisfactory, he will be paid the cost of such tests. Should the tests prove the materials or work not to be in accordance with the Contract, the Contractor must bear all costs incurred in connection with the tests and replacing unsatisfactory materials or Works.

#### **27.00 Condemned Materials**

27.01 Should any materials be brought upon the sites which the Contract Administrator shall decide to be of an inferior quality or description or improper to be used in the Works, the same shall be removed entirely away from the site within 24 hours after instructions to that effect shall have been given by the Contract Administrator and other fit and proper materials shall be supplied by the Contractor with all possible despatch in place of those rejected; and in cases of con-compliance with any such orders the Contract Administrator

may cause the said inferior or improper materials to be taken away or otherwise dealt with as rubbish without any payment or compensation to the Contractor for the same and the Contractor shall on demand pay to the Employer the expenses incurred by the Employer in so doing, the amount of such expense to be certified by the Contract Administrator. For all purposes of this Clause, the decisions, orders or certificate of the Contract Administrator shall be absolute and final.

#### **28.00 Credit for Materials**

28.01 All old lead, copper or other second hand materials or other articles or materials remaining after the execution of the Works, which are not required to be removed to the Employer's store are to become the property of the Contractor.

#### **29.00 Asbestos**

29.01 Where any Work under this contract involves the handling or disturbance of materials containing asbestos the Contractor shall comply with all relevant existing or subsequent legislation, including the Hazardous Materials Act 1990, Codes of Practice and guidance notes issued by the Health & Safety Executive.

29.02 If during the course of any Work the Contractor discovers the presence of materials suspected or known to contain asbestos he must immediately cease Work and notify the Contract Administrator.

29.03 Whilst ceasing Work immediately the Contractor must nevertheless ensure the Works are left in a safe and satisfactory condition and that no danger and as little inconvenience as possible to the tenant or occupier results.

29.04 Asbestos material waste is to be disposed of only in an approved manner and at an approved disposal point.

#### **30.00 Carriage, Transport, Freightage etc.**

30.01 The rates contained within the Schedule of Rates together with the Percentage Adjustment "A" thereto are deemed to include the cost of all carriage, transport and freightage and whatever else may be required for the proper and efficient execution and completion of the Work.

#### **31.00 Statutory Obligations**

31.01 The Contractor shall comply with, and give all notices required by any Act of Parliament, any instrument rule or order made under any Act of Parliament, and in particular with the requirements of the Factories Acts, Health and Safety at Work Act 1974, the Management of Health and Safety at Work Regulations 1992 etc., subsequent amendments or re-enactments thereto, and with the regulations made thereunder, in relation to all Work to be executed under the Contract.

#### **32.00 Health and Safety at Work Act**

32.01 The Contractor shall, without prejudice to any other statutory requirements, comply with and maintain welfare and safety measures up to the standard outlined in the current editions of the Construction Regulations 1961 and 1966 in respect of General Provisions, Lifting Operations, Working Place, Health and Welfare and, where applicable, the Offices Shops and Railways Premises Act 1963 and the Factories Act 1961. The provisions of the Health and Safety at Work Act 1974, the Management of Health and Safety at Work Regulations 1999 etc., subsequent amendments and re-enactments thereto, and any regulations made under the Act are to be fully complied with by the Contractor, his Sub-Contractors and by their employees.

32.02 The Contractor shall produce, prior to the commencement of the Works, a copy of the Statements of Safety Policy issued by the Contractor to his or its Supervisors and employees in respect of construction and maintenance works and undertake to supply copies of all subsequent amendments or additions thereto to the Contract Administrator.

32.03 An assessment of all potential hazards shall be made by the Contractor prior to commencement of work and be regularly reviewed thereafter seeking the advice of the appropriate enforcing authority (Health and Safety Executive, Environmental Health Officer, etc.,) as necessary.

32.04 In addition the Contractor in compliance with Statutory Requirements is to use products, methods of work and protective measures which will minimise health and safety hazards.

Certain Works may be 'notifiable' as defined in the Construction (Design and Management) Regulations 2007. Individual Orders considered to be notifiable will be so stated and will be accompanied if applicable by supplementary Health and Safety Information as follows:

- 32.4.1 Description of the nature of the project including name(s) of designer/design team, location of the site, description of construction works, description of existing building and timescale for completion of the Works on site.
- 32.4.2 Description of the existing environment including land use adjacent to the building of the site, surrounding land use, existing services, existing traffic systems and ground conditions.
- 32.4.3 Existing drawings.
- 32.4.4 Description of the design including detailed Method Statement requirements of the Principal Contractor's construction phase Health and Safety Plan.

*The Contractor is to receive the written approval of the Coordinating Consultant to the Contractor's Health and Safety Plan before proceeding with the undertaking of any Works subject to the Construction (Design and Management) Regulations 2007, unless the Coordinating Consultant and the Contract Administrator consider that any delay in implementing the requirements of the Works may affect the health and safety of the Tenants and/or the General Public and/or the structural stability and integrity of the Employer's Property or any adjacent property thereto, in which event, verbal approval may be given to the Contractor's Health and Safety Plan.*

- 32.4.5 Description of potentially hazardous construction material included in the design of the works.
- 32.4.6 Description of site wide elements of the design including hazards regarding transporting materials, locations of temporary accommodation, traffic/pedestrian routes and services supplies.
- 32.4.7 Details of overlap with Client requirements including parking arrangements, differing working hours and further hazards regarding the occupied premises.

#### 32.05 Occupied Estates/Schemes or Premises (General)

When working in or on occupied estates/schemes or premises, the Contractor shall provide for the efficient protection of the Public, including Tenants, Residents, Employer's Staff and all other persons occupying or using the premises or adjoining premises, including unauthorised persons.

The Contractor shall take all necessary precautions to safeguard the health, safety and welfare of the public with particular attention to the matters detailed below. This is in addition to all common law and statutory obligations and other codes of practice on health and safety matters.

#### 32.06 Safeguarding Vehicular Access to Dwellings

The Contractor shall take all precautions to eliminate as far as possible the danger to the occupier or the public arising from the entry and exit of all vehicles to and from the site. This shall include, for the whole duration of the Works, efficient watching during the ingress and egress of all vehicles and efficient warning of movement of such vehicles to members of the public on the public highway and to persons within the site as necessary.

A notice to the following effect shall be displayed in a conspicuous position:

**'THIS ENTRANCE IS IN USE BY CONTRACTORS - CHILDREN AND THE PUBLIC ARE WARNED NOT TO USE IT'**

Where necessary alternative access must be provided in order to conform to the Safety Signs Regulations 1980, the notice should be in black lower case lettering at least 40mm high on a yellow or white background and be accompanied by the standard 'pedestrians prohibited' pictogram (red diagonal stripe through a walking man on a white background in a red bordered circle) and the standard general warning, 'caution, risk of danger' pictogram (black exclamation mark on a yellow background in a black bordered triangle). The Contractor shall also continuously clear away mud or debris including that deposited by vehicles on roads and paved areas outside the site area and reinstate paving damaged by vehicles to the satisfaction of the relevant highway authority.

#### 32.07 Excavations

Excavations shall be fenced by 1.8m. high narrow gauge 'Heras' fencing or similar and smaller excavations shall be appropriately and adequately shored and protected. Suitable warning notices shall be erected (see Provision of Warning Notices). Stop blocks or similar barriers will be necessary to stop wheeled vehicles from manoeuvring too close to the edge of excavations. In all cases the Contractor is to comply with all relevant British Standards, equivalent EC Regulations and CDM requirements relating to excavation work.

#### 32.08 Safeguarding Public Access to Parts of the Estate/Schemes

Those parts of the Estate/Schemes which must remain open to occupiers or the public shall be provided with proper footways, guardrails and other protective measures to ensure the safety of the occupiers or the public. The Contractor shall also provide and maintain temporary access facilities where necessary. Where scaffolding is erected over or adjacent to an entrance which is to remain in use, effective screen and fans shall be provided. The Contractor shall not block the access of occupiers or the public to estate roads, parking areas or pathways during the progress of the works. The Contractor shall continuously maintain existing access, or if necessary provide alternative access facilities to lifts, staircases, lobbies, hallways, corridors, refuse facilities, etc., and shall ensure that work within lobbies, corridors and stair areas proceeds in an orderly and safe manner. All reasonable steps are to be taken to ensure that the corridors, staircases, refuse chutes, intake cupboards or WC's are not obstructed with plant, materials etc.

Materials shall be distributed on a day to day basis with no localised storage. The Contractor shall remove all rubbish, plant, tools and materials from areas used by the public to a central storage point as Work proceeds and specifically at the end of each working day and at completion.

On no account shall refuse chutes, refuse chambers, intake cupboards or WC's be used for disposal of waste. Regularly, during the works and upon completion, the Contractor shall also properly clean floors, woodwork, steps, yards, clear out all channels, outlets, gutters, etc., and leave the whole of the Works in a clean sound and fit condition for occupation.

#### 32.09 Fire Hazard/Precautions

In addition to any fire precautions by the various Acts and Regulations, the Contractor shall ensure that all fire access routes are kept clear at all times. There shall be no storage of combustible materials within the building on levels other than ground level, other than materials required for use in the particular storey in which they are being placed. Where acetylene, oxygen, propane or other gas cylinders are stored on site, they must be kept in a ventilated security compound inaccessible to unauthorised persons.

The Contractor shall fix to this compound a prominently displayed sign reading 'Danger - Compressed Cylinders'. The sign must conform to the requirements 'Provision of Warning Notices'. No flammable liquids or compressed gases shall be kept within the building, except in such quantities as may reasonably be required for the day's work. Liquid propane gas is banned from all buildings over 5 storeys high.

Sufficiently adequately maintained fire extinguishers shall be provided according to circumstances. Before any Work is carried out using flame cutting equipment or gas torches etc., the Contractor shall arrange for the appropriate type(s) and size of fire extinguishers to be readily available at the site of the operation.

There will be no smoking on the site. There will be no burning of waste material or debris on site.

Take all necessary precautions to prevent personal injury, death, and damage to the Works or other property from the fire. Comply with Joint Code of Practice 'Fire Prevention on Construction Sites' 1992 published by the Building Employers Confederation, the Loss Prevention Council and the National Contractors Group.

#### 32.10 Provision of Warning Notices

The Contractor shall implement a system of sign posting to warn occupiers and the public of dangerous operations, plant and chemicals and of freshly applied materials.

All safety signs must conform to the Health and Safety (Safety Signs and Signals) Regulations 1996. Safety which involves the use of pictograms in four distinctive colours and shapes. These include warning signs which incorporate a pictogram in black on a yellow background inside a black bordered triangle.

For example, where flammable gases are used on site the Contractor shall provide and maintain a warning sign incorporating the flame motif and the words 'Flammable Gas' underneath. Such notices shall be securely fixed externally and prominently where flammable gas cylinders are stored.

The Contractor shall also provide the Contract Administrator with all relevant information on any dangerous noxious or offensive substance or process to be used or handled on site, which might present a risk to the health, safety or welfare of the public or persons visiting the site.

This information shall include details of the substance or process to be used, handled and the precautions and protective measures the Contractor intends to take.

Such information shall be provided at least 14 days before the substance or process is to be used or handled or immediately if such dangerous substance, e.g. asbestos is discovered unexpectedly. Any Work with asbestos must be undertaken in accordance with the Employer's Code of Practice for the Removal of Asbestos.

#### 32.11 Reporting of Accidents and Dangerous Occurrences

The Contractor shall make adequate arrangements for reporting accidents and dangerous occurrences as required by the notification of Accidents and Dangerous Occurrences Regulations 1980, RIDDOR 95 and any amendments, modifications or substitution of/for those Regulations. In addition, accidents and dangerous occurrences must be reported to the Contract Administrator.

#### 32.12 Safety of Children

Take all reasonable precautions to prevent injury to children by implementation of the measures set out in Guidance Note GS7 (June 1989) issued by the Health and Safety Executive published by HMSO AA (Ref. ISBM 001 8854 16X) which include the following:

- 32.12.1 Discouraging and preventing trespass including erecting an adequate perimeter fence.
- 32.12.2 Taking precautions where perimeter fence is, or is likely not to be effective or not possible.
- 32.12.3 Immobilising and making safe all vehicles and plant.
- 32.12.4 Erecting guarding to edges of excavations etc.
- 32.12.5 Stacking materials in a safe manner to prevent their easy displacement.
- 32.12.6 Preventing access to elevated areas.
- 32.12.7 Preventing access to electricity supplies and other sources of energy.
- 32.12.8 Preventing access to and safely storing hazardous materials.

#### 32.13 Spread of Infection

Where instructed to remove timber affected by fungal/insect attack from the building, do so in a way which will minimise the risk of infecting other parts of the building.

#### 32.14 Site Security Methodology

The Contractor's attention is drawn to the fact that the use of guard dogs will not be permitted.

The Contractor shall provide identity badges incorporating photographs for all personnel employed on the site. The Contractor shall be responsible for ensuring that such identification is worn at all times on the site. The Contractor shall keep a register of badges issued and ensure that the badges of work people who leave the Contractor's employ are surrendered. ID Badges are applicable to all Sub-Contractors and visitors.

#### 32.15 Continuing Liaison

The procedures for the health and safety implications of Contractor design elements of the Work must follow the recognised principals of prevention and protection and take into account issues highlighted in the plan. The detail of health and safety issues, risk assessments and hazards which cannot be designed out are to be submitted to the Co-ordinating Consultant, together with proposals for mitigation/ control; required during work time. All such information is to be submitted in sufficient time to allow adequate consideration by the Co-ordinating Consultant and where appropriate, the Designer.

The following action is to be taken in the event of unforeseen eventualities arising during work time; which require significant design changes or affect resources required:

- 32.15.1 The Co-ordinating Consultant is to be advised as soon as possible.
- 32.15.2 Details of the health and safety issues of the eventuality are to be submitted to the Co-ordinating Consultant as soon as possible.
- 32.15.3 Details of the redesign and its health and safety implication are to be submitted to the Co-ordinating Consultant for consideration and agreement in sufficient time to allow adequate consultation prior to the execution of the affected Works.

The Principal Contractor is to obtain from his Contractor's information which is required under CDM Regulation for inclusion in the Health and Safety File. This should be passed to the Co-ordinating Consultant throughout the course of the Contract.

The Principal Contractor shall notify the Contract Administrator and the Co-ordinating Consultant immediately in the event of any accidents or incidents of a notifiable nature in accordance with RIDDOR.

The Principal Contractor shall maintain in a prominent position a schedule containing addresses and telephone numbers for the following:

- 32.15.4 The nearest hospital with casualty facilities.
- 32.15.5 The Health and Safety Executive Local Office.

The Principal Contractor is to provide information to the Architect and/or Engineer on any variations from the drawings with sufficient detail to enable the preparation of as-built drawing for inclusion in the Health and Safety File.

A copy of all O & M Manuals of all specialist equipment are to be provided by the Principal Contractor to the Co-ordinating Consultant for inclusion in the Health and Safety File.

The Co-ordinating Consultant is to be advised of any variation from the materials specified in the Contract Documents.

#### 32.16 The Employer's Policy

Have full regard throughout the performance of the Contract for the safety of all persons who may be affected by the Contract and keep all sites, depots, plants, vehicles and machinery under control in an orderly and safe state and maintain at no cost to the Employer all lights, guards, fencing, warning signs or anything provided in the interests of health, safety and welfare in pursuance of the relevant statutory requirements and where necessary or required by the Contract Administrator or by any competent statutory or other authority for the protection or for the safety and convenience of the public or others.

Provide for all costs incurred in complying with all health, safety and welfare regulations required relating to all employees (including those employed by Named Sub-Contractors) employed during the execution of the Contract, or all persons who may be affected by the Contract.

Provide the Contract Administrator before the commencement of the Contract with a copy of your Company's Health and Safety Policy, together with Codes of Practice, Operational Guidelines, Provisions and Procedures (including those in connection with materials which may be deleterious) relating to all activities undertaken in connection with the Contract and provide such other information and documents which will require the compliance of the Employer or his representative when visiting the site. The Contractor's Policy Codes of Practice etc., will be expected to be in similar form to the Employer's, a copy of which is available if required.

Provide the Contract Administrator with copies of all method statements without which Work will not be allowed to commence.

Maintain at a local office or other locations agreed by the Contract Administrator, copies of all legislation, Codes of Practice, Guidance Notes, Rules, Regulations, Registers, Working Practices and Safety Policy relevant to the type of work undertaken, allow employees to use and refer to them and allow the Contract Administrator to inspect them at regular intervals.

Nominate person to be responsible for Health and Safety matters and notify the Contract Administrator of the name of that nominated person, together with details of recognised professional health and safety qualifications e.g. Member of the Institution of Occupational Safety and Health, Member of the International Institution of Risk and Safety Management or equivalent.

The Contract Administrator shall be empowered by written notice to suspend the progress of the Contract or any part thereof in the event of non compliance by the Contractor of Health and Safety requirements. The Contractor shall not resume performance of the Contract until the Contract Administrator gives written notice that the non compliance has been rectified.

Provides where possible and appropriate, an experienced Safety Supervisor shall be available on site at all times during the execution of the Contract.

The Contractor's Health and Safety Officer/Supervisor will carry out regular safety checks of the Contractor's operations during the Contract Period.

Provide the Contract Administrator with a copy of the Contractor's Health and Safety Officer's/ Supervisor's report within one week of each check, or at such time as the Contract Administrator may agree, together with comments on the action and timescale proposed for dealing with faults listed.

In the event of any accident to employees or public on the site, the Contractor shall immediately inform the Contract Administrator and shall supply the Contract Administrator with copies of reports, including F2508 1986/REV forms, in accordance with the Reporting of injuries, Diseases and Dangerous Occurrences Regulations 1985, within 7 days of the incident.

Inform the Contract Administrator on becoming aware of any prosecution or pending or likely prosecutions of the Contractor for any offence relating to the Health and Safety of his employees, third parties, or members of the public and any improvement or enforcement notices served on them by the HSE or other relevant parties, including health, safety and welfare, and provide the Contract Administrator with such further information and documents as he/she may require.

Take such steps as are necessary to ensure that operatives engaged upon the Contract, and those of Sub-Contractors so engaged are competent to carry out their respective tasks with due regard to the Contractor's obligations under the aforementioned Acts and other instruments, and in the interests of the health and safety of other persons engaged in, and all persons who may be affected by the said activities.

In pursuance of its duties under the Health and Safety at Work Act, an authorised member of the Employer's Safety Management Unit may make discretionary visits to the site in order to monitor Contractor's health and safety and welfare performance. These inspections will not relieve the Contractor of his responsibility for undertaking his own regular inspections.

### **33.00 Scaffolding, Trestles, Hoardings, Barriers, Ladders etc.**

#### **33.01 Access up to a Working Level 1.5m in Height**

The Contractor shall provide and bear the expense of:-

1. All necessary trestles, boards, scaffolding and the like up to a working height of 1.5m.
2. Scaffolding is to be erected in accordance with the requirements of the Safe Working Policy, and to comply with the requirements of BS EN 12811-1:2003.
3. All necessary temporary barriers, boardings and the like for safe and proper execution of the Works, for protecting the public and the occupants of adjoining premises and for meeting the requirements of any local or other Authority.

#### **33.02 Access above a Working Level 1.5m in Height**

Scaffolding or access required above 1.5m working height shall be via domestic sub-contractor quotes - see Clause 5.0 above.

The Contractor shall be required to place his sub-contract for scaffolding only with a Scaffolding firm approved by the Contract Administrator.



Where scaffolding above second storey eaves level is required for the Works, the Contractor will be required to submit an Engineers design to the Contract Administrator before the commencement of the Works and when the scaffolding, etc., has been erected, supply the Contract Administrator with a certificate from a Chartered Engineer indicating that the Works are in good condition and comply in all respect with all relevant Codes of Practice.

The Contractor shall allow for full access to buildings and thoroughfares to be maintained at all times. The Contractor shall obtain all necessary licences for scaffolding erected over public footpaths, etc., and provide all necessary lighting. All roads and footpaths are to be maintained in use. The Contractor is to allow for all necessary safety barriers, markers and signs for pedestrians and vehicles.

All ladders shall be removed from scaffolding at the end of each working day and at every weekend or Bank Holiday and securely locked in the Contractor's store. All other necessary security actions deemed necessary by the Contractor should also be taken. Any alterations to the scaffolding etc., should be additionally certified.

In addition the Contractor is to provide a protective safety fence at the base of the scaffolding to prevent illegal usage. The scaffold should also be made available to other authorised users at no cost or liability to the Contractor.

Where scaffolding and temporary roofs require protection from lightning strike (in accordance with the recommendations of BS 7671:2008, and BS EN 62305(1-4):2011 'Protection against Lightning', they shall be certified by a qualified Electrical Engineer at commencement, with regular testing and certification at not less than monthly intervals and additionally when alterations to scaffolding are carried out. The certificates are to be supplied to the Contract Administrator.

#### Scaffolding - Multi-storey

- 33.03 Access Equipment to multi-storey buildings over four storeys high is to be by means of a designed scaffold or an approved system of electrically power winch operated suspended working platforms complying with the recommendations of BS 5974:2010 "Code of Practice for The Planning, Design, Setting up and Use of Temporary Suspended Access to give proper safe access to all surfaces of the building required to be repainted, including balconies. On no account are rope operated cradles or boats to be used upon Works to buildings more than four storeys high.

#### Scaffolding - Generally

- 33.04 Rigging - The Contractor shall be responsible for the placing and rigging of the equipment, which shall be carried out to avoid any damage occurring to the building, and subject to the approval of the Contract Administrator in this respect.
- 33.05 The making good of any damage caused to the building, however caused, will be the Contractor's responsibility.
- 33.06 Permanent anchorages (e.g. 'D' shackles) which may already be provided on the building have not been tested and are not to be used.
- 33.07 Existing property lifts may only be used for the conveyance of equipment with the prior written agreement of the Contract Administrator. Generally the contractor will not be permitted to use a property's lift. On no account are any components to be thrown or dropped from the building.
- 33.08 The Contractor's attention is drawn to statutory restrictions (Highways Act 1980, Section 131, 171, 172 and 178) relating to erection of a hoarding or scaffolding on a pavement or highway.

Should the Contractor wish to erect a scaffold or hoarding over or upon the public footway, he must apply to the Local Authority for permission to do so. If permission is granted, the Contractor must ensure that the scaffold or hoarding is erected and maintained strictly in accordance with the Local Authority's conditions set out in the permit with particular attention being paid to requirements relating to lighting and the safety of pedestrians.

33.09 The Contractor shall afford the free use of any standing scaffold to all authorised employees of the Employer or employees of any other Contractor employed by the Employer for the purpose of carrying out inspections and associated Works.

33.10 Ladders must be removed from the Works or rendered inaccessible at the end of each day's work, and all other plant and scaffolding works, both complete and incomplete, left in a safe and secure manner. At all times the Contractor shall ensure that the dwellings and buildings remain in a stable and safe state, free from movement.

#### **34.00 Watching, Lighting Notices and Fees**

34.01 The Contractor shall provide all watching and lighting, give all requisite notices to local and other authorities, obtain all licences and pay all fees legally demandable in connection with same, such costs are deemed to be included in the Schedule of Rates and the Percentage Adjustment thereto.

#### **35.00 Location of Existing Services**

35.01 The Contractor shall be responsible for locating and protecting all services (drainage, gas, water, electricity, telephone, TV aerials, Satellite Dishes etc..) above and below ground, or within the structure of the property during the course of the Works.

#### **36.00 Existing Services to be Maintained**

36.01 Any existing drainage system, gas, telephone, TV aerial, satellite dishes, electric and water services to the premises and any adjoining premises shall be fully maintained during the progress of the Works and the Contractor shall take all necessary steps to prevent any interruption thereof.

36.02 No diversion of any of the existing services, etc., other than as indicated in the Contract Documents shall be carried out without the written agreement of the Contract Administrator. Any temporary disconnection of the services, etc., which may be necessary in connection with the Works shall be done at such times as may be directed by the Contract Administrator. The Contractor shall be responsible for maintaining close liaison with the Employer and the Public Utility Authorities so as to avoid any disruption of existing services. Any costs that may arise due to damage/disruption of Public Utility services and/or Equipment are to be at the Contractors expense.

36.03 The costs of removal, diversion and subsequent refitting of any cables, aerials, and the like fixed to the property to enable the proper execution of the work together with repair or replacement of any cables or equipment damaged during this operation, is deemed to be included in the Schedule of Rates and the Percentage Adjustment thereto. The Contractor is advised to examine any such cables prior to starting work and to bring any existing damage to the attention of the Contract Administrator.

Note: The removal and refitting of satellite dishes shall be measured and valued in accordance with the rate contained within Appendix I, subject to the addition/deduction of Percentage 'A' as detailed within Clause s 1.12 and 1.13 Section 2.

#### **37.00 Lighting and Power**

37.01 The Contractor shall provide all artificial lighting and power for use on the Works, pay for all temporary connections, leads, fittings, etc., and clear away and make good on completion.

37.02 All temporary electrical work shall comply with the Home Office Regulations, the Current Edition of the Regulations for Electric Equipment of Buildings issued by the Institution of Electrical Engineers (with particular reference to the sections dealing with temporary electrical installations and installations on construction sites) the relevant Codes of Practice and the requirements of the appropriate Electricity Board.

37.03 In the event of the Contractor taking a supply of electricity from public or communal areas, he is to arrange with the Contract Administrator for permission to use this supply and make good on completion.

#### **38.00 Water for the Works**

38.01 The Contractor shall be responsible for providing clean, fresh water for use on the Works at his own expense.

38.02 Provide all temporary runs, storage cisterns, plumbing connections and the like and pay all charges.

### **39.00 Contractors Personnel**

- 39.01 The Employer reserves the right to issue instructions requiring the immediate removal from the project of any foreman, chargehand and operatives if the Contract Administrator considers that their standard of conduct, workmanship and performance remains unsatisfactory.
- 39.02 It is expected of the Contractor that his labour force will have received formal trade training and have experience of undertaking maintenance/small works of a similar nature to that contained in this Contract.
- 39.03 The playing of radios, cassette players and the like is not permitted on the sites. This is to apply to all the Contractor's servants, agents, employees and Sub-Contractors.

### **40.00 Meetings**

- 40.01 Meetings will be held as and when required by the Contract Administrator. The Contract Administrator will arrange and chair any meeting he shall deem necessary for the successful running of the Contract. The Contractor shall attend all such meetings and he is to inform any nominated or other Sub-Contractors when their presence is required. The Contract Administrator will be responsible for the production and circulation of Minutes of Site Meetings. All costs arising are deemed to be included in the Schedule of Rates and the Percentage Adjustment thereto.
- 40.02 The Contractor is advised that there will be occasions when Tenants /Leaseholders or Tenants or Leaseholder Representatives will need to be present and will have a role to play in satisfying maintenance needs.

### **41.00 Survey/Setting Out**

- 41.01 All surveys, inspections etc. deemed necessary to determine the full requirements appertaining to the various scheduled items specified together with all setting out required shall be carried out by the Contractor. The cost of this item shall be deemed to be included in the Schedule of Rates and the Percentage Adjustment thereto.

### **42.00 Removal of Debris and Rubbish**

- 42.01 It is an essential condition of the contract that the properties are kept clean and tidy and free from all rubbish. The removal of rubbish and protection of the site is the Contractor's responsibility and is not an item for which extra payments will be made.
- 42.02 The provision of skips for the removal of debris together with tipping charges, landfill tax and any other costs incurred, associated with any Works undertaken by the Contractor for the Employer are deemed to be included in the rates contained in the Schedule of Rates and the Contractor's Percentage Adjustment thereto.
- 42.03 The Contractor shall clear away daily to authorised tips all dirt, rubbish and superfluous materials from time to time as they accumulate and keep the interior, exterior and gardens of the sites clean and tidy at all times. All entrances, exits and paths, together with public footpaths, verges and roadways adjoining the site are to be kept clean and clear at all times.
- 42.04 The Contractor shall, at the end of each working day and on completion of the specified works, clear away and remove to authorised tips all rubbish, materials and plant and leave the whole of the premises and site in a clean, tidy and safe condition. On no account will the burning of rubbish, debris etc be allowed.
- 42.05 The Contractor shall keep all roads, streets and footpaths, (whether public or private) free from any damage arising out of or in the course of or by reason of the execution of the Works.
- 42.06 The Contractor shall keep roads, streets and footpaths adjacent to the site of the Works free from mud, dirt, rubbish, obstructions, skips, etc., arising as aforesaid at all times and observe any Bye-Laws or regulation imposed by a competent Authority requiring roads or streets to be kept free from mud, dirt, rubbish etc.
- 42.07 The Contractor is to ensure that no ballast, sand, rubbish or cement or the like is discharged into the road gullies.

- 42.08 The Contractor is expressly forbidden to dump any debris or rubbish from any Works on any vacant land or cleared sites other than at authorised tips.
- 42.09 Should the Contractor fail to carry out these requirements to the Contract Administrator's satisfaction, and after 24 hours' notice, the Contract Administrator may execute the Work, and to set off it's value against any sum due or to become due to the Contractor under this Contract. Should the Contractor repeat his default the Contract Administrator may reduce the period of notice to less than 24 hours at his sole discretion.
- 42.10 The Contractor shall provide for cleaning, as necessary, of all rooms affected by the Works including sweeping and scrubbing floors, cleaning glass with wash-leather both sides, cleaning out gutters, outlets, etc., removing stains and touching up paint work and polished work and leaving clean and tidy to the entire satisfaction of the Contract Administrator on completion.
- 42.11 It should be noted that it is the Contractor's sole responsibility for all costs incurred in complying with the aforementioned conditions. Should the Contractor find prior to commencement of the Works excessive rubbish, debris etc requiring removal then the Contractor shall notify the Contract Administrator accordingly and obtain appropriate instructions. The Contract Administrator's decision in this respect shall be absolute and final.
- 42.12 The Contractor must, prior to commencement, provide the Contract Administrator with a detailed method statement on his proposed methods for removal of rubbish etc., from the works and must provide clear evidence of compliance with current legislation concerning the Transporting and Disposal of Waste.
- 43.00 Builders Skips**
- 43.01 The Contractor's attention is drawn to the regulations (Highways Act 1980, Section 139 and 140) relating to the deposit and use of builders skips on the highway.
- 43.02 Should the Contractor wish to deposit a skip on the highway, he must apply to the relevant Local Authority for permission. If permission is granted, the Contractor must ensure that the skip is deposited and used strictly in accordance with the Departments conditions with particular attention being paid to positioning and lighting requirements.
- Should the Contractor wish to deposit a skip on roads, paths, pavings, car parking areas, garage forecourts or grassed areas maintained by the Employer he must first obtain the approval of the Employer and ensure that the skip is deposited and used strictly in accordance with the Employer's conditions, with particular attention being paid to positioning and lighting requirements.
- 43.03 Only fully enclosed, lockable skips shall be used when remaining overnight or at weekends, public holidays and the like.
- 44.00 Protection of Gardens**
- 44.01 The Contractor shall ensure that no permanent damage is caused to lawns, flower beds, plants, trees and pavings during the progress of the Works.
- 44.02 Any damage caused shall be rectified at the Contractor's expense and to the satisfaction of the Contract Administrator.
- 45.00 Illegal Parking**
- 45.01 The Contractor is not to park, or allow his servants, agents, employees or Sub-Contractors to illegally park any motor vehicle or motor cycle upon the public and estate footpath, firepaths pre-allocated car parking areas or grassed areas. Designated parking areas for the Contractor may be allocated by the Contract Administrator or on an order by order basis depending on the Estate and availability.
- 46.00 Advertising**
- 46.01 The Contractor shall not display or permit to be displayed any advertisement without the previous written consent of the Employer.
- 47.00 Documents and Vouchers**
- 47.01 The Contractor shall retain for production as required by the Employer all accounts, vouchers and documents relating to the Contract, for a period of six years.

**48.00 Construction (Design and Management) Regulations 2007**

- 48.01 The Contractor shall comply with all statutory obligations imposed by the Construction (Design and Management) Regulations 2007 and ensure they are fully understood and planned for. The Contractor shall apply the Regulations to all site operatives irrespective of whether they are employed directly by the Contractor, sub-contracted or engaged on a self-employed basis.
- 48.02 In accordance with the Regulations, the Employer has appointed a Co-ordinating Consultant, who is named in the Definitions and Interpretations hereto.
- 48.03 The contractor's attention is drawn to the Pre-Construction Information provided within Appendix C.
- 48.04 The Contractor shall when tendering for the Contract take account of the specific requirements of the project and ensure that sufficient resources, including time, have been allocated to enable the project to be carried out in compliance with health and safety law, and will be required to demonstrate this to the Employer prior to the Contract being awarded. The Contractor will be required to develop the health and safety plan, coordinate the activities of all Contractors and Sub-Contractors and ensure that they comply with relevant health and safety legislation and the developed health and safety plan. The Contractor shall also provide sufficient information, training and consultation with employees, including the self-employed to enable the full compliance with the provisions of the Regulations.
- 48.05 Prior to commencement of the Works, the Contractor will be required to provide details of the following:
- i) health and safety policy and assessments
  - ii) arrangements to manage health and safety
  - iii) procedures to be used for adopting, developing and implementing the health and safety plan
  - iv) risk assessments, including those of all other Contractors and Sub-Contractors together with the approach to be taken in executing any identified high risk operations
  - v) details on the management and prevention of health and safety risks created by Contractors and Sub-Contractors
  - vi) arrangements the Contractor has for monitoring compliance with health and safety legislation
  - vii) time allowed to complete the various stages of construction Work without risks to health and safety
  - viii) the way people are to be employed to ensure compliance with health and safety law
- 48.06 The Contractor, acting as Principal Contractor, shall become responsible for the health and safety plan immediately upon notification by the Employer of their intent to award the Contract. From this point the Contractor shall develop the health and safety plan so that it:
- i) incorporates the approach to be adopted for managing health and safety by everyone involved in the construction phase
  - ii) includes the assessments prepared by Contractors under the Management of Health and Safety at Work Regulations 1999 and other legislation
  - iii) incorporates the common arrangements (including emergency procedures and welfare)
  - iv) includes arrangements for fulfilling the Contractor's duties under CDM Regulations, e.g.:
    - a) arranging for competent and adequately trained staff and operatives to undertake the Work
    - b) arranging for competent and adequately resourced Sub-Contractors to carry out the Work where it is sub-contracted
    - c) ensuring proper co-ordination and co-operation of all other Contractors and Sub-Contractors (if any)

- d) ensuring that Contractors and Sub-Contractors are given all information about risks on site
- e) ensuring that site operatives have been given adequate training and further re-training where necessary
- f) ensuring that all other Contractors and Sub-Contractors comply with any site rules which may have been set out in the health and safety plan
- g) ensuring that all operatives are properly informed and consulted
- h) ensuring that only authorised persons are permitted on site
- i) displaying notification of the project to the Health and Safety Executive
- j) passing all relevant information to the Co-ordinating Consultant for updating/completing the health and safety file

The Contractor shall note that separate specific Health and Safety Files will be required for each individual structure to be worked on under the Contract.

- v) includes reasonable arrangements for monitoring compliance with health and safety law
- vi) includes, where appropriate, rules for the management of the Work for health and safety
- vii) can be modified as Work proceeds according to experience and information received from Contractors.

- 48.07 Before construction Work starts the Contractor shall offer the health and safety plan to the Employer and Co-ordinating Consultant, so that compliance can be monitored, in that as much of the health and safety plan as possible has been developed prior to construction Work starting, particularly those aspects relating to the early Work stages.
- 48.08 At all stages of the construction process on site the Contractor shall monitor adherence to the health and safety plan, and ensure that it is fully updated and amended in light of developing information, or alterations to the design, and liaise with the Co-ordinating Consultant.
- 48.09 Throughout the duration of the Contract, the Contractor shall pass updated and developed health and safety information to the Co-ordinating Consultant for incorporation in the Health and Safety File(s). The Co-ordinating Consultant will prepare the file(s) to alert those who will be responsible for the structure after handover of the risks that must be managed when the structure and associated plant is maintained, repaired, renovated or demolished. In preparing the health and safety file, a record will be produced of information to enable future decisions on the management of health and safety to be made in compliance with the Regulations.
- 48.10 All costs associated with compliance with the Construction (Design and Management) Regulations 2007 are deemed to be included in the rates and prices of the Schedule of Rates and Percentage Adjustment thereto.

#### **49.00 Noise Control**

- 49.01 The attention of the Contractor is drawn to the provisions of Section 60 of the Control of Pollution Act 1974, with reference to the control of noise in relation to any demolition or construction Works and the need, particularly where such Works are adjacent to occupied property where a high sensitivity to noise may be anticipated, to ascertain from the Local Authority what requirements or restrictions, if any, shall apply to the Works in this respect. The restrictions may relate to the type of plant used, the methods of working to be adopted, the hours of working permissible and may in addition impose a maximum noise level at the site boundary which must not be exceeded. The attention of the Contractor is also drawn to the provision of Section 61 of the Control of Pollution Act 1974, with reference to the issue of prior consent and any application under that section should be made to the Local Authority on the appropriate form available from them. The Contractor is to be held responsible for complying with such requirements, restrictions, or consents together with any other stipulations to which his/her attention may be drawn from time to time by the competent Authorities and is to allow in his/her tender for any costs or expenses arising from such compliance. No instruction issued to the Contractor by the Contract Administrator or his/her authorised representative shall relieve the Contractor from compliance with the Control of Pollution Act 1974 or any subsequent amendment or re-enactment thereto.

50.00 The cost associated to providing a Resident Liaison Officer (RLO), shall be paid at the weekly rate as indicated on the Form of Tender. The Contractor is not therefore required to allow for the cost of providing an RLO within his Percentage A adjustment. The requirements for an RLO for each order will be discussed and agreed prior to the commencement of the contract. The contractor's attention is drawn to the requirements of Appendix H with which he shall be required to comply.

**SECTION 5**  
**MATERIALS AND WORKMANSHIP PREAMBLES**



## **SECTION NO 5**

### **Material & Workmanship Preamble**

The Material and Workmanship Preambles shall be as Part 1, Section G of the National Schedule of Rates in use, with the following additional requirement for Painting and Decorating.

The Materials and Workmanship Preambles shall be read in conjunction with the obligations within Section 2, The Council's Administration of the Contract, the Contractor's Proposals, Section 4 The Preliminaries/General Conditions and Appendix D The Code of Practice for Contracts involving work on Council properties.

Where any reference is made in the Specification to a British Standard (BS) or Code of Practice (CP) this is deemed to include any subsequent revision, amendment, re-enactment and/or replacement thereof, such that the Service Provider shall fully comply with all the latest BS, CP and the like current at the date of execution of the Work to be undertaken.

## **PAINTING AND DECORATING**

### **ADDITIONAL REQUIREMENTS TO NATIONAL SCHEDULE OF RATES PREAMBLES**

#### **GENERALLY**

For each Order a completed sample of each element of the painting or redecoration works shall be carried out by the Contractor as a test panel. This may include a typical window, door or area of external render depending on the nature and scope of the works.

The main works, the subject of the Order shall not commence until the test panel has been approved by the Contract Administrator.

A period of 5 working days shall be allowed for the approval process which may be extended by a further 5 working days if the test panel is not satisfactory and remedial works are required.

The test panel once approved shall set the standard for the whole of the works covered by the Order. Part of the approved process concerning an individual test panel may include the comments and views of tenants and leaseholders or their representatives.

The test panel works may be instructed in advance of the Order to aid programming and timescales for the Order (For example the test panel works may be instructed to occur during the Landlord & Tenant Act 1987 Section 20 Notice period).

#### **MATERIALS**

##### **Generally**

All materials must comply with the appropriate British Standard.

The painting and decorating materials shall be of the highest standards available and be supplied by a reputable manufacturer to be approved by the Contract Administrator. Undercoats and finishing coats for an individual surface shall be obtained from one manufacturer only.

All paints are to be delivered to the site in sealed containers as received from the makers and no labels are to be removed or painted out. The paint must be used without adulteration and in strict accordance with the instructions of the maker.

Under no circumstances shall paint supplied by the manufacturers be thinned by the Contractor unless prior written permission has been given by the Contract Administrator. When such permission has been granted, thinning must be carried out in strict accordance with the instructions of, and with thinners provided by, the manufacturers.

All painting is to be executed in approved shades, and the Contractor must submit samples of tints before ordering his materials. Each coat of paint must approximate to the finished shade, and where certain tints are recommended by the manufacturer, they must be used.

Samples of materials may be taken by the Contract Administrator. Sample tins will be filled 7/8 full after the contents of the container or kettle have been thoroughly stirred and mixed. All relevant details of the materials sampled shall be recorded.

All unsatisfactory materials shall be immediately removed from the site, and any work executed with such defective material shall be made good by the Contractor at his own expense to the satisfaction of the Contract Administrator.

The Contractor shall include in his tender prices percentage "A" adjustment thereto for the use of varied colours in the Works and for the execution of sample patches, as required by the Contract Administrator.

## **Knotting**

Knotting shall be best quality Shellac, dissolved in methylated spirits to comply with BS 1336. All knots and resinous parts are to be covered.

## **Stopping**

Stopping for:

- i) Plasterwork shall be a plaster-based filler;
- ii) Concrete, rendering or brickwork shall be of similar material to the background and shall be finished with a similar texture;
- iii) Internal woodwork, hardboard, fireboard and plywood shall be putty complying with BS 544 and shall be tinted to match the colour of the undercoat;
- iv) External woodwork shall be Linseed Oil Putty complying with BS 544 or other approved proprietary filler recommended for external use, and shall be tinted to match the colour of the undercoat;
- v) Clear finished woodwork shall be stopping tinted to match the surrounding woodwork.

## **Linseed Oil**

Refined linseed oil shall comply with BS EN ISO 150:2007.

Raw linseed oil shall comply with BS EN ISO 150:2007.

Boiled linseed oil shall comply with BS EN ISO 150:2007.

## **White Spirit**

White spirit shall comply with BS 245.

## **Black Bituminous Paint**

Black bituminous paint shall comply with BS 3416. Type I, for general use.

## **Primer for Alkaline Surfaces**

Primer for alkaline surfaces shall be a special primer obtained from the maker of the undercoat and finishing coat.

## **Primer for Iron and Steelwork**

Primer for Iron and Steelwork shall be as recommended by the manufacturer for the surfaces to be coated in conjunction with that recommended by the manufacturer for the subsequent finish coats.

## **Primer for Galvanised Iron and Steelwork**

Primer for Galvanised Iron and Steelwork shall be as recommended by the manufacturer and shall be compatible with subsequent Finish Coats. New galvanised surfaces must be pretreated with a mordant solution before priming.

## **Primer for Hardboard**

Primer for hardboard not factory primed or sealed shall be a suitable primer obtained from the maker of the undercoat and finished coat.

## **Primer for Woodwork**

Primer for woodwork shall be a finishing ready-mix primer obtained from the maker of the undercoat and finishing coats and shall be applied in accordance with the maker's instructions.

### **Primer for oily or resinous timbers**

Primer for British Columbia pine (Douglas fir) or other oily or resinous timber shall be an approved aluminium based priming paint not darker than Colour 00A01 of BS 4800 which shall be compatible with the subsequent coats and obtained from the same maker.

### **Primer for Stains**

Primer to stain finish work shall be as recommended by the selected and approved manufacturer for the respective stain finish and shall be used strictly in accordance with the manufacturer's instructions.

### **External Varnish and Varnish Stain**

Subject to any specification to the contrary, external varnish and varnish stain shall be Sadolin or similar approved used strictly in accordance with manufacturer's recommendations.

### **External Wood Stain**

External wood stains shall be obtained from an approved manufacturer and used strictly in accordance with the manufacturer's instructions.

### **Wood Preservative**

Wood preservative shall be obtained from an approved manufacturer and used strictly in accordance with the manufacturer's instructions.

### **External Masonry Paint**

External masonry paint shall be Sandtex High Cover Smooth or equivalent approved used strictly in accordance with the manufacturer's instructions and recommendations.

### **Stabilising Sealer**

Stabilising sealer shall be of a type and make recommended by the manufacturer of the undercoat and finishing coat.

### **Chemical Stripper**

Chemical paint stripper shall be water soluble, used strictly in accordance with the manufacturer's instructions.

### **Anti Fungal Solution**

Anti fungal solution shall be appropriate to the surface being treated and shall be used in accordance with the manufacturer's instructions and in accordance with the Pesticides Safety Precautions Scheme (3.2/160).

### **Silicone sealer for External Walls**

Silicone sealer for external walls shall be used strictly in accordance with the manufacturer's instructions.

## **PREPARATION OF SURFACES**

### **Preparations**

A high standard of preparatory work will be required and therefore allowances should be made for thorough preparation of all surfaces. Should the Contractor deem paint removal is necessary other than paint removal during general preparation this shall be reported to the Contract Administrator and areas agreed on site with the Contract Administrator and the Quantity Surveyor before work commences. No payment for paint removal will be made if this condition is not complied with.

All existing bare non-durable timber surfaces shall receive a liberal brush coat of water repellent timber preservative to conform with Building Establishment Technical Note No. 24. Allow adequate time to dry before overcoating.

Previously painted surfaces in good condition shall be rubbed down with abrasive paper and cracks filled as described. If existing paint is in poor condition it shall be removed completely using an approved non-caustic paint remover.

Washing down shall mean thoroughly wash down surfaces with sugar, soap and water, detergent solutions or suitable solvent to remove all dirt, grease and mould etc. Rinse down with clean water and allow to dry.

Different tinted primers undercoats and first top coats shall be provided in order to confirm coats as specified have been applied.

### **Approval**

The Contract Administrator may request that the preparation of surfaces is approved prior to any coating being applied.

The Contractor shall as part of the Quality Control process for the Contract, inspect the preparation of surfaces prior to any coating being applied to certify that the preparation carried out by his operatives or those of his sub-contractor is satisfactory.

### **Burning/Stripping Off**

The Contractor shall allow for the removal of existing paint films by one or more of the following methods, as appropriate for the particular surface to be stripped and to be determined on site:

Burning off, hot air, steam or chemical stripping, sanding off or other mechanical means.

When the operation of burning off using a hot air stripper or naked flame is in progress, the Contractor must provide all necessary protection to the area to prevent the ignition of adjacent inflammable materials and components.

The Contractor must provide each "gang" with a suitable fire extinguisher to enable him immediately to control the spread of fire accidentally ignited during this operation.

All burning off operations must cease not less than 45 minutes before any cessation of works on site and all debris removed from the site. The Foreman in charge must, as one of his primary duties, thoroughly inspect the areas where burning off has been carried out to ensure that no materials or components have been accidentally ignited.

No burning off, or chemical stripping, is to be carried out internally. One of the alternative methods of paint removal specified shall be used.

Chemical stripping shall be carried out in accordance with BS 8221-1 and using a proprietary stripper to BS 3761 (water rinsable), surfaces taken back to sound bare substrate. Remove all traces of paint stripper with clean white spirit, neutralize, rinse and prepare.

All chemical stripping is to be carried out having due regard for all COSHH and Health & Safety Regulations. The Contractor is to provide a Method Statement and details of chemicals to be used in these operations.

The existing paintwork may have a lead content. As precautions against contamination from lead or other substances when stripping or rubbing down previously painted surfaces, the Contractor shall observe the following:-

Dust sheets or other suitable means shall be placed beneath the work area to catch all stripped materials, where removed by burning, paint remover, scraping, brushing or rubbing down. Plastic sheets must not be used when burning is carried out.

Cleaning up of debris from the areas beneath components being stripped shall take place regularly during the day while work is in progress. All debris from stripping etc shall be removed from site.

Rubbing down of any paint known to have a lead content in the top mist coats shall be wet rubbing and all debris shall be collected before it dries. Dust from other rubbed down areas, both internally and externally, shall be dampened down and removed at the end of each working day.

### **Plaster, Render, Concrete and Brickwork**

All plaster or mortar splashes, etc., shall be removed from the surfaces to be decorated by scraping. All holes, cracks, etc., shall be stopped and the whole surface shall be brushed down to remove dust and loose material. In addition all traces of mould oil shall be removed by scrubbing with water and detergent and rinsing with clean water to remove all detergent.

All plaster surfaces shall be allowed to dry out completely before decorating processes commence.

Any efflorescence shall be removed first by wiping dry with a dry course cloth and then with a damp cloth. The surfaces shall then be left for 48 hours to see if efflorescence has ceased and surfaces shall be cleaned to remove

dirt, dust, etc., and all making good shall be allowed to dry out thoroughly before painting is commenced. When efflorescence has occurred or is suspected, painting shall be deferred for a period as required by the Contract Administrator.

Loose and defective rendering is to be cut out and made good prior to redecoration. Existing surfaces to be redecorated shall be stabilised with an approved stabilising agent compatible with the paint finish. The stabilising agent to be used in accordance with the manufacturer's instructions.

#### **Plasterboard to receive direct redecoration**

Joints in plasterboard ceilings to receive Artex plastic paint shall be finished as described in 'Plasterwork'.

#### **Iron and Steel**

Before fixing, rust, mill scale, welding slag and flux residue shall be removed from iron and steel surfaces by wire brushing, scraping, hammering, flame cleaning etc.

#### **Previously Painted Metalwork**

Thoroughly clean down all paintwork which is in sound condition and rub down with abrasive paper. Remove small areas of defective paint and all rust and loose scale by chipping, scraping and wire brushing back to clean metal. Prime metal so exposed immediately after preparation with one coat of primer and apply one additional undercoat before painting as specified.

Large areas of defective paint shall be removed by using an approved noncaustic stripper or by chipping, scraping and wire brushing back to clean metal. In all cases where rust is apparent, the rusting section and a sufficient area shall be scraped clean of all paint and rust and coated with an approved rust inhibiting primer in addition to the priming coat described.

#### **Defective Putties**

Defective, cracked or uneven putties to glazing shall be hacked out, rebates prepared and primed as required and the putties made good prior to any painting being carried out. Putties must be allowed to form a hard skin before painting.

#### **Plywood**

Surfaces of internal plywood which are to be painted shall be primed, filled as required with a plastic based filler, rubbed and dusted down and a second coat of primer applied.

Surfaces of external plywood to be painted shall be primed, filled with a filler tinted to match the colour of the undercoat, rubbed and dusted down and a second coat of primer applied. After final priming all imperfections shall be stopped, rubbed down and brushed off.

#### **Woodwork to be painted**

Before fixing woodwork, all surfaces which will be visible after fixing shall be rubbed down. Excess resin from live knots and resin pockets shall be scorched back and all knots and resinous areas coated with fresh knotting. All surfaces shall then be primed, all nail holes and other imperfections shall then be stopped and the whole surface shall be rubbed down and all dust brushed off before the undercoat is applied.

#### **Previously painted woodwork**

Wash down thoroughly with sugar soap all paintwork which is in sound condition and rub down to a smooth surface with an approved abrasive paper. Rinse well with clean water and allow to dry. Fill in cracks etc., as described for new woodwork.

Small areas of cracked or defective paint shall be removed by carefully scraping back to a firm edge. Knot, prime and stop woodwork so exposed as described for new work fine abrasive paper and apply one additional undercoat before painting as specified.

All bare existing non-durable timber surfaces or surfaces with defective areas of paint film shall receive a liberal coat of brush applied water repellent timber preservative to conform with Building Research Establishment Technical Note No. 24. Allow adequate time to dry before overcoating.

### **Woodwork to receive a clear finish**

All holes and other imperfections in surfaces to receive a clear finish shall be stopped and the whole surfaces shall be rubbed down and all dust brushed off.

Existing varnished surfaces in sound condition shall be prepared by cleaning down with an approved detergent and thoroughly rinsed.

Existing varnished surfaces in unsound condition shall be stripped and revarnished.

All preparation to be in accordance with approved manufacturer's recommendations.

### **Woodwork to receive Stain Finish**

Previously treated and untreated surfaces to receive proprietary stain finish shall be prepared strictly in accordance with the approved manufacturer's instructions.

## **WORKMANSHIP**

### **Malpractices**

#### **Stirring of Materials**

The contents of all cans and containers of materials must be thoroughly stirred before and during use and shall be suitably strained as and when necessary.

#### **Manufacturer's Instructions**

All materials shall be used strictly in accordance with the instructions issued by the manufacturer concerned.

#### **Brushwork**

All coatings shall be applied by brush or roller. The use of sprays will only be permitted with the prior approval of the Contract Administrator.

#### **Priming of Glazing Beads**

The priming and staining of glazing beads, rebates and the backs of beads shall be carried out at the same time as the priming and staining of the window frames.

#### **Condition of Priming**

If, by the time that the work is to receive the first undercoat, the priming has in any way deteriorated or has been damaged, the affected portions, or the whole if necessary, shall be rubbed down and reprimed. When articles, such as the windows are primed at works the priming shall be touched up where required with the same priming paint or equivalent.

#### **Coatings to be dry**

All coatings shall be allowed to dry thoroughly for the time specified by the manufacturers before succeeding coats are applied.

#### **Painting Windows/Doors**

Windows/doors shall not to be painted in the closed position. The Contractor must arrange for tenants/leaseholders to be available to open windows or doors for preparation and painting works.

#### **Rubbing down**

All undercoats for paints and clear finishes shall be rubbed down or denibbed to a smooth surface with abrasive paper and all dust removed before the succeeding coat is applied.

#### **Differing Colours of coats**

Each succeeding coat of priming and undercoating paint and first top coat shall be sufficiently different in tint or colour as to be readily distinguishable.

**Unsuitable Conditions**

No coating shall be applied to surfaces affected by wet, damp, foggy or frosty weather or other unsuitable conditions, or to any damp surface, nor in temperatures below 5 deg. C.

**Protection of Wet Surfaces**

Adequate care must be taken to protect surfaces whilst still wet, by the use of screens and 'wet paint' signs where necessary, and the Contractor will be held responsible for any damage which may be caused by or through wet paint.

**Damage to Adjoining Surfaces**

Care must be taken when storing materials, preparing surfaces, or applying paint or stains, not to damage or stain other work. The Contractor shall remove all such stains, make good the stained surface and touch up paintwork disturbed.

**Cleanliness**

All brushes, tools and equipment shall be kept clean, and surfaces shall be clean and free from dust during the painting processes. Painting shall not be carried out in the vicinity of other operations which might cause dust. The Contractor shall provide a suitable movable receptacle into which are to be placed all liquids, slop washings, etc., which on no account are to be tipped down any of the gullies, manholes, sinks, basins, water closets or any other sanitary fittings. All solid refuse or inflammable residues must be removed from the site.

**Removal of Ironmongery**

All surface fixed ironmongery, fittings, etc, except hinges, shall be removed before painting and refixed on completion.

**Protection of Furniture within Dwellings**

The Contractor shall allow for the protection of all furniture and fittings, the provision of clean dust sheets and the removal of items such as curtains etc., prior to commencing the works, together with the rehangng or reinstatement of the same.



## **CLEANING SURFACES**

### **Graffiti Removal**

Clean existing graffiti covered surfaces thoroughly with AGS - Graffi-Green or AGS - Graffi-Clear graffiti remover/paint stripper as manufactured by Tensid UK plc or equal and approved and high pressure wash process to the approval of the Contract Administrator.

Removal from brickwork; apply AGS-Graffi-Clear 300 graffiti remover/paint stripper to graffiti affected area by brush apply or roller; leave 15-60 minutes; wash off with high pressure water.

Removal from ceramic tiles/render; apply AGS-Graffi-Green to graffiti affected area, rinse off with water, repeat as necessary.

### **Cleaning Surfaces**

Wash general surfaces of building façade with hot water and detergent. Thoroughly rinse with clean water to remove all trace of detergent and allow to dry before proceeding with any decoration as required.

Jet wash general surfaces of building façade with hot water and diluted 'Stand Off Heavy Duty Detergent' or mild acid as manufactured by Tensid UK plc or other equal and approved, 1 part detergent: 6 parts water. Allow to remain on the surface for up to 30 minutes, mist spray areas to keep moist, scrub where required to remove soot, algae etc., and apply a thorough pressure hot water rinse to remove all traces of detergent/debris and allow to dry before proceeding with any decoration.

Jet wash heavily stained areas with hot water and detergent diluted 1 part detergent: 2 parts water as described. Allow to remain on the surface for up to 30 minutes; mist spray to keep moist; scrub surface to remove staining and apply a thorough pressure hot water rinse to remove all traces of detergent/debris and allow to dry before proceeding with any decoration.

**MEASURED TERM CONTRACT  
FOR  
HOUSING REPAIR SERVICE COMPRISING BOROUGH WIDE  
CYCLICAL PLANNED MAINTENANCE TO COUNCIL OWNED  
HOUSING PROPERTIES 2012-2015**

**SECTION NO 8**

**KEY PERFORMANCE INDICATORS & INCENTIVISATION**

**REVISION 1 – 15<sup>TH</sup> MAY 2012**

- 1.1 A key objective for the Council is sustained high performance by the Contractor throughout the term of the contract in all aspects of delivery. The Council has identified a number of key areas of performance which will be monitored as KPIs throughout the term, and which will be linked to increased payments to the Contractor by way of incentivisation.
- 1.2 The Contractor will be required to provide information on an open-book basis to demonstrate progress against the KPIs and evidence of performance in order to qualify for increased payment against each Order.

**Key Performance Indicators and Process for Increased Payment**

- 1.3 At each interim valuation, up to the final certificate, the Contractor shall be paid 90% of the nett amount due – the remaining 10% of the amount due shall be paid subject and proportionate to the Contractor's performance against the KPIs. For the avoidance of doubt, if the Contractor completes an Order without achieving any of the performance targets as laid out in the KPIs, the Contractor will only receive 90% of the total value of the Order in full and final payment. Conversely, if the Contractor consistently achieves or betters all of the performance targets throughout the course of an Order up to the end of the Defects Period, the Contractor will receive 100% of the total value of the Order in full and final payment.
- 1.4 The following areas of performance have been identified for measurement:-
- Residents' Satisfaction
  - Defects
  - Construction Time – Individual Properties
  - Construction Time – Overall Works Orders
  - Time to Agree Final Account.
  - Safety
  - Completion of Defects at the end of the Defects Period

- KPI 3 (Construction Time – Individual Properties) shall be measured by the Contract Administrator on a monthly basis, and any additional payment based upon performance will become due at the next interim valuation.
- KPIs 2 (Defects) and KPI 4 (Construction Time – Overall Works Orders) shall be measured by the Contract Administrator at Practical Completion (Completion on Site) and any additional payment based upon performance will become due at the next interim valuation.
- KPIs 1 (Residents' Satisfaction) and 5 (Time to Agree the Final Account) shall be measured by the Contract Administrator at the end of the defects period, and any additional payment based upon performance will become due in the Final Certificate.
- Two additional KPIs – KPI 6 (Safety) and KPI 7 (Completion of Defects at the end of the Defects Period) shall be measured by the Contract Administrator on issue of the Making Good Defects Certificate based on information provided by the Contractor. These KPIs shall not be linked to any incentivised additional payments.

1.5 The amounts of incentivised additional payments which the Contractor may be entitled to depending upon performance against each KPI are as follows:-

	<b>KPI</b>	<b>Additional Payment % up to</b>	
1	Residents' Satisfaction	4%	of the Total Order Value
2	Defects	2%	of the Total Order Value
3	Construction Time – Individual Properties	2%	of the Total Order Value
4	Construction Time – Overall Works Orders	1%	of the Total Order Value
5	Time to Agree Final Account.	1%	of the Total Order Value
6	Safety	0%	of the Total Order Value
7	Completion of Defects at the end of the Defects Period	0%	of the Total Order Value
	<b>Total available additional payment</b>	<b>10%</b>	<b>of the Total Order Value</b>

The Contractor will be required to provide all information necessary at the appropriate time to enable the Contract Administrator or his duly authorised representative to value any additional payments which are due based upon the Contractor's performance against the KPIs.

## **KPI Methods of Measurement and Performance Targets**

### **KPI 1 Residents' Satisfaction –**

On completion of an Order, or at such times prior to completion of an Order as might be appropriate (for example on completion of an individual street-based property or block) the Contractor shall issue to the relevant residents the Council's Satisfaction Survey Form. The Resident Satisfaction Form is contained as Appendix 1 of this document, and the Contractor is advised that this is the only Satisfaction Form which shall be issued for each Order during the term of the contract. The Contractor is not permitted to issue his own form.

The completed Forms shall be returned by the residents to the Contractor, whereupon, the Contractor shall analyse the completed Forms and provide information to the Contract Administrator as to the responses received. The Contractor shall provide an analysis for each Order giving the following information:-

- Number of forms issued
- Number of forms returned
- Response rate (Percentage of forms returned compared with forms issued)
- Number of responses for each possible answer for each question
- Percentage of responses for each possible answer for each question – expressed as a percentage of the number of Forms issued
- Percentage of responses for each possible answer for each question – expressed as a percentage of the number of Forms returned

The Target and Incentive for KPI 1 shall be solely based upon the responses to Question 10 on the Satisfaction Form – *“Overall, how satisfied were you with the contractor who carried out the work”*.

For each completed Order, the percentage payable of the 4% total available payable incentive payment shall be determined by the percentage of “Very Satisfied” or “Satisfied” responses received for Question 10, as follows:-

- 95% or more “Very Satisfied” or “Satisfied” – 100% of total 4% additional payment available (ie 4% of total Order value)
- 90% to less than 95% “Very Satisfied” or “Satisfied” – 75% of total 4% additional payment available (ie 3% of total Order value)
- 85% to less than 90% “Very Satisfied” or “Satisfied” – 50% of total 4% additional payment available (ie 2% of total Order value)
- 80% to less than 85% “Very Satisfied” or “Satisfied” – 25% of total 4% additional payment available (ie 1% of total Order value)
- Less than 80% “Very Satisfied” or “Satisfied” – Nil additional payment

Decimal points shall not be rounded. For the sake of clarity, by way of example, a percentage response of 89.9% is less than 90% and would therefore attract an incentive payment of 2%.

For the purposes of the additional payment calculation, "Very Satisfied" and "Satisfied" responses shall be treated equally, with no additional weighting given to "Very Satisfied".

The percentages for each response relate to the number of "Very Satisfied" and "Satisfied" responses compared to the number of Forms returned, not the number of Forms issued. However, in order for the additional payment to be applied, the percentage of Forms returned compared with Forms issued must be 40% or more. In other words, for any Order, if the Response Rate is less than 40%, none of the 4% incentivised additional payment for that order shall be payable, irrespective of the percentage of "Very Satisfied" and "Satisfied" responses received.

## **KPI 2 Defects**

The Council is keen to ensure that the Contractor operates an effective inspection regime on completion of the works to each street-based property or block, such that the level of outstanding defects or snags when each property is offered to the Contract Administrator for handover is minimal, or ideally, zero.

This KPI will measure the number of snags or defects outstanding at each inspection at the point when the Contractor notifies the Contract Administrator that the property, block or section of works is, in the Contractor's opinion, defect-free and ready for a handover inspection. The schedule of defects / snags will be notified to the Contractor for rectification.

An incentivised payment will be payable to the Contractor based upon the average number of snags per dwelling in the Order, subject to a maximum number of allowable defects

At the completion of the scheme on site the sum total number of defects / snags notified at each inspection shall be divided by the number of dwellings included in the Order, to provide the Average Defects No per Dwelling.

Any incentivised additional payment shall be calculated as follows:-

- Average Defects No per Dwelling = 0 - 2 - 100% of total 2% additional payment available for the value of the works to that Property or Block (ie 2% of the total value of works to that Property or Block)
- Average Defects No per Dwelling = 3 - 4 - 50% of total 2% additional payment available for the value of the works to that Property or Block (ie 1% of the total value of works to that Property or Block)
- Average Defects No per Dwelling - In excess of 4 - No additional payment

Furthermore, no

The number of defects shall be determined by the Contract Administrator at the initial handover inspection, following notification by the Contractor that the works to the property / block / section are complete. For the purposes of the KPI, it is purely the number of defects which is relevant – the nature, size, value or impact of the defects are not to be considered.

Hence, all defects notified to the Contractor, no matter how minimal, will count towards the total number of defects to be used in the Average Defects No per Dwelling calculation. Hammersmith & Fulham recognises that this makes the targets challenging, but this is deliberate – it is Hammersmith & Fulham's requirement that the quality of works offered up by the Contractor once they have completed their quality inspections should be as free from defects as possible.

However, Hammersmith & Fulham also recognises that the initial properties offered up for handover by the Contractor may contain a greater number of defects than those undertaken later into the Order, as standards will be set at the initial properties. For this reason, the Contract Administrator may, at his discretion, take account of this and discount these initial inspections when calculating the final Average Defects No per Dwelling.

### **KPI 3 Construction Time – Individual Properties**

The period of time to complete the works to each street-based property or block shall be measured and compared to the Programmed time to complete that street-based property or block, and additional incentive payments shall be payable if the actual construction period is equal to or less than the Programmed period.

Prior to commencement of each Order, the Contractor shall supply the Contract Administrator with a Programme indicating the start and completion dates for each individual street-based property or block. The overall periods for each property or block shall be subject to the agreement of the Contract Administrator. Once the construction periods have been agreed, these Programmed periods shall be monitored, and additional incentive payments shall be payable in the event that the necessary targets are achieved. In the event that instructions are issued by the Contract Administrator whereby time necessary to complete the works in each street-based property or block should be extended, a revised Programmed Period shall be agreed between the Contract Administrator and the Contractor. Additional incentive payments shall be payable in accordance with the following:-

- Actual period between date of commencement at a Property or Block and date of handover in excess of 2 weeks less than Programmed period - 100% of total 2% additional payment available for the value of the works to that Property or Block (ie 2% of the total value of works to that Property or Block)
- Actual period between date of commencement at a Property or Block and date of handover equal to or up to 2 weeks less than Programmed period - 50% of total 2% additional payment available for the value of the works to that Property or Block (ie 1% of the total value of works to that Property or Block)

- Actual period between date of commencement at a Property or Block and date of handover greater than Programmed period – Nil additional payment

The Contractor must ensure that accurate and timely information is provided to the Contract Administrator regarding the date of the actual commencement of the works to each Property or Block. Any dispute regarding lack of clarity or transparency with respect to the commencement date for a property may jeopardise any possible incentive payment due to the Contractor. It is therefore a requirement that the Contractor advises the Contract Administrator in writing that works have commenced on each property or block, within 7 calendar days of those works commencing. Should no such notification be issued by the Contractor for any property, no incentive payment will be payable for that property.

The date of handover shall be deemed to be the date of the Handover Certificate as issued by the Contract Administrator. The Contractor should note that, except in exceptional circumstances, the Contract Administrator will not issue the Handover Certificate for any property or block until all scaffolding has been struck and removed from site, and all necessary making good / reinstatement has been undertaken.

#### **KPI 4 Construction Time – Overall Works Orders**

For each completed Order, an additional incentivised payment of 1% of the total Order value shall be payable if the Contractor completes the Order either in advance of or on the Contract Completion date (or Revised Completion date in the event that an Extension of Time is granted). No additional payment will be due if a Works Order completes beyond the Contract Completion date. Therefore, for each completed Order, where the Date of Practical Completion Certificate is on the same day or earlier than the Contract Completion Date the full 1% additional incentivised payment shall be payable.

#### **KPI 5 Time to Agree Final Account**

For each completed Order, an additional incentivised payment of 1% of the total Order value shall be payable if the Final Account is agreed on a timely basis. The target for agreement of each Final Account is 8 weeks after the Date of Practical Completion, and the percentage payable of the 1% total available payable incentive payment shall be determined as follows:-

- Final account agreed and Final Account Agreement signed by Contractor within 42 calendar days after the Date of Practical Completion - 100% of total 1% additional payment available (ie 1% of total Order value)
- Final account agreed and Final Account Agreement signed by Contractor within 56 calendar days after the Date of Practical Completion - 50% of total 1% additional payment available (ie 0.5% of total Order value)
- Final account agreed and Final Account Agreement signed by Contractor more than 56 calendar days after the Date of Practical Completion – Nil additional payment

## KPI 6 Safety

This KPI is to be measured / monitored for information purposes only, and is not linked to incentivised additional payment.

The Contractor shall provide to the Contract Administrator information relating to the number of reportable accidents and the number of people on site during a particular month (the Accident Incidence Ratio [AIR])

*How it shall be scored:*      
$$\frac{\text{Number of reportable accidents per month} \times 100,000}{\text{Number of people on site during month}}$$

Reportable accidents comprise:

- Deaths
- Major injuries
- Over-3-day injuries – where an employee or self-employed person is away from work or unable to perform their normal work duties for more than 3 consecutive days
- Injuries to members of the public or people not at work where they are taken from the scene of an accident to hospital
- Some work-related diseases
- Dangerous occurrences – where something happens that does not result in an injury, but could have done

### Scores:

10	0 to 199
9	200 to 399
8	400 to 599
7	600 to 799
6	800 to 999
5	1000 to 1499
4	1500 to 1999
3	2000 to 3999
2	4000 to 11999
1	12000 or greater

LBH&F Target Score: 10

## KPI 7 Completion of Defects at the end of the Defects Period

This KPI is to be measured / monitored for information purposes only, and is not linked to incentivised additional payment.



The Contractor is to provide information on a weekly basis to the Contract Administrator with regard to the progress of the rectification of defects which have been notified to him at the end of the Defects Liability period. This shall be in the form of a written progress report detailing each snags, its status, the programmed / actual completion date and any other relevant information.

The Council's target for completion of all notified defects is 4 weeks from the date of notification.



IN THE MATTER OF

THE LONDON BOROUGH OF HAMMERSMITH & FULHAM  
MEASURED TERM CONTRACT 2012 - 2015

FOR

HOUSING REPAIR SERVICE COMPRISING BOROUGH WIDE  
CYCLICAL PLANNED MAINTENANCE TO COUNCIL OWNED  
HOUSING PROPERTIES 2012-2015

STATUTORY DECLARATION

I [ ] being a Director of [ ]  
[ ] an economic operator (as defined in the Public Contracts  
Regulations 2006) whose registered address is situated at [ ]  
[ ] (“the Company”) has  
been invited by the London Borough of Hammersmith and Fulham (“the Council”) to  
tender for the contract for **Housing Repair Service Comprising Borough Wide  
Cyclical Planned Maintenance To Council Owned Housing Properties 2012-2015**  
do solemnly and sincerely declare as follows, that:

- 1) I am one of the original signatories to the form of tender (“the Tender”) dated [ ]  
[ ].
- 2) The Tender was made in good faith and was intended to be genuinely  
competitive, and I understand that as a result of that Tender the Council is  
minded to award the contract to the Company.

- 3) I understand that the Contract, if awarded to the Company, will be terminated, without compensation, if this Statutory Declaration is found not to be true and complete in any respect.
- 4) I am authorised by the Company to make this Statutory Declaration.
- 5) Each person whose signature appeared on the Tender was authorised by the Company to determine the terms of, and to sign, the Tender, on behalf of the Company.
- 6) For the purpose of this Statutory Declaration and the Tender, I understand that the word "competitor" shall include any individual or organisation, other than the Company, whether or not affiliated with the Company, who:
  - (a) was invited to tender in respect of this matter (set out above); or
  - (b) could have potentially submitted a tender in response to the invitation to tender, based on their qualifications, abilities or experience, and that the words.
- 7) The Company submitted its Tender independently from, any competitor.

For the avoidance of doubt "consultation, communication, agreement or arrangement" shall include any consultation, communication, agreement or arrangement whether or not legally binding, formal, informal, written or oral.
- 8) There was no consultation, communication, agreement or arrangement with any competitor regarding the following.
  - (a) prices;
  - (b) methods, factors or formulas used to calculate prices;
  - (c) the variation to a tender;
  - (d) the intention or decision to submit, or not to submit, a tender;

- (e) the submission of a tender which does not meet the specifications of the invitation to tender or
  - (f) the intention or decision to submit, or not to submit, a tender in relation to any future invitation to tender.
- 9) There was no consultation, communication, agreement or arrangement with any competitor regarding the quality, quantity, specifications or delivery particulars of the products or services to which invitation to tender relates, except as specifically authorised in writing by the Council.
- 10) The terms of the Tender were not knowingly disclosed by the Company or any of its agents, consultants or employees, directly or indirectly, to any competitor, prior to the date and time of the Tender opening, or of the award of the contract, whichever came first, unless otherwise required by law.
- 11) The Company has not paid, given, or offered to pay or give any money or other valuable consideration directly or indirectly to any competitor for doing or having done or causing or having caused to be done in relation to the Tender, any act or thing of the sort described in paragraphs 8, 9 or 10 above.
- 12) The Company has not been paid, been given or agreed to accept any money or other valuable consideration directly or indirectly by or from any competitor for doing or having done or causing or having caused to be done in relation to Tender, any act or thing of the sort described in paragraphs 8, 9 or 10 above;
- 13) I understand that if the Company has done, or caused to be done in relation to the Tender any act or thing of the sort described in paragraphs 8, 9 or 10 above, this could give rise to an infringement of Chapter I of the Competition Act 1998 and/or section 188 of the Enterprise Act 2002;

14) I have read Regulation 23 of the Public Contract Regulations (reproduced hereto as Appendix 1 to this Statutory Declaration) and solemnly affirm and state that the economic operator, its directors or any other person who has power of representation, decision or control of the economic operator

(a) has not been convicted of any of the offences set out in Regulation 23 (1);

(b) is not ineligible subject to the grounds set out in Regulation 23 (4) of the Regulations and

15) I have read and I understood the contents of this Statutory Declaration, and I understand that knowingly making a false declaration on this form may result in legal action being taken against me.

**I make this solemn declaration conscientiously believing it to be true by virtue of the provisions of the Statutory Declarations Act 1835**

Declared at (FULL ADDRESS): \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

On (DATE): \_\_\_\_\_

Before Me, a person entitled to administer oaths

Signed .....

Commissioner for oaths

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

(Signature of the Director)

## APPENDIX 1

### EXTRACT FROM PUBLIC CONTRACT REGULATIONS 2006 – REGULATION 23

23. - (1) Subject to paragraph (2), a contracting authority shall treat as ineligible and shall not select an economic operator in accordance with these Regulations if the contracting authority has actual knowledge that the economic operator or its directors or any other person who has powers of representation, decision or control of the economic operator has been convicted of any of the following offences—

- (a) conspiracy within the meaning of section 1 of the Criminal Law Act 1977 where that conspiracy relates to participation in a criminal organisation as defined in Article 2(1) of Council Joint Action 98/733/JHA;
- (b) corruption within the meaning of section 1 of the Public Bodies Corrupt Practices Act 1889 or section 1 of the Prevention of Corruption Act 1906;
- (c) the offence of bribery;
- (d) fraud, where the offence relates to fraud affecting the financial interests of the European Communities as defined by Article 1 of the Convention relating to the protection of the financial interests of the European Union, within the meaning of -
  - (i) the offence of cheating the Revenue;
  - (ii) the offence of conspiracy to defraud;
  - (iii) fraud or theft within the meaning of the Theft Act 1968 and the Theft Act 1978;
  - (iv) fraudulent trading within the meaning of section 458 of the Companies Act 1985;

(v) defrauding the Customs within the meaning of the Customs and Excise Management Act 1979 and the Value Added Tax Act 1994;

(vi) an offence in connection with taxation in the European Community within the meaning of section 71 of the Criminal Justice Act 1993; or

(vii) destroying, defacing or concealing of documents or procuring the extension of a valuable security within the meaning of section 20 of the Theft Act 1968;

(e) money laundering within the meaning of the Money Laundering Regulations 2003; or

(f) any other offence within the meaning of Article 45(1) of the Public Sector Directive as defined by the national law of any relevant State.

(2) In any case where an economic operator or its directors or any other person who has powers of representation, decision or control has been convicted of an offence described in paragraph (1), a contracting authority may disregard the prohibition described there if it is satisfied that there are overriding requirements in the general interest which justify doing so in relation to that economic operator.

(3) A contracting authority may apply to the relevant competent authority to obtain further information regarding the economic operator and in particular details of convictions of the offences listed in paragraph (1) if it considers it needs such information to decide on any exclusion referred to in that paragraph.

(4) A contracting authority may treat an economic operator as ineligible or decide not to select an economic operator in accordance with these

Regulations on one or more of the following grounds, namely that the economic operator—

(a) being an individual is bankrupt or has had a receiving order or administration order or bankruptcy restrictions order made against him or has made any composition or arrangement with or for the benefit of his creditors or has made any conveyance or assignment for the benefit of his creditors or appears unable to pay, or to have no reasonable prospect of being able to pay, a debt within the meaning of section 268 of the Insolvency Act 1986, or article 242 of the Insolvency (Northern Ireland) Order 1989, or in Scotland has granted a trust deed for creditors or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of his estate, or is the subject of any similar procedure under the law of any other state;

(b) being a partnership constituted under Scots law has granted a trust deed or become otherwise apparently insolvent, or is the subject of a petition presented for sequestration of its estate;

(c) being a company or any other entity within the meaning of section 255 of the Enterprise Act 2002 has passed a resolution or is the subject of an order by the court for the company's winding up otherwise than for the purpose of bona fide reconstruction or amalgamation, or has had a receiver, manager or administrator on behalf of a creditor appointed in respect of the company's business or any part thereof or is the subject of the above procedures or is the subject of similar procedures under the law of any other state;

(d) has been convicted of a criminal offence relating to the conduct of his business or profession;



(e) has committed an act of grave misconduct in the course of his business or profession;

(f) has not fulfilled obligations relating to the payment of social security contributions under the law of any part of the United Kingdom or of the relevant State in which the economic operator is established;

(g) has not fulfilled obligations relating to the payment of taxes under the law of any part of the United Kingdom or of the relevant State in which the economic operator is established;

(h) is guilty of serious misrepresentation in providing any information required of him under this regulation;

(i) in relation to procedures for the award of a public services contract, is not licensed in the relevant State in which he is established or is not a member of an organisation in that relevant State when the law of that relevant State prohibits the provision of the services to be provided under the contract by a person who is not so licensed or who is not such a member; or

(j) subject to paragraphs (7), (8) and (9), is not registered on the professional or trade register of the relevant State specified in Schedule 6 in which he is established under conditions laid down by that State.

(5) The contracting authority may require an economic operator to provide such information as it considers it needs to make the evaluation in accordance with paragraphs (1) and (4) except that it shall accept as conclusive evidence that an economic operator does not fall within the grounds specified in paragraphs (1) and (4)(a), (b), (c), (d), (f) or (g) if that economic operator provides to the contracting authority—

(a) in relation to the grounds specified in paragraphs (1) and (4)(a), (b), (c) or (d)—

(i) an extract from the judicial record; or

(ii) in a relevant State which does not maintain such a judicial record, a document issued by the relevant judicial or administrative authority;

(b) in relation to the grounds specified in paragraphs (4)(f) or (g), a certificate issued by the relevant competent authority; and

(c) in a relevant State where the documentary evidence specified in paragraphs (5)(a) and (b) is not issued in relation to one of the grounds specified in paragraphs (1),(4)(a), (b), (c), (d), (f) or (g), a declaration on oath made by the economic operator before the relevant judicial, administrative or competent authority or a relevant notary public or Commissioner for oaths.

(6) In this regulation, "relevant" in relation to a judicial, administrative or competent authority, notary public or Commissioner for oaths means an authority designated by, or a notary public or Commissioner for oaths in the relevant State in which the economic operator is established.

(7) An economic operator established in the United Kingdom or Ireland shall be treated as registered on the professional or trade register for the purposes of paragraph (4)(j) if the economic operator —

(a) is established in Ireland and is certified as registered with the Registrar of Friendly Societies; or

(b) is established in either State and is either —

(i) certified as incorporated by their respective Registrar of Companies; or

(ii) is certified as having declared on oath that it is carrying on business in the trade in question in the State in which it is established at a specific place of business and under a specific trading name.

(8) In relation to procedures for the award of a public services contract, an economic operator established in Greece shall be treated as registered on the professional or trade register for the purposes of paragraph (4)(j)—

(a) when the services to be provided under the contract are specified in category 8 of Schedule 3 and when Greek legislation requires persons who provide those services to be registered on the professional register (Μητρώο Μελετητών and Μητρώο Γραφείων Μελετών), if it is registered on that register; and

(b) in any other case, in accordance with paragraph (9).

(9) An economic operator established in a relevant State, other than the United Kingdom or Ireland, which either has an equivalent professional or trade register which is not listed in Schedule 6 or which does not have an equivalent professional or trade register shall be treated as registered on a professional or trade register for the purposes of paragraph (4)(j) on production of either a certificate that he is registered on the equivalent professional or trade register or where no such register exists, a declaration on oath, or in a relevant State which does not provide for a declaration on oath a solemn declaration, made by the economic operator before the relevant judicial, administrative or competent authority or a relevant notary public or Commissioner for oaths, that he exercises the particular profession or trade.